

UNDP Innovation Facility Project

Formative Evaluation

Final Report

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Prepared by:

Dr Patrick Breard, International Consultant

Executive Summary

The UNDP Innovation Facility cost-sharing project was set up in June 2014 to support UNDP and partners in finding more effective solutions to development challenges. Leveraging UNDP's global presence, the Innovation Facility sought to experiment with different innovation methods, rapidly learn what works, and catalyse the right partnerships to bring what works to scale. The project pursued these objectives by:

1. Developing products and service offerings that reflect Leading Edge Thinking on Innovation for Development;
2. Incorporating innovative approaches for Co-Design of Development Problems and Solutions in country, regional and global initiatives / projects;
3. Increasing visibility, familiarity and understanding of UNDP's approach to innovation for development;
4. Increasing availability of qualified Social Innovators to support UNDP innovation for development work;
5. Improving organizational processes.

Between 2014 and 2017, the Innovation Facility supported over 142 initiatives in 87 countries with seed-funding and advisory support provided by a dedicated team of innovation specialists operating at HQ and from regional hubs.

The objectives of this evaluation were to assess the Innovation Facility project's implementation (not UNDP's broader innovation function and activities, which necessarily go well beyond the scope of a single project), and to provide key lessons and inputs to inform the next phase and role of the UNDP Innovation Facility (2019 – 2021), as UNDP intensifies its effort to foster innovation under its new Strategic Plan. The assessment relied on a review of +200 secondary resources, such as project outputs, progress reports, and past evaluations; interviews with 19 key informants including UNDP Senior Managers, Innovation Facility's global and regional project team members, recipients of seed-funding from the Innovation Facility, and external partners; a survey responded by 42 project managers and Innovation Champions from 31 countries; 4 case studies; and a review of social media activities. As this is a light formative evaluation, country visits and consultations with national partners were not deemed feasible, though it is acknowledged that these may have made for a richer and more thorough assessment.

The evaluation found the project highly relevant to respond to an environment witnessing accelerated change and increased complexity. The Sustainable Development Goals call for innovative approaches and new partnerships to lift over 650 million people from extreme poverty. Internally, the project was anchored in UNDP's Strategic Plan 2014-2017 that embedded innovation as a key component of UNDP's development work. The new Strategic Plan 2018-2021 makes the project even more opportune by establishing an innovation stream as a core business model for the organization. The evaluation noted that the relevance of the project could be further evidenced with a clearer causal chain linking project outputs/outcomes with UNDP Signature solutions and expected development outputs/outcomes.

The project was found effective in achieving its intended outputs, while adapting the underlying activities to a changing context and lessons learned. Scanning the horizon and selecting new potential development solutions, the range of innovation approaches has been expanded from 10 to 18 during the project. The Innovation Facility has supported 142 projects with seed funding and technical assistance between 2014 and 2017. Many advocacy, outreach and communication activities were conducted, from the initial SHIFT week in September 2014 to the more recent monthly Innovation Calls with the Administrator, raising the visibility of UNDP's innovation work both inside UNDP and outside. Access to social innovators has been increased but an expert roster originally built to support this function was relied on less than expected, while the Regional Innovation Leads acted as effective knowledge brokers between UNDP Country Offices (COs) as well as with external stakeholders. The introduction of the corporate policy on Open Innovation Challenges, as well as the revision of UNDP Programme and Project Management, promoted a more flexible approach to projects that facilitates innovation, as well as the removal of some operational barriers. The evaluation noted that the project had been particularly effective at embarking the innovators and early adopters on innovative approaches. Additional efforts remain needed to reach larger cohorts, being among UNDP managers, or up to national institutions and governments that are the final decision makers when it comes to adopting innovative development services.

Considering the level of resources committed by UNDP and the funding brought by the Danish Government, the project was found efficiently managed. For instance, activities such as mainstreaming innovation in UNDP

Leadership Training Programme has allowed to reach/train 600 staff¹ on innovation at very reasonable costs. Similarly, relying on UNDP staff as trainers or internal consultants to support other country offices on their innovation agenda has proved an efficient modality to leverage previous investments. The Innovation Facility seed funding was also effective in catalyzing additional financial or in-kind support from a range of partners including the private sector. The evaluation noted that the current project modality to manage seed funds come with certain technical and administrative costs and that other approaches such as a trust fund could be explored to generate higher benefits. Similarly, the annual seed funding campaign while being convenient to manage at global level did not prove entirely addressing the need for more flexibility at CO level. Furthermore, the project did not appear to closely coordinate with other recent initiatives that had an innovation component (Project Catalyst, Country Investment Facility, Project T) suggesting room for improved corporate efficiency.

The project was found to having contributed to development outcomes by making funded projects more effective (improved quality, targeting, inclusiveness, timeliness). For the period 2014-2017, the project reported a total of 66 public-private partnership mechanisms and models² to provide innovative solutions for development piloted through the Innovation Facility for roll out. Some of the partners with international visibility include Facebook, Google, Microsoft, Vodafone, NASA, MIT, PWC, E&Y, McKinsey. Comparative analysis showed also that COs that have adopted innovative approaches tend to attract double (or more) of the partnerships with the private sector, the academic/think tanks, Foundations, and IFIs. Incidentally, the project has contributed to larger innovation uptake through spillover effects. For instance, 5 out of the 35 initiatives seed-funded in 2017 led CO project teams to try an innovation project in another field after this initial experience³. Another catalytic effect regards the contribution of the project seed-funds to strengthening the credibility of innovation approaches in front of external partners and to trigger additional co-funding. For example, for one dollar of seed-funding allocated by the project in 2017, COs have on average mobilized \$2.13 in local resources. Altogether though the Innovation Facility appears to have contributed more strongly to scaling innovation approaches/methods than projects. COs may rather rely on local resources to scale projects than on the Innovation Facility seed-funds, which are more often tapped at the early stage or at the test & evidence collection phase of an initiative.

The evaluation found the sustainability of the Innovation Facility project unclear after 2019. Current funding comes primarily from Denmark. The donor has committed resources to the project until 2019. Despite being itself a strong innovation advocate, it is not possible to foresee the priorities of the Danish Government in 2 years. Similarly, innovation has become a higher priority for UNDP but without any visible additional funding for the Innovation Facility. Nevertheless, the project has achieved a range of sustainable outcomes. For instance, 60% of Innovation Facility initiatives funded in 2014 and 2015 were taken up in 2016 in partnership with the government, private sector and civil society.

The evaluation concludes that project has supported UNDP in achieving its strategic results by fostering internal change and enabling COs to bring new solutions to national partners in response to their development objectives. The project has successfully participated in the identification and promotion of innovative approaches. New approaches/methods have been identified, adopted and scaled up, particularly in Asia & Pacific and ECIS. The seed-funding modality also has been particularly effective at raising the attention of COs on the innovation agenda, familiarizing staff with the new approaches/methods, and helping partners to take on and test new development solutions. Conversely, the project has been confronted to several constraints such as the lack of a Theory of Change and monitoring instruments that would better track impact or be more effective at communicating failures and lessons learned, and therefore at fostering organizational learning. The current “projectization” of the Innovation Facility including through the support that it provides at country level appeared also to mitigate the capacity to scale initiatives. In addition, the current funding structure of the project by concentrating financial support on the Government of Denmark creates a risk for the sustainability of the project. Other constraints met by the project include the lack of rewards or incentives for staff to actively scan the horizon, report innovative approaches, reflect and test, and strive to change the status quo. A second uncoded area faced by the project regards the lack of clear process/procedure/governance in UNDP to institutionalize

¹ As reported to the evaluation by UNDP BMS/OHR.

² UNDP BPPS. 2017. UNDP Global Programme (2014-2017) Results & Resources Framework: CUMULATIVE REPORTING for 2014-2017. Internal document. New York.

³ UNDP BPPS. 2018. Innovation Facility Survey, 2018. Internal document. New York.

innovation approaches/methods, i.e. to transition a new approach from innovation to the mainstream⁴, including to a “global owner” and capacities, being in BPPS, a Regional Hub, or Centre of Excellence. The short timeframe (under 8 to 9 months) given to CO to use seed-funds has also been a constraint as well as the lack of visibility on subsequent seed-funds to scale-up initiatives. Furthermore, seed-funding and technical assistance provided by the Innovation Facility tend to concentrate on projects, while innovation implies a broader change management agenda with additional emulating levers at CO level and up to national partner institutions. In other words, many CO still need more empowerment towards risk-taking and sustainable innovation. Advocacy, communication, skills-building initiatives (especially learning by doing) and training have moderately targeted CO Directors and operations staff, who are critical in making innovation tested and embedded in planning and processes. Similarly, networking has successfully embarked the like-minded, such as social innovators, but less so the more risk adverse bilateral donors and national communities. Another overlooked area stressed in the conclusions regards the lack of a more comprehensive functional and organizational review that would have pointed out all the “choke points” hampering or slowing-down innovation throughout the organization. Such initiative is currently on-going. However, conducted earlier on in the project cycle, it could have brought the underlying project output closer to the targets set forth in the original Project Document⁵.

Overall, the evaluation found that the Innovation Facility project has shown significant achievements in 3.5 years of implementation. The following recommendations were formulated to inform future project development:

- 1. The Innovation Facility project should develop a Theory of Change that accounts for the new vision and priorities set forth in UNDP Strategic Plan 2018-2021.**
- 2. The Innovation Facility should consider pursuing stronger coordination and governance arrangements to drive synergy among all corporate initiatives with a strong innovation component, including Project Catalyst, the Country Investment Facility, Project T and others.**
- 3. The project should conduct a review of the administrative and procedural bottlenecks that impede innovation within UNDP**
- 4. The project should continue looking for the leading edge and explore mechanisms to institutionalize innovation approaches/methods that were taken-up by the organization**
- 5. The project should explore ways to further empower COs to take-up and scale innovation**
- 6. The project should consider alternative funding arrangements, like installing a trust fund, to “de-projectize” the Innovation Facility and facilitate the mobilization of additional resources**
- 7. The Innovation Facility should further emphasize and support cultural change as a key enabler of innovation adoption within UNDP and across partner organizations**

⁴ The evaluation acknowledged that the ongoing corporate process to review and adjust UNDP’s policy functions may also potentially determine the future ‘home’ of innovation.

⁵ Project Output 5 (Improved organizational process for Performance Efficiency) targeted four processes revised to incorporate innovative approaches by the end of 2015.

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Acronyms and Abbreviations

AI	Artificial Intelligence
ASG	Assistant Secretary General
BERA	Bureau of External Relations and Advocacy
BI	Behavioral Insights
BMS	Bureau for Management Services
BPPS	Bureau for Policy and Programme Support
CEB	Chief Executives Board for Coordination
CO	Country Office
CPD	Country Programme Document
DAC	Development Assistance Committee
DIG	Development Impact Group
E&Y	Ernst & Young
ECIS	Europe and Commonwealth of Independent States
GEF	Global Environment Facility
GSMA	GSM Association
HQ	Headquarter
HQPSS	Headquarter Products and Services Survey
I4D	Innovation for Development Lab
IDIA	International Development Alliance
IF	Innovation Facility
INSEAD	Institut européen d'administration des affaires
IRRF	UNDP Strategic Plan Integrated Results and Resources Framework
KM	Knowledge Management
LAC	Latin America and the Caribbean
M&E	Monitoring & Evaluation
MAPS	Mainstreaming, Acceleration, Policy Support
MIT	Massachusetts Institute of Technology
NASA	National Aeronautics and Space Administration
ODA	Official development assistance
OECD	Organisation for Economic Co-operation and Development
PPM	Programme and Project Management
PWC	PricewaterhouseCoopers
RBAP	Regional Bureau for Asia and the Pacific
RBEC	Regional Bureau for Europe and the CIS
RBx	Regional Bureaux
RCs	Regional Centres
RCT/PT	Randomized Controlled Trial
ROAR	Results-oriented Annual Reporting
SDG	Sustainable Development Goals
TOR	Terms of Reference
UK	United Kingdom
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations International Children's Emergency Fund
UNIN	United Nations Innovation Network
USAID	<i>United States Agency for International Development</i>
WFP	World Food Programme

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We would like to thank also the UNDP Project Managers and Innovation Champions who participated to the evaluation either through the online survey or with Skype interviews. Their inputs have substantiated this assessment and informed the recommendations.

Members of the Innovation Facility Project Board as well as external partners have conveyed strategic perspectives on achievements and expectations for the future, which is greatly appreciated.

1. Introduction

This Evaluation Report reflects the Independent Evaluator's assessment of the Innovation Facility project. The report follows the Terms of Reference for the Evaluation (Annex 1). The first section of the report presents the scope of the assessment, the evaluation questions, and methodology. The second section conveys the evaluation findings. The third section highlights the conclusions of the evaluation, and the final section provides several key recommendations to the project.

2. Evaluation Objectives and Approach

2.1. Purpose and Scope of the Evaluation

The main goal of this rapid assessment was to provide UNDP management with key lessons regarding the implementation of the Innovation Facility project. More specifically, the evaluation pursued the following objectives:

- Provide key lessons and inputs to UNDP management regarding the implementation of the UNDP Innovation Facility project (2014 to 2017): with special focus to assess whether the current approach and investments triggered organizational change and innovation in UNDP's country-level programming in the best way possible, given the organizational set up.
- Inform the implementation and positioning of the next phase of the UNDP Innovation Facility (2019 – 2021) or another vehicle to advance and institutionalize innovation in UNDP, with regards to the 2018-2021 UNDP Strategic Plan and the larger UN Reform Agenda including the discussion on frontier issues undertaken by UN the Secretary General and CEB, and the UN Innovation Network.
- Provide recommendations to improve programme design, processes, and systems (including the monitoring and evaluation plan) for the operationalization of the next iteration of the Innovation Facility (2019 to 2021) or another corporate innovation initiative.

As the Innovation Facility secured funding for a follow-up phase, the assessment was forward looking. The focus of the evaluation has been on the Innovation Facility project itself and not on the larger 'innovation function' at UNDP, which is well beyond the remit of a single project. However, possible knock-on effects and contribution of the project to the larger UNDP innovation agenda were considered. The evaluation covered the period from 2014 to 2017, but several initiatives predated the project document while others were carried out during the first semester of 2018. Accordingly, the evaluation addressed resources relevant during this entire period, regardless of the initial roll-out/start date. **Target users of the evaluation report are the Innovation Facility Project Team, the UNDP Innovation Board, and the Government of Denmark as funder.**

2.2. Evaluation Questions

The main evaluation questions to be addressed were developed by the Project Team:

- A. How has the Innovation Facility project supported UNDP in achieving its strategic results?**
- B. What were the outstanding features of how the Innovation Facility project operates?**
- C. What are shortcomings / flaws in the setup?**
- D. What should the next iteration of an Innovation Facility project do differently, how should it operate to be more effective?**

These questions were further unpacked using the UN/OECD-DAC's criteria:

- | | |
|----------------------------|---|
| 1 Relevance: | <i>How well designed is the project to meet its broader objective to advance innovation across UNDP?</i> |
| 2 Effectiveness: | <i>How well has the project delivered the expected results?</i> |
| 3 Efficiency: | <i>To what extent is the project on track to catalyze innovation at UNDP?</i> |
| 4 Impact: | <i>To what extent is the project on track to influence the broader corporate system in the uptake of innovation in contexts where it has invested in innovation?</i> |
| 5 Sustainability: | <i>To what extent has the project shown to be sustainable and/or scalable?</i> |

Questions 1 to 5 were disaggregated into sub-questions (Annex 2) that served to inform the design of the evaluation's data collection tools and are addressed below in the Evaluation Findings. The main questions A to C supra articulate the Conclusions. Question D is addressed with the final section on Recommendations.

