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ESCAP
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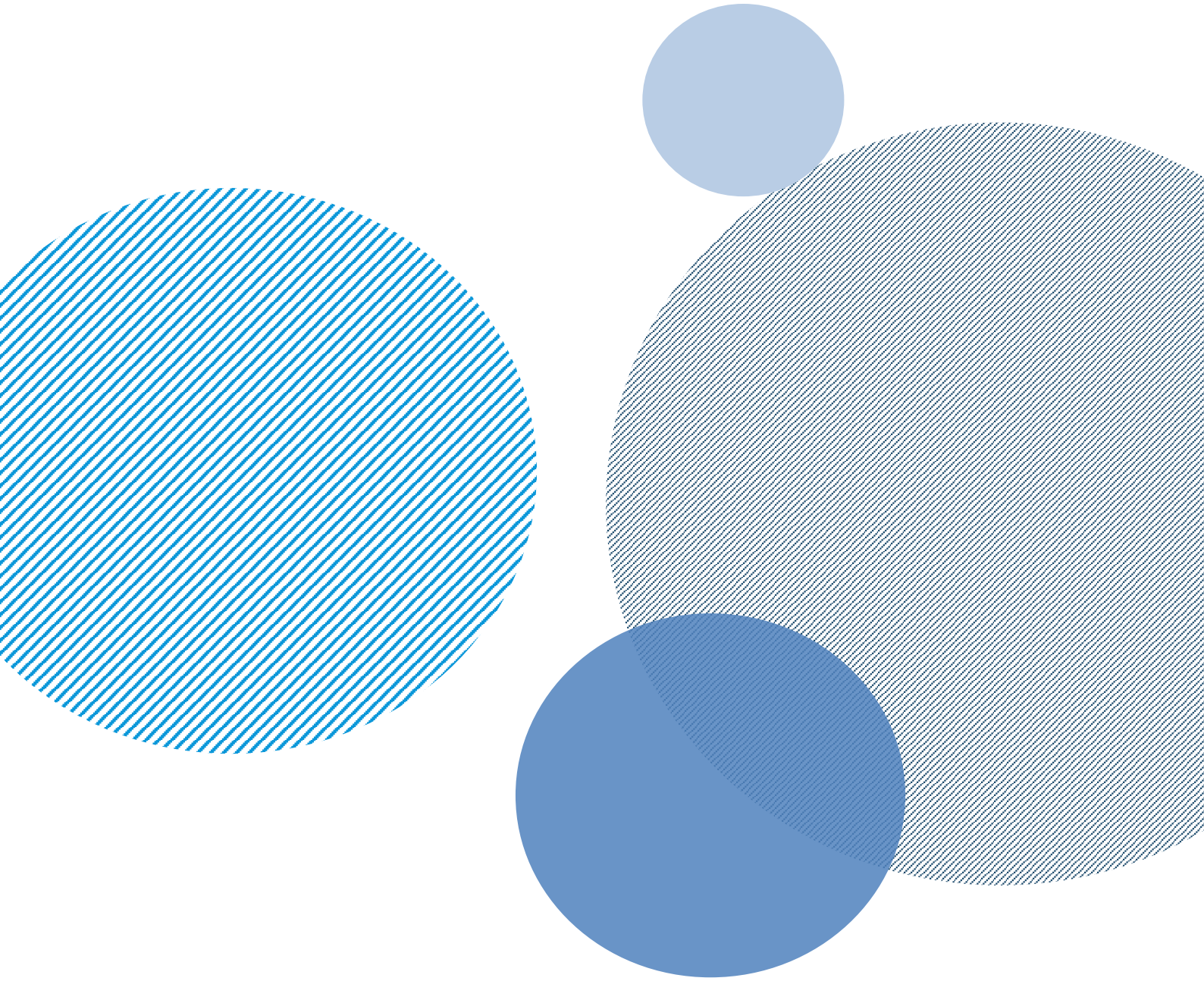
Evaluation of the project on "Evidence-based innovation policy for effective implementation of 2030 Agenda for Sustainable Development in the Asia-Pacific region"

Project evaluation report | August 2022



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August 2022

Prepared by
Mohammad Muaz Jalil

Commissioned by
Trade, Investment and Innovation Division, Technology, and Innovation Section, ESCAP

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Acknowledgments

This project evaluation report was prepared by Mohammad Muaz Jalil with guidance from an Evaluation Committee including Edgar Dante, Head of Evaluation Unit (ESCAP); Marta Pérez Cusó, Economic Affairs Officer (ESCAP); Clement Wu Yichuan, Evaluation Officer (ESCAP)

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August 2022

Mohammad Muaz Jalil

List of acronyms

AAAA	Addis Ababa Action Agenda
ASEAN	Association of Southeast Asian Nations
CPO	Causal Process Observations
CSO	Civil Society Organizations
DAC Criteria	DAC Development Assistance Criteria
DSO	Dataset Observations
EA	Expected Accomplishment
ESCAP	United Nations Economic and Social Commission for Asia and the Pacific
GRI	Grassroots Innovation
IA	Indicators of Achievement
IB	Inclusive Business
KII	Key Informant Interviews
OECD	Organisation for Economic Cooperation and Development
STI	Science, technology, and innovation
SDGs	Sustainable Development Goals
VBO	Video-Based Observations

Executive summary

Background

Science, technology, and innovation (STI) were identified as key means of implementation for the SDGs. In this context, ESCAP launched a three-year+ Development Account-funded project (DA11) titled "Evidence-based innovation policy for effective implementation of 2030 Agenda for Sustainable Development in the Asia-Pacific region". The main objective of this project was to strengthen the capacity of developing countries in South Asia, Southeast Asia, and Small Island Developing States, to formulate evidence-based, integrated, and inclusive STI policies through capacity-building support, and enhanced sub-regional and regional sharing of best practices. Since STI is a broad agenda, ESCAP's support focused on inclusive national STI policy, policies promoting inclusive businesses, and policies to encourage grassroots innovations and artificial intelligence for social good.

The evaluation aims to promote organizational learning and accountability, support results-based management, assess project performance against selected Development Assistance Criteria (DAC), formulate lessons learned, and provide concrete recommendations. The key target audience of the report is ESCAP, the wider UN system, and organizations working on developing and implementing technology and innovation policies.

The evaluation used a mix of data sources collected through multiple methods. The research used causal process observation (CPO) instead of only data set observation (DSO), which are individual units of analysis. CPOs entailed key informant interviews (KII) with policymakers, agenda setters, partners, and project staff (12 interviews over 10 hours were conducted with stakeholders). DSOs entailed analysis of post-event surveys from workshops/capacity building and learning events (over 170+ respondents). In addition to KIIs and surveys, the assessment used a desk review of project-related documents, publications, and associated literature. The evaluation also utilized Video-Based Observation (VBOs); the evaluation leveraged 370+ minutes VBOs from the Frontiers of Inclusive Innovation policy discussion. The evaluation was undertaken between November 2021 and March 2022.

Key findings

Headline results

The project has exceeded expectations. It has supported the Philippines, Cambodia, Vietnam, Malaysia, and Bhutan to formulate and/or adopt several innovation policies, strategies, and mechanisms that promote inclusive innovation. In addition, **10 ASEAN Member States (countries**). have agreed to continue promoting inclusive business and have adopted regional Guidelines for promoting inclusive business in ASEAN (the project's target was for three countries only).

- In **Cambodia**, the government adopted its Science, Technology, and Innovation (STI) Policy 2019-2025 in December 2019. Through ESCAP support, it has integrated inclusive business promotion in its National Strategic Development Plan 2019-2023 and developed the Strategy for Inclusive Business Enabling Environments in Cambodia (iBeeC).
- In the **Philippines**, influenced by ESCAP's work on grassroots innovations, the government has developed the Grassroots Innovation for Inclusive Development (GRIND) Framework Plan. In addition, two Inclusive Business Bills were filed for deliberation in the upper and lower house of the parliament, and a Roadmap was drafted to support the promotion of IB.
- Supported by ESCAP and based on the ASEAN IB Guidelines, **Vietnam's** government articulated the National Program to Promote Sustainable Business, which the Prime Minister approved in 2022.
- **Malaysia** has identified national champions, focal points, and key policy areas for IB promotion.

- **Bhutan** has included the blueprint of the national technology request database as part of the country's Cottage and Small Industry Policy and established the online National Technology Database
- In **Myanmar,** using innovative human-centred design and co-creation process, ESCAP supported the government in formulating a draft national STI policy. This work was recognized for its innovativeness in the Best of United Nations Innovation 2020

Effectiveness

The project effectively achieved the expectations and priorities of countries benefitting from the project. Participants of project events (e.g., webinars, workshops, seminars, etc.) rated highly that the project's activities facilitated skills development and capacity to formulate and/or adopt evidence-based, integrated, and inclusive innovation and technology policies, strategies, or mechanisms, deemed helpful in national contexts. A key success factor in the effectiveness of implementation lies in the combination of capacity building activities with policy advisory services as well as in the use of Networks and Community of Practice that foster peer learning. The project successfully leveraged international partnerships such as collaboration with IBAN, GIAN, and others in establishing ARTNETforSTI. It might be worthwhile to integrate such adaptive learning in future project designs.

In terms of key performance indicators, results indicated the project achieved beyond the initial target of 3 countries which have formulated and/or adopted several innovation policies, strategies and mechanisms that promote inclusive innovation; 80% of the responding policymakers and other development actors reported increased capacity and found activities useful and relevant to their context; and more than ten relevant and high-quality contributions on various forms on evidence-based, integrated and inclusive innovation and technology policies have been provided through the community of practice. The project successfully brought about policy adoption at the regional level: 10 ASEAN Member States have agreed to continue promoting inclusive business and have adopted regional Guidelines for promoting inclusive business in ASEAN.

Relevance

The project proved to be highly relevant in supporting inclusive innovation policies. On-demand requests for support were met with tailored responses. The project successfully leveraged regional and national events to create impetus towards faster adoption of inclusive innovation policies, despite the challenges of the global COVID-19 pandemic. Regional events (e.g., ASEAN IB Summits) and platforms provided critical scope for peer learning and the establishment of a relevant community of practice (e.g., GRI work between Malaysia, India, and the Philippines). The project has maintained regular discussions with country counterparts and teams to review gaps and adapt activities as needed.

New needs continued to emerge given the dynamic nature of the environment; as such, there may be a need to continue this work and expand investments in the creation of a local or national pool of experts who can support the implementation of IB/GRI, developing monitoring and evaluation framework for the innovation policy, strategy or mechanism developed under the project and other initiatives.

Efficiency and Innovation

The project was delivered at a high level of efficiency. A good level of coordination between stakeholders involved in the project ensured that the project's activities were delivered successfully. Leveraging existing projects of implementing partners to increase project reach was also a successful implementation strategy (e.g., leveraging the effort of IBAN and the University of Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development). Stakeholders appreciated the diverse skills/expertise/TA support that could be leveraged given the consortium of implementing

partners, including ESCAP. Given COVID-19-related mobility restrictions, the project was extremely adaptive and shifted to an online setting. Stakeholders highly appreciated the hybrid mechanism of implementation. Another innovation was the human-centred design principles to design the STI policy of Myanmar.

Future projects may benefit from developing a theory of change at the project and country level to bring coherence and focus to the strategy. In the future, it may be better to develop projects that focus on one of the areas (e.g., promoting inclusive business) to enable more focused, comprehensive, and in-depth support in one domain area. A minimum set of standardized questions, across OECD DAC criteria, across all events would also allow consistent comparison across various events.

Sustainability

The evaluation found evidence that the project's implementation was very sustainable and potentially impactful in delivering its objectives. As mentioned in previous sections, many participating governments have continued to leverage capacity-building support, knowledge products, and community of practice to articulate their position and develop policy prescriptions. ESCAP has been able to motivate and leverage additional resources to promote inclusive STI, particularly in Inclusive Business and AI for Social Good but less so in promoting grassroots innovation.

However, ESCAP can do more work at the systemic level through a deeper diagnosis of underlying constraints or root causes for exclusion. For instance, in some cases (national STI policies), ESCAP could make further efforts to involve private sector leaders when the government counterpart has no good links with the private sector. Additionally, work around AI for Social Good and grassroots innovation could be made more systemic, although ESCAP's scope of work in these areas is limited.

Gender and Human Rights

The project's activities recognized gender perspectives in its implementation process and are a core element of inclusive innovation policies; similarly, by design, Grassroot innovation and inclusive business target the disadvantaged and marginalized groups. However, in the future, integrating gender-related questionnaires and indicators in the M&E framework may allow for deeper analysis and tracking for project management purposes.

In summary, the project's activities, particularly how they were selected, designed, and implemented, have enabled the accomplishment of the project objectives beyond the initially established targets. The insights from studies, learning workshops, knowledge products, webinars, seminars, and capacity-building activities informed government officials in the selected countries.

Good practices

This section outlines the good practices from this project that could be useful for other projects in the future.

Good practice 1: Co-creation processes, combining training with policy formulation sessions and including wider stakeholders can foster more inclusive innovation policies	There is often a general lack of collaboration among key actors and government officials may have limited experience in formulating the national STI policy. Using co-creation processes, where a wide range of stakeholders participate in the formulation of the STI policy, is a good practice. Training sessions can also be organized to build local capabilities. In Myanmar, the Philippines, and Mongolia, ESCAP support engaged multiple stakeholders to bring diverse perspectives to policy design.
Good practice 2: Combining action at the national level with regional cooperation can help create momentum and	The project worked simultaneously at the national and regional levels (ASEAN) to promote inclusive business policies. Efforts at the national and sub-regional levels have complemented each other. The discussions at the ASEAN level on inclusive businesses encouraged other Member States to explore the potential (e.g.,

buy-in at the national level and vice versa.	conduct national landscape studies) in their own countries. The endorsement of such guidelines at the regional level, in turn, provided legitimacy for government officials seeking to promote inclusive business in their own countries.
Good practice 3: Hybrid communication can be effective and efficient	Due to the ongoing COVID-19 pandemic, significant mobility restrictions and face-, to-face interactions were minimal. The project was able to pivot towards an online delivery mechanism. In the future, stakeholders argued that such a hybrid communication mode should be continued, as it cost-effectively allows greater participation across geographic regions.

Recommendations

This section outlines proposals that can be used for future project design based on the above findings.

Recommendation 1: Undertake a deeper diagnosis of root causes for exclusion, especially in relation to STI policies and inclusive innovation.	To enhance project performance and sustainability, deeper market diagnostics may be undertaken to identify root causes or systemic constraints in the regulatory space for exclusion, particularly about inclusive innovation and STI Policies. Such a diagnostic may identify other leverage points and create more sustainable and transformative change. Thus, complementing the push strategy, which focuses on developing the capacity of governments, ESCAP can also have a pull strategy that focuses on creating bottom-up demand and business cases of IB.
Recommendation 2: Add additional project activities to explicitly build the capacities of local think tanks, business associations, and agenda setters, to advocate for and promote inclusive business and inclusive STI.	ESCAP may need to have longer-term engagement and work towards capacity building of local agenda setters (beyond government), such as improving the capacity of SMEs or Business association(s) to advocate for and promote IB. Similarly, when leveraging the expertise of international partner organizations (e.g., IBAN), it might be helpful to consider an exit strategy and identify local partners who can take the role after the project support ends.
Recommendation 3: Harmonize project M&E data collection tool, incorporate gender indicators, and provide explicit support to government agencies in the establishment of M&E framework, with which to monitor inclusive STI policies and inclusive business	In the future, post-event surveys should include gender and human rights-related questions and standardize the indicator according to the DAC criteria. This will improve coherence and will enhance alignment with the evaluation. The project may benefit from having an overall TOC per area of intervention (e.g., by IB, STI, etc.) and country-level TOC. ESCAP can support developing Monitoring and Evaluation framework for policies and frameworks that the project supports, such as the IB framework, Inclusive STI policies, etc. ESCAP can add an explicit component in the project to develop M&E frameworks for policies and frameworks and build the government's capacities for M&E.

1. Introduction

Science, technology, and innovation (STI) are necessary for sustainable development. They have the potential to increase the efficiency, effectiveness, and impact of the efforts to meet the ambitious 2030 Agenda and create benefits for society, the economy, and the environment. To ensure that STI is an effective means of implementing 2030 for sustainable development, governments must put in place innovative policies coherent with national economic, social, and environmental objectives and leave no one behind. To this end, the Technology and Innovation Section of the Trade, Investment, and Innovation Division of the United Nations Economic and Social Commission for Asia and the Pacific (ESCAP) launched a three-year+ Development Account-funded project (DA11) in selected countries on inclusive innovation policies. The project seeks to promote innovation policies that support the inclusive growth objectives featured prominently in both the SDGs and commitments made in the Addis Ababa Action Agenda.

ESCAP has commissioned an independent evaluation of the aforesaid STI project. The report provides the methodology, findings, learnings, and recommendations.

2. Description of the Project

2.1 Background

National science, technology, and innovation (STI) policies have played a central role in industrializing modern nations. Previously, national STI policies were formulated with the singular specific goal of boosting economic growth. However, many countries now realize the potential of STIs to promote more sustainable and inclusive development; national STI policies are starting to reflect these aspirations.

Unfortunately, policymakers in these countries often work in isolation, have limited access to the best regional practices on evidence-based innovation and technology policies, and have limited scope to interact with policymakers in the region who share similar challenges and opportunities. They have limited capacity to fruitfully interact with other main innovation stakeholders such as the representatives from industry organizations, grassroots innovators, financial institutions, scientific research and development institutions and academics, and civil society organizations. Implementing inclusive innovation and technology policies requires a good understanding among policymakers of how to promote innovation and social inclusion. To this end, since 2018, the DA11 project has supported ESCAP member States in formulating more inclusive STI policies for sustainable development.

2.2 Project objectives and expected accomplishments/results

ESCAP's DA11 project on inclusive innovation policies seeks to promote innovation policies that support the inclusive growth objectives featured prominently in both the SDGs and commitments made in the Addis Ababa Action Agenda. Since STI is a broad agenda, ESCAP's support focused on inclusive national STI policy, policies promoting inclusive businesses, policies to encourage grassroots innovations, and artificial intelligence for social good.

The main objective of this project is to strengthen the capacity of developing countries, in particular, least developed countries in South Asia, Southeast Asia, and small island developing states, to formulate evidence-based, integrated, and inclusive innovation and technology policies as the means

for effective implementation for the achievement of the SDGs and leave no-one behind. To this end, the project has identified two Expected Accomplishments (EAs)

- **Expected Accomplishment 1 (EA1):**
  Enhanced capacity of policymakers to formulate and/or adopt evidence-based, integrated, and inclusive innovation and technology policies, strategies, or mechanisms
- **Expected Accomplishment 2 (EA2):**
  Enhanced sub-regional and regional sharing of best practices on evidence-based, integrated, and inclusive innovation and technology policies

As per the progress report (Jan 2019 & Dec 2020), it was proposed that the indicators IA 2.2 (Policy makers and other key stakeholders of at least three countries use the report to formulate an inclusive innovation and technology policy, strategy, or mechanism) and IA 2.3 (80% of policymakers and other key national stakeholders engaged in the project adopt the approaches on inclusive innovation and technology policies after attending the workshops) in the original logframe (project document) should be revised.

