



THE GLOBAL GOALS
For Sustainable Development

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People-first PPP Evaluation Methodology & Self-Assessment Tool

Leadership Team Meeting

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Cooperation and Partnerships Section, Economic Cooperation and Trade Division



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- Part I.** Development of the methodology and its main features and characteristics
- Part II.** The benchmarks
- Part III.** Scoring
- Part IV.** Self-assessment tool (including a demonstration)
- Part V.** Annex: Some responses to potential concerns

Part I. Development of the methodology and its main features and characteristics

Evaluation methodology we have today is a result of **100 experts** who contributed their time and expertise to the development of the benchmarks & indicators

During the summer months, **benchmarks & indicators were further refined**, and an **approach to scoring** has been developed for the self-assessment tool based on:

- Feedback received from the public review period
- Extensive testing against 30+ case studies from UNECE database
- Additional consultations with sub-group leaders & substantive reviews of each section
- Consultations with UNECE staff

A self-assessment tool has been the focus of development (project recognition scheme to be developed later)

Applicability: Applicable to all types, sizes, project stages and PPP models anywhere around the world

PUBLIC-PRIVATE PARTNERSHIPS



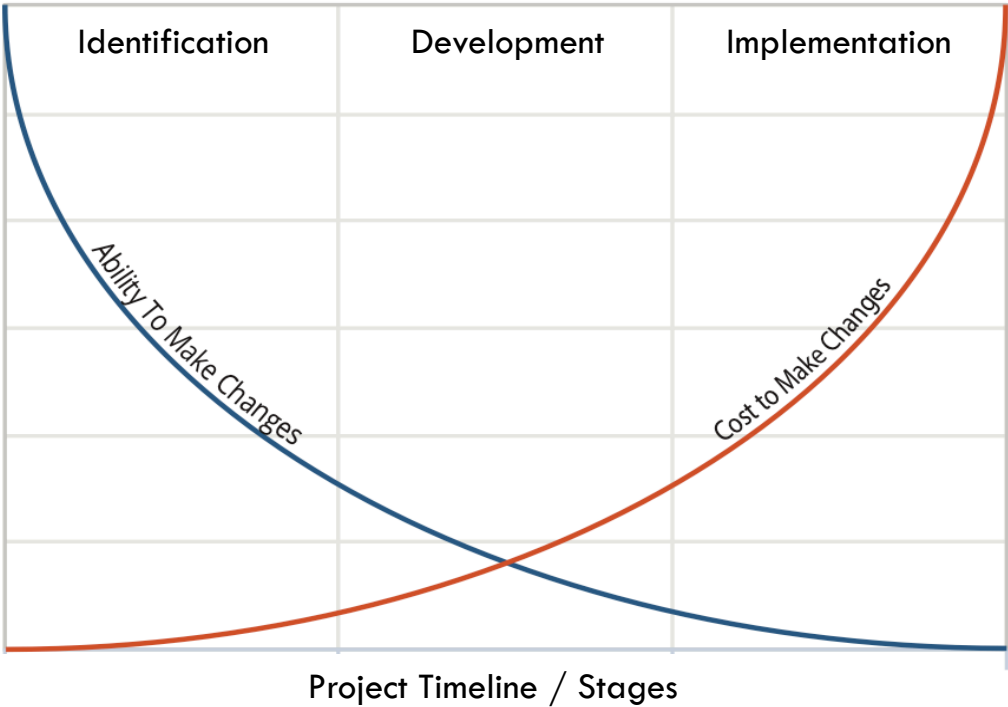
- **Economic infrastructure**
- **Social infrastructure**
- **Green infrastructure and community-based PPPs**

Main Features and Characteristics



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When to Use: Early on in project identification through to project development and implementation



Measurable & comprehensive:

- **Qualitative and quantitative** methods for measuring the People-first outcomes
- **Benchmarks and indicators aligned with the SDGs**
- **Evaluates projects, not governments;** however, due to the nature of PPPs and the alignment of this methodology with the SDGs, there are both micro (project-specific) and macro (government) indicators

Consistent: Provides a **common language** for governments and private organisations to engage in People-first PPPs and **enables a consistent way in which to evaluate PPPs**

Part II. The benchmarks



The Benchmarks at-a-glance

5 People-first outcomes

22 benchmarks

100 indicators



Access and Equity

4 benchmarks
18 indicators

- AE1 Provide Essential Services
- AE2 Advance Affordability & Universal Access
- AE3 Improve Equity & Social Justice
- AE4 Plan for Long-Term Access & Equity