2.3. Methodology

The assessment was conducted between February and July 2018. It was guided by the evaluation questions mentioned above and according to the evaluation matrix developed in the Inception Report. Information to answer the evaluation questions was collected through complementary methods:

- Semi-structured interviews with and feedback from members of the Innovation Facility Board, staff from the Innovation Facility global team, Regional Innovation Leads, UNDP Project Managers of projects seed-funded by the Innovation Facility, and external partners. In total 19 informants were consulted, mostly remotely through phone/Skype calls in May-June 2018 (Annex 3).
- A desk review of 200+ secondary resources was carried out to analyse the project framework, internal information and reports, project outputs, external publications as well as previous findings and recommendations from past evaluations (Annex 4). Selected content was mapped against the OECD/DAC criteria and the evaluation matrix.
- An online survey was disseminated to a convenient sample of 68 UNDP Project Managers that worked on projects having received seed-funding from the Innovation Facility between 2014 and 2018. To ensure strong visibility and authority to the survey, the questionnaire was sent by *BPPS Global Knowledge Management and Innovation Advisor*. Two personalized reminders were addressed to survey recipients. The survey was anonymous. In total, 42 respondents took the survey, which represents a significant level of participation with a response rate ca. 62% (Annex 5).
- Four brief case studies demonstrating the impact pathway from projects supported by the Innovation Facility, i.e. from funded activities to development changes. The case studies feature the Innovation for Development Lab (I4D) at UNDP Egypt, the ServiceLab project at UNDP Georgia, the Baidu E-waste Recycling project by UNDP China, and the Spatial Data Sandbox, a cross-regional (global) UNDP project on big data, new and emerging data (Annex 6).
- A brief review was conducted of the online activity of UNDP Innovation Facility on social media and networks. The assessment concentrated on an analysis of UNDP's twitter account "@UNDP_innovation" and a review of UNDP Yammer innovation network (Annex 7)

Information was triangulated with inputs and data from different sources (e.g. survey, interviews, and secondary data). Data analysis was both qualitative and quantitative. Qualitative analysis implied to attribute qualitative inputs to the evaluation sub-questions, identify patterns and singularities, and explore causalities stemming from the project. Quantitative analysis included a review of the metrics and quantitative achievements of the project. Statistical analysis of the survey results was complemented with the formulation of indices to compare assessments. Cross-tabulations were used to segment opinions according to the profile of respondents.

The first draft evaluation report was provided to the Innovation Facility Project Team for comments. The final draft reflects the feedback collected including on the evaluation recommendations, on which the team brought minor revisions.

Limitations: The evaluation faced several constraints that influenced the design and findings of the assessment. The evaluation did not rely on any country visits and face-to-face consultations with governments and practitioners. This is likely to have reduced opportunities for collecting evidence of impact at national level. The short time frame availed for the research did not allow for a more comprehensive collection of survey responses. Furthermore, the methodology used for the survey did not allow for installing a protocol that would ensure that results can be generalized⁶. Secondary data analysis did not explore all possible correlations and cross-tabulations with a view to narrow down the effects of the project in the larger innovation agenda at UNDP. This report is the result of a rapid assessment.

⁶ The survey was disseminated by email to a convenient sample of 68 Project Managers that received seed-funding from the Innovation Facility between 2014-2018. Accordingly, the sampling strategy cannot ascertain that members were statistically representative of the entire population of 142 seed-funded projects. Furthermore, email surveys are potentially confronted with non-response biases, which the evaluation did not adjust. The survey represents therefore the perspectives of the sample of respondents.

3. The Innovation Facility Project

3.1. Project Objectives and Components

The Innovation Facility was set up to support UNDP and partners in finding more effective solutions to development challenges. Leveraging UNDP's global presence, the Innovation Facility sought to experiment with different innovation methods, rapidly learn what works, and catalyse the right partnerships to bring what works to scale. Between 2014 and 2017, the Innovation Facility supported over 142 initiatives in 87 countries with seed-funding. The project started in June 2014 and was expected to run until December 2017. In February 2017, the Innovation Facility Board agreed to extend the project until mid-2018.

The Innovation Facility project was part of UNDP Global Programme V. The project is a component of a larger innovation agenda at UNDP that comprises other initiatives at regional and country levels. Since the UNDP Strategic Plan 2014-2017, these initiatives inform output 7.6 of the IRRF and its indicators. A simplified representation of the project and larger UNDP innovation context is provided below (Figure 1).

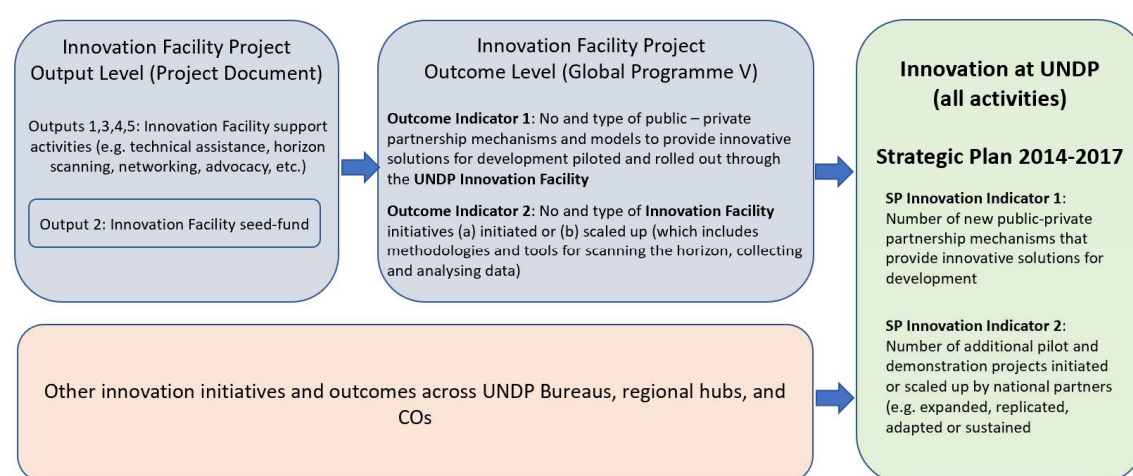


Figure 1: Overview of the Innovation Architecture contributing to UNDP Strategic Plan

Source: Evaluation, 2018.

As referred in the Project Document, the mission of the Innovation Facility was to support initiatives that a) strengthen UNDP's position as a leading advisor on innovation for development; b) enable national development actors to co-create value; c) increase understanding of the role and value of innovation for development; d) support social innovators both within the organization and from the broader development community; and finally, e) enhance UNDP's own performance efficiency through innovative practices. These objectives were transcribed into the Project Document's Results and Resources Framework as follows:

Expected Results	Indicators	Baseline 06/2014	Targets 2014	Targets 2015
Outcome				
Innovations enabled for development solutions, partnerships and other collaborative arrangements ⁷	No and type of public – private partnership mechanisms and models to provide innovative solutions for development piloted and rolled out through the UNDP Innovation Facility <i>[cumulative targets]</i>	0	N/A	10 [2017]
	No and type of Innovation Facility initiatives (a) initiated or (b) scaled up (which includes methodologies and tools for scanning the horizon, collecting and analysing data) <i>[cumulative targets]</i>	(a) 0 (b) 0	(a) N/A (b) N/A	(a) 100 [2017] (b) 10 [2017]

⁷ The Project Document did not include outcome indicators and targets, which became specified in UNDP Global Programme V. The targets referred here are based on the Results and Resources Framework for GP V, update of 21 September 2015.

Expected Results	Indicators	Baseline 06/2014	Targets 2014	Targets 2015
Outputs				
1: Product and service offerings developed reflecting Leading Edge Thinking on Innovation for Development	Number of new product offerings that reflect leading-edge innovation for development thinking	0	1	2
	Number of new innovative service offerings that reflect leading-edge innovation for development thinking	0	1	2
	UNDP Products and Services Survey satisfaction rating with innovation products and services	N/A	N/A	75%
2: Country, regional and global initiatives / projects incorporate innovative approaches for Co-Design of Development Problems and Solutions	Number of new initiatives/projects using innovative approaches to design activities, projects and programmes	0	5	15
	Number of new initiatives/projects applying innovative methodologies for implementation (e.g., prototyping, new technologies)	0	5	15
	Number of new initiatives/projects using innovative approaches to M&E	0	5	15
	(a) Number of "Innovation Alpha" and (b) "Innovation Grand Slam" initiatives	(a) 0 (b) 0	(a) 1 (b) 1	(a) 1 (b) 1
3. Increased visibility, familiarity and understanding of UNDP's approach to innovation for development (through Advocacy, Outreach and Communication)	Number of external references to UNDP on various social media (twitter, Instagram, Facebook)	N/A	20	50
	Number of unique users signed in to UNDP's Innovation for Development Teamworks space annually	1,188 (Feb-Dec 2013)	1,500	2,000
	Number of regional and global events in which UNDP social innovators participate	N/A	5	10
4. Increased availability of qualified Social Innovators to support UNDP innovation for development work	Number of vetted experts on UNDP's social innovation roster (disaggregated by sex)	0	10	20
	Number of roster deployments (disaggregated by sex)	0	3	6
5. Improved organizational process (for Performance Efficiency)	Number of processes that have been revised to incorporate innovative approaches	1	1	3

Table 1: Expected Outcome and Outputs from the Innovation Facility Project
Sources: UNDP Innovation Facility Project Document & Global Programme V, 2014.

The Results and Resources Framework proved difficult for the evaluation to use as targets were not formulated for the entire period of implementation but the first 18 months⁸. Furthermore, several indicators did not hold over time, either because the organizational change UNDP went through made them obsolete, or because they were not found sufficiently relevant or applicable during project implementation (confer also section 3.6). The evaluation accounted for the constraints and limitations faced by the project to monitor achievements according to the initial framework. The evaluation methodology and reporting were adapted accordingly.

3.2. Target Areas/Groups

The Project Document did not include a stakeholder analysis, but the main target beneficiaries of the Innovation Facility project were identified as UNDP Country Offices and Bureaus implementing projects at country, regional and global levels. Indirect beneficiaries would include government counterparts and other national partners. The Project Document referred also to other UN entities and international development actors as potential partners in project implementation.

3.3. Project Governance

⁸ Targets for 2016 and 2017 were to be informed by the amount of resources mobilized as well as the achievements and lessons learned derived after the first year of project implementation. In practice, the framework was not updated, and new targets set.

The *Innovation Facility Board* -or *Project Board*- served as the main organ for strategic direction setting. As originally conceived, it comprised UNDP senior leaders⁹ at the ASG and Director-level from BPPS, BMS, BERA and RBx. It originates in a decision of UNDP Administrator in 2013 that constituted a UNDP Innovation Board to provide strategic direction, oversee a pipeline of initiatives, and hold accountability for the innovation agenda in the organization.

The *Project Team* was composed of 3 staff in New York and 5 Innovation Specialists in the Regional Hubs¹⁰. The *Project Manager* function was assigned to *UNDP Global Innovation Specialist* in BPPS, responsible for general management of project implementation, partnership building with RBx/RCs, leading *Board* meetings, representing UNDP in the UN Innovation Network and playing an active role in the undg space, and related tasks. The two other team members¹¹ in NY are the *Global Knowledge Management and Innovation Advisor*, and the *Innovation Facility, Global Coordinator & Fund Manager*¹². The five *Regional Innovation Advisors/Specialists* are out-posted BPPS staff who divide their time between supporting innovation (including the innovation facility project implementation) as well as other related but distinct tasks, such as Knowledge Management or South-South cooperation. Furthermore, the LAC region did not rely on a full time *Regional Innovation Advisor/Specialist* for some part of the project.

Project Assurance and Support were carried out by an *Operations Team* in BPPS that ensured operations corresponded to agreed work plans, budget and UNDP procedures.

3.4. Project Financing

The project was initiated with financial support from the Government of Denmark. UNDP paid for all staff costs. According to the Project Document, total resource requirements for project implementation were USD9.6M. The project started with a mobilization of USD3.2M (USD2.7M from Denmark [i.e. DKK15,000,000] plus USD500,000 from UNDP Global Program V). Denmark's yearly support remained at DKK15,000,000 over the course of the project, except for 2016 where it was lowered to DKK10,000,000 due to domestic development priorities. Denmark has pledged to contribute to the project until 2019. BPPS provided staff salaries for the team – which is a significant contribution in the 'cost sharing' spirit of the donor agreement.

In 2015, UNDP RBAP raised an additional USD200,000 for innovation in the region to complement funding from the Innovation Facility, through which these additional resources were channeled. Additional funds were leveraged from the Slovak Republic for ECIS in 2015 & 2016: \$ 1.5 million.

According to UNDP Projects database¹³, the budget and expenses of the project were the following:

Year	Funds from Denmark	Programmatic Funds from UNDP	Total Funds Received	Total Expenditure of Funds
2014	\$2,733,734	\$500,000	\$3,233,734	\$3,014,099
2015	\$2,131,893	\$423,400	\$2,555,293	\$2,693,316
2016	\$1,473,273	\$95,839	\$1,569,112	\$425,725
2017	\$2,295,684	\$165,421	\$2,461,105	\$1,693,573

⁹ The Project Document considered that the Board could be further expanded in due course with participation from Resident Coordinators and senior colleagues in the field.

¹⁰ Despite not being funded by the project, approximately 6 country offices have invested in creating a dedicated post for Innovation Specialist or innovation-focused jobs. Furthermore, innovation champions are spread around more than 76 Country Offices.

¹¹ The Project Document refers also to a *Knowledge Management Specialist* (global) among the team members, but this position is not filled. This position was expected to be responsible for managing the virtual community on innovation, maintaining the virtual space for UNDP on innovation work, and managing the development and implementation of the "Innovation Conversation series" including periodic webinars with internal and external social innovation experts.

¹² Responsible for supporting the coordination of the Innovation Facility fund, assisting in general project monitoring and implementation, preparing summary reports, managing client relationships, and supporting the implementation of the high-profile activities to tackle innovation priorities.

¹³ <https://open.undp.org/#project/00081451>

Total ¹⁴	\$9,819,244	\$7,826,713
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Table 2: Summary of UNDP Managed Budget for the Innovation Facility Project

Source: UNDP Projects Database, June 2018.

The Global Innovation Team conducted several scoping exercises to identify additional programmatic funding opportunities. Discussions were engaged with representatives of the Governments of Israel, Poland, Germany and Norway among other potential donors but were not conclusive.

3.5. Reconstructed Theory of Change of the Project

The evaluation reviewed the results framework developed by the Innovation Facility (confer above section 3.2. Objectives and Components). The outputs and outcome identified in the Project Document were found to form a coherent framework with a reasonable causal chain. However, the analysis of activities and output indicators led to formulate the following comments that informed the reconstructed Theory of Change:

Output 1: Product and service offerings developed reflecting **Leading Edge Thinking on Innovation for Development**

- **Indicator 1.1** “Number of new product offerings that reflect leading-edge innovation for development thinking”: This indicator did not prove specific and measurable enough during project implementation and was blended with indicator 1.2.
- **Indicator 1.2** “Number of new innovative service offerings that reflect leading-edge innovation for development thinking”: This indicator stood rather well over time, covering “Number of new innovative approaches (including methodologies, products, and services) that reflect leading-edge innovation for development thinking”
- **Indicator 1.3** “UNDP Products and Services Survey satisfaction rating with innovation products and services”: The HQPSS was not carried forward after 2012, which made the indicator obsolete.