The updated IA 2.2 aimed to minimize the overlap with the indicators under the EA1 and reflect the increased engagement the project seeks to achieve by exchanging best practices. Therefore, it was suggested to replace IA 2.2 and IA 2.3 with a proposed new IA2.2: '"80 percent of policymakers and other key national stakeholders find the approaches on inclusive innovation and technology policies shared by the community of practice useful and relevant to their context". This was accepted.

The project document did not have a theory of change; it only had a logical framework (Logframe). It is worth noting that during the period, TOC was not an element of the Program template requested to submit project proposals for Development Account funding based on the narrative outlined in the project documents and critical outputs, outcomes, and activities mentioned, the consultant developed a baseline theory of change[1]. This was validated with the project team during consultation and meetings[2]. Furthermore, the structure of the TOC was adapted and aligned with ESCAP Guideline[3] The TOC focuses on two workstreams: National Capacity Development on STI and Regional Cooperation on STI. The Theory of Change seen below is broken into 4 levels (1, Activities; 2. Output; 3, Outcome; 4 Objective[4]), which build upon each other; these include:

I. **Level 1 to level 2 (Activity to Output): Necessary pre-conditions to influence partner behaviour and improve their capacity/ awareness**
   A significant precondition for behavioural change among regulatory stakeholders requires increased dialogue and interest within and between policymaking institutions and other stakeholders. This is achieved through landscape studies, policy gap analysis, national and regional workshops/dialogue/summit, TA support to specific agencies, consultation with key stakeholders and policymakers, agenda setters, thought leaders, etc.

II. **Level 1 & 2 to level 3 (Output to Outcome): Changing the behaviour, practice, or performance of critical actors**
   It is envisaged that regulators/policymakers will change their behaviour through increased awareness and improved capacity. This may include engaging various actors in formulating policies; for instance, the use of Sherpa Group in Myanmar to develop

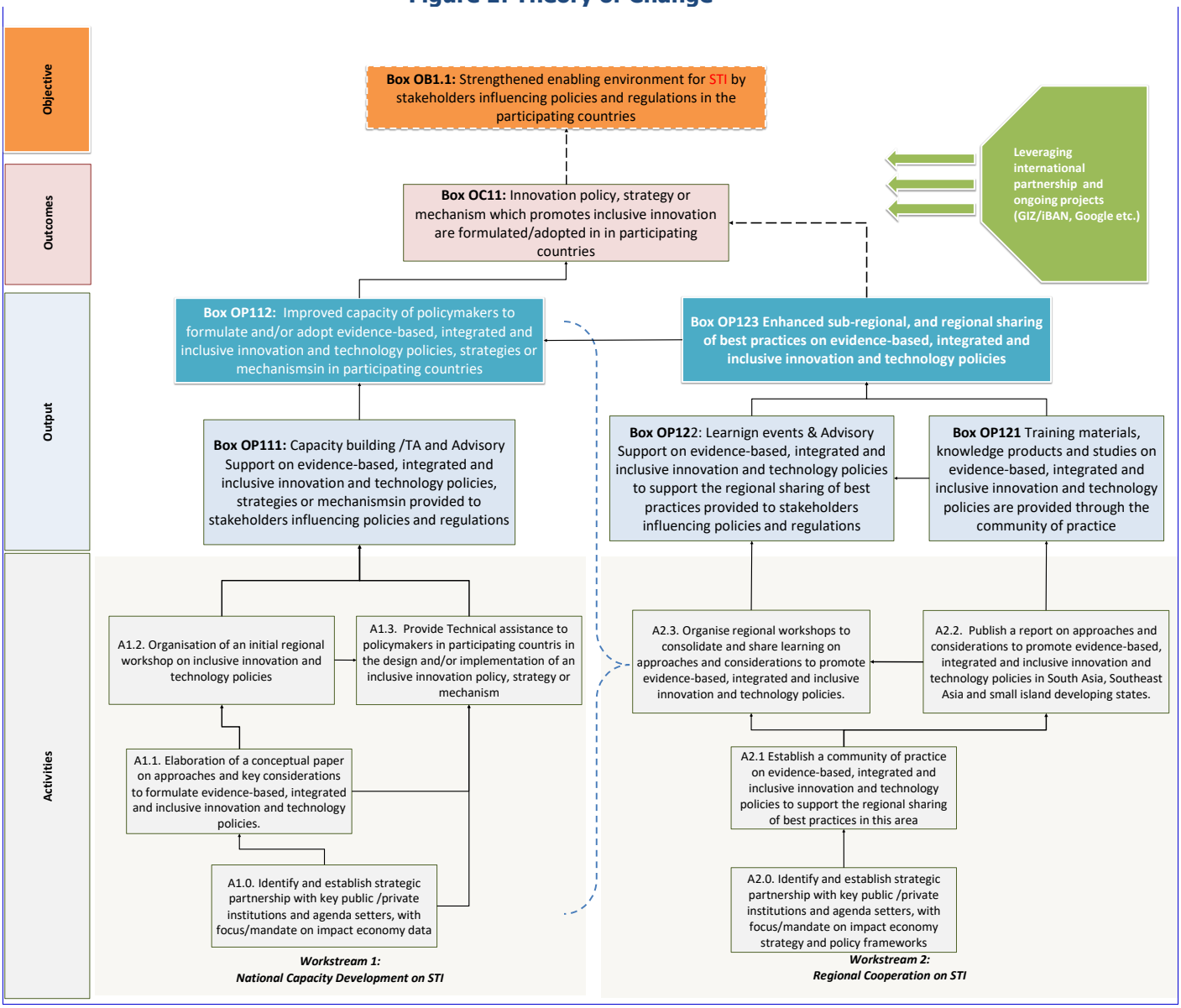
[1] Evaluation of DA10: South-South cooperation for science, technology and innovation policies in the Asia-Pacific region (ESCAP, 2021) recommends the use of TOC for monitoring and evaluation (See Section 6: Recommendation).
[2] The meeting was held on November 24th, with Mr. Jonathan Wang, Chief, Technology and Innovation Section, TIID and Ms. Marta Pérez Cusó, Economic Affairs Officer (Programme Manager DA11).
[3] Consultant had meeting the ESCAP Evaluation team on November 30th, 2021: Mr. Edgar Dante Chief, Evaluation Unit and Mr. Clement Wu, Associate Programme Officer Evaluation Unit. The TOC was adapted in accordance with the Guidelines for the preparation of concept notes for the 15th tranche (ESCAP, 2021)
[4] ibid

National STI Policies; engaging different disenfranchised groups in policy consultations such as including representatives from one of the khoroos (subdistricts) within the Ger district (Mongolia) to dialogue with mobile network operator executives to bring Ger district perspectives and day-to-day realities to these conversations.

III. **Level 1, 2, and 3 to level 4 (Outcome to Objective): Bringing about systemic and transformative change by strengthening the enabling environment for STI.**

Change in practice ultimately leads to policy-level shifts or outcomes. Policymakers with increased capacity, information, and relevant consultation with multiple stakeholders can formulate and/or adopt innovation policy, strategy, or mechanism which promotes inclusive innovation. With improved inclusive innovation and technology policies, procedures, or tools in place, it will create the right incentives in the market; there will be an increase in the number and variety (quantity and quality) of inclusive businesses, flourishing of grassroots innovation, and leveraging of AI for social good[5].

Figure 1: Theory of Change



[5] The TOC was adapted from the one in the inception report to align with the ESCAP RBM guidelines

2.3 Project strategies and critical activities

Even before the project, ASEAN member States, including the three least developed countries, Cambodia, Lao PDR, and Myanmar, have requested support[6] to design a policy framework and guidelines to strengthen STI collaboration and to support enterprises. It is in this backdrop that the project was conceptualized. The project initially undertook regional consultation, which helped inform the project's development. The outcome of the regional consultation was presented at the second session of the Committee on Information and Communications Technology, Science, Technology, and Innovation of ESCAP. The Committee strongly supported the work of ESCAP on inclusive technology and innovation policies. Based on regional and national consultations, the project identified the following policy priorities:

- Supporting national governments in formulating and adopting more inclusive science, technology and innovation policies, strategies, and instruments.
- Promoting innovative business models that generate more inclusive growth in South-East Asia.
- In partnership with relevant thought leaders (e.g., NXPO, Association of Asia-Pacific Rim Universities (APRU), Google, Oxford Digital Pathways, etc.), providing national governments with policy advice in the areas of inclusive digital economy strategies and artificial intelligence.
- Exploring, in collaboration with the Honeybee Network and Gujarat Grassroots Innovation Augmentation Network (GIAN), how public policies can promote grassroot innovations.

The project aimed to achieve inclusive outcomes by formulating national science, technology, and innovation policies, such as ensuring that women participate in and benefit from science, technology, and innovation. A collaboration was established with the Pathways for Prosperity Commission on Technology and Inclusive Development to support the Government of Mongolia in designing an inclusive national development strategy under the leadership of the Cabinet Secretary. The collaboration resulted in 1) The elaboration of a national readiness assessment; 2) The organization of four multi-stakeholder dialogues; 3) The drafting of the National Digital Strategy Primer for Mongolia.

The partnership with GIZ GmbH (Inclusive Business Action Network program) to enhance the policy environment for inclusive business in five countries in South-East Asia in 2019 has been very successful. The collaboration continued in 2020 and 2021, with both sides committing additional funds and resources to promote inclusive business in ASEAN, supporting the development of two ASEAN guidelines for inclusive business, and organizing the Third and Fourth ASEAN IB Summit.

Furthermore, ASEAN Member States have encouraged Governments and private sector actors to continue promoting inclusive business in the Leaders' Vision Statement on Partnership on Sustainability (2019), in the Chairman's Statement of the 35th ASEAN Summit (in 2019), and the 52nd ASEAN Economic Ministers' Meeting (in 2020) and in Chairman's Statement of the 37th ASEAN Summit (in 2020) and have noted ESCAP support in this area. ESCAP's support to help Myanmar co-design its national Science Technology Innovation Policy, with inclusivity and sustainability at heart, has been recognized for its innovativeness in the Best of United Nations Innovation 2020.

The ESCAP Member States have recognized the work conducted to support inclusive technology and innovation policies during the Committee on Information and Communication Technology, Science, Technology and Innovation and have recommended (Recommendations 10 and 11 of the Report of the Committee) that the secretariat continues this work. ESCAP's report on Frontiers of Inclusive Innovation. Formulating technology and innovation policies that leave no one behind has been complemented by videos from experts highlighting key challenges and opportunities for promoting more inclusive innovation policies.

[6] Further details are available in the Concept note. Drafting of the STI Policy Framework and Guidelines. 28 July 2017 established by ASEAN countries and the Republic of Korea.

2.4 Beneficiaries and target countries

The project primarily targeted low-income groups, women, youth, and Micro-small-medium enterprises (MSMEs) as ultimate beneficiaries of the project. Target countries are listed below:

1.	Bhutan	5.	Lao PDR	9.	the Philippines
2.	Brunei Darussalam	6.	Malaysia	10.	Singapore
3.	Cambodia	7.	Mongolia	11.	Thailand
4.	Indonesia	8.	Myanmar	12.	Viet Nam

2.5 Key partners and other key stakeholders

The project partnered with the following organizations, apart from the national governments:

Areas of Partnership	Organization	Type of support
Inclusive Business	GIZ GmbH/ Inclusive Business Action Network program (iBAN)	Provide TA to various government agencies to develop an Inclusive Business Framework.
Grassroots Innovation	Honeybee Network and Gujarat Grassroots Innovation Augmentation Network (GIAN),	Work with local government and share experience in the regional platforms on how public policies can promote innovations at the grassroots level.
National Digital Policy	Digital Pathways at Oxford	Apply digital economy kit in Mongolia and support the national government to design inclusive digital economy strategies.
AI for Social Good	Association of Pacific Rim Universities (APRU) Google, STEPI and NXPO	Support researchers to provide policy advice to governments on promoting AI for social good. With ESCAP deploying a digital platform to promote inclusive technology and innovation policies, the partnership seeks to build a network of academics and policymakers in Asia and the Pacific interested in promoting AI for Social Good and leveraging the ARTNETonSTI platform for this end.
National STI Policies	Technopolis	Provide TA support to Myanmar to draft an inclusive national STI policy.

In addition to the partnership above, the project collaborates with various national agencies in the region to promote inclusive business and national STI policies, such as the Ministry of Industry, Science, Technology & Innovation (MISTI), Cambodia; Darussalam Enterprise (DARe), Brunei Darussalam; Agency for Enterprise Development, Ministry of Planning and Investment, Viet Nam, etc.

2.6 Resources

The initiative has a USD 500,000 budget allocation, but by the time the project was completed, just around USD 450,000 had been used. The COVID-19 pandemic-related travel restrictions were the

leading cause of under-spending; as a result, there were no in-person meetings or travel in 2020–2021. The cost-head of consultants saw almost a 45 percent increase in spending and accounted for nearly 50 percent of the total expenditure. To cover the increase in hiring outside experts to produce knowledge products and funding the project evaluation, money from the "Other staff costs" budget line was transferred to the "Consultant budget line," along with some savings from "Travel of staff," "General operating expenses," and "Contractual services." The project was able to leverage the following funding: for instance, to support the designing of an inclusive national development strategy, the project was able to leverage USD 600,000 in-kind from Oxford Pathways for Prosperity Commission on Technology and Inclusive Development (For detail, see Annex 7).

2.7 Link to the Sustainable Development Goals (SDGs)

Science, technology, and innovation feature prominently in the SDGs and commitments made in the Addis Ababa Action Agenda (AAAA). The project is aligned with SDG Goals 1 (Poverty), 4 (Education), 5 (Gender), 8 (Growth and Employment), 9 (Inclusive Industrialization and Innovation), and 17 (Global Partnership and Governance). Considering AAAA, the project aligns with Action Area II: Science, technology, innovation, and capacity-building. For detail, see Annex 8.

2.8 Innovative elements

A key innovation was how ESCAP supported the Government of Myanmar in formulating its national Science Technology Innovation Policy through a co-creation process. Human-centred design principles were used to design the project. The co-creation process was designed with inclusivity in mind. It engaged a group of 16 policy champions – the Sherpas. This work was recognized for its innovativeness in the Best of United Nations Innovation 2020. The draft STI policy received the tacit approval of the National STI Council. Unfortunately, the progress was stalled by the military coup in February 2021. More details are discussed in the evaluation section of the report.

Another innovation and good practice of this project has been working simultaneously at the national and subregional (ASEAN) levels to promote inclusive business policies. Efforts at the national and sub-regional levels have complemented each other. More advanced member States, ASEAN as a group, had decided to support the promotion of enabling environments for inclusive businesses. Further details are available in Section 5 of the report.

3. Evaluation objectives, scope, and questions

3.1 Purpose and objectives

The purpose of the evaluation is to assess the results achieved and to enable learning. It will generate information on the results and lessons learned to inform the next generation of DA projects, especially those related to innovation policies. It will generate information on the results achieved and lessons learned to inform DA annual reporting to the UN General Assembly and the relevant reports of ESCAP to the Commission and other stakeholders.

As outlined in the TOR, *the evaluation's timeframe is expected to cover from 1 April 2018 to 31 December 2021. The project supported policy work in 10+ countries, as outlined in section 2.4*. The project also had partnerships with regional and international organizations. In addition, while the broad focus of the project is strengthening STI policies/mechanisms in participating countries, it has explicitly worked on inclusive business (IB), grassroots innovation, national STI policies, and AI for social good.

3.2 Evaluation scope, criteria, and questions

The scope of the evaluation, as outlined in the TOR, was to answer the following key questions:

I. Assess project performance against DAC criteria: effectiveness, relevance, efficiency, sustainability, and gender mainstreaming
II. Assess project achievements (in terms of performance indicators) based on stakeholder assessments
III. Formulate lessons learned and provide concrete recommendations

It excludes Impact, a standard OECD DAC criteria, as it can only be effectively assessed well after the project ends.[7]

4. Methodology

In line with UNDA Project Evaluation Guidelines (UNDA, 2019), the present study will use a theory-based approach, i.e., a TOC, and results measurement framework to guide the evaluation process (p. 13). Furthermore, as the evaluation matrix outlines below, the research uses a mixed-method research design that entails multiple methods and triangulation (UNDA, 2019, p. 13).

The research utilizes causal process observation (CPO) as opposed to only data set observation (DSO), which is an individual unit of analysis (e.g., a completed survey questionnaire). Causal Process Observation (CPO) provides information on context and mechanism; thus, CPO provides more inferential leverage than DSO. DSO are observations in normal statistical analysis and a standard method for increasing degrees of freedom (Mahoney, 2010, pp. 120-147)[8]. As such, *"a large number of standardized Observations (DSO) are not always superior to a single noncomparable observation,",* especially if the single observation is a CPO (King et al., 1994, p. 183).

Quantitative research often focuses on descriptive statistics based on DSOs. In contrast, qualitative research utilizes CPOs: *"A causal-process observation sometimes resembles a 'smoking gun' that confirms causal inference in qualitative research and is frequently viewed as an indispensable supplement to correlation-based inference in quantitative research as well"* (p. 277-278). Key informant interviews with stakeholders influencing policies and regulations (e.g., regulators, agenda setters) are good examples of CPOs, whereas post-event respondent surveys are DSOs. This study used a mixed-method approach; as such, both CPOs and DSOs were utilized.

The evaluation also utilized Video-Based Observation (VBOs). Borg (2021) outlines how various social researchers have used existing videos as an impact evaluation tool, especially in a mixed-method setting[9]. As part of the project, the Frontiers of Inclusive Innovation Policy Forum was organized by ESCAP in collaboration with Digital Pathways at Oxford, Inclusive Business Action Network (iBAN), Honeybee Network, and the Gujarat Grassroots Innovations Augmentation Network (GIAN). The plan entails two policy discussions and four policy exchanges between November and December 2021. These sessions were recorded either in part or in entirety. These recorded sessions provided opportunities for VBOs.

4.1 Evaluation Matrix

Based on the theory of change outlined in Figure 1, evaluation questions were developed and selected to extract assessments in line with effectiveness, relevance, efficiency, sustainability, gender

[7] Impact in this case implies "social, environmental and economic effects of the intervention that are longer term or broader in scope than those already captured under the effectiveness criterion." Source: https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm.
[8] Mahoney, J. (2010). After KKV: The new methodology of qualitative research. *World Politics*, *62*(1), 120-147.
[9] Borg, S. (2021). Video–based observation in impact evaluation. *Evaluation and Program Planning*, *89*(C).

mainstreaming, and other relevant cross-cutting issues. Annex 3 provides the detailed evaluation matrix, with OECD DAC Criteria, Evaluation Questions, Means of Verification, etc.