Economic Effectiveness and Fiscal Sustainability

4 benchmarks
21 indicators

- EE1 Avoid Corruption & Encourage Transparent Procurement
- EE2 Maximise Economic Viability & Fiscal Sustainability
- EE3 Maximise Long-Term Financial Viability
- EE4 Enhance Employment & Economic Opportunities

Environmental Sustainability and Resilience

7 benchmarks
34 indicators

- ES1 Reduce GHG Emissions & Improve Energy Efficiency
- ES2 Reduce Waste & Restore Degraded Land
- ES3 Reduce Water Consumption & Wastewater Discharge
- ES4 Protect Biodiversity
- ES5 Assess Risk & Resilience for Disaster Management
- ES6 Allocate Funds for Resilience & Disaster Management
- ES7 Advance Community-Drive Development

Replicability

3 benchmarks
12 indicators

- RE1 Encourage Replicability & Scalability
- RE2 Enhance Government, Industry & Community Capacity
- RE3 Support Innovation & Technology Transfer

Stakeholder Engagement

4 benchmarks
15 indicators

- SE1 Plan for Stakeholder Engagement & Public Participation
- SE2 Maximise Stakeholder Engagement & Public Participation
- SE3 Provide Transparent & Quality Project Information
- SE4 Manage Public Grievances & End User Feedback

1 AE1 PROVIDE ESSENTIAL SERVICES

Includes mandatory indicators

Rationale

2 Intent Provide new or improved access to essential services to people who did not previously have access to such services (or who did not have adequate access to such services).

Metric The extent to which the project provides new or improved access to essential services.

3 Description The SDGs are first and foremost concerned with improving access to essential services for social economic and environmental development and poverty eradication, recognising that lacking access to such services can have enormous negative impacts on people's livelihoods and wellbeing. In the context of this benchmark, essential services include telecommunications and the Internet, education, energy, healthcare, transport (of goods and people), waste, and water....

4 Applicability This benchmark is applicable to all projects that provide one or more essential services and/or have the potential to directly or indirectly impact the provision of one or more existing essential services....

Performance Levels

Good Practice	Better Practice	Best Practice
AE1.1 identify and take into account the needs, goals, and issues of the communities the project intends to serve		
AE1.2 provide essential services, either directly or indirectly, to people who did not previously have access to such services		
AE1.3 assess impacts to existing essential services as a result of the project		
AE1.4 the project has eliminated, mitigated, or offset any impacts to existing essential services		
	AE1.5 stakeholder lives have been transformed as a result of the project	

Indicators and guidance

6 AE1.1 *Has the project identified and taken into account the needs, goals, and issues of the communities it intends to serve? **

Guidance for the self-assessment tool

7 Identification stage: To answer "yes" to this question...

Development stage: To answer "yes" to this question...

Implementation stage: To answer "yes" to this question...

Documentation guidance for project recognition

8 Identification stage: Prefeasibility study, PPP concept document...

Development stage: Project feasibility study, tender documents, project specifications...

Implementation stage: PPP contract document, PPP performance monitoring reports...

AE1.2 *Does the project directly or indirectly provide essential services ^[1] to people who did not previously have access to such services and/or directly or indirectly improve or maintain access to essential services? **

LEGEND:

1 Benchmark identifier and title

2 Short purpose statement & how benchmark is measured

3 Essential context (key topics/issues, links to helpful resources, definitions, etc.)

4 Guidance on determining the applicability of the benchmark and/or of indicators within the benchmark

5 Summarises the requirements (indicators) necessary to achieve "good practice", "better practice", or "best practice"

6 Indicators (posed as questions) (* indicates mandatory)

7 Guidance to help users know how to respond to a question, tailored to the project stage

8 Type(s) of documents, calculation requirements, etc. for projects wishing to pursue recognition through a verification scheme (in development)

Part III. Scoring

Scoring:

- **Weighting:** by benchmark, not by outcome
- **Performance levels:** benchmarks are scored against three performance levels: “good practice”, “better practice”, and “best practice”
- **Linear Point Scale:** applied to the points for each performance level
 - Majority of benchmarks have a parity factor (based on location) applied
 - Environmental Sustainability and Resilience benchmarks have an ‘environmental factor’ applied (based on the project’s environmental setting)
- **Statement of Intent:** projects that publish a statement of intent (stating their explicit intention to generate positive social and environmental outcomes) are awarded points equivalent to one benchmark

Scoring, continued:

- **Mandatory indicators:** most benchmarks include one or more mandatory indicators (marked with *). These are considered foundational requirements and are included in the “good practice” performance level
- **Indicators deemed not applicable:** if an indicator is deemed not applicable, the project’s score is unaffected
- **Verifiable and measurable data:** all projects are asked whether answers are based on verifiable and measurable data. An answer to this question is required, but does not impact scoring