Output 2: Country, regional and global initiatives / projects incorporate innovative approaches for **Co-Design of Development Problems and Solutions**

- **Indicator 2.1** “Number of new initiatives/projects using innovative approaches to design activities, projects and programmes”: This indicator was not monitored as such. The ROAR collects information on “Early stage” projects but this is not specific to the Innovation Facility and embraces innovation across UNDP.
- **Indicator 2.2** “Number of new initiatives/projects applying innovative methodologies for implementation (e.g., prototyping, new technologies)”: This indicator was not monitored as such. The ROAR collects information on “Test & Evidence Collection Phase” projects but this is not specific to the Innovation Facility and embraces innovation throughout UNDP. Both indicators 2.1. and 2.2 were similar to the IRRF outcome level indicator: “No and type of Innovation Facility initiatives initiated or scaled up (which includes methodologies and tools for scanning the horizon, collecting and analysing data)”.
- **Indicator 2.3** “Number of new initiatives/projects using innovative approaches to M&E”: This indicator was not monitored.
- **Indicator 2.4** “Number of “Innovation Alpha” and “Innovation Grand Slam” initiatives”: As such, the concept of innovation alpha and grand slam was not pursued and not monitored.

Output 3: Increased visibility, familiarity and understanding of UNDP’s approach to innovation for development (through **Advocacy, Outreach and Communication)**

- **Indicator 3.1** “Number of external references to UNDP on various social media (twitter, Instagram, Facebook)”: This indicator was not specific enough, “UNDP” can be referred on social media for reasons that have nothing to do with innovation. It could be further argued that being referred on social media is not necessarily being innovative anymore.

¹⁴ Note: The Innovation Facility often rolls over a portion of funds to the following year to ensure the seamless continuity of the project activities. In 2017, the late receipt of funds over summer, resulted in winning teams receiving funds later in the year and an implementation cycle across 2017 and 2018.

- **Indicator 3.2** “Number of unique users signed in to UNDP’s Innovation for Development Teamworks space annually”: The Teamworks platform was terminated in 2015.
- **Indicator 3.3** “Number of regional and global events in which UNDP social innovators participate”: The Innovation Facility can eventually track the participation of the Regional Innovation Leads and global innovation team to events but not the entire community of UNDP social innovators.

Consultations with the global Project Team informed the formulation of the Theory of Change (Figure 2). The objective was not to build a thorough and detailed Theory of Change, but rather to help the evaluation gain a better understanding about the expected outcomes of the project, the conditions of implementation, and the scope of the assessment.

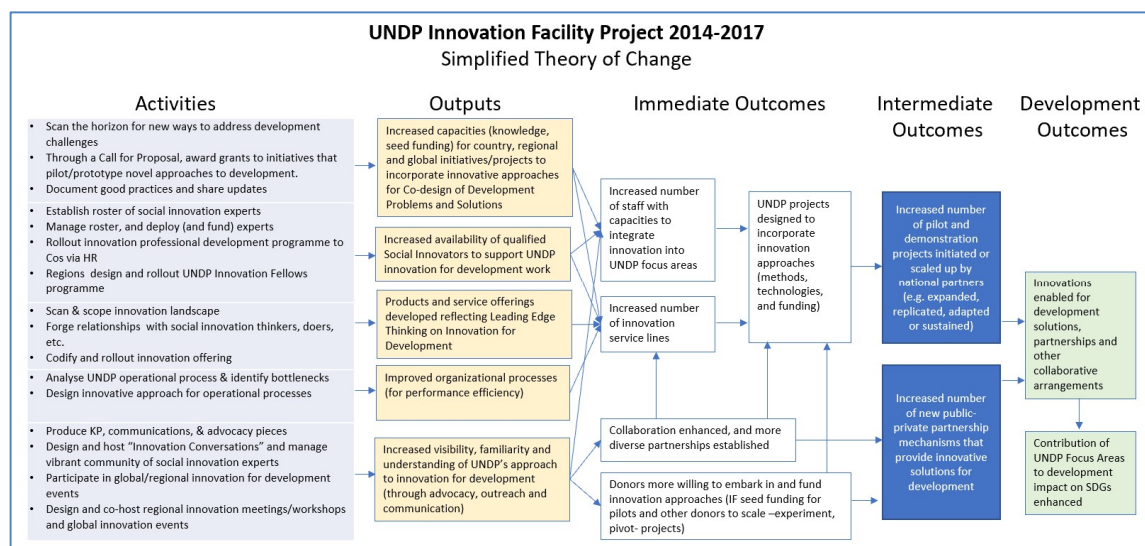


Figure 2: Simplified Theory of Change of the Project
Source: Evaluation, 2018.

The following assumptions were formulated using the Project Document and Risk Log:

1) From Activities to Outputs

- Availability of and demand for innovation have been accurately identified and translated into concrete innovation approaches/methods.
- There is agreement over which initiatives/projects to invest in.
- UNDP’s organizational restructuring does not impair the organization’s ability to deliver and the IF to be supported by sufficient human resources.

2) From Outputs to Project Outcomes

- There is sufficient support among senior management to overcome resistance to change. Innovation champions are identified and supported. Innovation successes are advertised, promoted and rewarded.
- There is sufficient space for failure. Failures are celebrated by encouraging sharing of experiences, good and bad.
- There are sufficient qualified initiatives or projects in which to invest.
- RBx, RCs and COs become more comfortable in using innovative approaches.

3) From Project to Development Outcomes

- UNDP Focus Areas and CO integrate innovation approaches.
- Partners are motivated to incorporate innovation initiatives in their projects and to adapt –e.g. pivot-implementation modalities.

4. Evaluation Findings

The below findings are presented based as much as possible on factual evidence (indicator values, quantitative data, references) and documented perceptions from informants. Findings (especially based on perceptions) were cross-checked during different interviews and with available evidence.

4.1. Project Relevance

Key Evaluation Question
How well designed is the project to meet its broader objective to advance innovation across UNDP?
Key Findings <ul style="list-style-type: none">• The project was well designed to meet its broader objective to advance innovation across UNDP.• The project outputs and outcome form a coherent framework that hold well over time, despite some adjustments made on the underlying activities.

The Innovation Facility has been, remains, and will continue to be highly relevant to UNDP and its partners. The external environment that presided over the establishment of the project compels organizations to innovate and adapt. The pace of change continues to accelerate worldwide. The context in which UNDP operates becomes increasingly complex and interconnected. Meanwhile, development challenges remain alarming¹⁵. Common public goods are under growing stress (climate, water, etc.). Despite income poverty having fallen in some regions of the world in the past 20 years, there remains 650 million people still living in extreme poverty¹⁶. About 70% of the world's population live in countries where inequality has increased over the last two decades¹⁷. It is acknowledged that allocating 0.7% in ODA will not be sufficient to achieve the SDGs and new partnerships must be forged. At the nexus of external and internal forces, countries are progressively graduating to the upper-middle income group, which comes with new opportunities and challenges. Becoming better equipped to rely on domestic income and knowledge to stir development, these countries demand organizations like UNDP to respond with more innovative and flexible solutions. Internal drivers are also at play, calling UNDP to become more agile. This includes among others the continuous decline in UNDP core resources; demand from UNDP staff for more empowerment and less compliance; legacy programmatic and administrative arrangements that are ill-equipped to address highly differentiated country needs¹⁸. Against this backdrop, UNDP started early on to integrate innovative approaches in its programming. Predating the Innovation Facility project, these activities were initiated by CO and Regional Centres¹⁹. They generated good practices and lessons learned, primarily at regional level. The project proved timely therefore to harness these experiences²⁰, establish a global platform to make them widely visible, and facilitate cross-regional knowledge sharing and collaboration.

The project was designed around five key outputs. The evaluation found them mutually reinforcing and forming a coherent framework. Overall, the project outputs were purposeful to achieve the intended outcome. Activities

¹⁵ United Nations. 2015. Transforming our world: the 2030 Agenda for Sustainable Development. A/RES/70/1. New York.

¹⁶ UNDP. 2017. UNDP Strategic Plan 2018-2021. DP/2017/38. New York.

¹⁷ European Commission. 2016. Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: Proposal for a new European Consensus on Development - Our World, our Dignity, our Future. COM(2016) 740 final. Strasbourg.

¹⁸ Achim Steiner. 2017. UNDP Administrator, Statement to the 2nd Regular Session of the UNDP Executive Board. New York.

¹⁹ In 2012, RBEC set up a knowledge and innovation unit to design a new generation of development services that would support increasingly sophisticated national governments and help tackle complex, intertwined challenges. That same year, RBAP formed the Knowledge, Innovation and Capacity Group (KICG) to better address new complex and global sustainable human development challenges.

²⁰ The Innovation Facility Project Document was informed by an inaugural Global Innovation meeting organized by UNDP RBEC in 2013. The meeting brought to Budva, Montenegro, leading thinkers in social innovation and citizen-led public service reform and innovation champions from UNDP. The meeting resulted in the Budva Declaration, a set of 20 commitments that outlined UNDP's approach to innovation and informed the Innovation Facility ProDoc.

under Output 1 were relevant to enlarge service offering, for instance adding 5 innovation approaches to the project portfolio between 2015 and 2017²¹. Output 2 aimed primarily to seed-fund projects that would incorporate innovative approaches. The demand for seed-funds from project managers provides evidence of the relevance of this output. In 2017 for example, more than 140 proposals were received by the Innovation Facility, 85 of those were “short-listed”, and 35 projects were ultimately selected for seed-funding. Over time, the Innovation Facility revised the conditions of attribution of the seed-funds with the objective to increase the relevance of this output²². The third project output concentrated on outreach, communication, networking, and knowledge products, which are key tenets of change management. Output 4 is based on the sound assumption that UNDP does not necessarily own all the expertise and capacities internally to provide the best advice on innovative areas -e.g. design thinking, gamification, data analytics, etc.-. The need to improve organizational processes to make UNDP more agile and nimble through Output 5 was pointed out in many other assessments. The evaluation noted also other factors that helped to ensure project relevance, such as the design of a project governance structure that leveraged existing mechanisms (Innovation Board, BPPS Regional Innovation Leads). Participation of Senior Managers from RBx, BMS, and BPPS in the Project Board and involvement of the Regional Innovation Specialists in the Project Team has contributed to enhance the visibility of the project and to achieve strong buy-in at regional level. This also proved effective to ensure that the project would be responsive to the needs of Cos. Incidentally, this also triggered additional collaboration between BPPS, the RBx, and BMS.

The project responds to the objective to advance innovation across UNDP, and to the broader strategic goals of the organization. The Project Document was designed after UNDP’s Strategic Plan 2014-2017. The Strategic Plan embedded innovation as a key component of UNDP’s development work, South-South cooperation, partnerships and coordination, and institutional effectiveness. A specific output was set on innovation in the IRRF (7.6: Innovations enabled for development solutions, partnerships and other collaborative arrangements), to which the Project Document explicitly linked to. However, the IRRF 2014-2017 did not make ample room to innovation outside of the above specific output, i.e. innovation was not deeply mainstreamed across the IRRF outcome and output areas, which may have prevented the project from being more relevant. But the latest UNDP Strategic Plan 2018-2023 makes the project even more opportune. The forthcoming *country platforms* aim inter alia to install “greater collaboration amongst a wide range of actors (United Nations, government, civil society, private sector, IFIs, etc.)”, which is in the DNA of innovation²³. Similarly, the *global development advisory and implementation services platform* is intended inter alia to “support UNDP global knowledge, innovation and partnership-building efforts within the UNDS, as well as with IFIs and a wide range of other partners.” The Strategic Plan establishes also two new business models, one of them being an *Innovation stream* that will “focus on exploring new ways of doing business through a process of idea generation at the country and regional levels, business case development, testing, iterative improvement and scaling up or down when feasible.” The evaluation noted also that the new IRRF mainstreams innovation more consistently across development outputs²⁴ and indicators (cf. also section 4.5).

²¹ i.e. Hackathon, Mobile-Based Feedback Mechanism, Positive Deviance, Randomized Controlled-Trial / Parallel Testing, Real-Time Monitoring.

²² The process through which the initiatives were selected is based on the proposals received from COs and therefore on the demand from national partners. The selection is participatory, involving a range of internal reviewers at HQ, regional and country levels, as well as external experts. In 2014 and 2015, the Innovation Facility used a balanced approach through which half of the funding was allocated to the regions based on the proportion of Trac funds, and half was allocated equally. In 2016, the project added a rule according to which approximately 40% funds would be invested in scaling while 20% would invest in testing high risk new ideas; and two priorities: MAPS and Crisis management/ Displacement. Since 2017, the review is primarily technical, relying on criteria that do not stress “political” factors that would reserve a funding envelop to a specific region or country income group.

²³ As illustrated for instance by UNDP’s adherence to the 9 Principles of Innovation.

²⁴ e.g. Poverty output “Capacities developed across the whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyse progress towards the SDGs, using innovative and data-driven solutions”; Governance, output “Use of digital technologies and big data enabled for improved public services and other government functions”; Sustainable Planet output “Innovative nature-based and gender-responsive solutions developed, financed and applied for sustainable recovery”.

Project relevance was further evidenced through the contribution of the Innovation Facility to achieving UNDP strategic results. Activities and outputs of the Innovation Facility are presented in the annual review according to each UNDP Focus Area. The project has made efforts also to clarify the support provided to each the SDG. In 2017 for instance, all seed-funded projects linked to the SDGs, with a prevalence of projects covering SDG 16, 1 and 8. By design, the Innovation Facility project outputs are consistent with the objective to revitalize South-South cooperation, partnerships and coordination. All project outputs aimed also at making UNDP a more open, adaptable and agile institution.

Evaluation informants pointed out a few items that could have made the project more relevant. On the change management front, the Project Document did not emphasize activities to generate highly visible senior leadership support. In that regards, the recent series of ‘monthly innovation calls’ with the Administrator are a commendable initiative. Similarly, incentives and rewards for innovation were not much covered in the Project Document, despite being key components of change management. On the side of monitoring development impact, the Project Document did not feature activities that would allow in-depth tracking of the contribution and outcomes of innovation. More robust monitoring instruments could better elicit evidence of development outcomes, that would serve to draw substantive lessons learned. Incidentally, this could help also to advocate for innovation or to create additional opportunities for impact investments. On a related note, the link between lessons learned at project level and organizational learning was not prominently established in the Project Document. The objective to activate and regularly update a log for project Lesson-learned (in a public location) was formulated but not realized. Similarly, the project was expecting to maintain a virtual space for UNDP on innovation work, but this appeared mostly confined to a narrower implementation of Yammer, i.e. an off the shelf tool that comes as part of O365 and which the organization relies on to facilitate internal exchanges. It is not meant as a lesson learned repository.

4.2. Effectiveness of the Project

Key Evaluation Question

How well has the project delivered the expected results?

Key Findings

- The project was effective at achieving the expected results, with limited realization when it comes to improving UNDP organizational processes (output 5).
- Seed-funds were critical to enable COs to adopt innovative approaches and were used strategically by the project.