4.2 Data Collection and Analysis

The evaluation used the following methods of information and data collection and analysis, which were triangulated for assessment purposes.

- **Desk review of relevant documents**

A desk review of relevant documents and reports, such as those developed by project consultants, presentations, and the results of participant survey questionnaires, relevant resolutions, email communications, and published papers related to the project. The annex provides a list of key documents reviewed.

- **Meta-analysis of project monitoring data**

The project has a database of 12 post-workshop stakeholder surveys with nearly 170 responses[10]. The questionnaires draw on OECD DAC criteria, and as such, the consultant was able to leverage them to undertake a meta-analysis. This research component views the evidence as based on DSOs (discussed above). These findings were triangulated from key informant interviews with stakeholders and the CPOs.

- **Consultations with relevant government officials and other stakeholders of host countries**

Consultations with appropriate government officials, agenda setters, and stakeholders of the host country (primary and secondary). Checklist/semi-structured questionnaires were used during interviews with stakeholders. Interviews with agenda setters and government officials are viewed as causal process observations (CPOs), as they provide a significantly higher degree of inferential leverage. The interviews and the theory of change outlining the intermediate steps provided evidence for the pathways and acted as a mechanism for CPOs (Mahoney, 2010, p. 134).[11] In total, 12 key informant interviews (CPOs) were held with project partners, government stakeholders, and others, each lasting between 45-60 mins, i.e., more than 10 hours of the interview session.

The consultant also used 370+ minutes VBOs from the Next Frontier of Innovation policy discussion and exchange, which took place between November and December 2021, as additional evidence. The consultant utilized transcripts, chat messages, and verbal comments relevant to project activities (positive or negative) expressed by policymakers and others during the workshops.

- **Consultations with relevant ESCAP staff and partners**

Multiple consultations with relevant ESCAP secretariat staff and evaluation team members were conducted to understand better the project's different aspects, including its design and implementation, and provide a sound basis for collecting other relevant data. It assisted in understanding the effectiveness of collaboration between partners and co-implementers.

- **Case Study**

Yin (2017)[12] defines case studies as a methodology that deals with contemporary situations where it may be challenging to isolate/ manipulate the treatment; explanatory case studies ask the research

[10] The list includes: 1)Cambodia STI policy workshop, 2) India Grassroots workshop, 3) Webinar on promoting Grassroots innovation, ,4) Third ASEAN Inclusive Business Summit, 5) Bhutan Technology Transfer Workshop, 6) Thailand Intellectual Property Management Workshop, 7) Inclusion: the next frontier of innovation 8) Designing policies for inclusive digital economies 9) Formulating inclusive science, technology, and innovation policies 10) Promoting grassroots innovations at the policy level 11) Inclusive business: innovating to deliver solutions for low-income people, 12) Expanding frontiers of inclusive innovation: The way forward

[11] Mahoney, J. (2010). After KKV: The new methodology of qualitative research. *World Politics*, *62*(1), 120-147.

[12] Yin, R. K. (2017). *Case study research and applications: Design and methods*. Sage publications.

questions as 'how' and 'why'. Given the present research, the focus of this research phase will be to explore the effectiveness of ESCAP support, under what context, and mechanism. The consultant used a multi-case design with multiple embedded units (Yin, 2017, p. 96).

According to KKV[13] (p. 115), "random selection and assignment have serious limitations in small-n <such as case study> research". While in large-n studies (e.g., surveys), randomness eliminates selection bias, in small-n studies, "random selection may not solve the problem of selection bias but may even be worse than," and we may end up missing important cases (KKV, p. 125). In the present study, the dependent variable are key performance indicators (E.g., policies formulated), and one of the key explanatory variables is the different categories/areas of support (GRI/IB/STI policy, etc). In line with KKV (p. 135), the case selection was according to the categories of the key causal explanatory variables with a variation in the outcome (depth of achievement varied across three cases). The consultant selected three countries: Cambodia, Philippines, and Vietnam, based on consultation with ESCAP Staff and the criteria above. *Cases with areas of support: Cambodia: STI Policy and IB; Philippines: IB and GRI; Vietnam: IB.* In some cases, the intensity of collaboration also varied, with a significant level of collaboration in the Philippines, Cambodia, and Vietnam.
It is important to note that the case study approach is one element of the research. Findings from other countries, such as Brunei Darussalam, Mongolia, Indonesia, etc., are also shared. Furthermore, quantitative results from the synthesis of project monitoring documents and in-depth interviews, conducted by consultants cover the entire project operation in multiple countries beyond the 3 cases mentioned above.

Summary of Data Collection tools

Desk Research	Key project documents, reports, presentations, chats, transcripts, etc.
Survey Response (DSOs)	Data of nearly **170** respondents were analysed across 12 events.
KII with Stakeholders (CPOs)	**12** interviews over **10** hours were conducted with stakeholders
Video-Based Observation (VBOs)	Leveraged **370+** minutes VBOs from the Next Frontier of Innovation policy discussion

4.3 Limitations

Due to the ongoing COVID-19 pandemic, with the emergence of new variants, it was difficult to arrange meetings with policymakers as their priorities have been managing and responding to the pandemic. The pandemic has made it notably challenging to travel, participate in various events and interact with different actors. Multiple channels of communication (emails, online questionnaires, Skype, etc.) were used to maximize the response rate and compensate for the logistical challenge. Furthermore, innovative tools such as VBOs were leveraged to gain insight. The lack of a project theory of change made it difficult to undertake a theory-based evaluation as it is often a prerequisite. Having a pre-existing theory of change, articulated and accepted by key project stakeholders, provides a firmer evaluation footing. This shortcoming was mitigated by developing one at the inception phase and validating it with the implementing staff, if not all the broader stakeholders. Finally, due to the military coup in Myanmar (Feb 2021), it was impossible to communicate with government agencies. To mitigate this, the consultant contacted third-party non-government agenda setters, who supported the Government of Myanmar before the coup.

[13] King, G., Keohane, R. O., & Verba, S. (2021). *Designing social inquiry: Scientific inference in qualitative research*. Princeton university press.

5. Evaluation findings

The questions outlined in the following section were put forward in a survey questionnaire to policymakers and agenda setters during the online survey and skype interviews. At the same time, they were broadly covered in the post-event survey conducted by ESCAP after capacity-building workshops. The questionnaire used a Likert scale (1-5) between the Strongly Disagree – Strongly Agree range. The findings below draw on both data sources. The events covered are mentioned in the Annex.

5.1 Effectiveness

In this section, the evaluator assessed whether the project contributed to the policy dialogue on the impact of GRI/inclusive STI/IB in the selected countries. The activities developed through the collaboration with ESCAP, whether they were effective in raising awareness and knowledge of STI, grassroot innovation, AI for social good, and inclusive business among key policymakers and agenda setters relevant to the selected country. Also, feedback regarding the scope for improvements was requested from key stakeholders.

Respondent #1: Insights from other countries enriched our understanding of inclusive innovation and experiences from other countries provided benchmarks for policies and programs in the Philippines

Respondent # 2: Concrete result from ESCAP on IB is quite in time for Cambodian in joining ASEAN for promoting Inclusive Business. New results could be seen from the Landscape Studies to Guideline for IB for ASEAN, and hopefully business coaching, Studies on How IB Empower Women

Respondent # 3: The regional guidelines <on IB developed with support of ESCAP> serve as a useful reference for Brunei to develop an Inclusive Business model/framework, activities, and approaches, in order to achieve inclusive growth

Finding 1: ESCAP & partner support to governments were effective in delivering outcomes.

The project has achieved its intended outcome in the form of the enhanced capacity of policymakers to formulate and/or adopt evidence-based, integrated, and inclusive innovation and technology policies, strategies, or mechanisms. As a result of this project, several governments have already put in place processes, set up policy working groups, incorporated policies, and launched policy initiatives relating to STI policies, grassroot innovation, and inclusive business. The project has also successfully enhanced sub-regional and regional sharing of best practices on evidence-based, integrated, and inclusive innovation and technology policies. Three interviewed government officials have articulated the increased awareness and improvement capacity after participating in numerous regional events such as webinars, workshops, summits, etc. Platforms such as ARTNET on STI have successfully delivered knowledge products around AI and STI to a wider audience.

- On average, 84% of the respondents in the post-event surveys agreed or strongly agreed with the statement that the events were effective in creating knowledge/skills/ understanding/ awareness, and they were satisfied with the outcome.[14]

[14] This is an average in response to the questions such as to what extent were your objectives of the event achieved? Increased awareness to strengthen and leverage IP management strategy? Was the event support the generation of new

At least **three target countries**[15] (Cambodia, the Philippines, and Viet Nam) have formulated or adopted an innovation policy, strategy, or mechanism which promotes inclusive innovation. In **Cambodia,** the government adopted its Science, Technology, and Innovation (STI) Policy 2019-2025 in December 2019. Through this project, ESCAP provided technical support in drafting the policy and organized a national workshop on the subject with key stakeholders. Following the adoption of the STI policy, ESCAP also contributed to developing a roadmap for its implementation. The government approved and officially launched the roadmap on 19 August 2021. Another significant outcome in Cambodia was the integration of inclusive business promotion in its National Strategic Development Plan 2019-2023 and the development of the Strategy for Inclusive Business Enabling Environments in Cambodia (iBeeC). ESCAP enabled the government to conduct a landscape study of inclusive business in Cambodia to inform the development of the Strategy. As a demonstration of its capacity to promote inclusive innovation, Cambodia, as Chair of ASEAN 2022, will host the 5th ASEAN Inclusive Business Summit in October 2022.

In the **Philippines**, inspired by ESCAP's work, the government has adopted a strategy to promote inclusive innovations through the promotion of grassroots innovation. ESCAP Workshop on Policies to Promote Grassroots Innovations in 2019 led to the creation of a community of practice (CoP) to promote grassroots innovations among key focal points from India, Malaysia, and The Philippines; they shared experiences and supported each other in fostering grassroot innovations. In the Philippines, this led to Grassroots Innovation for Inclusive Development (GRIND) Framework Plan. According to Senior Officials of DOST Philippines[16], "*the engagement with UNESCAP provided insights on how to develop the GRIND Program Framework Plan…that addresses the needs and requirements of indigenous peoples and other marginalized and disadvantaged sectors."* As part of the GRIND program, the Regional Development Council XI has identified 180+ Grassroot innovations in the Davao Region; furthermore, there is a plan to bring in all 16 regions under the GRIND program, and as such the plan has been developed to train staff, undertake the training of trainers (TOT) programs to roll out the framework[17]. ESCAP also partnered with GIZ's inclusive business action network (iBAN) program to promote policies that support inclusive businesses in the Philippines. As a result of the support, two Inclusive Business Bills were filed for deliberation in the upper house and lower house of the Philippines, and a Roadmap was drafted to support the promotion of IB.

In **Vietnam**, ESCAP, with support from IBAN, organized four workshops and events to promote inclusive business[18]. In 2019 ESCAP also supported Agency for Enterprise Development (AED), Vietnam, to conduct a landscape study on Inclusive Business in partnership with IBAN. The landscape study was officially presented in September 2021. According to Senior Officials[19], the landscape study and the ASEAN IB Guidelines were critical in developing the National Program to Promote Sustainable

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and relevant ideas? Ability to identify options for cooperation and collaboration at the regional level. Finally, it also considers overall satisfaction with the capacity-building workshop

[15] The project has exceeded this target but, in this section, we are highlighting the 3 country cases.

[16] KII with individuals from the Department of Science and Technology (DOST), the Philippines

[17] Based on KII with DOST officials and Video-based observation from Frontier Innovation web events.

[18] The lists are:

- Inclusive Business Policy Forum for Viet Nam, in partnership with AED and the CIEM of the MPI – Hanoi, Viet Nam15 October 2019, https://artnet.unescap.org/sti/events/first-inclusive-business-policy-forum-viet-nam
- Workshop on Inclusive Business Accreditation, organized in partnership with AED and the CIEM of the MPI – Hanoi, Viet Nam 14 October 2019.
- Business Roundtable on Inclusive Business, organized in partnership with AED and the Vietnam Small and Medium Enterprises Association (VINASME) - Ho Chi Minh City, Viet Nam 10 October 2019 https://artnet.unescap.org/sti/events/first-inclusive-business-policy-forum-viet-nam
- Workshop on Inclusive Business Accreditation, organized in partnership with AED and VINASME - Ho Chi Minh City, Viet Nam 8 October 2019.

[19] Policy Division, Agency for Enterprise Development, Ministry of Planning and Investment, Vietnam

Business (NPPSB)[20]. The Prime Minister approved the NPPSB in January 2022 (Decision 167PM)[21]. NPPSB focuses on sustainable business and includes Inclusive Business, i.e., those that focus on society and economic growth. According to Senior Officials, "<NPPSB> already expresses the highest commitment from the Vietnam Government to promote inclusive Business" and it is the first time IB has been defined and targeted by the Government of Vietnam. The definition of IB was adapted from the Landscape study supported by ESCAP. The NPPSB will develop the IB ecosystem, including IB accreditation, IB Data platform, and financial and TA/Mentoring support for MSMEs and IBs. These are still under development and part of the approved national program.

Beyond the **country-specific cases** discussed above, the **events and workshops** were effective in enhancing capacities:

- Around **83% of the responding** policymakers and other development actors (rated between 4 to 5 on a scale of 5) indicate that the project enhanced their capacity to formulate inclusive innovation and technology policies, strategies, or mechanisms[22]
    - In Cambodia STI policy workshop: 84.6 percent of respondents indicated that the project had enhanced their capacity to formulate Cambodia's Science, Technology and Innovation (STI) Policy 2019-2025; in the India Grassroots workshop: 90 percent of the respondents indicated that the workshop enhanced their capacity to formulate grassroots innovation policies, strategies or mechanisms; Third ASEAN Inclusive Business Summit: 91 percent of respondents indicated that the Summit increased their capacity to enhance policy environment for inclusive business.
    - Based on a request from Brunei Darussalam, The Fourth ASEAN Inclusive Business Summit took place in Brunei, hosted as part of its ASEAN Chairmanship 2021, co-organized by Darussalam Enterprise (DARe), ESCAP, Inclusive Business Action Network (iBAN), OECD and the ASEAN Secretariat. 85 percent of respondents indicated that the Summit increased their understanding of inclusive business models and inclusive business in ASEAN. According to the Senior Official of Business Development and Support [23], about 100 out of the 480 participants registered at the virtual 4th ASEAN Inclusive Business Summit were from Brunei Darussalam – both from the private and public sectors demonstrating stakeholders' interest. The high numbers of participants and the selection of relevant topics for panel discussions (interest from speakers) were key to the event's success.
- One of the key indicators of achievement for EA2 (log frame) is that **ten** relevant and high-quality contributions in various forms (provision of advice, sharing of case studies, joint studies) on evidence-based, integrated, and inclusive innovation and technology policies are provided through the community of practice; the project was able to achieve more than ten. The details are provided in Annex 9.

[20] This is based on Video-based observation from Frontier Innovation online events.

[21] For detail please see: https://english.luatvietnam.vn/decision-no-167-qd-ttg-dated-february-08-2022-of-the-prime-minister-approving-the-2022-2025-program-on-support-for-private-enterprises-in-sustainabl-216635-Doc1.html

[22] This is based on meta-analysis and in-depth interviews conducted as part of the evaluation.

[23] Darussalam Enterprise (DARe), Brunei Darussalam

- Around 88% of policymakers and other key national stakeholders engaged in the project find the approaches to inclusive innovation and technology policies shared by the community of practice valuable and relevant to their context[24][25].
    - In the final session, out of the 12 respondents, 11 agreed that the session enhanced their understanding of designing policies for inclusive digital economies.
    - In response to the question "What have you learned from this session and what take-away points will you be using in your work?", the following were articulated:
        - *"Recognition of grassroot innovations is highly required, comprehensive database will be essential."*
        - *"Governments are doing significant work on IB, but more can be done to localise further initiatives and involve local governments and organisations."*
        - "*The STI policy should be very comprehensive, inclusive, attractive to all genders, industry, all socio-economic community, balanced top down-bottom-up approach to meet the unmet need of the society."*
    - Senior Official of STEPI Republic of Korea [26] discussed the importance of platforms such as ARTNET on STI[27] for sharing knowledge on STI. ESCAP initiated ARTNET on STI with support from other partners as a knowledge platform on science, technology, and innovation policies for sustainable development. The platform has effectively delivered knowledge on STI to a wider audience[28]. The respondent also stated that with COVID subsiding, there is greater scope for collaboration with ARTNET on STI and STEPI, especially in providing TA/mentoring support to other governments on developing inclusive STI policies. Collaboration with ESCAP has also helped STEPI gain greater prominence with the Korean Government.

Finding 2: Networks and Community of Practice have been helpful in peer learning

Senior Government officials, during interviews, discussed the importance of the Community of Practice (CoP), which was established to promote grassroots innovations among key focal points from India, Malaysia, and The Philippines. Respondent mentioned meeting with Dr. Gupta in the Grassroot Workshop (India) in 2019 and how it was pivotal regarding their understanding of Grassroot Innovation. Senior Management (GIAN India) mentioned they are trying to formalize their relationship with other CoP members by signing MOU with Malaysian Foundation for Innovation (YIM). Similarly, interviews with government officials from MISTI Cambodia suggest they appreciated the peer-learning opportunities in regional events and webinars. These engagements with more experienced stakeholders led to staff capacity development in the newly formed MISTI Cambodia. Brunei Darussalam and Vietnam officials also mentioned the role of regional IB guidelines, supported by ESCAP, in helping them inform and formulate their national IB policies.

The achievement is higher than the list provided here.
1) Inclusion: the next frontier of innovation 2) Designing policies for inclusive digital economies 3) Formulating inclusive science, technology, and innovation policies 4) Promoting grassroots innovations at the policy level 5) Inclusive business: innovating to deliver solutions for low-income people, 6) Expanding frontiers of inclusive innovation: The way forward

[25] The estimates are based on two questions: "This session enhanced my understanding of designing policies for digital inclusive economies" and "I am overall satisfied with this session". In both cases, agreed response was counted as 1, whereas partial agreement to the statement was considered 0.5.

[26] Science & Technology Policy Institute (STEPI)

[27] ARTNET on STI is a platform to share findings of academic research and their policy implications, reflect on current STI policy issues, and support research in developing countries to inform STI policies for researchers and policymakers in the Asia-Pacific region. ARTNET on STI, the Asia Pacific platform on Science, Technology and Innovation Policies was launched on 31 August 2018

[28] As of 2020, ARTNET on the STI website has announced 96 events and 59 publications from ESCAP and partners since its launch, receiving an average of 1,000 visitors per month. The platform also has social media presence on Twitter (548 followers, 5,100 average monthly impressions), Facebook (389 followers, 3,100 average monthly reach) and LinkedIn (126 followers, 1,000 average monthly impressions).