Projects will receive a **score** and **qualitative comments** based on answers provided in the self-assessment tool (to be demonstrated next)

The self-assessment tool has been the primary focus – recognition scheme to be developed later

Part IV. Self-assessment tool (including a demonstration)



Features:

- Currently an Excel-based tool
- 100 questions (indicators) to evaluate 22 benchmarks
- Easy-to-use drop-down list of answer options
- Automatically provides an indicative “People-first” score
- Provides qualitative feedback to help projects improve social, economic, and environmental outcomes
- Provides guidance on each question, tailored to the stage of the project (i.e., identification, development, implementation)



Demonstration of the self-assessment tool

During this live demonstration, the following will be showcased:

- Self-assessment home page
- How users can access guidance to respond to the indicators
- Results page, including how the score will be presented and how qualitative feedback will be provided

Please note: the Excel-based tool should be available within 7-10 days



Demonstration of the self-assessment tool

Image of the home page:



UNECE People-first Impact Assessment Tool

Use this UNECE People-first Impact Assessment Tool to assess the compliance of your infrastructure project with the People-first outcomes and the SDGs

Project Information: Initial Questions

Location of Investment
Please indicate the country in which the project is located

Environmental Setting
Please indicate the environmental setting in which the project is located

Project Stage
Please indicate the stage of the project

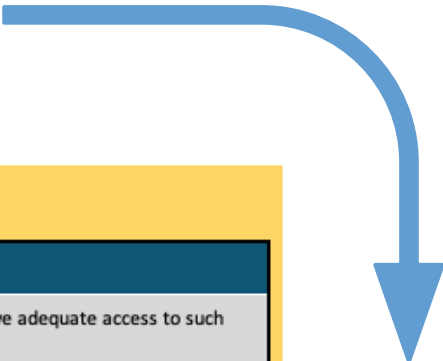
Verifiable and Measurable Data
Is the data and information you are providing verifiable and measurable?

Statement of Intent
Has the project published a Statement of Intent?



Demonstration of the self-assessment tool

Image of a benchmark, with link to guidance



Access and Equity

Benchmark		
AE1. PROVIDE ESSENTIAL SERVICES		
Intent	Provide new or improved access to essential services to people who did not previously have access to such services (or who did not have adequate access to such services).	
Applicability	This benchmark is applicable to all projects that provide one or more essential services and/or have the potential to directly or indirectly impact the provision of one or more existing essential services. As a result, it would be difficult to demonstrate that this benchmark is not relevant or applicable to a project seeking to be recognised as a People-first PPP. Therefore, projects seeking to be recognised as People-first PPPs are required to address the mandatory indicators (marked with *) which are required to meet the “good practice” performance level, and are strongly encouraged to address all indicators included in this benchmark, moving towards the “better practice” and “best practice” performance levels where possible.	
Indicators		Answer
AE1.1 *	Has the project identified and taken into account the needs, goals, and issues of the communities it intends to serve?	Yes
AE1.2 *	Does the project directly or indirectly provide essential services to people who did not previously have access to such services and/or directly or indirectly improve or maintain access to essential services?	Yes
AE1.3	Have impacts to existing essential services as a result of the project been assessed?	Yes
AE1.4	Has the project avoided/eliminated, mitigated, and/or offset impacts to existing essential services?	Yes
AE1.5	Is there evidence that stakeholder lives have been transformed as a result of the project providing new or improved access to essential services?	Yes
(* mandatory)		AE1 Performance: Best Practice

Additional guidance:

[Guidance for AE1](#)

Self-assessment Tool



Demonstration of the self-assessment tool

Image of the results page, showing the score as well as qualitative feedback based on answers provided by the user

Overall Results

Based on the answers provided, your project received the following score:

Categories	Percentage
Access and Equity	100%
Economic Effectiveness and Fiscal Sustainability	0%
Environmental Sustainability and Resilience	43%
Replicability	50%
Stakeholder Engagement	50%
Overall score	52%

**The overall score is adjusted based on the initial questions*

Note: UNECE is not responsible for the use of the score given by this tool. The score is only an information of a project compliance with the People-first outcomes and the Sustainable Development Goals and is based on the answers given by the user.