The assessment indicates that the main objectives²⁵ of the Innovation Facility project were achieved. The following findings per project output can be highlighted:

- **Output 1:** The first output aimed for the project to develop product and service offerings reflecting Leading Edge Thinking on Innovation for Development. The portfolio of innovative approaches has grown over the course of the project with 18 innovative approaches identified and tested across UNDP in 2017. Another activity under this output was to “forge relationships (and partnerships as appropriate) with social innovation thinkers, doers and disrupters”. Over the course of the project, the UNDP Innovation Facility has become a member of the International Development Alliance (IDIA)²⁶. The Alliance gathers senior executives and directors of innovation from a dozen of organizations including the Bill & Melinda Gates Foundation, the Rockefeller Foundation, USAID, UNICEF and the World Bank. With IDIA, UNDP Innovation Facility has participated in several meetings where participants shared innovation good practices and challenges, and to the development of several knowledge products²⁷. Furthermore, UNDP has become a founding member of the United Nations Innovation Network

²⁵ As indicated earlier (section 3.2), several indicators referred in the original project results framework were not found sufficiently specific, measurable, or timely enough to allow for their consistent monitoring across the project cycle. Accordingly, the findings in this section are based on validation instruments and data that align with the project outputs but do not necessarily comply with the original indicators.

²⁶ <http://insights.globalinnovationexchange.org/idia-insights-home>

²⁷ E.g. [Good Practice Guide on Scaling Innovation](#), and [Measuring the Impact of Innovation](#).

(UNIN)²⁸, with which the 9 Principles of Innovation for Development and other guidance materials were shaped. Similarly, UNDP has become a founding member of the Global Alliance for Humanitarian Innovation²⁹ and a member of the Advisory Panel of the GSMA Big Data 4 Social Good Accelerator³⁰.

- **Output 2:** The project was further effective in supporting “country, regional and global initiatives / projects incorporate innovative approaches for Co-Design of Development Problems and Solutions”. The Innovation Facility has supported 142 projects with seed funding and technical assistance between 2014 and 2017. In 2017, the Innovation Facility seed-funded 35 projects representing in total 39 initiatives. These included 11 innovation approaches/methods among the 18 promoted by the Innovation Facility (Figure 3), with 3 approaches (Innovation Labs, Behavioural Insights, and Big Data) concentrating about 60% of the support allocated (both in terms of number of projects and amount of seed funds).

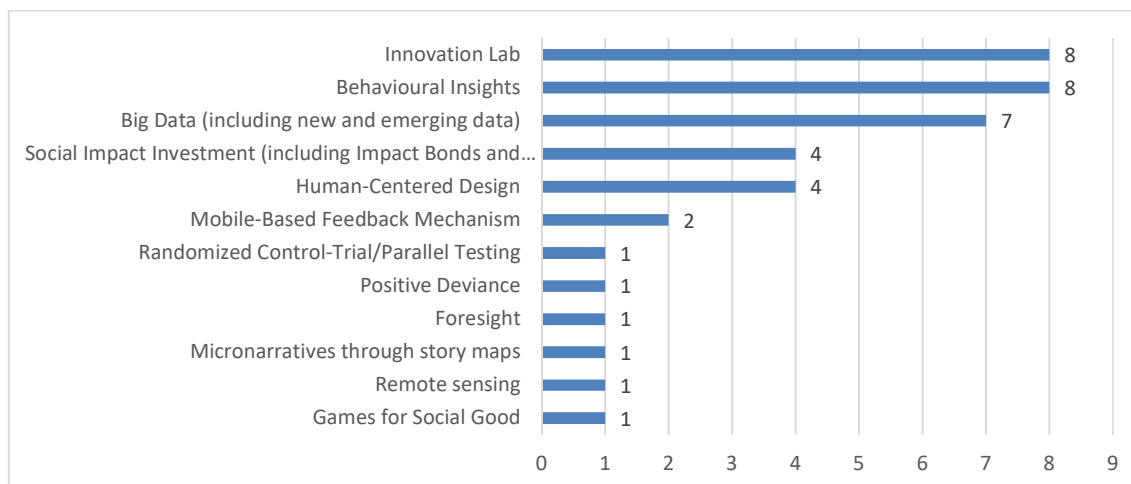


Figure 3: Number of initiatives seed-funded by the Innovation Facility in 2017.

Source: Innovation Facility Survey, 2018.

- **Output 3:** Ample evidence was found of the effectiveness of the project in achieving Output 3 “Increased visibility, familiarity and understanding of UNDP’s approach to innovation for development (through Advocacy, Outreach and Communication)”. The project has triggered a range of knowledge products and reports on innovative approaches/methods, such as Data Innovation³¹, Behavioural Insights³², or Blockchain³³. A report on Innovation Labs³⁴ for instance was recently referred by the Apolitical network as one of the 12 essential books in the world for government innovators³⁵. The Hackers Toolkit³⁶ is another commendable achievement developed by UNDP/RBEC. The toolkit comes as a set of practical materials to guide staff in embedding innovation in key project management business processes. UNDP innovators have reportedly published more than 70 blog posts in 2015 and more than 80 in 2016, from

²⁸ <https://www.uninnovation.network/>

²⁹ <https://www.thegahi.org/>. GAHI works to scale innovation in the humanitarian system. Among the 30+ members we find OCHA, WFP, UNICEF, Microsoft, Cisco, the governments of Denmark, Netherlands, etc.

³⁰ <https://www.gsma.com/betterfuture/bd4sg/>. The GSMA is a structure that represents the interests of mobile operators worldwide and unites nearly 800 operators with more than 300 companies in the broader mobile ecosystem.

³¹ UNDP. 2016. A Guide to Data Innovation for Development - From idea to proof-of-concept. New York.

³² UNDP. 2016. Behavioural Insights at the United Nations – Achieving Agenda 2030. New York.

³³ UNDP. 2018. The Future is Decentralised. New York.

³⁴ UNDP. 2017. Growing government innovation labs: an insider's guide. New York.

³⁵ https://apolitical.co/solution_article/reading-list-for-government-innovators-the-12-essential-books-and-reports/

³⁶ <http://www.eurasia.undp.org/content/rbec/en/home/library/innovation/hackers-toolkit.html>

general trends in development innovation³⁷ to specific approaches (e.g. Alternative Finance³⁸, Behavioural Insights³⁹, or Artificial Intelligence⁴⁰). Innovation Newsletters were produced every 4 to 8 weeks and distributed to a list of over 1500 innovation champions. A series of Innovation Conversations has brought over a dozen of external experts to provide new perspectives on how development can be done. Support to the Istanbul Innovation Days was referred as a notable success, as illustrated by one staff: *“Another initiative funded by IF was IID Summit, which become a turning point and catalyzed range of initiatives related impact investments within the overall UNDP. It also is considered to be one of the most successful events in the industry in terms of producing specific and tangible results”* (Annex 5). In March 2018, the Innovation Facility started also hosting a series of monthly Innovation Calls with the Administrator and innovation champions in country offices around the world. Another effective communication vehicle to highlight is Twitter, with 14701 followers of the account @UNDP_innovation and 8300 tweets shared on the social media platform (Annex 7).

- **Output 4:** To increase the availability of qualified Social Innovators to support UNDP innovation for development work (Output 4), the Innovation Facility has created a global roster populated with 57 vetted experts in 2015. In addition, Regional Innovation Leads relied on complementary rosters. COs informants reported also consistently to the evaluation the role of the Regional Innovation Leads in brokering knowledge across UNDP COs, allowing staff to tap internal experience in lieu of external experts.
- **Output 5:** Several initiatives were taken to improve UNDP organizational processes:
 1. **Open Innovation Challenges Policy:** The Innovation Facility worked with BMS (Procurement and Legal) to introduce a policy on Innovation Challenges to enable UNDP Country Offices, Regional Hubs and HQ units to award prizes up to US\$40,000 for innovative and effective solutions. These prizes can be awarded to the winner of an open competition without going through a procurement process. The policy was taken up by several COs (e.g. Panama, Vietnam, Bangladesh, etc.). Furthermore, UNDP supported Governments in designing Challenge Prizes in at least 5 cases and used the process to identify best-fit solutions in more than 10 cases globally.
 2. **Revision of the Programme and Project Management (PPM):** The new cycle promotes a more flexible approach to projects and facilitates innovation. The PPM features a loop at project implementation to instill greater agility and allow projects to adapt to change. The PPM revision effort originated in the Programming Effectiveness function discharged by the BPPS Development Impact Group. The revision was informed by the Hacker’s Kit developed in UNDP/ECIS and other sources, including staff from the Innovation Facility project and from BPPS/DIG/KM.

The evaluation further assessed the effectiveness of the project through a survey disseminated to Project Managers that worked on projects seed-funded by the Innovation Facility (Annex 5). The general perception of respondents about the effectiveness of the project is largely positive. About 83% of the survey participants assessed favourably the effectiveness of the project to “Increase the visibility, familiarity and understanding of UNDP’s approach to innovation for development” and 81% to “Make seed funding for innovation available to CO in a cost-effective manner”. The output with the highest level of unfavourable opinions (30%) regard the effectiveness of the project to “Contribute to improving organizational processes to make UNDP more agile” (Figure 4).

The initial objectives of the project were ambitious enough to advance change in the organization but not necessarily to trigger radical change. On the one hand, the objectives of the project were ambitious from the standpoint of the range of outputs covered and the extensive list of activities identified in the Project Document. Despite some weaknesses in the design of the project, such as several activities/indicators not pursued, the

³⁷ <http://www.undp.org/content/undp/en/home/blog/2017/7/12/Spark-Scale-Sustain.html>

³⁸ <http://www.hr.undp.org/content/croatia/en/home/blog/2016/9/19/UNDP-Alternative-Financing-Lab-the-next-big-thing-is-a-lot-of-small-and-smart-things-.html>

³⁹ <http://www.undp.org/content/undp/en/home/blog/2017/5/9/Better-understanding-of-human-behaviour-can-help-achieve-the-global-development-agenda.html>

⁴⁰ http://www.undp.org/content/undp/en/home/blog/2018/let_s-talk-about-artificial-intelligence.html

overall construct was comprehensive, coherent, and ambitious. In effect, it helped to anchor innovation in the organization, build staff skills, and (confer section infra on Impact). However, on the other hand, radical change would have implied transforming a bureaucracy into a leaner and much more agile organization, installing a risk-taking culture throughout UNDP, creating new norms and an entrepreneurial spirit, institutionally empowering CO with resources to innovate, as well as influencing the external environment for these changes to hold. As for the latter, this would include for instance to make donors more willing to fund projects that have high risk of

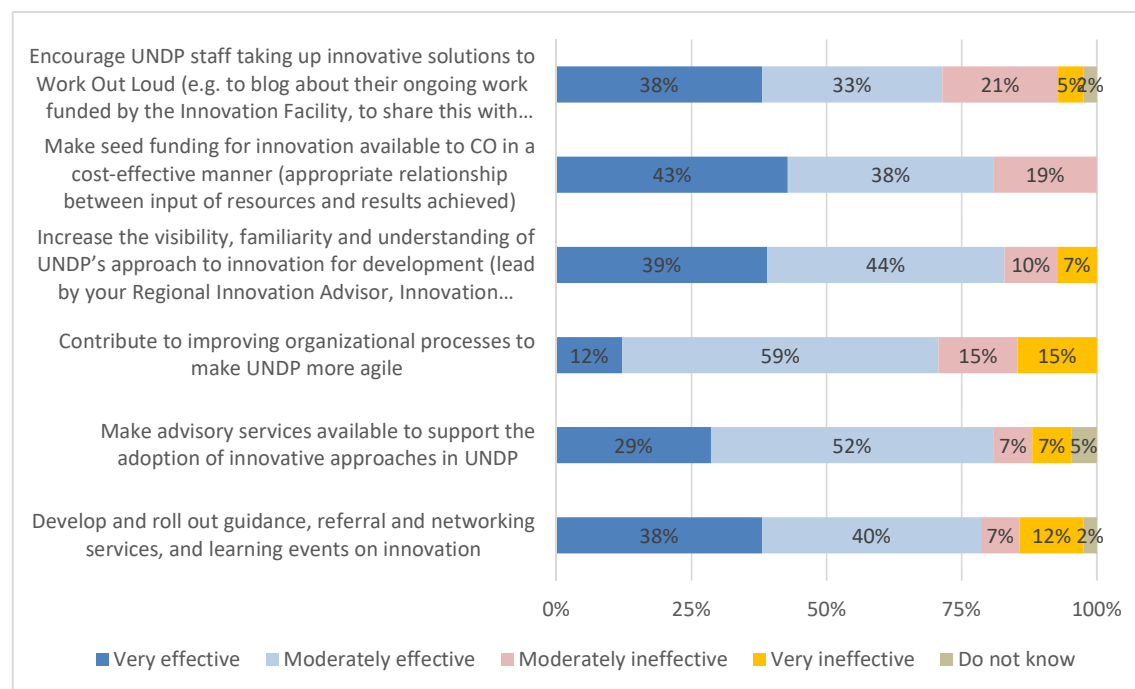


Figure 4: In your opinion, how effective has been the Innovation Facility in achieving the following outputs?

Source: Evaluation survey, 2018.

failure. The evaluation shared the perspective of several informants according to whom the capacities allocated to the project, while significant and effective to foster innovation in the organization, were not up to the level required for a genuine paradigm shift. The escalation of innovation in UNDP, being in the Strategic Plan or through recent initiatives like the Project Catalyst or the Country Investment Facility, will likely create stronger momentum towards radical change.

The lack of a detailed stakeholder analysis in the project document may have prevented the Innovation Facility to identify/define granularly and clearly the beneficiaries target groups. In the project design, the beneficiaries of the Innovation Facility were clearly UNDP Country Offices. However, within country offices, Senior Management, Programme staff, and Operations are likely to have different stakes in the adoption of innovation. Informants from COs repeatedly stressed the importance of getting strong buy-in from CO decision-makers for innovation to be accepted. Similarly, Operation staffs were found critical to enable flexible approaches to project implementation. On such matters, the targeting of the project was probably slightly too generic. The Innovation Facility was successful in mainstreaming innovation in UNDP's Leadership Training Programme that dedicated 4 modules to innovation. The curriculum was followed by more than 600 staff members at P3/P4/P5 level. However, CO Senior Managers/D1 for instance do not follow this training programme. Another slightly overlooked area in the Project Document was the type of involvement expected from BPPS Chiefs of Profession and policy advisors, e.g. their expected role in mainstreaming innovation within UNDP Focus Areas and innovation approaches/methods, or in analyzing and institutionalizing lessons learned. When considering the broader innovation ecosystem, the Project Document referred to a "Partnership Strategy" that was not unpacked. It focused on the "unusual suspects" and "social innovation thinkers, doers and disrupters", without necessarily tailoring activities according to segments of the innovation lifecycle -innovators, early adopters, early majority, etc.-. Informants regularly stressed also that innovation is only taken up when national institutions and

governments are willing to adopt it, which implies an internal change management process in partner organizations as well (Annexes 5& 6).

4.3. Efficiency

Key Evaluation Question
To what extent is the project on track to catalyze innovation at UNDP?
Key Findings
<ul style="list-style-type: none"> • The project is on track to catalyze innovation at UNDP and proved influential to escalate the agenda up to the Strategic Plan. • The Innovation Facility has efficiently supported the testing and adoption of innovation approaches that have received additional co-funding support. • Scaling was achieved at global level for several innovation approaches/methods but would benefit from longer-term support at national level.