5.2 Relevance

In this section the evaluation checked whether the project activities were designed and implemented in consultation with the country/department's needs and priorities and were relevant to the department's/ministry's priorities on promoting STI, grassroot innovation, AI for social good, and inclusive business. Also, feedback regarding the scope for improvement was requested from key stakeholders.

Respondent #1: The activities are aligned with the Grassroots Innovation for Inclusive Development Program of DOST <Department of Science and Technology>.

Respondent # 2: Yes, my department is in charge of STI Policy development. So, it is very relevant. (sic Ministry)

Respondent #3: Activities such as the development of the inclusive business roadmap is helpful in providing direction to the promotion of IB in the country.

Findings 1: The project's implementation was very relevant in delivering its objectives.

- 94.7% of the respondents in the post-event survey agreed/strongly agreed that the various events and activities of the project were relevant to their work (department/country).
- All surveyed respondents either strongly agreed or agreed with the statement that the project activities were developed in consultation with them and were relevant to their department/ministry/country priorities
- Some of the Grassroot Innovation identified under the Philippines GRIND program (discussed in the previous section) specifically focused on health-related issues due to the COVID pandemic. The Fourth ASEAN Inclusive Business Summit**,** hosted by Brunei Darussalam and co-organized by Darussalam Enterprise (DARe), ESCAP, iBAN, OECD, and the ASEAN Secretariat, took place virtually on 22 September 2021. It specifically discussed ASEAN's efforts in promoting IB to address the challenges posed by COVID-19 and build back better.

Finding 2: Simultaneously working at national and subregional levels generated momentum.

ESCAP organized numerous events (workshops, webinars, summits), creating national momentum. At the same time, experience sharing in such events of successful policy development/implementation motivated other countries to adopt similar processes. ASEAN Guideline on IB influenced Vietnam and Brunei Darussalam in developing their own IB Framework. Similarly, government officials in Cambodia suggested that they could quickly adapt elements from the regional guidelines to develop their IB guidelines. Again, three inclusive business summits have been organized, where discussions were held on how governments can further promote inclusive business models, familiarize the audience with the Guidelines for the Promotion of Inclusive Business in ASEAN, sharing examples of how promoting IB can address the challenges posed by COVID-19.

Finding 3: Government requests were met with a relevant and tailored response from ESCAP.

Following a request by the General Secretariat of the National Science and Technology Council, ESCAP provided advice on the drafting of Cambodia's Science, Technology, and Innovation (STI) Policy 2019-2025 by conducting a rapid assessment (12-15 November 2018) and organising a Workshop on the Draft Policy with key stakeholders. This was followed by request from MISTI for ESCAP's support to develop a roadmap for its implementation. In the roadmap case, the support provided by ESCAP was broader and deeper. It included supporting capacity building and the joint co-creation of the roadmap – providing such support involved promoting coordination and conducting scoping interviews and capacity-building workshops. Similarly, in the Philippines, a specific request was made by the Department of Science and Technology to support them in promoting grassroot innovation. In that

letter, they also mentioned, *"Truly, the sharing and learnings during the workshop[29] have really steered and intensified our current initiatives in nurturing an innovative culture in the Philippines."* In

Myanmar, the government counterpart, requested to include comparator country presentations on STI policies, which was successfully arranged (see the section on Innovation and efficiency).

Finding 4: New needs for support emerge, given the dynamic nature of the environment.

Based on consultations with stakeholders, it was found that there is an appetite for follow-up deepening activities such as supporting the translation of national strategies to regional or provincial level legislation; the creation of a local or a national pool of experts who can support the implementation of IB/GRI and other initiatives; developing monitoring and evaluation framework for the policies and framework developed under the project; facilitate onboarding impact investors to finance grassroot innovation and inclusive business; provide TA support to other countries in ASEAN interested in promoting IB, STI policies, and GRI; building synergies between IB, CSR, Social Enterprise, and SME promotion programs; promoting sectoral IB Models, particularly around agri-business.

5.3 Efficiency and Innovation

In this section, the evaluator assessed the project activities' timeliness and efficiency in enhancing participating countries' capacity to develop policies and strategies for STI, grassroot innovation, AI for social good, and inclusive business. The evaluator also assessed whether the administrative and logistical arrangements of the activities developed were efficient and if the stakeholders could suggest making ESCAP activities more efficient.

Respondent #1: Blended modalities for communication and discussions can be employed even beyond COVID

Respondent # 2: Bringing together various expertise and experiences from different countries to enhance the present body of knowledge *<in response to what innovative strategies worked>*

Respondent #3: It is an honour to know solution from other friendly countries on group discussion and useful to understand the importance of Grassroots innovation.

Findings 1: The evaluation found evidence that the project's implementation was adequately efficient in delivering its objectives and innovative.

- On average, 79.7% of the respondents in the post-event survey agreed or strongly agreed with the statement that the activities were efficiently conducted[30]
- But participants indicated that the duration of the activities should be longer. For instance, in the India Grassroots workshop, around 33% of the respondents thought the duration was too short; in the webinar on Promoting Grassroots Innovation, 25% of the respondents thought the duration was not appropriate and that it should have been longer.
- A key innovation was how ESCAP supported the Government of Myanmar in formulating its national Science Technology Innovation Policy through a co-creation process. Human-centred design principles were used to design the project. ESCAP conducted preliminary interviews with its national counterparts to help inform the design of the policy formulation process. Formulation of the STI policy was adapted to include a wider range of stakeholders in the co-creation of the policy and to combine training sessions on STI policy with discussion sessions to agree on policy goals, targets, and policy mix. It engaged a group of 16 policy champions – the Sherpas – representing eight different ministries, three higher education institutes, and

[29] Workshop on Policies to Support Grassroots Innovation last 27 January 2019 in Ahmedabad, Gujarat, India.

[30] This is an average in response to the questions such as whether the session's duration was appropriate; structure and moderation were effective; The software used for the online meeting served its purpose etc.

four civil society and business organizations to bring diverse views to the co-creation process. These events enhanced how participants learned from one another, strengthened their understanding of the national STI context, and amplified collaboration among ministries, academia, and other relevant stakeholders. This work was recognized for its innovativeness in the Best of United Nations Innovation 2020.

- The project simultaneously worked at the national and subregional levels and these efforts have complemented each other. Member States that were pioneers in promoting inclusive business (the Philippines) encouraged and showed the way for the ASEAN Member States to promote inclusive business. The discussions at the ASEAN level on inclusive businesses encouraged the Member States to explore the potential (e.g., conduct national landscape studies) in their own countries; the learning from these studies, as well as an ASEAN study, fed back into the regional discussion and generated support for the endorsement of the regional Guidelines for the Promotion of Inclusive Business in ASEAN. According to government officials in Brunei Darussalam, the regional IB guidelines served as a valuable reference to develop an Inclusive Business model/framework, activities, and approaches, to achieve inclusive growth. Similarly, in the interview, Senior Officials in the Planning, Statistics Department (MISTI, Cambodia) stated that peer learning, regional events, and the IB summits were critical in learning about what other countries are doing regarding IB and identifying mechanisms/processes/tools that may be applied to Cambodia.

Finding 2: Collaboration with partners provided additional leverage.

- Partnerships with IBAN, GIAN, Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development, and others have been a significant advantage as they provided technical expertise, while ESCAP brought in regional perspectives, which allowed for improved visibility of the issues and knowledge sharing across countries
- The project was able to leverage the activities of other programs successfully. As outlined in Section 2.6, ESCAP's collaboration with Oxford's Pathways for Prosperity Commission was very fruitful. ESCAP's financial contribution was estimated to be around 8-10% of the total budget required to roll out the digital economy kit in Indonesia and Mongolia. Fieldwork in Mongolia collated data disaggregated by gender, socioeconomic status, and rural/urban residence. This meant that the materials used for discussions of policy solutions explicitly highlighted inclusion. Additionally, a representative from one of the khoroos (subdistricts) within the Ger district was invited to a dialogue with mobile network operator executives to bring district perspectives and day-to-day realities to these conversations. This led to the identification of a significant digital and real divide in the Ger District, where 30% of the country's population lives. According to a senior official from the National Digital Development Committee of the Mongolian Government, this was an important eye-opener for the government[31] and directly led to the digitization of 300+ government services, which was one of the critical recommendations of the Strategy Primer.

Finding 3: Using hybrid communication was effective.

- The activities planned to take place face-to-face were redesigned to take place online. To address the shortcomings of online events, more time was invested in engaging different national stakeholders, capacity building and consultation processes were redesigned, online facilitators were engaged, and the team invested in exploring and building capabilities to deliver programs online effectively. For instance, during the interview, members of IBAN suggested that using WhatsApp group chat to constantly engage key National and ESCAP staff was crucial for effective coordination. Senior officials of the Government of the Philippines stated that the hybrid mode of communication should continue beyond the pandemic as it is more efficient and cost-effective. Government officials who have worked with other ESCAP

[31] See the Video of Frontier Event Session: Designing inclusive national digital strategies.

projects suggested that formal project structures such as Policy Advisory Committees may also ensure greater efficiency and local ownership of project activities.

- 91% of the respondents in the 3rd IB Summit found that the software used for the online meeting served its purpose. 98% of the respondents in Frontier Events (Nov & Dec 2021) agreed or partially agreed with the statement that the platform was user-friendly. In the webinar on Promoting Grassroots Innovation (2020), 88% of respondents found that the software used for the online meeting served its purpose. Few comments were made regarding improving engagement and participation during online sessions; however, this improved in the Frontier events, which took place near the end of 2021. This indicates that the project was able to respond and improve the efficiency of its implementation. Many of the stakeholders in the interviews mentioned that the blended mix of the online and offline meetings was critical in mitigating the impact of COVID-19 on travels and face-to-face meetings. They suggested this should continue beyond the pandemic as it is more cost-effective and efficient.

Finding 4: Improve the monitoring and evaluation framework to track progress.

- The project can further improve its adaptive management if the monitoring and results in the measurement system include the overall and country-level theory of change to capture project strategy and country context specificity and bring additional coherence. A TOC with associated results measurement frameworks would have allowed a consistent set of indicators across various post-event survey assessments. Without this, it was sometimes difficult to assess the overall country's strategies and synergies between activities. A standardized questionnaire across all events would have allowed consistent comparison across various indicators and questions. Finally, as some government stakeholders mentioned, ESCAP can support developing a Monitoring and Evaluation framework for policies and frameworks that the project supports, such as the IB framework, Inclusive STI policies, etc. ESCAP's Catalysing Women's Entrepreneurship project already provides similar support to partner countries.

5.4. Sustainability

In this section, the evaluator assessed whether key actors were able to use the knowledge and skills acquired to formulate/implement policies or policy-related activities for STI, grassroot innovation, AI for social good, and inclusive business; the extent to which they were able to share and spread the knowledge and skills acquired; and whether the relevant department has initiated actions to enhance and promote STI, grassroot innovation, AI for social good, and inclusive business.

Respondent #1: Learning from the workshops and knowledge sharing sessions have been helpful in the crafting of our local policies.

Respondent # 2: Joining various events on IB with ESCAP, I learned from various perspectives on how IB could be contextualized for the Cambodian and earn some good pathway on the journey to develop the IBEEC strategy.

Respondent #3: The activities really helped us to expand our understanding on the concept of Inclusive Businesses and to promote more involvement of the unemployed and assist vulnerable groups including low-income families and single mothers in the economic value chain.

Finding 1: The evaluation found evidence that the project's implementation was very sustainable and potentially impactful in delivering its objectives.

- On average, 85.9% of the respondent in the post-event survey agreed or strongly agreed with the statement that they found the activities useful and were able to learn from the event.

- For instance, in the India Grassroots workshop, 95% of the respondents agreed or strongly agreed with the statement "How likely are you to adopt new ideas discussed in this workshop?"; In comparison, 90% agreed/strongly agreed that the event enhanced their capacity to formulate grassroots innovation policies, strategies, or mechanisms. For instance, in the Cambodia STI policy workshop: 84.6 percent of respondents indicated that the project had enhanced their capacity to formulate Cambodia's Science, Technology and Innovation (STI) Policy 2019-2025 (rating between 4 to 5 on a scale of 5). In the International Workshop on Intellectual Property Management and Technology Licensing in Bangkok, 87.5% found the overall workshop excellent and useful.

Finding 2: National Stakeholders are likely to pursue activities initiated or supported by the project.

- As discussed in the Philippines, the GRIND program is being rolled out across other regions. In Cambodia, MISTI has endorsed the iBeeC Strategy and has submitted it to the National Council for approval. GIAN has also approached the Ministry in Malaysia to sign an MoU to promote grassroot innovation; Tamil Nadu and Kashmir provincial governments have also approached GIAN. In Vietnam, ESCAP support led to the development of the National Program to Promote Sustainable Business (NPPSB)[32]. Since then, the NPPSB was approved by the Prime Minister in January 2022 (Decision 167PM)[33]. In Mongolia, based on the recommendation outlined in the ESCAP-supported Strategy Primer (Digital Economy Kit), digitization of government services has been launched and is currently at 300+ services.
- As discussed previously, some activities have been more successful and sustainable than others. For instance, the IB landscape study and the ASEAN IB Guidelines were critical in developing the National Program to Promote Sustainable Business (NPPSB) in Vietnam[34]. The Prime Minister approved the NPPSB in January 2022 (Decision 167PM)[35]. In the Philippines, the rollout of the GRIND program led to the identification of 180+ Grassroot innovations and is being rolled out across 16 other regions. Implementing the digital economy kit in Mongolia led to the digitization of 300+ government services, which was one of the recommendations of the Primer document. In Cambodia, the Prime Minister approved the ESCAP-supported draft national STI Policy in December 2019, and the STI Roadmap blueprint was approved in 2021. Similarly, MISTI Cambodia has endorsed the iBeeC Strategy and has submitted it to the National Council for approval. In India, due to support from ESCAP in promoting Grassroot innovation, GIAN has gained further prominence and consequently has been approached by the provincial government of Tamil Nadu and Kashmir to help them develop grassroot innovation relevant policies/processes/tools.
- At the same time, there have been other activities that have been less successful. In the Philippines, two Inclusive Business Bills were filed for deliberation in the upper and lower house of the Philippines. A Roadmap had been drafted to support the promotion of IB. But due to shifts in government priorities, the draft bill is yet to be approved, and with upcoming elections, it is unlikely to move forward soon. Similarly, Myanmar has co-designed, with the support of ESCAP, its national Science Technology Innovation Policy to make Myanmar the next Asian tiger, with inclusivity and sustainability at its heart. The policy was also endorsed by the Ministry of Education and was in the process of being approved, but unfortunately was stalled when the military coup took place.

[32] This is based on Video based observation from Frontier Innovation online events.
[33] For detail please see: https://english.luatvietnam.vn/decision-no-167-qd-ttg-dated-february-08-2022-of-the-prime-minister-approving-the-2022-2025-program-on-support-for-private-enterprises-in-sustainabl-216635-Doc1.html
[34] This is based on Video based observation from Frontier Innovation online events.
[35] For detail please see: https://english.luatvietnam.vn/decision-no-167-qd-ttg-dated-february-08-2022-of-the-prime-minister-approving-the-2022-2025-program-on-support-for-private-enterprises-in-sustainabl-216635-Doc1.html

Finding 3: ESCAP successfully leveraged additional resources to promote inclusive STI.

- ESCAP has established jointly, with founding partners Google, APRU, STEPI, and NXPO, a platform to promote inclusive technology and innovation policies: ARTNETonSTI. ARTNETonSTI Policy will continue beyond this project. Following the success of ESCAP's work in promoting inclusive business, the Bill and Melinda Gates Foundation approached ESCAP to support the promotion of inclusive business in agriculture and food systems. The foundation has now provided 1.5 million USD funding to ESCAP to support the advancement of inclusive businesses in three countries in South and Southeast Asia over the next three years. ESCAP is continuing to collaborate with Google and APRU in a second project on Artificial Intelligence for Social Good to further strengthen capabilities and Governance Frameworks in Asia and the Pacific; the project will be funded by Google (estimated at 250 000 USD).
- However, there is less success in securing funding for the promotion of Grassroot Innovation. In Mongolia, supporting Governments in partnership with Oxford Digital Pathways to design inclusive digital economy strategies has been transformational. However, Oxford will no longer pursue further work promoting the digital economy kit. It is unclear how ESCAP can support other interested countries in implementing such strategies, especially considering it requires significant time, monetary, and human resources.

Finding 4: Need to undertake a deeper diagnosis of root causes for exclusion and strengthen local capacity through the involvement of the private sector and other agenda setters.

- In this project, numerous partnerships were made, such as GIAN, IBAN, Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development, etc. There was an explicit focus on building the capacity of the national government and followed a participatory approach involving different actors and agenda setters (private sector, academia), working with local consultants, and providing training for other actors. However, experience indicates that there is scope for involving more private sector (e.g., giving them more time in the consultations; introducing specific activities to build the capabilities of the private sector; introducing particular activities to build the capacities of CSOs/ think tanks). During interviews, few government stakeholders (not in all countries) suggested that they felt there was a need for a co-implementation mechanism with local government partners, where government partners can be involved in the designed phase of the program along with implementation (e.g., the approach project took with Myanmar regarding STI Policy).
- The project focused on the STI ecosystem, but this is not the same as following a systemic approach, which entails having a clear exit strategy and identifying root causes for system underperformance. This may require the project to work with other stakeholders beyond the public sector, such as the media or the private sector in the advocacy space. The present project design did not allow for much deeper engagement and was very much focused on primarily developing the capacity of the national government.
- Future project design may incorporate specific technical assistance and capacity development activities targeting the private sector and local agenda setters. This will ensure that there is local capacity to continue with the program beyond project support or if the international partner shifts focus (e.g., IBAN is focusing on Africa, Oxford will stop promoting the digital economy kit). This will ensure that actors with a stake in the regulatory reform process are capacitated to pursue activities beyond project completion. Thus, there needs to be an expanded focus of the project toward engagement and developing the capacity of local partners (e.g., academic institutions, private sector associations, CSOs) beyond the government, to an extent that it allows these organizations to take up the role that IBAN, Oxford initiatives, and other external experts undertook, as part of the project. Government stakeholders also stated that in various forums and activities, private sector or business membership organizations could be further engaged by ESCAP, especially those interested in inclusive business.

5.5 Gender Cross-Cutting Issues

The assessment also explored to what extent were gender and human rights integrated into the design and implementation of the project.

> **Respondent #1**: Engagement with UNESCAP provided insights on how to develop the GRIND Program Framework Plan and how it can be enhanced to becoming a national program that addresses the needs and requirements of indigenous peoples and other marginalized and disadvantaged sectors.
>
> **Respondent # 2:** Gender is always an integral part of inclusive business and forthcoming IB bill explicitly includes gender elements.

Findings 1: The evaluation found evidence that the project's implementation did ensure that gender concerns were mainstreamed into the project.