Strengths:

- The project has taken into account the needs, goals, and issues of the communities it intends to serve.
- The project has quantified the number of people who will have new or improved access to one or more essential services as a direct and/or indirect result of the project who previously had no or unsatisfactory access to these services.
- The project has identified and addressed the accessibility needs of the communities the project intends to serve, such that the service provided by the project is easily accessible by all users, including those most vulnerable and disadvantaged.
- The project has taken into account the historic context of social equity and justice throughout the life of the project (identification, development and implementation).
- The project has assessed the range of direct and indirect social impacts (e.g., direct impacts on cultural, historical, recreational, or other resources and services resulting from the project and associated activities; impacts from independent secondary development or actions that may occur as a result of the project; indirect impacts on cultural, historic, recreational or other resource or services that are important to the local community) it will have on host and affected communities (i.e., the project service area).
- The project has evaluated risks to project performance in terms of affordability, accessibility, and equitability.
- The project has been designed, structured, developed, managed or contracted to be able to anticipate and respond to potential future risks to project performance in terms of affordability, accessibility and equitability over the life of the project.

Areas for improvement:

- Follow or adhere to the UNECE Standard on a Zero Tolerance Approach to Corruption in PPP Procurement (ZTC) or the principles contained therein.
- Ensure the project is able to deliver net tangible and intangible benefits to society by providing services to a consistently and verifiably higher standard over the life of the project.
- Ensure the project's private sponsor/shareholder is of adequate technical, financial, and reputational standing to successfully finance, implement, operated and maintain the project over its life, including having access to the necessary resources to fulfil its contractual obligations.

A Great Team, A Tremendous Achievement



3 Co-Leaders



Melissa PENEYCAD



Joan Enric RICART



James STEWART



5 Sub-group leaders



Tatiana BESSARAB



Doris CHEVALIER



Anand CHIPLUNKAR



Amanda LOEFFEN



Jean-Patrick MARQUET



100 experts from Academia, Public sector, Private Companies, NGOs etc.



Thank you!

Part V. Annex: Some responses to potential concerns

The level of detail might deter some users

- Level of detail provided for each benchmark is expected and is necessary for users to understand requirements and is also consistent with other methodologies that are used around the world to evaluate projects

There are too many mandatory indicators

- It is of course possible to further reduce the number; however, the current mandatory indicators are considered ‘foundational requirements’ and should be able to be achieved by any type of PPP (noting that a few select indicators may be N/A for some projects, under certain circumstances)

Not enough indicators have a ‘not applicable’ answer option

- Adding the “not applicable” answer option to more indicators will add further complexity to the tool, not sure this is necessary or wise. Could develop additional guidance for “old” or legacy projects

Every project will fail

- It depends on how “failure” is defined. If failure means not meeting one or more of the mandatory indicators, all projects will not fail as the mandatory indicators should be achievable by any PPP and if a PPP cannot meet a mandatory indicator, perhaps it should not be designated as a people-first PPP (we also cannot have every project “pass” as that would jeopardise the credibility)

Points for location of investment is unfair; it penalises projects in OECD countries and rewards projects in developing countries

- Points for location of investment recognises the extra effort required to achieve a people-first PPP in developing and least developed countries
- Socio-economic parity factor applied to the point scale is one way to recognise this extra effort, and was designed to make the tool more equitable. It is also an approach that aims to be as consistent as possible with how the scoring works for the Environmental Sustainability and Resilience outcome (the point scale changes based on the project's environmental setting)
- Example: a project in Canada should be able to go beyond “good practice” for most, if not all benchmarks, whereas that might not be true or as easy to achieve for a project in the Ukraine
- Other ways of recognising projects in developing countries (e.g., giving them a ‘handicap’ at the start worth a certain number of points, or adding points to the total overall score can be done, but this may be seen as a more arbitrary and blunt mechanism, and increases the chances of a project scoring more than 100%). It is also a different approach to the approach taken for Environment
- There are benefits and drawbacks associated with every approach to scoring – we need to choose a way to score projects, and “live” with the drawbacks, recognising we can always change the approach in a future iteration of the tool based on user experience when the tool is used on real-world projects

Environmental section does not comprehensively address all potential environmental concerns

- Environmental aspects had to be prioritised to keep the number of benchmarks and indicators to a minimum
- Environmental sub-group aimed to address as many environmental aspects as possible within fewest number of benchmarks possible
- Other topics not explicitly addressed in the People-first PPP evaluation methodology (e.g., air pollutant emissions; net embodied carbon of materials; sustainable purchasing (of materials); stormwater management; heat islands; soil health; pesticide, fertilizer, GMO impacts; management of invasive species; etc.) shall be addressed in a separate guidance document

Projects can just skip a question by answering "not applicable"

- Only a few indicators have the "not applicable" answer option, and for projects that decide to go through the people-first project recognition scheme (in development), they will be required to provide a rationale and may also be required to provide supporting documentation to justify an indicator's lack of applicability to the project which will form part of the overall review/verification of the project as performed by an external expert assessor