The evaluation found that the project was achieving the expected objectives in a cost-efficient manner. When compared to other organizations for example, the Innovation Facility and the larger innovation agenda at UNDP is implemented with more limited capacities. UNICEF in particular relies on an innovation team strong of 30 people, half of them being staff and the other half are highly specialized consultants. Management-wise costs are lower at UNDP compared to several other organizations, such as UNICEF Office of Innovation led by a D2 Director, WFP Innovation and Change Management Division also headed by a Director at D2 level, or UNHCR with a D1 as Head of Innovation. As mentioned earlier, 81% of the evaluation survey respondents found that the project was effective to “Make seed funding for innovation available to CO in a cost-effective manner”, which was further corroborated by the informants consulted by the evaluation. Various actions were implemented to achieve the objectives of the project in a cost-effective way. This includes mainstreaming innovation in the Leadership Training Programme -followed by 600 staff members- and relying on the Regional Innovation Leads to engage participants with concrete field examples. Another mechanism involved leveraging internal experiences and fostering mutual support between COs rather than calling on external consultants. Such modality has taken different forms, e.g. virtually through online exchanges; bringing staff from one country to another to train Government officials, private sector partners, and other CO staff (e.g. in Egypt, Sri Lanka); or for the Regional Hub in Istanbul, through co-contracting consultants with COs or buying part of a CO staff’s time to work on a specific innovative project.

The relationship between input of resources and results achieved appeared appropriate and justifiable. Previous reviews referred a range of countries where innovative approaches were able to attract additional funding from diverse partners. In **Burkina Faso**, an Innovation Facility initiative on solar energy attracted 3.5 times the seed capital in co-financing from Government and the private sector (\$45,500: \$160,000). Similarly, in **Egypt**, the *Smarter Citizen* initiative raised almost twice the funds invested by UNDP from the private sector, government and civil society; it attracted an additional 250% of the seed capital from UN entities. The evaluation case studies provide additional examples (Annex 6). In **China**, the *Baidu E-waste Recycling* initiative received \$75,000 from the Innovation Facility in 2014, which Baidu complemented with a contribution of RMB1.5M (ca. \$233,000). The *Spatial Data Sandbox*, a **Cross-regional (Global)** project received \$80,000 in 2017 that were instrumental to mobilize an additional \$400,000 from UN Environment and from the GEF. More generally, the analysis of the ROAR⁴¹ shows that for every dollar of catalytic investment made in 2017 by the Innovation Facility, an additional 67% of local resources has been raised by the project.

Several areas of work were identified that would have the potential to improve the efficiency of the Innovation Facility. The Project Document indicated that when the project would allocate seed-funds to a CO, “There will be no extensions (including no-cost extensions) of initiatives or projects beyond each calendar year. Inactivity of more than three months, as determined by the Project Team, will trigger a return of funds back to the Innovation Facility.” The second point was relaxed during project implementation, but the first one has remained current. As the call for proposals is issued in March and funding decisions are taken in June, this leaves 6 months -including

⁴¹ ROAR data does not discriminate achievements coming from the implementation of the Innovation Facility project or from other sources, i.e. ROAR data cannot be attributed to the project specifically.

summer- for COs to make use of the funds. Informants mentioned that this timeframe was too short especially with disruptive projects that require working with new partners and new methods. Instead, a capability to call for seed-funding as needed throughout the year was found to be a more efficient mechanism for CO. On a somewhat related matter, the format of the Innovation Facility as a cost-sharing project, as opposed to a dedicated trust fund, was not assessed as the most efficient vehicle to serve UNDP's innovation needs and objectives. An Innovation Fund in the form of a Multi-Partner Trust Fund would offer the advantage to outsource a range of administrative tasks and financial transactions handled by the Project Team to a dedicated unit. This would lower the barrier when it comes to operational and procurement requirements. Furthermore, this would free time for the project team to concentrate on the selection and attribution of grants, and on analyzing outcomes and lessons learned. This would offer also higher visibility to the project by installing a platform designed to channel new donors and funding. Incidentally, this would also help to anchor the innovation function in the longer term rather than being projectized with three to four-year cycles as today. A last component was raised by informants that relates to the Knowledge Management function of the Innovation Facility. As indicated earlier (3.4 Project Governance), the initial Project Document expected the Project Team to comprise a *Knowledge Management Specialist* to be responsible for managing the virtual community on innovation, maintaining the virtual space for UNDP on innovation work, etc. However, ampler knowledge needs span across the innovation approaches/methods. Some have setup Yammer groups, but even though, informants called for additional KM solutions. In that regards, workspaces gathering existing experiences, internal and external rosters, and other information on the respective innovation services lines were referred as a useful instrument for CO to access information faster and a means for Regional Innovation Leads to concentrate on more strategic support.

The evaluation found that the current location of the Innovation Facility in BPPS is efficient, but that additional levers can amplify results and trigger organizational change. As the global Bureau responsible for developing all relevant policy and guidance to support the results of UNDP's Strategic Plan, provide technical advice to Country Offices, and advocate for UNDP corporate messages, BPPS is a natural home for the Innovation Facility. However, until recently the project has had limited exposure in the Executive Office. When considering other innovation structures in the UN (e.g. UNICEF, WFP, UNHCR), they show a direct reporting line to the Head of the organization. Closer collaboration with the Executive Office may prove especially timely now that other initiatives were launched in UNDP that embed some level of innovation (Project Catalyst, Country Investment Facility), and CO informants reporting a need of greater clarity on the respective niches and synergies between these initiatives and coordination with the Innovation Facility. Having BPPS as global home for the Innovation Facility does not imply that innovation management is to be concentrated in NY. Some of innovation events and approaches/methods are building nodes of expertise and capacities in Regional Hubs or in COs that have the potential to grow as Centres of Excellence. The Istanbul Innovation Days for instance are becoming globally visible along with the Alternative Finance Lab (AltFin Lab). Approaches such as Innovation Labs, BI, New and Emerging Data can catalyse global attention and excellence outside of HQ. Institutionalizing such areas of work is likely to amplify their results. It may also help the project to escalate innovation approaches/methods to the early majority and free project capacity to continue concentrating on exploration and leading edge.

4.4. Impact

Key Evaluation Question

To what extent is the project on track to influence the broader corporate system in the uptake of innovation in contexts where it has invested in innovation?

Key Findings

- The project has contributed to make funded projects more effective (improved quality, targeting, inclusiveness, timeliness).
- By design, the project has contributed to establish/federate a supportive culture targeting the innovators and early adopters but less prominently the risk-adverse and late majority.
- The causal link between the project and development outcomes can be better evidenced after the new Strategic Plan and IRRF, providing the project with increased opportunities to influence the broader corporate system.

The project was successful in enabling innovation for development solutions, partnerships and other collaborative arrangements. For the period 2014-2017, the project reported⁴² a total of 66 public-private partnership⁴³ mechanisms and models to provide innovative solutions for development piloted and rolled out through the Innovation Facility. Examples of new partnerships over the course project implementation feature organizations that are among leaders on the innovation agenda such as MIT Poverty Action Lab and Climate CoLab, UK's Behavioral Insights Team, Nesta, Danish Government's MindLab; private sector partners such as MobiMedia, DJI, Vodafone, Glorious Labs, Baidu, Facebook, Google, Microsoft; global consultancies like PWC, E&Y, McKinsey; academic or research institutions and think tanks, including NASA, INSEAD, The Brookings Institute, and more. Besides these internationally renowned organizations, ample evidence was found also of innovative initiatives embarking national organizations that were not previously part of UNDP's usual partners in the country, such as the National Meteorological Institute in Rwanda, the Chamber of Commerce and Industry in Honduras, the National Traffic Police in Uruguay, the Post Office in Egypt, etc. In 2017, 46% of the 35 projects seed-funded by the Innovation Facility involved a partnership with the Civil Society, 40% with the Private Sector, and 34% with Academic and Research Institutions. As illustrated by a respondent to the evaluation survey: *"In my experience, one of the most important outcomes of the IF support was a renewed interest by 'old' partners (national) and the 'discovery' of new societal partners of UNDP. In many countries, UNDP support is seen as stale, increasingly irrelevant and going through the motions (not just in middle income countries). The innovation supported by the IF has piqued new interest."* (Annex 5). Corporately, analysis of UNDP ROAR 2017 showed that Resident Representatives from 77 Country Offices across all 5 regions reported leveraging innovative approaches and new partnerships to improve achievement of their CPDs. Resident Representatives from these offices reported on attracting double (or more) of the partnerships with the private sector (60 versus 23 COs); the academic/think tank partnerships (59 versus 27 COs) and Foundations (22 versus 7 COs); and IFIs (32 versus 13 COs).

Between 2014 and 2017, 142 Innovation Facility initiatives were initiated and 21 scaled-up⁴⁴. When considering the 35 projects seed-funded in 2017, 34% received support to design and test an innovative approach and 60% to bolster early stage implementation. Fewer initiatives (6%) were funded to scale-up, despite this stage being referred as a priority in the call for proposals. When comparing with the portfolio of 300 projects reported in the ROAR as implementing an innovative approach, 33% of these initiatives are at an early stage, 44% at the test & evidence collection phase, and 23% were at the stage of scaling-up. Accordingly, there would seem to be moderate interest from UNDP projects to come to the Innovation Facility to request seed-funds for scaling up, either as local partners are willing to commit support at that stage, or that the financial resources required to scale-up are much greater than what the Innovation Facility can provide at that stage, or that the positioning or visibility of the project on this component is not the strongest. Projects that achieve cross-regional or global scale-up tend to gain high recognition, such as YouthConnekt, Baidu e-Recycling, or the Spatial Data Sandbox (Box 1). But scaling can also take different forms at national level, such as increasing the number of partners involved in a project, enlarging the number or types of beneficiaries in the country, or replicating the project in another institution. In such cases, informants pointed out that this is a process that requires time and persistence. As illustrated by one informant: *"A big part of scaling comes from handholding. What happens is that when a*

⁴² UNDP. 2018. Global Programme (2014-2017) Results & Resources Framework: Cumulative Reporting for 2014-2017. Internal document. New York.

⁴³ Business- 51; Think tanks and innovation labs – 8 initiatives; Media- 7 initiatives.

⁴⁴ UNDP. 2018. Global Programme (2014-2017) Results & Resources Framework: Cumulative Reporting for 2014-2017. Internal document. New York.

The Spatial Data Sandbox project started in Zimbabwe as a pilot initiative, providing a proof of concept for a spatial portal that does not require GIS. The project was limited in scale and scope with one country and 35 data layers covered, and a narrow partnership. In 2017, the Innovation Facility provided \$80,000 to the project. These seed-funds helped to organize a meeting in Washington, covering for the costs of 15 participants and generating traction for 55 more people to attend. The meeting catalyzed the whole idea of a global portal and started to generate momentum. From there, UN Environment funded about \$150,000 and the GEF about \$250,000. The project further established baseline data in 110 countries to understand the existing use of spatial data planning and reporting; and conducted user needs assessments in 45 countries. Work started with the UN Environment to create the new global portal, which will feature 72 data layers. While innovation funds were granted, the project began collaborating with NASA and established partnerships with six universities and eight countries, where data systems were improved in a much more detailed way. The Spatial Data Sandbox was presented to UNDP Administrator in June 2018.

Box 1: Highlights of the Spatial Data Sandbox Project.

new initiative is tried out, it is very important to provide consistent support to the national partners who are also facing the same problem of overcoming resistance from the way of doing business as usual -it happens in the government, in the public sector, non-public sector as well. So, you need to handhold the process, to be with them all the way through until they are strong enough to prove their case to their own managers, to their own decision-makers. I think the greatest strength for us has been that UNDP managed to stay with the national partners for quite some time, like 3 years for example in my case with the first lab, handhold the process of experimentation with them, which allowed them to become strong enough to continue on the project and start becoming a trusted partner as a design practitioner within the government". As mentioned earlier, the project has contributed to larger innovation uptake through spillover effects⁴⁵, but the evaluation methodology did not allow to quantify precisely those. One example of spillover is provided though with the projects that received seed-funding in 2017, 14% of these initiatives leading CO project teams to try an innovation project in another field after this initial experience. Another aspect of scaling regards the extent to which the project was successful in contributing to scale-up innovation approaches/methods. When considering ROAR⁴⁶ data, a significant level of innovation uptake was reported across the organization. Altogether, 533 innovative approaches (Figure 5) were under implementation in 2017 across 327 projects in 135 COs. The regional breakdown shows stronger uptake of innovative approaches/methods in Asia & Pacific and in Europe & the CIS, and lower adoption in Latin America & Caribbean. Globally, four approaches/methods have scaled-up quite consistently across regions: Innovation Labs, implemented across 31 countries; Human-Centered Design (31 COs); Behavioural Insights (39 COs); and New and Emerging Data (34 COs). Other approaches/methods have witnessed proportionally higher demand/uptake from some regions, like Alternative Finance in Asia & the Pacific; Real Time Monitoring in Africa; Crowdfunding in Europe & CIS; or Blockchain in the Arab States. On average, initiatives in Asia & the Pacific tend to apply more than 2 innovative approaches per project compared to ca. 1 approach per project in the Latin America and Caribbean region.

⁴⁵ For instance, some of the proposals that have not received seed-funds from the Innovation Facility may have found other sources of support and ended-up being implemented.

⁴⁶ The ROAR does not distinguish between innovative approaches implemented as a direct outcome of the Innovation Facility -e.g. technical assistance, seed-funds, training, etc.- or due to other inputs -e.g. country or regional funds, national events, etc.-.

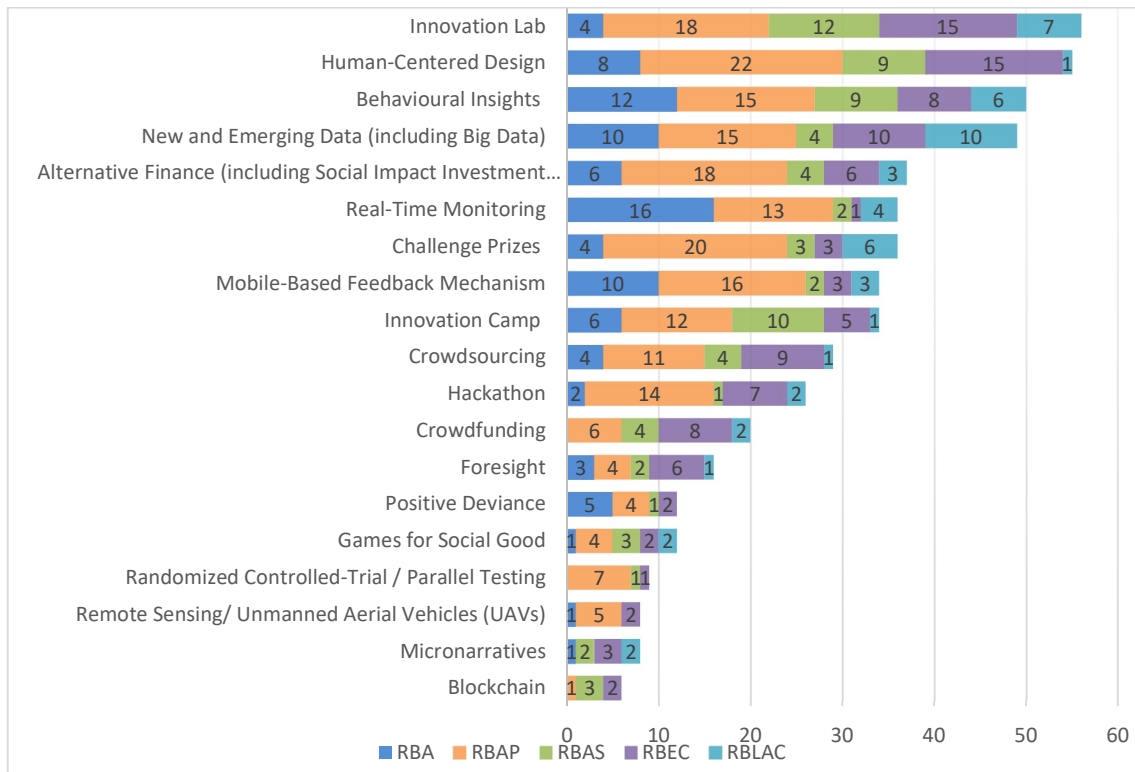


Figure 5: Number of innovative approaches implemented across regions.