- The strategy primers of Mongolia and Bangladesh both addressed the Gender disparities that result in inequitable access to and participation in the digital economy. Moving forward, when putting together the list of experts to invite to the dialogues for the strategy formulation, careful attention was paid to identifying female digital economy experts and women from civil society. The objective was to ensure that women could contribute as digital experts and not only on gender-specific inputs. Similarly, the GRIND program in the Philippines aims to empower marginalized communities to develop and strengthen existing GRIs. Cambodia's STI Roadmap, supported by ESCAP, sets an ambitious target of having 40% of females graduate in STEM by 2030[36]. In Myanmar, during the STI policy co-creation process, discussions were held regarding the explicit mentioning of minorities and ethnic groups in the policy document, but it was politically too challenging; as such, politically less loaded terms such as disadvantaged, rural, and marginalized were used.
- Project methodologies have also allowed for collecting basic gender-disaggregated data to support gender analysis regarding participation.

Finding 2: Additional Gender indicators in the project monitoring system may be incorporated and tracked.

- As mentioned, there is a need to incorporate gender-related indicators in the project monitoring systems. While activities around grassroot innovation and inclusive business focus on marginalized and disadvantaged communities, having specific gender indicators integrated with the monitoring system will allow the project to track and pursue additional activities in this area in the future. For instance, in a post-event survey, standardized questions can be added that explicitly asks the respondent whether learning from the sessions can be used to advance women entrepreneurs (why/why not). Given that the project is aligned with SDG 5 (see section 2.7), this can be good value addition.

Finding 3: Deploying additional M&E tools to further the gender agenda, where possible

- ESCAP project, Catalysing Women's Entrepreneurship, beyond policy support, also leverages public and private capital to pilot, test, and scale-up financing models and promotes digital services that specifically support women entrepreneurs in targeted countries. In the future project design, other tools, beyond policy support, may be included to better target women and marginalized groups. Even if the project only provides policy support, it may offer governments TA support to develop an M&E framework for tracking the progress of policy reforms/introduction/augmentation for women entrepreneurs inappropriate Government organizations.

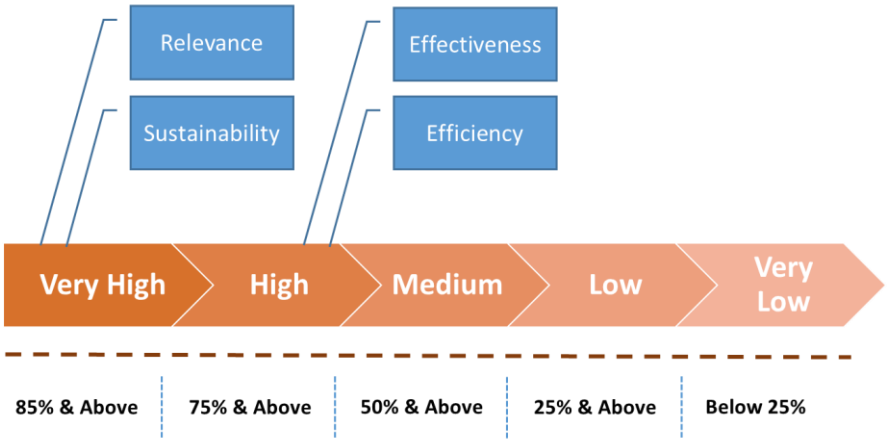
[36] Based on interview

6. Conclusions

6.1 Ranking across DAC criteria

The following figure summarizes the findings across the DAC criteria:

Figure 2: DAC Criteria Summary



From the above figure, we can see that the project has been effective and efficient in delivering relevant knowledge, skills, and technical assistance support to enhance the capacity of policymakers to formulate and/or adopt evidence-based, integrated, and inclusive innovation and technology policies, strategies, or mechanisms

6.2 Specific Conclusions

The following conclusions are drawn from the evaluation discussed in earlier sections:

Effectiveness

The project was highly effective in achieving the expectations and priorities of countries benefitting from the project. Participants of project events (e.g., webinar, workshops, seminars, etc.) rated highly that the project's activities facilitated skills development and capacity to formulate and/or adopt evidence-based, integrated, and inclusive innovation and technology policies, strategies, or mechanisms, deemed useful to national contexts. A key success factor about the effectiveness of implementation lies in the use of Networks and Community of Practice that fostered peer learning. It was also helpful to leverage international partnerships such as collaboration with IBAN, GIAN, and others in establishing ARTNETforSTI. It might be worthwhile to integrate such adaptive learning in future project design. Beyond the national level, the project was also successful in bringing about policy adoption at the regional level, such as 10 ASEAN Member States have agreed to continue promoting inclusive business and have adopted regional Guidelines for promoting inclusive business in ASEAN.

In terms of key performance indicators, results indicated the project achieved beyond the initial target of 3 countries[37], which have formulated and/or adopted several innovation policies, strategy, or

[37] Beyond the Philippines, Cambodia, and Vietnam (discussed above), Malaysia has identified national champions and focal points and key policy areas for IB promotion; Bhutan has included the blueprint of the national technology request database as a part of the country's Cottage and Small Industry Policy and established the online National Technology Database (2019,

mechanism which promotes inclusive innovation, 80% of the responding policymakers and other development actors reported increased capacity and found activities useful and relevant to their context; and more than ten relevant and high-quality contributions on various forms on evidence-based, integrated and inclusive innovation and technology policies have been provided through the community of practice.

Relevance

The project proved to be highly relevant in supporting inclusive innovation policies. On-demand requests for support were met with a tailored response. The project successfully leveraged regional and national events to create impetus towards faster adoption of inclusive innovation policies, despite the challenges of the global COVID-19 pandemic. Regional events (e.g., IB Summits) and platforms provided critical scope for peer learning and the establishment of a relevant community of practice (e.g., GRI work between Malaysia, India, and the Philippines). The project has engaged in activities in response to country demand and opportunities; it has maintained regular discussions with country counterparts and teams to review gaps and adapt activities as needed.

New needs continued to emerge given the dynamic nature of the environment; as such, there may be a need to continue this work and expand investments in the creation of a local or national pool of experts who can support the implementation of IB/GRI, and in the development of monitoring and evaluation framework for the innovation policy, strategy or mechanism developed under this or other projects.

Efficiency and Innovation

The project was delivered at a high level of efficiency. A good level of coordination between stakeholders involved in the project ensured that the project's activities were delivered successfully. Leveraging existing projects of implementing partners to increase project reach was also a successful implementation strategy (e.g., leveraging the effort of IBAN and Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development). Stakeholders appreciated the diverse skills/expertise/TA support that could be leveraged given the consortium of implementing partners, including ESCAP. Given COVID-19 related mobility restrictions, the project was adaptive and shifted to an online setting. Stakeholders highly appreciated the hybrid mechanism of implementation. Another innovation was the Human-centred design principles to design the STI policy of Myanmar.

However, future projects may benefit from developing TOC at the project and country level to bring coherence and focus to the strategy. In the future, it may be better to develop projects that focus on one of the areas (e.g., national STI policies or promoting inclusive business) to enable more focused, comprehensive, and in-depth support in one domain area. Focusing on one policy area would provide more space and resources for building institutional capacities at the national level and strengthening the monitoring and evaluation of the program. A minimum set of standardized questions, across OECD DAC criteria, across all events would also allow consistent comparison across various events. For instance, events such as International Workshop on Intellectual Property Management and Technology Licensing (Thailand, 2019) and Regional Workshop on Planning and Managing Technology Transfer for Inclusive Development (Bhutan, 2019) had no questions on efficiency or gender, and responses were limited to Excellent, Medium, and Not useful. ESCAP projects such as "South-South cooperation for science, technology and innovation policies in the Asia-Pacific region (DA 10)"[38] had common standard questions, aligned with OECD DAC criteria, for all events along with custom indicators specific to the individual event

2020); finally, *10 ASEAN Member States (countries). have agreed to continue promoting inclusive business and have adopted regional Guidelines for promoting inclusive business in ASEAN.*

[38] For reference see end of the program evaluation: https://www.unescap.org/sites/default/d8files/2022-01/TIID-SST-STI-Evaluation-Final-Formatted-with-MR.pdf

Sustainability

The evaluation found evidence that the project's implementation was very sustainable and potentially impactful in delivering its objectives. As mentioned in previous sections, many participating governments have continued to leverage capacity-building support, knowledge products, and community of practice to articulate their position and develop policy prescriptions. ESCAP has been able to motivate and leverage additional resources to promote inclusive STI, particularly in Inclusive Business and AI for Social Good but less so in promoting grassroot innovation.

There were explicit activities designed to build policy makers' capacity, not just from the main counterpart but also from other ministries. For instance, in Myanmar, the project combined systemic thinking into capacity-building activities with policy design activities: they identified sherpas from government, academia, and the private sector to participate in the co-creation and capacity-building activities.

However, ESCAP can do more work at the systemic level through a deeper diagnosis of underlying constraints or root causes for exclusion. For instance, in some cases (national STI policies), ESCAP could take further additional steps to involve private sector leaders, especially when the government counterpart has no good links with the private sector. Additionally, work around AI for Social Good and Grassroots innovation was less systemic, although ESCAP's scope of work in these areas was limited. The recommendation section discusses how sustainability can be further improved by further integrating project design and implementation.

Gender and Human Rights

The project's activities recognized gender perspectives in its implementation process and are a core element of inclusive innovation policies. Similarly, by design, Grassroot innovation and inclusive business target the disadvantaged and marginalized groups. However, in the future, integrating gender-related questionnaires and indicators in the M&E framework may allow for deeper analysis and tracking for project management purposes. (See recommendations).

In summary, the project's activities, particularly how they were selected, designed, and implemented, have enabled the accomplishment of the project objectives beyond the initially established targets. The insights from studies, learning workshops, knowledge products, webinars, seminars, and capacity-building activities informed government officials in the selected countries.

7. Good practices

Good practice 1: Co-creation processes, combining training with policy formulation sessions and including wider stakeholders can foster more inclusive innovation policies

There is often a general lack of collaboration among key actors (including government agencies, academia, and the private sector); and government officials have limited knowledge and experience in formulating the national STI policy. Therefore, the process to formulate the STI policy needs to be adapted to include a wider range of stakeholders in the co-creation of the policy and to combine training sessions on STI policy with discussion sessions to agree on policy goals, targets, and policy mix. In Mongolia, a representative from one of the khoroos (marginalized subdistricts) within the Ger district was invited to a dialogue with mobile network operator executives to bring ger district perspectives and day-to-day realities to these conversations. In the Philippines, according to senior officials, discussion around GRI while developing and deploying the GRIND program led to the implementation of a pentahelix approach, which is the participation of the public sector, academia, private sector, civil society, and media in the promotion of GRI. In Myanmar, Sherpas were established with wider stakeholder representation, and they were consulted in the STI policy formulation. In some

cases, ESCAP has also leveraged its development partner role (and knowledge assets) to advocate for inclusive dimensions to the government counterpart.

Good practice 2: Regional cooperation can be useful in creating momentum and buy-in at the national level

The project worked simultaneously at the national and subregional levels (ASEAN) to promote inclusive business policies. These efforts have complemented each other. More advanced member States (the Philippines) and ASEAN as a group had decided to support the promotion of enabling environments for inclusive businesses. The discussions at the ASEAN level on inclusive businesses encouraged other Member States to explore the potential (e.g., conduct national landscape studies) in their own countries; the learning from these studies, as well as an ASEAN study, fed back into the regional discussion, and generated support for the endorsement of the regional Guidelines for the Promotion of Inclusive Business in ASEAN. The endorsement of such guidelines at the regional level provided a more significant endorsement for government officials seeking to promote inclusive business in their own countries.

Good practice 3: Hybrid communication can be effective and efficient

Due to the ongoing COVID-19 pandemic, there was significant mobility restriction, and face-to-face interactions were minimal. The project was able to pivot towards an online delivery mechanism. It used messaging services such as WhatsApp to create smaller groups to coordinate and implement various activities (e.g., work with the Philippines in GRI). Multiple events such as the ASEAN IB Summits and the Frontiers of Inclusive Innovation events took place online and effective use of breakout sessions allowed engagement and learning opportunities for the participants. Going forward, many stakeholders argued that such a hybrid communication mode should be continued, as it cost-effectively allows greater participation across a geographic region.

8. Recommendations

Recommendation 1: Undertake a deeper diagnosis of root causes for exclusion, especially in relation to STI policies and inclusive innovation.

The project provided on-demand support, which was crucial in ensuring local ownership and sustainability. This modality of operation can be further strengthened by incorporating a system thinking approach in future project design. ESCAP may incorporate elements of a market systems development (MSD) approach to enabling the environment for inclusive innovation. This will increase the likelihood of sustainability and scale. Inclusive businesses, grassroot innovations, and SMEs depend on market systems for survival. Thus, transforming these market systems so that they work more effectively and sustainably, will improve the growth potential of such enterprises and enable them to flourish.[39] The project already recognizes that an ecosystem approach is necessary, particularly in STI and IB. For instance, the report "The Science, Technology and Innovation Ecosystem of Cambodia" mentions a generic national innovation system framework (p. 12). However, a market systems approach will entail a deeper diagnosis of root causes for exclusion (for STI policies in particular); and additional activities to explicitly build capacities of CSOs/private sector associations/research firms, etc.

The project can deploy "strategic opportunism" to engage with key actors on the ground and consider the political economy dimension in their activities. To enhance project performance and sustainability,

[39] For detail on MSD approach please refer to The Springfield Centre (2015) The Operational Guide for the Making Markets Work for the Poor (M4P) Approach, 2nd edition, The Springfield Centre/SDC and DFID

Action Area 1: Effectiveness and Sustainability

Future project design could incorporate elements of systems thinking, particularly in the diagnostic and inception phase. Systems thinking may be used as an additional lens to identify systemic constraints hindering the functioning of a regulatory/policy advocacy market by undertaking deeper diagnostic of root causes for exclusion and add additional activities to explicitly build capacities of other market stakeholders (beyond government)

deeper market diagnostic may be undertaken to identify root causes or systemic constraints in the regulatory space for exclusion, particularly about inclusive innovation and STI Policies. There is scope to do deeper market diagnostic in other work, such as in the development of national inclusive science, technology and innovation policies and strategies. Such a diagnostic may identify other advantages and create more sustainable and transformative change. Philippines Franchisee Association already included IB Award Category in their annual general meeting in 2019; in Vietnam, the government is already engaging SME Association to promote inclusive business[40]-. A System perspective will review how such Business Membership Organizations and civil society can be strengthened by addressing systemic constraints to advocate for inclusive business and innovation strategies. Thus, complementing the **push strategy**, which focuses on developing the capacity of governments, ESCAP can also have a **pull strategy**, which focuses on creating bottom-up demand and business cases of inclusive innovation strategies. Another advantage of the perspective is that it can improve synergy between different streams of activities. A stakeholder during the interview mentioned that synergy need to be improved between IB, CSR, Social Enterprise, and SME promotion programs. In conclusion, the project can take a broader systemic approach by undertaking a deeper diagnostic of root causes for exclusion and adding additional activities to explicitly build the capacities of other market stakeholders (beyond government).

Recommendation 2: Add additional project activities to explicitly build the capacities of local think tanks, business associations, and agenda setters to advocate for and promote inclusive business and inclusive STI.

ESCAP may need to have longer-term engagement and work towards capacity building of local agenda setters (beyond government) or provide bespoke technical assistance to improve organizational performance, such as improving the capacity of SMEs or Business association(s) to advocate for and promote IB. ESCAP may provide technical assistance support, as it provides to Governments, to improve their functioning. While such organization have the legitimacy and are mandated to reflect the interest of local enterprises, they may not always have the capacity. In the long run, this may also ensure the sustainability of ESCAP's work. This will require introducing explicit activities to build the capacities of other actors on the ground beyond government actors. It is worth noting, especially in Myanmar this was achieved with the creation of sherpas.

Similarly, when offering TA support via international partner organizations (e.g., IBAN, Oxford's Pathways for Prosperity Commission), it might be helpful to consider an exit strategy and identify local partners who can take up the role after the project support ends and build their capacity as part of

Action Area 2: Sustainability and Relevance

A strategic orientation towards developing capacity of local partners and agenda setters, where necessary that incorporates an intentional and explicit commitment.

[40] Based on interview with government stakeholders.

the programme. This ensures local capacity is developed and retained. Furthermore, such entities can offer insights into the local context and improve the relevance of the activities. During an interview with the Management of Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development, it was clear that there were no or very few local partners adequately capable of implementing the digital economy kit after the project ended. Similarly, with IBAN shifting its focus towards Africa, it will be difficult to implement activities such as landscape study and establishing an accreditation system for IB in other countries. An intentional strategic approach that explicitly builds the capacity of local partners/agenda setters to advocate for inclusive innovation and to put in place innovation programmes, may be needed. Multiple stakeholders have mentioned this during the interviews.

Recommendation 3: Harmonized project M&E data collection tool, incorporate gender indicators, and provide explicit support to government agencies in the establishment of the M&E framework, with which to monitor inclusive STI policies and inclusive business.

The project has benefited from having an adequate M&E system, which collected quantitative and qualitative data across various actors, countries, and thematic areas. However, it can be further expanded, and, in this regard, the following suggestions are made:

- Inclusion of gender and human rights related questions in post-event surveys. In addition, standardizing the indicator according to the DAC criteria. This will improve coherence and will improve alignment with evaluation. This does not preclude the possibility of having additional custom indicators specific to the events. The following table is an example of a standardized questionnaire:

Event Title XX					
	1	**2**	**3**	**4**	**5**
	Disagree strongly				Agree strongly
I. Relevance					
1. The theme of the Event is of relevance to my country.					
2. The theme of the Event is of relevance to my institution in particular.					
II. Effectiveness & Sustainability	Disagree strongly				Agree strongly
1. BEFORE the Event on a scale of 1-10, my knowledge on the issues related to STI/IB/GRI/AI for Social Good was… (_____)					
2. AFTER the Event on a scale of 1-10, my knowledge on the issues related to STI/IB/GRI/AI for Social Good was… (_____)					
3. I am able to use the knowledge and skills acquired to formulate/implement policies on social entrepreneurship and social impact investing.					
4. I am able to share and spread the knowledge and skills acquired.					
5. My institution will make use of my newly acquired knowledge and skills.					
III. Efficiency	Not at all, Very low, Too little, Unclear, Too short				Completely, Very high, Well thought out, Too long
1. To what extent were your objectives of the Policy Dialogue achieved?					

2. Quality of the presentations					
3. Generation of new knowledge and skills					
4. Interaction with presenters					
5. Quality of materials (handouts/website)					
6. References to national/regional experience					
7. Structure of the Event					
8. Duration of the Event					
IV. Gender	Very low				Very high
1. Learning from the sessions can be used for the advancement of women entrepreneurs in my country					
2. Comment (Why/Why not)					
V. Overall Comments and Suggestions	Very low				Very high
1. Your overall satisfaction with the Workshop is					

- The project will benefit from having an overall TOC per area of intervention (e.g., by IB, STI etc.) and country-level TOC. The country-level Results Measurement Framework will be aligned with country-level TOC. This will allow monitoring and collecting data related to all country-level activities. Collated evidence can inform management decision-making and a pause/reflection process. Each country's context differs significantly; thus, country TOC is required to guide work and facilitate adaptive management.
- ESCAP can provide support in developing a Monitoring and Evaluation framework for policies and frameworks that the project supports, such as the IB framework, Inclusive STI policies, etc. ESCAP's Catalysing Women's Entrepreneurship project already provides similar support to partner countries. Multiple stakeholders identified such TA support as potential area of collaboration with ESCAP. Therefore, ESCAP could further expand, where relevant, and add an explicit component in the project to develop an M&E framework for policies and frameworks/build capacities among local partners to M&E.

Action Area 3: Efficiency and Gender

Gender relevant indicators need to be incorporated in future post-survey questionnaires; post-survey questionnaires need to be standardized. Project level and country specific TOC must be developed and used to facilitate effective learning and project steering. TA support to partner countries to improve their M&E system/framework/tools.

Overall, the project has achieved significant sustainable impact in the inclusive innovation policy space. ESCAP must leverage the activities and notable achievements of the present phase and deepen its engagement. Given the current global pandemic, it is crucial that the innovation system and inclusive business sectors deliver. Policymakers and other stakeholders agree that ESCAP's work has been critical. They seek ESCAP's long term commitment to this work and broadening its activities to include further and build the capacities of private sector actors, CSOs, and others. They also believe that inclusive STI and innovation is a relatively new concept in the region and there is still a large need at the policymaker level for capacity building activities.

ANNEXES

Annex 1: Evaluation TORs

INTRODUCTION

Evidence-based innovation policy for effective implementation of 2030 Agenda for Sustainable Development in the Asia-Pacific region

Science, technology, and innovation (STI) are critical means for achieving sustainable development. They have the potential to increase the efficiency, effectiveness, and impact of our efforts to meet the ambitious 2030 Agenda and create benefits for society, the economy and the environment. Yet, STI can also be a source of inequality and exclusion when, for example, countries do not have the necessary capabilities to make full use of the *potential* that technology and innovation offer; when scientific research systems and the technologies developed do not respond to the basic needs of more vulnerable groups; or when women, the poor, older persons or any other disadvantaged groups cannot benefit from technological advances and cannot fully participate in innovation processes.

To ensure that STI is an effective mean of implementation of the Agenda 2030 for sustainable development, it is necessary that governments put in place innovation policies that are coherent with national economic, social and environmental objectives and leave no one behind. For that, ESCAP's DA11 project on inclusive innovation policies seeks to promote innovation policies that support the inclusive growth objectives featured prominently in both the SDGs and commitments made in the Addis Ababa Action Agenda.

The timeframe that the evaluation covers is from 1 January 2018 to 31 December 2021, and during this period, the project has worked in several areas of technology and innovation policies such as: Introducing an inclusive lens in the formulation of national science, technology and innovation (STI) policies (including in Cambodia and of Myanmar); Promoting inclusive business in ASEAN in collaboration with the inclusive Business Action Network (iBAN); Supporting policies that promote grassroots innovations, in collaboration with the Honey Bee Network and GIAN; Supporting researchers to provide policy insight to governments on how to promote AI for social good through a partnership with Google and the Association of Asia-Pacific Rim Universities (APRU); Supporting the design of an inclusive national development strategy for "Mongolia in the Digital Age".

2. EVALUATION PURPOSE, OBJECTIVES AND SCOPE

2.1 Evaluation Purpose

The purpose of the evaluation is to assess the results achieved and to enable learning. It will generate information on the results achieved and lessons learned to inform the next generation of DA projects, in particular those related to innovation policies. It will inform DA annual reporting to the UN General Assembly and the relevant reports of ESCAP to the Commission and other stakeholders. The evaluation results will also inform future project design and implementation of relevant ESCAP capacity development work.

Main users of the evaluation results will be the DA Steering Committee in UN Headquarters in New York and the implementing entity, ESCAP, in particular the Trade, Investment and Innovation Division. Other expected users include the project participating countries and implementing partners.

2.2 Evaluation objectives

The objectives of the evaluation are to:

1) Assess the project performance against the evaluation criteria: effectiveness, relevance, efficiency, sustainability, gender mainstreaming, and any other cross-cutting issues, as deemed relevant.

2) Assess and gather evidence of project impact from project stakeholders, including policymakers, business leaders and ecosystem builders, and formulate an appropriate project impact narrative.

3) Formulate lessons learned and action-oriented recommendations to inform management decision-making and improve future project design and implementation.

The evaluation analyses the level of achievement of project results at the level of objectives and expected accomplishments, making use of the project results framework, implementation processes and contextual factors, establishing as much as possible causal linkages guided by the evaluation criteria and questions. The evaluation will be conducted in line with ESCAP Monitoring and Evaluation Policy and Guidelines[41] and the United Nations Evaluation Group (UNEG) norms and standards for evaluation.

2.3 Evaluation Scope

The evaluation includes the design, strategy and implementation of the project over the entire period of its implementation. The evaluation covers the implementation and results of the project. The assessment covers all modes of implementation of the project.

The timeframe that the evaluation is expected to cover is from 1 January 2018 to 31 December 2021. The project supported policy work in 10+ individual countries, such as Bhutan, Cambodia, India, Indonesia, Laos, Malaysia, Mongolia, Myanmar, Thailand, The Philippines, Viet Nam. Key outcomes were also adopted at the ASEAN level by its 10 member-states.

The project also involved partnerships with regional and international organizations such as: Association of Pacific Rim Universities (APRU), Association of Southeast Asian Nations (ASEAN) Secretariat, Google, Honey Bee Network, Inclusive Business Action Network (iBAN), Organisation for Economic Co-operation and Development (OECD), Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development.

2.4 Evaluation Criteria and Questions

The following evaluation criteria and questions to assess the project performance will be considered and further refined following consultations with project management and other stakeholders during the evaluation inception period.

[41] ESCAP, ESCAP Monitoring and Evaluation Policy and Guidelines, 2017, available on the ESCAP webpage at http://www.unescap.org/partners/monitoring-and-evaluation/evaluation.

Evaluation criteria	Evaluation questions
Effectiveness	• What are the most significant results[42] at the regional and national levels achieved or contributed by the project? Describe the project activities/outputs that lead to the results and present evidence of project's contribution to the results. • How did the adjustments made to project due to the COVID-19 pandemic affect the achievement of the project's expected results as stated in its original results framework?
Relevance	• To what extent was the project designed based on demand from the target beneficiaries? • What adjustments, if any, were made to the project activities and modality, as a direct consequence of the COVID-19 situation, or in response to the new priorities of member States?
Efficiency	• To what extent did the project achieve efficiency in implementation through the combination of project stakeholders involved, making use of comparative advantages and the creation of synergy? • To what extent has partnering with other organizations enabled or enhanced reaching of results?
Innovation	• What innovative strategies or measures of the project (addressing new topics or using new means of delivery or a combination thereof) proved to be successful?
Sustainability	• To what extent can results of the project be continued without ESCAP's further involvement?
Gender mainstreaming.	• To what extent were gender integrated into the design and implementation of the project, informed by relevant and tailored human rights and gender analysis?

3. PROJECT OVERVIEW

3.1 Rationale of the project

Many developing countries, especially LDCs and SIDS in Asia and the Pacific have limited capacity to design and implement innovation and technology policies, furthermore to assess how their innovation and technology policies can be more inclusive and integrated. Innovation policymakers in these countries are often working in isolation, having limited access to the best regional practices on

[42] In the context of this evaluation, results are assessed at the outcome level. Outcome level results are the likely or achieved effects of an intervention's outputs. They reflect the changes in the behaviour or practices of the target group(s)/countries that ESCAP intends to influence, including through actions taken collectively with its development partners. They also reflect that benefits and actions taken by the target groups/countries through the project interventions (source: ESCAP Monitoring and Evaluation Policy and Guidelines). Examples of outcome level results include: (1) Five pilot countries adopted and implemented national strategies and programmes with assistance from the project; (2) Several countries put in place a new system or procedures with support from the project; (3) Countries organised national workshops as a follow-up to the project training activities.

evidence-based innovation and technology policies, and have limited scope to interact with policymakers in the region who share similar challenges and opportunities. Within the countries, issues related to innovation are dealt by multiple ministries, with limited coordination among each other. They have limited scope to fruitfully interact with other main innovation stakeholders such as the representatives from industry organizations, financial institutions, scientific research and development institutions and academics, and civil society organisations. They may also lack an understanding on how to integrate gender and other inclusive perspectives in the design and implementation of such policies.

Implementing inclusive innovation and technology policies requires a good understanding among policy makers on how to promote innovation and social inclusion. It also requires participatory approaches and platforms that allow a meaningful interaction between ministries, organisations, experts and stakeholders from different communities (for instance, the scientific and technological community and the social welfare community) that have different values, conceptions and motivations. The resources and capabilities of governments to design and implement coherent and integrated innovation and technology policies are scarce and weak and, given the multiple development challenges, governments will be required to prioritize their actions and collaborate with others in this area.

There are multiple avenues through which innovation policy can address the SDGs in a more inclusive and integrated manner. Policy makers can adopt whole-of-government approaches that support inclusive innovation policy processes and outcomes - in terms of inclusive participation in the design, implementation and evaluation of such policies, and in terms of measuring policy impact by its broader social, economic and environmental outcomes. Policy makers can also put in place targeted STI policies and mechanisms that allocate specific financial, human and institutional resources – for instance, to support problem-solving R&D or the design and use of appropriate technologies– and mechanisms that ensure their countries can benefit from exponential technologies. Finally, but not least important, innovation and technology policies need to be integrated with other sectoral policies to ensure that national policies collectively provide the right incentives and work towards the achievement of national sustainable development goals.

3.2 Situation analysis

Governments have potentially multiple avenues to promote more inclusive innovation and technology policies, including: promoting more inclusive and participatory the adoption of technology assessments that evaluate the economic, social and environmental impact of new technologies for different communities; the promotion of pro-poor technologies; supporting inclusive business innovations; targeting research and innovation resources to addressing social, economic and environmental problems (such as, mission-driven STI strategies or problem-solving R&D programmes), etc. On the other hand, while STI bring many opportunities for the achievement of the SDGs, they also come with associated trade-offs. The benefits and costs of STI are not the same for everyone, and vulnerable groups of people often bear most of the costs. For instance, the availability of ever more sophisticated tractors offers opportunities for increased productivity to owners of large farmlands, but poses a great socioeconomic challenge to farmer labourers that see their jobs displaced. Governments play a key role in ensuring that different groups of people can benefit from STI and in encouraging the development and adoption of technologies that support the achievement of the SDGs. However, there are several reasons or underlying issues help explain why governments often have not adopted inclusive innovation policies:

- Limited understanding of the different mechanisms available to adopt more inclusive innovation policies.

- Weaknesses in the participation of vulnerable communities in processes affecting the development and adoption of technologies at the national level.
- Limited evidence on the positive and negative socio-economic impacts that different technologies and innovations have for different groups of people.
- Rapid pace of change of technologies, which makes it much more difficult for policy makers to keep abreast of technology changes and their socioeconomic and environmental impacts.
- Inadequate incentives to develop and adopt technologies and innovations that particularly support the needs of vulnerable communities

To develop evidence-based innovation policies that ensure that STI are an effective, coherent and inclusive means of implementation of the Agenda 2030, Governments require the following:

- A deeper understanding of the various approaches and mechanisms to promote more inclusive STI in Asia Pacific
- Opportunities to generate interest, build alliances and advocate for inclusive innovation and ultimately generate political consensus and support for sustaining inclusive innovation
- Making priorities on which STI policy areas require more urgent attention
- Participatory approaches that enable different elements of the innovation system and disadvantageous communities to participate in the design and implementation of innovation and technology policies
- Technical expertise on how to design, develop and implement specific innovation and technology policies or programmes that are coherent with national sustainable development goals and that leave no one behind
- Strengthened regional collaboration that foster flows of knowledge and technology transfer on mutually agreed terms relevant to making sure that STI leave no one behind

3.3 Project Strategy

The main objective of this project is to strengthen the capacity of developing countries, in particular least developed countries in South Asia, Southeast Asia and small island developing states, to formulate evidence-based, integrated and inclusive innovation and technology policies as the means for effective implementation for the achievement of the SDGs, and leave no-one behind.

3.3.1 Logical Framework

Expected Accomplishment 1 (EA1): Enhanced capacity of policymakers to formulate and/or adopt evidence-based, integrated and inclusive innovation and technology policies, strategies or mechanisms	
Indicator of Achievement at the start of the project[43]	**Means of verification**
IA 1.1 Three out of five countries formulate or adopt an innovation policy, strategy or mechanism which promotes inclusive innovation	• Number of innovation policies drafted or adopted in selected countries

[43] We are using the latest logical framework as proposed in Annual Report Evaluation year 2018.

	• Project reports, including survey questionnaire to participants participating in organized activities of the project
IA 1.2 By the end of the project, at least 80 per cent of responding policymakers and other development actors (rated between 4 to 5 on a scale of 5) indicate that the project enhanced their capacity to formulate inclusive innovation and technology policies, strategies or mechanisms	• Survey questionnaire for each capacity building activity / policy advice service (national workshops, training, co-creation activity)
EA1 Activities	
A1.1 Elaboration of a conceptual paper on approaches and key considerations to formulate evidence-based, integrated and inclusive innovation and technology policies. **A1.2** Organisation of an initial regional workshop on inclusive innovation and technology policies **A1.3** Assist policy makers in five-member States in the design and/or implementation of an inclusive innovation policy, strategy or mechanism.	

Expected Accomplishment 2 (EA2): Enhanced sub-regional, and regional sharing of best practices on evidence-based, integrated and inclusive innovation and technology policies	
Indicator of Achievement at the start of the project	**Means of verification**
IA 2.1 Ten relevant and high-quality contributions on various forms (provision of advice, sharing of case studies, joint studies) on evidence-based, integrated and inclusive innovation and technology policies are provided through the community of practice	• Programme data on information made available in the community of practice platform
IA 2.2 Policy makers and other key stakeholders of at least 3 countries use the report to formulate an inclusive innovation and technology policy, strategy or mechanism	• Survey questionnaire for each capacity building activity / policy advice service (national workshops, training, co-creation activity)
IA 2.3 80% of policymakers and other key national stakeholders engaged in the project adopt the approaches on inclusive innovation and technology policies after attending the workshops	• Survey questionnaire at the final regional workshop
EA2 Activities	

A 2.1 Establish a community of practice on evidence-based, integrated and inclusive innovation and technology policies to support the regional sharing of best practices in this area, and to serve as an additional source of information and advice for stakeholders of the five countries that will be receiving policy advice.

A 2.2 Publish a report on approaches and considerations to promote evidence-based, integrated and inclusive innovation and technology policies in South Asia, Southeast Asia and small island developing states.

A 2.3 Organise a final regional workshop to consolidate and share at the regional level the learning from this project on approaches and considerations to promote evidence-based, integrated and inclusive innovation and technology policies.

3.5 Beneficiary countries

The following countries have directly benefited from this programme:

- Bhutan
- Cambodia
- India
- Indonesia
- Laos
- Malaysia
- Mongolia
- Myanmar
- Thailand
- The Philippines
- Viet Nam

In addition, through the partnership with ASEAN, outcomes of the project were adopted by the additional countries:

- Brunei
- Singapore

3.6 Implementing partners

The Economic and Social Commission for Asia and the Pacific (ESCAP) is the manager of this project, where the Trade, Investment and Innovation Division is the responsible for overall management and will work jointly with the Asian and Pacific Centre for Transfer of Technology (APCTT). The Asian and Pacific Centre for Transfer of Technology (APCTT) is responsible for providing policy advice related to technology transfer and capacity building of stakeholders of target member countries.

In addition, the project also fostered cooperation with other international partners, including:

- Association of Pacific Rim Universities (APRU)
- Association of Southeast Asian Nations (ASEAN) Secretariat
- Google
- Honey Bee Network
- Inclusive Business Action Network (iBAN)
- Organisation for Economic Co-operation and Development (OECD)
- Oxford's Pathways for Prosperity Commission on Technology and Inclusive Development

4. OVERALL EVALUATION APPROACH

In assessing the results achieved, the evaluation will make use of a theory of change approach to understand the actual results achieved and the process of achieving results. The development of the theory of change should be guided by the results framework of the project and the actual implementation strategy and delivery of outputs.

The evaluation will apply a mixed-method approach through a combination of quantitative and qualitative analysis to inform findings. Due to the ongoing travel restrictions and health concerns caused by the COVID-19 pandemic, which are likely to persist for the remainder of 2021, the evaluation methodology will rely primarily on desk review and remote data collection methods. The evaluation will apply multiple methods, and cross-check information and data from different sources to ensure confidence in the findings.

The evaluation process will involve several phases as outlined below:

Phases
a) **Inception and scoping phase** • Preliminary review of documentations • Interviews with members of the reference group and other project stakeholders to understand their expectations and requirements • Preparation of an evaluation inception report detailing the evaluation scope, questions, methodology and workplan • Meeting with the evaluation reference group to present the inception report and seek clearance to proceed • Preparation of questionnaires and interview guides
b) **A desk review of project documents.** The following documentations will be provided to the consultant • Name of the project team members and their respective roles • List of stakeholders to be interviewed • Project publications, research papers, training materials • Press releases • Critical information of project activities (e.g. reports, agenda, handouts, questionnaire results) • Mission reports • Project document, including the work and monitoring plan, logical framework and budget • Relevant agreements (e.g. with the project partners) • Project revisions (if applicable) • Progress reports • Project terminal report
c) **Surveys of project stakeholders (electronic)** • An electronic survey will be administered targeting government officials and implementing partners and other core stakeholders • Development and administration of the survey by the consultant • Data analyses
d) **In-depth individual interviews (video/audio call)**

• Governmental and other core stakeholders • Development partners • Project management
e) **Observation (virtual meeting)** • The consultant will be given an opportunity to observe the proceedings of the final project meeting during the period of the evaluation.
f) **Preparation of the evaluation report and presentation of findings** • Preparation of a brief note containing the preliminary findings, conclusions and recommendations of the evaluation • Meeting with the reference group to present (using PowerPoint) and discuss the preliminary evaluation results • Preparation of a draft evaluation report and review of the draft report by the evaluation reference group • Finalization of the evaluation report along with an evaluation brief (3-page summary) following a standard format to be provided by ESCAP

Data will be disaggregated by sex and other relevant social categories. The evaluation will undertake a transparent and participatory evaluation process that will involve male and female stakeholders identified in the stakeholder analysis, including: the reference group, development partners and target beneficiaries in all key evaluation tasks.