Source: UNDP ROAR, 2017.

Since 2014, the BPPS-hosted Innovation Facility supported more than 87 Country Offices across all regions, making a difference in various ways. Seed-funding was referred by informants as the most critical component of the project. Within UNDP, the project has raised the visibility of innovation and contributed to make the approaches/methods better known and more widely implemented. The project has also sparked cultural change among management and staff within several COs, establishing a platform to test new approaches and take risks. Furthermore, informants referred to the acquisition of new skills as a prominent outcome, either through internal capacity building on innovation approaches/methods (new innovative financial instrument, social innovation labs, big data analytics, etc.), or through the increased capability to attract new talents. As illustrated by one staff: “Support and funding from IF allowed to set-up a structure (Impact Accelerator) within the UNDP CO that start changing the overall dynamics, attitude to the work in the office. It allowed to bring in, employ and engage resources from relevant part of the private sector, targeting innovative solutions, fast implementation and new vision towards development.” (cf. Annex 5). Externally, the project has helped to make innovation credible in front of external partners. The willingness of UNDP to invest funds has provided increased assurance about the soundness of these new approaches and has better legitimated co-funding (confer case studies, Annex 6). In 2017, the 35 initiatives seed-funded by the project received in total \$2,213,713 from the Innovation Facility and mobilized an additional \$4,716,607, or an average of \$2.13 in local resources for every dollar invested by the Innovation Facility. More largely, survey informants pointed out that the project has had a significant contribution to enabling UNDP COs to involve new target groups in policy development, especially the Youth, Women, and the Poor and most marginalized communities (Annex 5). The project was also recognized as having a notable contribution to raising the visibility of the organization and to better position UNDP as a partner of choice. The assessment by survey respondents of the effectiveness of the Innovation Facility in achieving intermediate outcomes is largely positive. Around 93% of the respondents find that the project has been effective to “Showcase novel ways of problem solving at UNDP” and 85% to “Support projects that enhance collaboration, including working directly with affected people, and establish more diverse partnerships” (Figure 6).

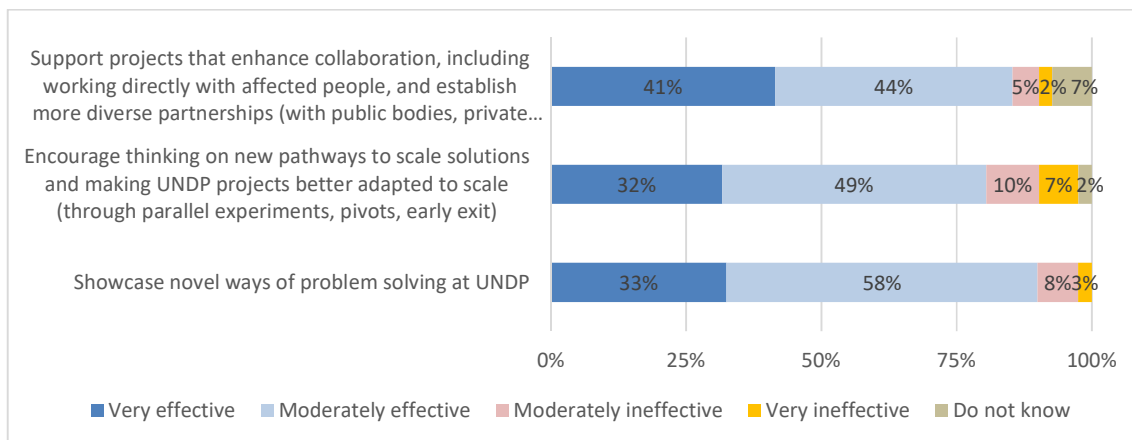


Figure 6: In your opinion, how effective has been the Innovation Facility in achieving the following outcomes?

Source: Evaluation survey, 2018.

Evidence indicates that the Innovation Facility has contributed to development outcomes in making projects more effective. About 88% of the respondents to the evaluation survey indicated that the Innovation Facility had contributed to make seed-funded projects more effective (improved quality, targeting, inclusiveness, timeliness) (Figure 7a). The survey showed also continuous improvement in the perception of respondents over time, projects that were recently seed-funded returning a more positive assessment than older interventions (Annex 5). One factor explaining this trend is the progressive move of the Innovation Facility over the years from investments on advocacy, hackathons, and showcase projects to more programmatic and substantive proposals. The survey conducted by the Innovation Facility for the projects seed-funded in 2017 returned quite comparable opinions. About 79% of the respondents found that the innovation had a comparative advantage over status quo/old process. Among the projects that reported an improvement, 52% of those referred to better programming through newly gained insights, and 44% to improved targeting to reach project stakeholders and beneficiaries (Figure 7b). ROAR data returned a similar assessment, with 80% of the 327 projects implementing an innovative approach in 2017 declaring a comparative advantage over status quo/old process.

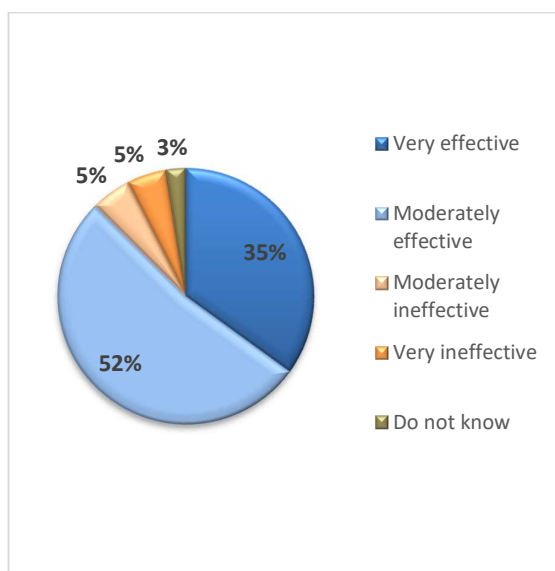


Figure 7a: Perceived effectiveness of the Innovation Facility in contributing to make funded projects more effective (improved quality, targeting, inclusiveness, timeliness)?

Source: Evaluation Survey, 2018.

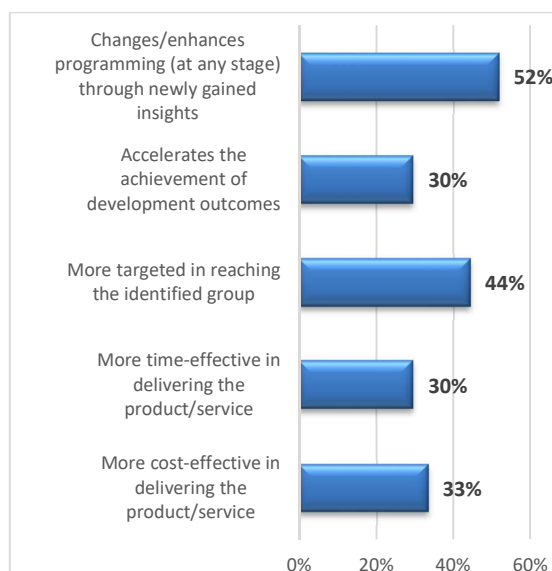


Figure 7b: Perceived top advantage brought by the initiatives seed-funded by the Innovation Facility in 2017.

Source: Innovation Facility Survey, 2018.

Examples of development outcomes achieved at country level with support of the Innovation Facility include:

- **Rwanda:** In 2013 UNDP cosponsored the launch of the YouthConnekt platform, a virtual space that facilitates partnerships between young Rwandans, the private sector and government for employment and entrepreneurship opportunities. The Innovation Facility invested in the platform in 2015 to scale the initiative. In three years, YouthConnekt's Bootcamps has driven the creation of about 1,000 permanent and 2,700 temporarily jobs. Based on the outcomes of a 2016 regional event, Burkina Faso, Cameroon, DRC, Equatorial Guinea, Ghana, Lesotho, Sao Tome, Sierra Leone, Swaziland, and The Republic of Congo decided to pursue their own adaptations of the YouthConnekt platform yond.
- **China:** Baidu Recycle was launched in 2014, creating a 'shared value' solution for e-waste and the formalization of precarious labor In China. Citizens download an app to call an e-waste recycler to come and pick up the item from their doorstep to a recycling plant. The app essentially encourages e-waste recycling by simplifying the process and eliminating interaction with illegitimate markets. Within the first year of implementation, in 2015, 152.74 million e-waste items were recycled, including TVs, computers, and fridges; of which, 11,429 items via the 'Baidu Recycle' version 1.0. Piloted in the cities of Beijing and Tianjin, the service has scaled to 22 cities in China.
- **Egypt:** After a first experiment, the CO created the concept of Innovation for Development Lab, which served as the umbrella for all following innovation projects. Over the years I4D has received a total of \$355,000 -and advisory services- for 5 initiatives that contributed to create new programmes. For example, the CO established with Microsoft and the National Council for Women a social innovation hub for women, which is currently being expanded. The team is also helping Egypt Post (4,000 offices) to set the Post Innovation Lab, i.e. to utilize a Public Service Innovation Lab framework to effect a paradigmatic change, whereby stakeholders are brought together to design and test new approaches and solutions for public services.
- **Georgia:** In 2014, UNDP Georgia, with Government of Sweden support, set up a design workshop that brought together people with disabilities, tech specialists and civil society organizations to redesign the phone number 112 for emergency services. Those living with speech or hearing impairments simply didn't have the option to call. service. Today, sign language interpreters are on hand at the emergency hotline 112 to accept video calls and SMS messages from those who cannot hear and/or speak.
- **Iraq:** To stimulate an innovation ecosystem and foster entrepreneurship with cutting-edge methods, UNDP Iraq started the 'Innovation for Development' initiative in 2015. Youth volunteers set up boot camps and train peers in Design Thinking and Lean Start-up methodologies. The initiative attracted tens of major companies and banks, and resulted in new partnerships with young entrepreneurs. The initiative is now providing tailored support to over 35 promising startups

The Innovation Facility further contributes to the achievement of the SDGs. The initiatives seed funded in 2017 show for instance strong presence on goals 16, 1, 8 and 17. However, several factors limit the ability to assess precisely the development impact of the project. Annual reports highlight impact for all initiatives that scaled but are necessarily confronted to activities implemented during the past year that have not had time to achieve impact and/or covered projects at an early stage or testing phase. There is a comparable trend from the Work Out Loud monitoring. Information provided at the output level does not fully elicit the extent to which the project reduced poverty, improved health, created more decent work or economic growth, established more peaceful societies or communities, and so forth. Monitoring such changes requires ad hoc instruments, capacities, and time. The support provided by the project focuses primarily on initiatives at design or early stage, which implies that impact is to be seen several years later. Furthermore, adequate instruments would be needed to monitor the achievements of the projects supported by the Innovation Facility. According to some informants, the challenge is not specific to the Innovation Facility, as UNDP projects would frequently lack results frameworks and baselines to measure impact. Measuring the impact of innovation is also notoriously complex, especially when that regards the contribution of a methodology used among other ones during the course of a project.

4.5. Sustainability

Key Evaluation Question

To what extent has the project shown to be sustainable and/or scalable?

Key Findings

- The sustainability of the project is currently linked to the support provided by one donor only.
- Project outcomes including the uptake and replication of innovation approaches/methods are likely to scale but will benefit from stronger focus on institutionalization.

The sustainability of the Innovation Facility project after 2019 is unclear. Current funding comes primarily from Denmark. The donor has committed resources to the project until 2019. Despite being itself a strong innovation advocate, it is not possible to foresee what will be the priorities of the Danish government in 2 years. For instance, Denmark had to reduce the funds committed to the project in 2016 due to competing domestic priorities. Efforts were undertaken by the Project Team to approach other potential donors, but these did not bear fruit. UNDP has recently launched a couple of initiatives (Project Catalyst, Country Investment Facility) that convey a genuine innovation component, but with aims different from the ones of the Innovation Facility. While UNDP Strategic Plan 2018-2021 emphasizes the importance and role of innovation in its realization, this did not result in increased resources for the project. As referred earlier (section 4.3), the Innovation Facility is currently “projectized”. Although the majority of the Project Team is BPPS staff, shifting priorities could potentially call for committing time to other activities, such as Knowledge Management, South-south Cooperation, etc. While this seems to be unlikely, the project is not preserved from such transition. Furthermore, the position of *Innovation Facility, Global Coordinator & Fund Manager* is only on a consulting contract. Altogether, there seems to be a slight disconnect between the ambitious innovation agenda at UNDP and the sustainability of resources committed to its realization.

The Innovation Facility was able to catalyze sustainable continued long-term benefits. Previous findings⁴⁷ indicate for instance that 60% of Innovation Facility initiatives funded in 2014 and 2015 were taken up in 2016 in partnership with the government, private sector and civil society. Another example regards the adoption of additional innovative approaches by CO project teams after initial funding by the project (confer section 4.4). More importantly, sustainable benefits include outcomes from the innovation approaches/methods, such as anchoring Innovation Labs in 30+ partner institutions; fostering adoption of human-centered design -e.g. 112-emergency phone number in Georgia becoming responsive to people with disabilities-; implementing innovative finance services in governments -e.g. Indonesia’s world first sovereign green sukuk (Islamic bond)-; etc. Such effects have demonstrated scalability, as shows for instance the adoption of Innovation Labs successively across different public institutions at national level -e.g. in Egypt, Georgia, etc.-. Evaluation informants referred also to intangible long-term benefits such as improvement of staff’s skills; enhanced reputation; or stronger uptake of innovation in UNDP Strategic Plan. However, a few areas of work were found to keep the potential of catalyzing higher long-term benefits. Evaluation informants cited rewards and incentives as a component quite overlooked by the project that could contribute to better anchoring innovation in UNDP. Mainstreaming innovation in CPDs and UNDAFs was flagged also as a work in progress. Increased ownership by CO staff, managers especially, and adoption of a risk-taking culture as well as greater capability to handle failure internally and with donors were also identified as culture-related gaps that mitigate sustainability. Long-term benefits would seem strengthened also by clarifying the institutional home of mature innovation approaches/methods, including when/how they are to be transitioned and globally coordinated by a structure/team, being in BPPS, a Regional Hub, a Centre of Excellence, etc.

As reviewed above, *the Innovation Facility has installed over the years several measures to assess the effects of the project.* The Innovation Facility survey that was conducted in 2018 for projects funded in 2017 provides a sound monitoring instrument to complement activities such as Work Out Loud. Despite not concentrating on the project but covering innovation throughout UNDP, the ROAR offers also useful information to assess the extent of adoption of innovation in the organization and make comparisons between COs. Furthermore, the new IRRF comes with indicators mainstreamed in the Signature Solutions to monitor uptake of innovation⁴⁸. Nevertheless,

⁴⁷ UNDP. 2017. Innovation Facility – 2016 Year in Review. New York.

⁴⁸ Poverty indicator in 1.1.1 “Number of national and sub-national governments and other partners applying innovative and data-driven solutions from the Global South [...]”; Governance indicator in 2.2.1. “Number of countries using frameworks that leverage digital technologies and big data for (a) Delivery and monitoring of services; (b) Public engagement; (c) Access to and protection of information; (d) Legal identity and civil registration; (e) Urban development using smart technologies; (f) Other critical public services”; Sustainable

different avenues remain available to strengthen the range of instruments used to assess/measure the effects and sustainability of the project. Necessarily, their applicability would require to be gauged against the capacities currently available and cost-benefits of the options. A first area of work could be to refine the expected scope of any complementary assessment. Potentially, it could encompass the innovation approaches/methods to monitor the institutional context (e.g. staffing, capacities, procedures, knowledge, etc.), outputs (e.g. funding, scale, etc.), or outcomes (e.g. SDG related indicators). Another potential entry would be to unfold the expected contribution at CO level (e.g. innovation capacities and funding, risk-taking culture, CPD/UNDAF, projects, partnerships, effectiveness-quality, targeting, inclusiveness, timeliness- etc.). Another option would be to consider monitoring more granularly the effects of innovative projects. Most innovation approaches/methods develop projects that are full-fledged development projects and come with indicators and targets, for instance when working with a ministry or public institution to install an Innovation Lab or Foresight unit. Some other projects are internally focused and therefore have different and eventually less thorough indicators -e.g. when installing an Innovation Lab or an innovation approach/method within a CO. A third type of initiative involves adding a specific method or technology during implementation of a pre-designed project -e.g. replace a workshop by a hackathon-, which makes innovation outcomes more difficult to attribute. A second area of work to better measure the effects of the Innovation Facility would include reviewing and enhancing assessment methodologies. Currently, the project relies mainly on opinions and brief case studies -e.g. in annual reports, Work Out Loud, etc. The latter offers narratives that are first and foremost success stories, which is effective to support change management. Measuring development outcomes would benefit from approaches better suited to impact assessment, e.g. involving socio-economic baselines, control groups, before-after studies, etc. Such methods are well known to UNDP. The Innovation Facility supports an approach/method on RCT/PT and the Alternative Finance approach/method develops projects on Impact investment. Other approaches to better measure the effect of the project would include mainstreaming innovation in the TOR of UNDP evaluations, carrying out meta-analysis of past evaluations of innovative projects, etc. A third area of work goes through the design of a Theory of Change for the next phase of the Innovation Facility. Such work could entail for example to spell out more granularly who are the target beneficiaries of the project, from where indicators would likely emerge. Another track would be to link the project more closely at the outcome level with the new IRRF, and with the relevant outputs and indicators from the Signature Solutions. This would better evidence the causal chain, indicate to COs where/how the project contributes to the achievement of their national objectives, and further elicit the support provided by the project to the realization of development outcomes.

Participants to the evaluation survey were proposed to share their perspectives on what should the next iteration of an Innovation Facility focus on or do differently (Annex 5). Across the range of options, respondents emphasized the need to “Foster organizational change and incentivize innovation within UNDP including through better management acceptance of risks and acceptance of failures” and to “Initiate or facilitate partnership building for resource mobilization at global and national levels to increase funding for innovation”. However, by design the survey did not limit the number of priorities that respondents could set. As a result, it showed that most of the proposed areas of work were found relevant and in high demand (Figure 8). This draws an ambitious agenda of work for the Innovation Facility but reflects that innovation has been well anchored in UNDP and raised expectations that would be tackled with additional efforts and project support.

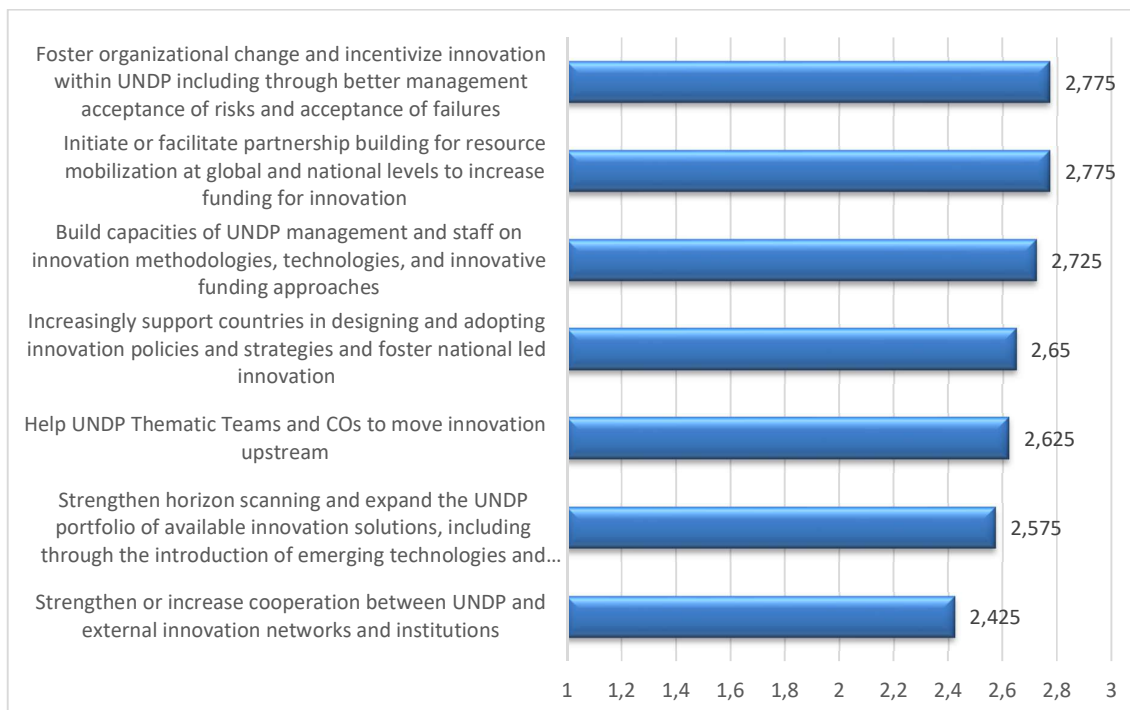


Figure 8: Perceived level of priority of the proposed objectives to improve the effectiveness and impact of the Innovation Facility in the future.

Source: Evaluation Survey, 2018.

5. Conclusions

The evaluation recognizes the significant achievements of the Innovation Facility. The project has supported UNDP in achieving its strategic results by fostering internal change and enabling COs to bring new solutions to national partners in response to their development objectives. The Innovation Facility has contributed to the achievement of the objectives set forth by UNDP Focus Areas. Between 2014 and 2017, 142 Innovation Facility initiatives were initiated and 21 scaled-up⁴⁹. Furthermore, the Innovation Facility has fostered and enabled ampler South-south cooperation, collaboration and partnerships. Over the course of the project, a total of 66 public-private partnership⁵⁰ mechanisms and models were piloted and rolled out to provide innovative solutions for development. The Innovation Facility has also contributed to improving UNDP development projects and delivery. According to more than 80% of UNDP informants⁵¹, the initiatives supported by the Innovation Facility have contributed to make funded projects more effective (improved quality, targeting, inclusiveness, timeliness).

The Innovation Facility project presents evidence of outstanding features across the expected outputs. Project implementation has exerted the capability to “pivot” some of the planned activities and working modalities to achieve the expected objectives. For instance, the project has adapted over the years the criteria and conditions to allocate seed-funds to COs with a view to amplify some approaches/methods or influence scaling.

The project has successfully participated in the identification and promotion of innovative approaches. A body of knowledge has been harnessed and developed and capacities strengthened to accelerate the growth, replication, and uptake of new approaches/methods across countries and regions particularly in Asia & Pacific and ECIS. Part of these achievements have benefited from new partnerships with a vast range of actors, from global leading tech companies to top research institutions and think tanks. Subsequently, these innovative

⁴⁹ UNDP. 2018. Global Programme (2014-2017) Results & Resources Framework: Cumulative Reporting for 2014-2017. Internal document. New York.

⁵⁰ Business- 51; Think tanks and innovation labs – 8 initiatives; Media- 7 initiatives.

⁵¹ i.e. according to (i) the evaluation survey, (ii) the Innovation Facility survey, and (iii) corporate ROAR.

approaches have offered to UNDP a platform to design and implement projects with new national partners, and to reach new beneficiaries at country level, such SME Owners, Entrepreneurs, and the Youth.

The seed-funding modality has been particularly effective at raising the attention of COs on the innovation agenda and familiarizing staff with new approaches/methods. The fund has further incited or elicited demand for these new approaches, which were taken up in UNDP projects and by national partners. Seed-funding has also helped to strengthen the credibility of innovation approaches in front of external partners and to trigger additional co-funding. For example, for one dollar of seed-funding allocated by the project in 2017, COs have on average mobilized \$2.13 in local resources.

Partnerships were developed with leading innovators through platforms like IDIA, UNIN, or GSMA. Furthermore, the project has established networks of innovators, to some extent through expert rosters, but more actively through internal networking and collaboration between COs. Regional Innovation Leads have been very effective in their brokering and advisory role. A range of modalities have been deployed to enable intra-regional and cross-regional networking, such as joint workshops, staff visits or co-engagements as internal consultants, online mutual support, etc. When working with national partners to implement an innovative project, innovation champions remained engaged to benefit from the training delivered by external experts -e.g. on AI, BI, etc.- and gain new skills through learning by doing.

Advocacy, communication and outreach activities have delivered plethora of products, events and services. The initial SHIFT week was particularly successful from the onset to draw global attention on the project. The annual report of the Innovation Facility is recognized as an effective and qualitative advocacy product. Blogs contributed to magnify specific topics or innovation approaches/methods. The newsletter reaches regularly 1500 innovation champions. The twitter account @UNDP_innovation has more than 14000 followers and exchanged 8300 tweets since its creation. The innovation Yammer group has 1460 members and more than 200 messages posted in the past 12 months. Innovation conversations webinars were organized regularly with top experts, which have proven excellent at inspiring innovators across the organization. The project has recently launched innovation calls with UNDP Administrator. The Leadership Training Programme has integrated 4 modules on innovation. The programme was followed by 600 staff and delivered with support from innovation champions.

In terms of organizational processes for improved performance efficiency, the project has led to the establishments of the Innovation Challenge Policy and to informing the new PPM cycle with the Hacker's Kit developed in UNDP/ECIS and complementary inputs from project team members.

The evaluation did not identify major shortcomings or flaws in the setup of the Innovation Facility but some constraints stemming from the design of the project or limitations faced during implementation. The lack of a Theory of Change in the initial Project Document may have prevented the project from presenting clearly the broader causal chain and how innovation would specifically contribute to realizing relevant development outputs and outcomes across UNDP Focus Areas. Furthermore, the initial list of planned activities did not prove entirely relevant to achieving the expected outputs as illustrated by the obsolescence of a few output indicators. The next iteration of the project should be built on a strategy as learning i.e. formulate a Theory of Change, formulate key hypothesis and track progress to examine the validity of the key hypothesis and related assumptions in an iterative way. It is important to constantly revisit the measurement mechanisms of the project.

Project monitoring proposed using instruments such as blogs, micro-narratives, progress stories, and to Work Out Loud. This is effective to contribute to change management, but less relevant to communicate failures and lessons learned and to foster organizational learning. Incidentally, the Project Document did formulate the necessary metrics to track the effectiveness of its portfolio. However, further development of an impact measurement framework is highly recommended.

The current "projectization" of the Innovation Facility including through the support that it provides at country level appears also to mitigate the capacity to scale initiatives. As stressed by many informants, innovation as intended by the project does not focus on UNDP only. It targets and implies for partners in governments, public sector, private sector, etc. to change also and adopt the proposed new approaches, which is not necessarily achieved at scale in 6 months.

Despite several attempts to mobilize additional resources on the working level, the project has remained primarily funded by the Government of Denmark while UNDP provides core funding for staff positions. This clearly creates a risk for the sustainability of the project. This may have also limited the capability of the project to support additional scaling. The Innovation Facility Team should consider involving the Project Board members more closely in Resource Mobilization efforts.

Other constraints faced during project implementation include eventually fewer capacities than expected. For instance, the LAC region did not assign a full time Regional Innovation Lead⁵². Similarly, the project expected the involvement of a global Knowledge Management Specialist, but due to other corporate duties this did not come close to any full-time support. Simultaneously, Knowledge Management needs were greater than the ones described in the Project Document. For example, a knowledge platform/workspace would be relevant for each innovation approach/method. At regional level, capacities were also limited to add some knowledge services such as regional online expert rosters, regional webinars that would be easier to attend for CO staff away from NY, or even more regular proactive outreach to CO to seek what support is needed or how projects are advancing and what were the lessons learned.

In terms of governance, the structure set by the Project Document has proved effective to swiftly and strategically drive the Innovation Facility. The escalation of innovation in UNDP through the Strategic Plan, the visible support from the Administrator, and the involvement of the Executive Office and other units on innovation related initiatives (project catalyst, country investment facility), are progressively making either the Project Board composition incomplete or its coordination modalities with other initiatives partial.

Other constraints faced by the project while realizing Output 1 include the lack of rewards or incentives for staff, being policy advisors, project managers, etc. to actively scan the horizon, report innovative approaches, reflect and test, and strive to change the status quo. A second blank area faced by the project regards the lack of clear process/procedure/governance in UNDP to institutionalize innovation approaches/methods, i.e. to transition a new approach from innovation to the mainstream, including to a “global owner” and capacities, being in BPPS, a Regional Hub, or Centre of Excellence. Achievements under project Output 2 were confronted to the short timeframe (6 months or less) available for projects to use seed-funding from the Innovation Facility, and the lack of visibility on subsequent seed-funds to scale-up initiatives. Furthermore, seed-funding and technical assistance provided by the Innovation Facility tend to concentrate on projects, while innovation implies a broader change management agenda with additional emulating levers at CO level and up to national partner institutions. In other words, many CO still need more empowerment towards risk-taking and sustainable innovation. Advocacy, communication, skills-building initiatives (especially learning by doing) and training have reached many audiences with Output 3, pointing out the need also for tailored approaches and possible gaps. This includes further targeting CO Directors and operations staff, as well as consider involving not just the innovators and early adopters in national partner institutions but also the decision-makers. Networking under Output 4 embarked successfully the like-minded, such as social innovators. There may be more limited networking though among the national communities with the more risk adverse bilateral donors, or with foundations and global funds, as well as with technical communities on AI, BI, Blockchain, etc. Output 5 overlooked the more comprehensive functional and organizational review that would have pointed out all the “choke points” hampering or slowing-down innovation throughout the organization.

⁵² Technically, the decision of having a regional lead remains the prerogative of a given region and how they go about prioritizing investment. This regional commitment is beyond what the project itself can determine/influence.

6. Recommendations

Based on the above findings and conclusions the evaluation formulates several key recommendations and sub-recommendations to make the next iteration of an Innovation Facility more effective.