In analysing the data, the evaluation will use qualitative and quantitative approaches, and provide charts and direct quotations. Using the data to assess evaluation against the selected criteria. Gender mainstreaming are essential components of data analysis in all ESCAP evaluations and take place on three levels: 1) project design; 2) project implementations; 3) project outcomes. The analysis will enable useful, evidence-based findings, the conclusions and recommendations.

The evaluation methodology will also take into consideration the ethical principles in evaluation as details in the UNEG ethical guidelines for evaluation.

5. ROLES AND RESPONSIBILITIES

5.1 Evaluation reference group

To support the independence of the evaluation, the Evaluation Unit, SPMD will manage and oversee the entire evaluation process. An evaluation reference group will be established to support the evaluation and will comprise the following members, the Director/Section Chief of the implementing division/office (Chair), Section Chief of the implementing division/office, DA project officer, evaluation officer from the Evaluation Unit, SPMD and additional members, including staff from partner ESCAP division/office (internal) or organization (external).

The reference group provides technical and methodological guidance to the evaluation process; reviews and approves the selection of the consultant, terms of reference and inception report; provides quality control of the evaluation report and validation of recommendations; and ensures adherence to ESCAP Evaluation Policy and Guidelines and the use of evaluation outputs, including the formulation of the evaluation management response and follow-up action plan.

5.2 Evaluator

The evaluator will assume overall responsibility for carrying out the evaluation. This includes, among other activities, managing the work, ensuring the quality of interviews and data collection, preparing the draft report, presenting the draft report and producing the final report after comments have been received in line with standard templates provided by ESCAP. The evaluator must have:

- Knowledge of the United Nations System; principles, values, goals and approaches, including gender equality, cultural values, the Sustainable Development Goals and results-based management.
- Professional and technical experience in evaluation (application of evaluation norms, standards and ethical guidelines and the relevant organizational evaluation policy and promotion of evaluation and evidence-based learning).[44]
- Topic expertise in private sector development, innovation, and inclusive business is an advantage.
- Experience conducting evaluations of projects in Asia and the pacific is an advantage.

6. OUTPUTS

The following outputs will be delivered to the project manager at ESCAP:

1. Inception report detailing the approach of the evaluator, workplan and evaluation logical framework (see Annex 1)
2. Results of data collection exercise
3. First draft of evaluation report (see Annex 2 and Annex 3)
4. Presentation (ppt) on findings, conclusions and recommendations
5. Final evaluation report
6. An ESCAP evaluation brief

The draft evaluation report will be shared with key stakeholders prior to finalization. The final report will be submitted to the DA Programme Management Team, DESA. The final evaluation report will also be circulated within the ESCAP secretariat and posted on ESCAP's public website.

ESCAP adheres to the UNEG Ethical Guidelines and Code of Conduct in evaluation and all staff and consultants engaged in evaluation are required to uphold these standards. To this end, ESCAP has developed a Consultants Agreement form (see Annex 4) that evaluators are required to comply upon signing the consultancy contract.

7. WORKPLAN

The evaluation will be undertaken from October 2021 to March 2022. The evaluation budget includes a consultancy fee to be determined based on professional qualifications and duration of contract.

Phase	Timelines
1. Inception • Desk review of documentations • Interviews with members of the reference group • Preparation of an inception report for the evaluation	October 2021

[44] See Standard 3.1. Competencies, UNEG. 2016. Norms and standards for evaluation.

• Presentation of evaluation methodology and tools to the reference group	
2. Data collection and analysis **Part A** • Desk review of documentations • Preparation of surveys and interview guides • Administration of stakeholder survey • Attendance in the project final meeting • Data compilation and analysis **Part B** • Interviews and focus group discussions with stakeholders	Part A: November 2021 Part B: December 2021 – January 2022
3. Report preparation and conclusion • Submit a brief report containing the preliminary findings, conclusions and recommendations • Meet with the reference group to discuss the preliminary findings and recommendations • Prepare a first draft evaluation report • Prepare a revised draft evaluation report • Final evaluation report and summary note	January-March 2022

Annex 2: Project results framework (Theory of change)

<table>
<tr><td colspan="2">Expected Accomplishment 1 (EA1):
Enhanced capacity of policymakers to formulate and/or adopt evidence-based, integrated and inclusive innovation and technology policies, strategies or mechanisms</td></tr>
<tr><td>Indicator of Achievement at the start of the project[45]</td><td>Means of verification</td></tr>
<tr><td>IA 1.1 Three out of five countries formulate or adopt an innovation policy, strategy or mechanism which promotes inclusive innovation</td><td>• Number of innovation policies drafted or adopted in selected countries
• Project reports, including survey questionnaire to participants participating in organized activities of the project</td></tr>
<tr><td>IA 1.2 By the end of the project, at least 80 per cent of responding policymakers and other development actors (rated between 4 to 5 on a scale of 5) indicate that the project enhanced their capacity to formulate inclusive innovation and technology policies, strategies or mechanisms</td><td>• Survey questionnaire for each capacity building activity / policy advice service (national workshops, training, co-creation activity)</td></tr>
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</table>

[45] We are using the latest logical framework as proposed in Annual Report Evaluation year 2018.

IA 2.2 Policy makers and other key stakeholders of at least 3 countries use the report to formulate an inclusive innovation and technology policy, strategy or mechanism	• Survey questionnaire for each capacity building activity / policy advice service (national workshops, training, co-creation activity)
IA 2.3 80% of policymakers and other key national stakeholders engaged in the project adopt the approaches on inclusive innovation and technology policies after attending the workshops	• Survey questionnaire at the final regional workshop
EA2 Activities	
A 2.1 Establish a community of practice on evidence-based, integrated and inclusive innovation and technology policies to support the regional sharing of best practices in this area, and to serve as an additional source of information and advice for stakeholders of the five countries that will be receiving policy advice. **A 2.2** Publish a report on approaches and considerations to promote evidence-based, integrated and inclusive innovation and technology policies in South Asia, Southeast Asia and small island developing states. **A 2.3** Organise a final regional workshop to consolidate and share at the regional level the learning from this project on approaches and considerations to promote evidence-based, integrated and inclusive innovation and technology policies.	

Annex 3: Evaluation matrix

Assumptions/Sub-Questions to be assessed: – agree/disagree	Substantiating Evidence / Indications of Change	Sources of information	Methods for data collection
RELEVANCE: • To what extent was the project designed based on demand from the target beneficiaries? • What adjustments, if any, were made to the project activities and modality, as a direct consequence of the COVID-19 situation, or in response to the new priorities of member States?			
Alignment with country needs in participating countries	• Integration with national strategies • New procedures or system are in place • Qualitative feedback by stakeholders	• Progress Reports; Outcome Summary; Government Documents (memo's, reports etc.) • Interviews Notes	• Desk review • Meta-Analysis[46] • Key informant Interview • Video Based Observation
Relevance of project's outputs	• Evaluation of feedback questionnaires from project activities	• Summary reports of project activities; evaluations of project activities; post-workshop survey	
EFFECTIVENESS: • What are the most significant results at the regional and national levels achieved or contributed by the project? Describe the project activities/outputs that lead to the results and present evidence of project's contribution to the results. • What is the perception of project stakeholders of the impact of the project in respective countries and at the regional level? • How did the adjustments made to project due to the COVID-19 pandemic affect the achievement of the project's expected results as stated in its original results framework?			
Effectiveness of project's capacity building, workshop, technical support, advisory services	• Evaluation of feedback questionnaires from project activities	• Feedback questionnaires of project activities (post workshops)	• Key informant Interview • Meta-Analysis
Room for improving the project's capacity building approach/TA support/Monitoring and Evaluation	• Evaluation of feedback questionnaires from project activities • Qualitative feedback by stakeholders • Assessment of tools used for M&E	• Feedback questionnaires of project activities (post workshops) • Interviews Notes • Post-workshop survey	• Desk review • Meta-Analysis • Key informant Interview • Video Based Observation
Potential for higher level Impact (based on perception)	• Change in Knowledge level • Ability to use knowledge	• Feedback questionnaires of project activities (post workshops)	
EFFICIENCY and INNOVATION: • To what extent did the project achieve efficiency in implementation through the combination of project stakeholders involved, making use of comparative advantages and the creation of synergy? • What adjustments, if any, were made to the project activities and modality, as a direct consequence of the COVID-19 situation, or in response to the new priorities of member States? • What innovative strategies or measures of the project (addressing new topics or using new means of delivery or a combination thereof) proved to be successful?			

[46] Meta-analysis entails further analysing project monitoring and evaluation data, particularly post-workshop surveys.

Room for improving the project's implementation with partner/stakeholder	• Planned activities delivered on time and within budget as per project document	• Project documents & progress reports; summary reports of project activities; evaluations of project activities	• Desk review
	• Evaluation of feedback questionnaires from project activities	• Feedback questionnaires of project activities (post workshops)	• Desk review • Meta-Analysis
Innovative project delivery	• Qualitative feedback by partner /stakeholder (iBAN, GIAN, OPI, partner Government etc.)	• Project Document; progress reports; • Interview Notes	• Video Based Observation • Key informant Interviews
SUSTAINABILITY: • To what extent can results of the project be continued without ESCAP's further involvement? • What measures were adopted to ensure that the results achieved would continue after the project end and without ESCAP's further involvement? What national level actions you have taken to enhance or promote STI?			
Institutionalization of procedure/practice/system/framework	• Integration with national strategies • New procedures or system are in place	• Government documents; progress report; project website	• Desk review • Key informant Interviews • Video Based Observation
To what extent has support from other stakeholders/ market actors have been obtained to take forward project outcomes?	• Qualitative feedback by partner stakeholder (iBAN, GIAN, OPI etc.)	• Project Document; progress reports; • Interview Notes	• Key informant Interviews
GENDER AND HUMAN RIGHTS MAINSTREAMING: • To what extent were gender and human rights integrated into the design and implementation of the project, informed by relevant and tailored human rights and gender analysis?			
Gender mainstreaming	• Gender aspects included in design and implementation of the initiatives	Project documents & progress reports; summary reports of project activities; evaluations of project activities;	• Desk review • Meta-Analysis

Annex 4: Data collection instruments

Project Evaluation: *Development Account Project*

Evidence-based innovation policy for effective implementation of 2030 Agenda for Sustainable Development in the Asia-Pacific region

Dear Sir/Madam

Thank you for agreeing to be part \of the UN ESCAP Evaluation of the **Evidence-based innovation policy for effective implementation of 2030 Agenda for Sustainable Development in the Asia-Pacific region**. In order to provide your feedback to the project evaluator, you are kindly requested to fill up the following questionnaire, which should take no more than 5-7 minutes to complete, and return it at your latest convenience to Mr. Muaz Jalil (email: muaz.jalil@kings.cantab.net)

Kindly note the questionnaire should be filled in the English language. Your feedback is critical for the evaluation. For each question, you are requested to mark the box with "X" or click corresponding to your answer and provide a brief explanation of your response (1/2 lines maximum).
Thank you very much for your precious collaboration and your efforts in providing feedback.

Regards,

Mohammad Muaz Jalil
Independent Evaluator

1.1. In which of the following type of activities did you take part? (Tick all that apply)	☐ Workshop at the regional level for policy makers and experts ☐ National workshops/consultation/roundtables/dialogue ☐ Virtual Activities/Webinars ☐ Regional advisory network of experts and practitioners ☐ Regional forum/summit for the sharing of experiences and lessons learned ☐ Collaboration for the development of policy studies (landscape studies, gap analysis, reports etc.) ☐ Collaboration/co-creation for policy programme (policy design, guidelines, legislation, strategies, roadmaps, etc.) ☐ Capacity Building sessions ☐ Other _____ (Please Specify)				
2. Section Relevance					
2.1. Activities developed through the collaboration with ESCAP were designed and implemented in consultation with my country/department needs and priorities.	Very Irrelevant (1)	2	3	4	Very Relevant (5)
	☐	☐	☐	☐	☐
	Please Explain :				
2.2. Activities developed through the collaboration with ESCAP were relevant to your department's/ministry's priorities on promoting for *STI and Inclusive Business*	Very Irrelevant (1)	2	3	4	Very Relevant (5)
	☐	☐	☐	☐	☐
	Please Explain :				
2.3. Please provide comments on the relevance of the project to your country/department and suggestions on how to improve relevance of follow-up activities of this project?	Please Explain :				
3. Section Efficiency & Innovation					
3.1. How timely or efficient were the activities in the context of enhancing participating countries' capacity to develop policies and	Very Inefficient (1)	2	3	4	Very efficient (5)
	☐	☐	☐	☐	☐

strategies for *STI and Inclusive Business*	Please Explain :				
3.2. The administrative and logistical arrangement of the activities developed through the collaboration with ESCAP were efficient.	Very Inefficient (1)	2	3	4	Very efficient (5)
	☐	☐	☐	☐	☐
	Please Explain :				
3.3. What innovative strategies or measures of the project proved to be successful	Please Explain :				
3.4. Please provide suggestions on how to make ESCAP activities more efficient?	Please Explain :				
4. Section Effective					
4.1. The project contributed to the policy dialogue on *STI and Inclusive Business* in my country.	Strongly Disagree (1)	2	3	4	Strongly Agree (5)
	☐	☐	☐	☐	☐
	Please Explain :				
4.2. The activities developed through the collaboration with ESCAP were effective in raising your awareness and knowledge on *STI and Inclusive Business* relevant to your country.	Strongly Disagree (1)	2	3	4	Strongly Agree (5)
	☐	☐	☐	☐	☐
	Please Explain :				
4.3. Please provide suggestions on how to make ESCAP activities more effective?	Please Explain :				
5. Section Sustainability					
5.1. I am able to use the knowledge and skills acquired to formulate/implement policies or policy related activities on *STI and Inclusive Business*	Strongly Disagree (1)	2	3	4	Strongly Agree (5)
	☐	☐	☐	☐	☐
	Please Explain :				

5.2. I am able to share and spread the knowledge and skills acquired on *STI and Inclusive Business*	Strongly Disagree (1)	2	3	4	Strongly Agree (5)
	☐	☐	☐	☐	☐
	Please Explain :				
5.3. My country/department has initiated actions to enhance and promote *STI and Inclusive Business*	Strongly Disagree (1)	2	3	4	Strongly Agree (5)
	☐	☐	☐	☐	☐
	Please Explain :				
5.4. Please provide suggestions on how to make ESCAP project activities more sustainable?	Please Explain :				
6. Section Cross-Cutting					
6.1. To what extent did ESCAP collaborate with other international and national organizations, including private sector, other UN agencies to ensure sustainability?	Very Little (1)	2	3	4	Very Much (5)
	☐	☐	☐	☐	☐
	Please Explain :				
6.2. Please discuss to what extent were gender and human rights integrated into the design and implementation of the project?					

Annex 5: List of individuals interviewed

ESCAP Team

Mr. Jonathan Wang, Chief, Technology and Innovation Section, TIID

Ms. Marta Pérez Cusó, Economic Affairs Officer (Programme Manager DA11), Technology and Innovation Section, TIID

ESCAP Evaluation Team

Mr. Edgar Dante, Chief, Evaluation Unit, United Nations ESCAP

Mr. Clement Wu, Associate Programme Officer, Evaluation Unit, Strategy and Programme Management Division United Nations Economic and

Inclusive Business

Mr. Markus Dietrich, Director for Policy, iBAN

Mr. Vanthou Chorn, Deputy Director of Planning, Statistics, Cooperation, and ASEAN Affairs, Ministry of Industry, Science, Technology & Innovation (MISTI), Cambodia

Ms. Trinh Thi Huong, Director of Policy Division, Agency for Enterprise Development, Ministry of Planning and Investment, Viet Nam

Ms. Melanie Moleño, Philippines, Former Programme Manager for Inclusive Business at the Board of Investments, an attached agency of the Department of Trade and Industry in the Philippines

Ms. Norlela Suhailee, Head of Business Development and Support, Darussalam Enterprise (DARe), Brunei Darussalam

Grassroots Innovation

Ms. Anamika Dey, CEO, Grassroots Innovations Augmentation Network (GIAN), India

Professor Anil Gupta, Founder, HoneyBee Network, India

Mr. Anthony C. Sales, Regional Director, Department of Science and Technology, the Philippines

National STI Policies: Myanmar

Mr. Geert van der Veen, Director, Technopolis

National STI Policies: Cambodia

Mr. Srun Pagnarith, Director of STI Policy, MISTI

ARTNETonSTI

Dr. Chi Ung Song, Vice President, STEPI Republic of Korea

National Digital Policy

Ms. Elizabeth Stuart, Executive Director, Digital Pathways at Oxford,

AI for Social Good

Ms. Christina Schönleber, Senior Director Policy & Programs, Association of Pacific Rim Universities (APRU), Hong Kong, China

Annex 6: List of documents reviewed

DA11 Project Core documents

- DA 11 Project document
- DA 11 Annual reports
  - 2021
  - 2020
  - 2019
  - 2018
- Informal assessment Myanmar

DA11 Project Activity documents

	Outputs/ Core activities	**Assessments/ Feedback received/Media**	**Key partners**
1. National STI policies *Note: These projects were also financed with Section 23 funds*	Myanmar • Becoming an inclusive and sustainable Asian Tiger: A science, technology and innovation policy for Myanmar • The Science, Technology and Science Ecosystem of Myanmar • Myanmar Initiative for Science, Technology and Science Promotion • National Consultations • Co-Creation of Myanmar STI Policy: Inaugural Session • Co-Creating Myanmar's Science, Technology and Innovation Policy: Sectoral Round Tables • Co-Creating Myanmar's Science, Technology and Innovation Policy: National Consultation • Co-Creating Myanmar's Science, Technology and Innovation Policy: Final Consultation Meeting	• Feedback survey • Informal assessment Myanmar	Department of Research and Innovation (DRI), Ministry of Education
	Cambodia • Cambodia's Science, Technology, and Innovation Roadmap 2030 • The Science, Technology, and Innovation Ecosystem of Cambodia • National Workshop to Craft Cambodia's Science, Technology, and Innovation (STI) Roadmap • Dissemination Event and Official Launch of Cambodia's STI Roadmap 2030	• Feedback survey • Agence Kampuchea Presse • Khmer Times • Cambodia News Service •	General Department of STI, Ministry of Industry, Science, Technology, and Innovation
2. Inclusive business policies	Second ASEAN Inclusive Business Summit • Programme	Report of the 2nd ASEAN IB Summit	OSMEP Thailand, iBAN, ASEAN BAC
	Third ASEAN Inclusive Business Summit (see also here)	Feedback survey answers	ASEAN Secretariat, iBAN, OECD

	• Programme • https://www.aseanibsummit.com/	Event livestreaming (1053 views)	
	Fourth ASEAN Inclusive Business Summit (see also here) • Programme • https://www.aseanibsummit.com/ • Report	Feedback survey report Event recordings	ASEAN Secretariat, DARe, iBAN, OECD
	Landscape Study of Inclusive Business in Cambodia • MAFF Workshop • First Inclusive Business Forum for Cambodia, Aug2019 • Launch Landscape study, March 2021 (see also here)	ESCAP Morning News Khmer Times Phnom Penh Post ESCAP in the news	iBAN, MISTI Cambodia
	Wellness Tourism in Indonesia • Workshop • Report	N/A	iBAN, Ministry of Tourism and Creative Economy of Indonesia
	Landscape Study of Inclusive Business in Malaysia • IB Scoping Mission • Malaysia IB Forum • Launch TBD	Business Today Media release Feedback survey IB Forum 03/10/2019 Feedback survey 04/10/2019	iBAN, SMECorp Malaysia
	Philippines IB Roadmap • IB Bill • National consultations' mission report	IB Bill presented in the House of Representatives IB Bill presented in the Senate	DTI Philippines, BOI Philippines
	Landscape Study of Inclusive Business in Viet Nam • National consultations' mission report • Launch Landscape study Sept21 • VIDEO	Feedback survey report Media article Oct21	iBAN, AED Viet Nam
	Guidelines Promoting Inclusive Business in ASEAN		
	Advancing Enabling Policy Environments for Inclusive Businesses in the Association of Southeast Asian Nations (ASEAN)		
3. Grassroots innovation	Workshop on Policies to Support Grassroots Innovation, Jan 2019, India • Programme	Feedback survey results	Indian Institute of Management Ahmedabad (IIMA), Society for Research and Initiatives for Sustainable Technologies and Institutions (SRISTI), Grassroots Innovation Augmentation Network (GIAN)

	Grassroots Innovation (GI) Launching and Forum, 20 July 2019, Philippines • Letter from DOST, Philippines • Programme	N/A	Department of Science and Technology (DOST)
	Grassroots Innovation Dialogue and Round Table Discussion, 9 October 2019, Malaysia • Meeting report	N/A	Malaysia Innovation Foundation (YIM)
	Webinar on Promoting Grassroots Innovation: Present Situation, Challenges, and Policies, 2-3 November 2020, Thailand • Programme	Feedback survey results	Grassroots Innovation Augmentation Network (GIAN), Honey Bee Network
	Policies and Strategies to Promote Grassroots Innovation Workbook	N/A	Grassroots Innovation Augmentation Network (GIAN), Honey Bee Network
4. Frontiers of Inclusive Innovation Report	Report		Pathways for Prosperity Commission, iBAN, Grassroots Innovation Augmentation Network (GIAN), Honey Bee Network
5. Frontiers of Inclusive Innovation Forum	Frontiers of inclusive innovation Forum -Programme -Speakers -Videos event • Geert van der Veen, Formulating inclusive science, technology, and innovation policies: https://youtu.be/x5aaz-2ZoLQ • Anil Gupta, Promoting grassroots innovation at the policy level: https://youtu.be/f6ojtcem08s • Elizabeth Stuart, Designing policies for inclusive digital economies: https://youtu.be/QKFA7fzU5iI • Highlight reel, Frontiers of Inclusive Innovation Policy Forum: https://youtu.be/04AWpudxlls -Report	Eurasia Review Mirage News ForeignAffairs.co.nz Scoop.co.nz Daily Tribune Feedback survey results Chats	Pathways for Prosperity Commission, iBAN, Grassroots Innovation Augmentation Network (GIAN), Honey Bee Network
6. Others:			
• ARTNETonSTI	ARTNETonSTI Policy Platform • TOR	Twitter Facebook LinkedIn Newsletter	NXPO Thailand, STEPI Republic of Korea, Google, APRU
	ARTNETonSTI Conversation • Inaugural • Second	N/A	Dnet Bangladesh

	• Third		
• National digital policy	Pathways for inclusive growth Mongolia • Request for support • Digital Readiness Assessment • National Digital Strategy Primer for Mongolia	N/A	Government of Mongolia, Communications and Information Technology Authority of Mongolia, Access Solutions LLC, Pathways for Prosperity Commission
• AI for Social Good	• Report on AI for Social Good • Policy Insight Brief – Seven Challenges to Govern AI • Policy Insight Brief – Four Abilities for Governments to Leverage AI for Social Good • AI for Social Good Summit	• Asia Times • Times Higher Education • Hong Kong Economic Times	Google, APRU, Keio University
7. (APCTT) Online database of technologies for cottage and small enterprises (Bhutan)	• Concept Note • Cottage Small Industry Policy • Draft Blue Print of DCSI Bhutan Technology Request Database • Concept note and agenda of Regional Workshop in Bhutan • Bhutan Regional workshop report (including list of participants)	• Bhutan's Cottage and Small Industry Policy (section 6.5.2) • CSI Technology Request Database of Bhutan • Evaluation analysis of Bhutan Regional workshop	Department of Cottage and Small Industries, Ministry of Economic Affairs, Bhutan
8. (APCTT) Promotion of inclusive technologies and innovations (Bangladesh, Bhutan & Nepal) TBA	• Assessment and promotion of inclusive technologies and innovations • Strategic roadmap for online database of inclusive technologies and innovations • Capacity building workshops	• (In progress)	Ministry of Science and Technology, Bangladesh; Department of Cottage and Small Industries, Bhutan; Ministry of Industry, Commerce and Supplies, Nepal
9. (APCTT) Past interventions (2019)	• Thailand Intellectual Property Management Workshop • Technical session: Inclusive Bio, Circular and Green innovations for Small and Medium Sized Enterprises	• Thailand Intellectual Property Management Workshop (Evaluation analysis) • Technical session: Inclusive Bio, Circular and Green innovations for Small and Medium Sized Enterprises (Evaluation analysis)	

Annex 7: Detailed Budget

The project budget as per the project document, i.e., budget allocation:

Object Class	Description	A. Budget/Allotment (as per project document) (USD)
015	Other staff costs - General temporary assistance	24,000.00
105	Consultants and experts	159,500.00
115	Travel of staff	72,000.00
120	Contractual services	32,500.00
125	General operating expenses	57,000.00
130	Supplies and materials	
135	Furniture and equipment	
145	Workshops / Study tours (Grants and contributions)	155,000.00
	Total	500,000.00

The project was able to leverage the following funding, which showcases buy-in from other funders about the merit of the work being implemented by the program:

Source/Donor	**Purpose (with OC and OP where applicable)**	**Year**	**Amount raised**		
			Cash (USD)	In-kind estimated value (USD)	In-kind description
GIZ GmbH/ Inclusive Business Action Network program (iBAN)	Support policies that promote inclusive business models in 5 ASEAN countries	2019	228,260 USD		
	Development of ASEAN guidelines for inclusive business	2020		20,000 USD	Joint development of the guidelines (iBAN directly financed the consultant)
Pathways for Prosperity	To support the Government of Mongolia in designing an	2019		600,000 USD[47]	The project is primarily implemented by the Pathways for Prosperity

[47] According to Interview (January 26th, 2022) with Ms. Elizabeth Stuart, Executive Director, Digital Pathways at Oxford, implementation of Digital Tool Kit cost approximately GBP 285,000, depending on country context. The digital kit was implemented in Indonesia and Mongolia with support of ESCAP. Financial contribution from ESCAP was below USD 80,000.

Commission Oxford	inclusive national development strategy				Commission on Technology and Inclusive Development.
Google	To support AI for Social Good report, AI for Social Good Summit, and policy briefs	2019-2021		225, 000 USD	The project implemented mainly by APRU, with funding from Google
	To support the strengthening of capabilities and governance Frameworks in Asia and the Pacific	2021-2023		250, 000 USD	Project funded by Google
Regular Budget Section 23	To support developing a roadmap to support the implementation of Cambodia's National STI policy and the co-creation of Myanmar's STI policy	2020	66,000 USD 81,000 USD		
Bill and Melinda Gates Foundation	To promote Inclusive Business Models in Agriculture and Food Systems in South and South-East Asia	2021-2024	1,500,000 USD		
NXPO, Government of Thailand	Supporting STI policies and strategies in Cambodia, Lao PDR, Thailand, and Viet Nam.	2021-2024	300,000 USD		

Annex 8: Link to SDGs and Addis Ababa Action Agenda

Listed below are the goals and commitments that this project responds to[48].

Table 1: Alignment with SDGs

Goal 1: End poverty in all its forms everywhere	1.4. By 2030, ensure that all men and women, the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property…new technology and financial services
Goal 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.	4.4. By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs, and entrepreneurship.
Goal 5: Achieve gender equality and empower all women and girls	5.b. Enhance the use of enabling technology, specifically information and communications technology, to promote the empowerment of women.
Goal 8: Promote sustained, inclusive, and sustainable economic growth, full and productive employment and decent work for all.	8.3. Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity, and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises
Goal 9: Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation	9.b. Support domestic technology development, research, and innovation in developing countries, including by ensuring a conducive policy environment for, inter alia, industrial diversification and value addition to commodities.
GOAL 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development	**Technology** 17.6. Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge sharing including through improved coordination among existing mechanisms. **Multi-stakeholder partnerships** 17.16. Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology, and financial resources, to support the achievement of the sustainable development goals.

ADDIS ABABA ACTION AGENDA COMMITMENTS

Action Area II.G - Science, technology, innovation, and capacity-building

Creating an enabling environment for STI at the domestic and international levels

- Commits to craft policies that incentivize the creation of new technologies (including ICT), research and innovation in developing countries and commits to promote social innovation to support social well-being and sustainable livelihoods. (116)

[48] Adapted from DA11 Project Document.

Financing and partnerships: domestic public finance, innovation funds, ODA, and SSC; capacity development; supporting sector-specific research

National level

- Encourages knowledge-sharing and the promotion of cooperation and partnerships between stakeholders…to facilitate technology development and transfer, on mutually agreed terms, of knowledge and skills. Commits to promote entrepreneurship, including supporting business incubators. (117)

  Commits to consider setting up innovation funds where appropriate, on an open, competitive basis to support innovative enterprises.... (118)

International level

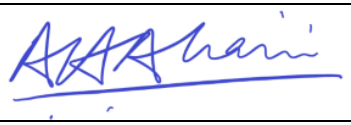
- Endeavours to enhance international cooperation, including ODA, to LDCs, LLDCs, SIDS and countries in Africa. Encourages other forms of international cooperation, including South-South cooperation. (120)
- Endeavours to step up international cooperation and collaboration in science, research, technology, and innovation, including through public-private and multi stakeholder partnerships, and on the basis of common interest and mutual benefit, focusing on the needs of developing countries and the achievement of the sustainable development goals (120, 121).

Annex 9: Achievement of EA2 Log-frame target

The following lists, more than 10 relevant and high-quality contributions on various forms (provision of advice, sharing of case studies, joint studies) on evidence-based, integrated, and inclusive innovation and technology policies that were povided through the community of practice

1. A joint **ASEAN, ESCAP and iBAN report on** Advancing Enabling Policy Environments for Inclusive Businesses in ASEAN has been published. The report analyses the state of IB policy development in ASEAN, presents the emerging IB policy blueprint in ASEAN based on the experience of frontrunning countries and offers key lessons learned. This has shown the joint commitment by members to promoting IB and has created the legitimacy for various government actors/champions to carry this message and discuss it in their respective governments.
2. An ESCAP note on Mainstreaming inclusive technology and innovation policies that leave no one behind has been prepared by the ESCAP secretariat to help inform policymakers. It is available through the ARTNET on STI Policy platform.
3. An ESCAP note on Guidelines for inclusive technology and innovation policies for sustainable development has also been prepared by the ESCAP secretariat to help inform policymakers. It is available through the ARTNET on STI Policy platform.
4. The Guidelines for the Promotion of Inclusive Business in ASEAN produced by ASEAN with the support of iBAN, ESCAP and the OECD is available through the ARTNET on STI Policy platform. Senior officials from Cambodia and Brunei Darussalam stated that the guideline could augment and applied to individual country contexts.
5. A designated space is dedicated within ARTNET on STI to promote **Inclusive business** (https://artnet.unescap.org/sti/policy/inclusive-business). This space is promoted in collaboration with a project partner IBAN, and provides access to information on inclusive business, regional and international experiences in promoting IB.
6. A joint **ESCAP, GIAN and Honey Bee Network** Workbook on policies and strategies to promote grassroots innovation was published in 2020.
7. A Report on Artificial Intelligence for Social Good by APRU and Keio University, produced with ESCAP's support, has been published.
8. A Policy Insight Brief on Seven Challenges to Govern AI by APRU, ESCAP and Google
9. A Policy Insight Brief on Four Abilities for Governments to Leverage AI for Social Good by APRU, ESCAP and Google
10. A report on Frontiers of Inclusive Innovation. Formulating technology and innovation policies that leave no one behind by ESCAP, which synthesizes the learning from the webinars on the same topic and findings from the various studies undertaken during the project.
11. ESCAP-APCTT report on 'Development of enabling strategy for the transfer of inclusive innovations and technologies' assists policymakers in developing and adopting an enabling strategy for enhancing access to inclusive innovations and technologies. A significant outcome of the report is the strategic roadmap for an online database of inclusive innovations and technologies. The report covers the analysis of three countries from South Asia, namely Bangladesh, Bhutan, and Nepal

Title of Evaluation: Evaluation of the project "Evidence-based innovation policy for effective implementation of 2030 Agenda for Sustainable Development in the Asia-Pacific region"
Date of completion: September 2022

	Signature	Date
Ms. Armida Salsiah Alisjahbana Executive Secretary ESCAP		3 March 2023
Mr. Kaveh Zahedi Deputy Executive Secretary ESCAP		2 March 2023
Mr. Adnan Aliani Director, Strategy and Programme Management Division, ESCAP		2 March 2023
Mr. Rupa Chanda Director, Trade, Investment and Innovation Division, ESCAP		2 March 2023

General Remarks by Management

Management notes the evaluation finding that the project has exceeded expectations in supporting concrete policy changes, strategies and mechanisms that promote inclusive innovation in 11 countries (against a target of three). It has supported the Philippines, Cambodia, Vietnam, Malaysia, and Bhutan to formulate and/or adopt several innovation policies, strategies, and mechanisms. In addition, 10 ASEAN Member States (countries) have adopted regional Guidelines for promoting inclusive business in ASEAN

Management welcomes the positive assessment that the project proved to be highly relevant in supporting inclusive innovation policies. It also welcomes the three good practices identified from this project that could be useful for other projects in the future, including (1) co-creation processes that combine capacity building activities with policy formulation and include a wider set of stakeholders; (2) combining action at the national level with regional cooperation to create momentum and buy-in at the national level and vice versa; and (3) using hybrid communication.

Management accepts the recommendations and will address them through the implementation of the ongoing project on Inclusive Business (IB) funded by the Bill and Melinda Gates Foundation, the ongoing initiative to promote South-South and Triangular collaboration on science, technology and innovation, and future projects relating to innovation policy.					
Recommendation	**Management Response**	**Follow-up Actions**	**Lead Unit**	**Expected completion date**	**Indicator of completion of follow-up action**
1. Undertake a deeper diagnosis of root causes for exclusion, especially in relation to STI policies and inclusive innovation. To enhance project performance and sustainability, deeper market diagnostics may be undertaken to identify root causes or systemic constraints in the regulatory space for exclusion, particularly about inclusive innovation and STI Policies. Such a diagnostic may identify other leverage points and create more sustainable and transformative change. Thus, complementing the push strategy, which focuses on developing the capacity of governments, ESCAP can also have a pull strategy that focuses on creating bottom-up demand and business cases of IB.	Management concurs with this recommendation to strengthen systems thinking approaches, including ensuring multi-stakeholder participation in policy measures and initiatives developed or promoted by TIID projects. The response will focus on further encouraging the participation of the private sector and business associations and in building their capabilities.	In the implementation of the IB Project funded by the Bill and Melinda Gates Foundation, specific attention will be given to engaging both public and private actors in the market system to ensure multi-stakeholder input (in particular from governments and businesses) to policy measures and initiatives developed. In the implementation of the South-South and Triangular Collaboration on science, technology and innovation among Cambodia, Lao PDR, Thailand and Viet Nam, specific attention will be given to engage private actors in the formulation and implementation of the collaboration programme.	TIID	July 2024	Multi- stakeholder participation (in particular business associations) is documented in the design and implementation of the IB Project funded by the Bill and Melinda Gates Foundation and in the South-South and Triangular Collaboration on science, technology and innovation among Cambodia, Lao PDR, Thailand and Viet Nam.

		Moreover, particular attention will be paid to favour collaboration initiatives that enhance the participation of the private sector in innovation activities.			
2. Add additional project activities to explicitly build the capacities of local think tanks, business associations, and agenda setters to advocate for and promote inclusive business and inclusive STI. ESCAP may need to have longer-term engagement and work towards capacity building of local agenda setters (beyond government) or provide bespoke technical assistance to improve organizational performance, such as improving the capacity of SMEs or Business association(s) to advocate for and promote IB. Similarly, when offering TA support via international partner organizations (e.g., IBAN, Oxford's Pathways for Prosperity Commission), it might be helpful to consider an exit strategy and identify local partners who can take up the role after the project support ends and build their capacity as part of the programme.	Management concurs with this recommendation. This recommendation will be useful to inform the design of large projects with sufficient resources to build capacities of other actors beyond government officials.	In the implementation of the Inclusive Business Project funded by the Bill and Melinda Gates Foundation specific project activities will be designed to build the capacities of local business associations, think tanks and agenda setters to advocate for and promote inclusive business.	TIID	July 2024	Evidence of IB project activities implemented to build the capacities of local business associations, think tanks and agenda setters to advocate for and promote in inclusive business.

3. Harmonized project M&E data collection tool, incorporate gender indicators, and provide explicit support to government agencies in the establishment of the M&E framework, with which to monitor inclusive STI policies and inclusive business. The following suggestions are made: • Inclusion of gender and human rights related questions in post-event surveys. • The project will benefit from having an overall TOC per area of intervention (e.g., by IB, STI etc.) and country-level TOC. • ESCAP can provide support in developing a Monitoring and Evaluation framework for policies and frameworks that the project supports, such as the IB framework, Inclusive STI policies.	Management concurs with this recommendation. The harmonization of project M&E data collection tool will be pursued as relevant.	Future project measuring activities will have more gender related questions in post-event surveys. The Inclusive Business Project funded by the Bill and Melinda Gates Foundation will develop a country-level TOC. The South-South and Triangular Collaboration on science, technology and innovation among Cambodia, Lao PDR, Thailand and Viet Nam will include a monitoring and evaluation mechanism to track progress of the collaboration agreement. An offer to provide explicit support to government agencies in the establishment of the M&E framework will be made in future policy projects and subject to the availability of funds.	TIID	July 2024	For the IB in Agriculture project, development of a country-level TOC and implementation of M&E activities with more gender related questions. The adoption of The South-South and Triangular Collaboration programme on science, technology and innovation among Cambodia, Lao PDR, Thailand and Viet Nam by the four countries, including a monitoring and evaluation mechanism to track progress of the collaboration agreement. Evidence of offering support

					to government agencies in the establishment of M&E framework for future policy projects