1. **The Innovation Facility project should develop a Theory of Change that accounts for the new vision and priorities set forth in the UNDP Strategic Plan 2018-2021.** The Theory of Change should therefore elicit the contribution of the project to the *Innovation stream, country platforms, and global development advisory and implementation services platform*. Furthermore, the Theory of Change should link the project outcomes with the Signature Solutions and the relevant Strategic Plan outputs and indicators presented in the IRRF 2018-2021. The project narrative and results and resources framework of the project should be revisited to better reflect the activities the project has concentrated on during its first phase and the ones required to deliver the expected achievements until 2021.
2. **The Innovation Facility should consider having a joint Board (or similar coordination/governance mechanism) for all global initiatives with a strong innovation component, including Project Catalyst, the Country Investment Facility, Project T and others.** Composition of the Project Board and oversight of the project would need to account for the escalated innovation agenda at UNDP. Considering the strategic elevation of innovation at UNDP and its positioning in the Strategic Plan as one of two new business models for the organization, the Project Team should consider informing regularly the Executive Office about the expected activities and achievements of the project to ensure that the project aligns with the strategic vision of the organization and contributes to its realization. Furthermore, the project should strive to establish or participate in a coordination mechanism that offers increased opportunities to create synergies between the range of innovation related initiatives (e.g. Project Catalyst, Country Investment Facility). The project should also consider the added value for UNDP to build a global brand on innovation based on an overarching model that could be taken up and disseminated by COs as unique, both federating and differentiating the organization.
3. **The project should conduct a review of the administrative and procedural bottlenecks that impede innovation within UNDP.** A business model and operations review is underway in UNDP, which will likely aim to address some of these issues. However, forthcoming innovation approaches/methods may require continuous organizational improvement or radical change. Therefore, the next iteration of the project should be a team that has BMS membership and reporting lines, and therefore be given the clear mandate to work with BMS to structurally review bottlenecks, address them and also to have regulatory sandboxes to test new ways of working. Such regular reviews could be jointly performed with the teams that manage the Project Catalyst and Country Investment Facility.
4. **The project should continue looking for the leading edge and explore mechanisms to institutionalize innovation approaches/methods that were taken-up by the organization.** The project should consider transitioning the approaches/methods when they have reached a certain scale to global owners promoted and capacitated either as new component of a Signature Solution and/or as Centre of Excellence, being in BPPS, a Regional Hub, a Global Policy Centre. The project should clarify the threshold and conditions for such transition to happen and decision-making process. The project could also elicit what are the expected characteristics of innovation approaches/methods, what are their commonalities and optional features, for instance in terms of global resource mobilization, partnership building, branding, knowledge management and networking, etc. This entails further investing in specialized capacities inside the organization, for instance on data science. It has therefore be supported by core investments. Furthermore, the project should pivot to building horizon scanning capabilities in all offices and across all thematic areas while continuing to scan for innovative approaches and seek rewards and incentives to actively involve CO staff and national partners in “business/development intelligence”.
5. **The project should explore ways to further empower COs to take-up and scale innovation.** This may entail for instance to provide longer-term predictable support to specific COs to build an ecosystem better allowing to design systems-change pathways, reach scale and sustainable initiatives. The project could also review options for COs to request seed-funding when they see an opportunity for it rather than just once a year. This would, however, require more capacities in the Innovation Facility project

team. The project may further consider focusing certain resources on fewer projects that are more likely to scale, which may require to select some proposals based on their intended impact. It is important to note that co-investments from Country Offices have proven to be a key factor in successful scaling. Empowerment may look also at strengthening the capacity of COs to help each other -e.g. through mutual support initiatives, horizontal knowledge sharing, etc.- to facilitate the establishment of an internal market places whereby work is better equipped to tackle an approach “one client, one problem, one team”. Empowerment may also touch upon the external partners, from slightly enlarging the intervention around a project up to looking at assisting in the development of national innovation strategies.

6. **The project should consider alternative funding arrangements, like a trust fund, to “de-projectize” the Innovation Facility and facilitate the mobilization of additional resources.** Resource mobilization should be prioritized – especially involving senior management -, including by seeking increased access to global funds, leveraging impact investments in relevant innovation approaches/methods, targeting foundations and private sector actors with which the project has already established partnerships.
7. **The Innovation Facility should further emphasize and support cultural change as a key enabler of innovation adoption within UNDP and across partner organizations.** Accelerating change would imply to target more vigorously CO management, for instance through tailored training, special events, etc. The project should also further strengthen the global visibility of UNDP on innovation for development together with the Executive Office and BERA, including by continued support to the Istanbul Innovation Days which could be branded as UNDP’s global I4D event. To further facilitate change and adoption of innovation, the project should strive to develop structured support offers to Country Offices and partners that can be adjusted based on specific needs and strengthen its Knowledge Management activities.

ANNEX 1. Terms of Reference

FORMATIVE EVALUATION OF UNDP INNOVATION FACILITY

Background

ABOUT THE INNOVATION FACILITY

Unlocking the power of innovation for social good and sustainable growth is a dedicated goal in the Agenda 2030 and it is a vehicle to achieve all 17 SDGs. In 2014, UNDP set up a dedicated Innovation Facility with the support of the Government of Denmark. The Facility supports our partners – governments, civil society organizations, the private sector as well as UNDP Country Offices – in finding more effective solutions to development challenges.

The UNDP Innovation Facility (IF), hosted in the Development Impact Group, Bureau of Policy and Programme Support (BPPS), supports initiatives that a) strengthens UNDP's position as a leading advisor on innovation for development; b) enables national development actors to co-create value; c) increases understanding of the role and value of innovation for development; d) supports social innovators both within the organization and from the broader development community; and finally, e) enhances UNDP's own performance through innovative practices.

OUR APPROACH TO INNOVATION

UNDP's presence in more than 170 countries and territories across the globe, allows us to experiment with different innovation methods, rapidly learn what works, and catalyze the right partnerships to bring what works to scale. Our approach to innovation is iterative: we test, evaluate and build new solutions and services based on practical experiments.

Our services help partners and UNDP to refine responses and develop new solutions. They include:

Reframing policy issues and redesign programming by identifying key insights into the needs of users through methods such as human-centered design, behavioural insights and social innovation camps	Connecting and co-designing with citizens, government, academia, and private sector organizations – leveraging local solutions and co-creating new solutions
Testing hypotheses by running rapid prototypes, parallel field tests and experiments	Partnering with new actors, including start-ups, innovation hubs, think tanks and the private sector, on building 'shared value'

Between 2014 and 2017, the Innovation Facility supported over 142 initiatives in 85 countries with seed-funding awarded through a competitive process. To be successful a proposal needs to iterate pathways to reach a better understanding of a given development problem and then design a solution together with partners and people affected by the challenge. Winning submissions must also carefully pay attention to the scaling potential of the solution. Across 2014 and 2015, our partners -- Governments, private sector, and Country Offices – took up well over 60% of the initiatives we funded.

To achieve these results, the UNDP Innovation Facility works with all parts of the organization to foster skills, iteratively develop methods and tools based on concrete interventions, to identify and share lessons and to remove organizational bottlenecks for innovation.

UNDP is also an active participant in the UN Innovation Network, a collaborative network of UN bodies that have established innovation teams. As a member of this Network, UNDP has also endorsed the 9 Principles of Innovation, which guide the implementation of the Innovation Facility.

UNDP's new Strategic Plan spanning 2018 to 2021 emphasizes the need to innovate – to identify, test, evaluate and scale up novel approaches across UNDP's subject areas, in programme development, management and review. The Strategic Plan identifies 6 results related to innovation including an indicator on: "Percentage of country offices that pilot and/or scale innovative tools and methodologies." This provides a vital opportunity for the Innovation Facility to review what it has achieved and position itself for the next phase of UNDP's innovation journey.

UNDP would to conduct a light evaluation of the initiative. This light evaluation is intended to improve performance as well as inform the strategic course and engagement of the Innovation Facility moving forward.

Duties and Responsibilities

SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

The objectives of the evaluation are:

- Provide key lessons and inputs to UNDP management regarding the implementation of the UNDP Innovation Facility (2014 to 2017): with special focus to assess whether the current approach and investments trigger organizational change and innovation in UNDP's country-level programming in the best way possible, given the organizational set up.
- Inform the implementation and positioning of the next phase of the UNDP Innovation Facility (2019 – 2021), with regards to the 2018-2021 UNDP Strategic Plan and the larger UN Reform Agenda including the Innovation Lab that is being proposed (as of early 2018) at the Secretary General's Office and the UN Innovation Network.
- Provide recommendations to improve programme design, processes, and systems (including the monitoring and evaluation plan) for the operationalization of the next iteration of the Innovation Facility (2019 to 2021).

The evaluation will have 2 components. It will review the implementation and processes of the UNDP Innovation Facility (2014 to 2017) with regards to:

- a. Change management.*
- b. Development impact.*

The evaluation will take place in 2018 to inform the Innovation Facility's next Project Document. This will shape its approach and operationalization. It will cover country, regional and corporate levels through a case study approach including desk reviews and strategic (virtual) interviews with select staff based in programme countries and regional hubs at different phases of their innovation journey, as well as colleagues at HQ on change management.

Specifically, with regard to the scope, the evaluation will:

- Review the implementation and processes of the Innovation Facility: 2014 to 2017.

- Recognizing that as originally formulated the Innovation Facility ProDoc did not contain an explicit TOC, review the appropriateness of the conceptual framework of the initiative, determining whether the objectives, the implicit theory of change and the results framework articulated were put sufficiently into action, revisited and updated and whether relevant, reliable and valid indicators, measures, tools and mechanisms are in place.
- Assess the management, processes, and structure of the Innovation Facility including how effectively and efficiently the innovation could be translated in implementing the 2018-2021 UNDP Strategic Plan.
- Assess whether the processes, structures, and implementation plans are sufficient to foster innovation at UNDP, in-line with the 9 UN Principles of Innovation for Development, the 2014-2017 UNDP Strategic Plan, and in-line with the objectives of the project.
- Provide key insights on successes, failures and lessons of the UNDP Innovation Facility programmatic investments and advisory services in UNDP HQ, Regional Hubs and Country Offices reflecting on strategic objectives related to improved development impact, more inclusive processes as well as enhanced staff capacities, new service lines, additional resources mobilized and new partnerships created.
- The assessment will culminate with recommendations for improvements and operational suggestions for the Innovation Facility. These proposed improvements will be based on and derive from the findings of the assessment, and will be in the context of implementing the 2018-2021 UNDP Strategic Plan.

Users

The key users of the light evaluation will be the Innovation Facility team, the UNDP Innovation Board as well as the Government of Denmark as funding partner.

EVALUATION APPROACH AND METHODOLOGY

The 'light' evaluation will be conducted by an international evaluator. The evaluation will be transparent, inclusive, and conducted in a participatory manner. The evaluation will utilize mixed methods approach, drawing on both primary and secondary, quantitative and qualitative data to come up with an overall assessment backed by clear evidence. The evaluation is expected to use a case study approach as one of its data gathering tools to capture in more detail the importance of context in explaining variations in results per country and regions. The evaluation will also utilise a theory-based approach taking into consideration strategic and planning documents. The evaluation will also be informed by the project QA, the recent evaluations of UNDP's institutional effectiveness and of the Strategic Plan (2014-2017).

The evaluation consultant will develop the design for the evaluation including the approach, the evaluation criteria and questions contained in a matrix, and methodology for data collection and analysis. The criteria should draw from the UN/OECD-DAC's 5 evaluation criteria: For example: **Relevance:** *How well designed is the project to meet its broader objective to promote innovation across UNDP?*; **Effectiveness & Efficiency:** *How well has the project delivered the expected results?*; **Impact & Sustainability:** *To what extent is the project on track to influence the broader system in the countries or initiatives that have received funding?*

Indicative methods for data collection will include document review and interviews with key informants.

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outline in the UNEG 'Ethical Guidelines for Evaluations'.

EVALUATION PROCESS, DELIVERABLES AND TIMETABLE:

The evaluation will include 4 main phases, each with distinct milestones and deliverables.

Main deliverables:

The final evaluation report and PowerPoint are expected by June 2018, across 30 to 40 working days. The proposed timeframe and expected deliverables will be discussed with the Evaluation consultant and refined during the inception phase. The final schedule of deliverables will be presented in the inception report. The Evaluation Unit reserves the right to request several versions of the report before sharing the report with other stakeholders and until it meets the quality standards set by UNEG.

The Evaluation consultant will be responsible for preparing and submitting the following deliverables:

1. Inception report;
2. Draft and final evaluation report;
3. PowerPoint presentation of key findings and recommendations.

Phase	Deliverables	General Timeframe
Preparatory	The Innovation team will collect relevant documents, background for case studies, including surveys, and create a repository in google drive for the Evaluator.	1 Feb- 4 April
	The Innovation team will prepare a preliminary interview list for the Evaluator.	
Inception	The Evaluator will review documents and survey results	5 -30 April
	<p>The Evaluator will draft inception report should include (up to 5 pages):</p> <ol style="list-style-type: none"> 1. Evaluation design including a fully-fleshed out methodology; 2. Time-table for the exercise. 3. Relevant annexes: including questions for the interviewees; data collection methods and information sources. <p>The draft inception report will be reviewed by the Innovation team before the Evaluation expert moves to the next phase.</p>	
Data Collection	<p>The Evaluator will draft 3 case studies to assess development impact:</p> <ul style="list-style-type: none"> • Remote interviews with innovation focal points in countries and at regional hubs (no travel required). <p>Change management:</p> <ul style="list-style-type: none"> • Select interviews at HQ and regional hubs. 	1-13 May
Reporting	Draft final report: should outline clear evidence-based conclusions and findings. It should include focused, actionable recommendations	14-30 May

	<p>(SMART), and a clear, standalone Executive Summary. (Maximum 40 pages including annexes).</p> <p>It should include:</p> <ol style="list-style-type: none"> 1. Short description of the Innovation Facility and organizational context within UNDP, findings of the review of the implementation and processes of the Facility 2014 to 2017. 2. Description of the methodology utilized; 3. Findings of (issues identified under 'scope', page 2): <p>*Whether the conceptual framework was appropriate, actioned and updated with relevant, reliable and valid indicators, measures, tools and mechanisms.</p> <p>*How effectively and efficiently the innovation could be translated in implementing the 2018-2021 UNDP Strategic Plan.</p> <p>*The ability of the project to foster innovation at UNDP, in-line with the 9 UN Principles of Innovation for Development, and in-line with the objectives of the project.</p> <p>*The assessment of the value of the current approach in triggering organizational change and innovation in UNDP's country-level programming in the best way possible, given the organizational set up.</p> 4. Lessons learned from the implementation of the Innovation Facility. This includes -- successes, failures and lessons of the UNDP Innovation Facility programmatic investments and advisory services in UNDP HQ, Regional Hubs and Country Offices reflecting on strategic objectives related to improved development impact, more inclusive processes as well as enhanced staff capacities, new service lines, additional resources mobilized and new partnerships created. 5. Forward-looking recommendations including actions to operationalize these for the consideration of management. 6. Relevant annexes.	
	Comments from the global Innovation team	
	Final report: includes comments from the Innovation team and partners.	
	A PPT summarizing the main findings and recommendations to be used by the Innovation team leader in the final de-briefing to the Innovation board and UNDP leadership. Preferably the consultant (team) delivers the final presentation onsite or virtually to UNDP's Innovation Board.	

ANNEX 2. Key Evaluation Questions

Key Evaluation Questions: The evaluation should seek to answer the following questions organised according to the 5 UN/OECD/DAC evaluation criteria. **Please note this is an evaluation of the Innovation Facility project, not an evaluation of the ‘innovation function’ at UNDP.**

UN/OECD/DAC CRITERIA ⁵³	Sub Questions
1 Relevance <i>How well designed is the project to meet its broader objective to advance innovation across UNDP?</i>	<ul style="list-style-type: none"> • Are we doing the right things? • To what extent is the overall project framework aligned with the broader strategic goals of the organization? • How has the Innovation Facility supported UNDP in achieving its strategic results?
2 Effectiveness <i>How well has the project delivered the expected results?</i>	<ul style="list-style-type: none"> • Have the objectives of the project been achieved – or to what extent will the objectives of the intervention be (most likely) achieved? • Were the initial objectives ambitious enough to advance radical changes within the organization? • Are the beneficiaries target groups (Country Offices) clearly identified/defined? • What were some of the outstanding features of how the Innovation Facility operates? • What are shortcomings / flaws in the setup? • What should the next iteration of an Innovation Facility do differently, how should it operate to be more effective?
3 Efficiency <i>To what extent is the project on track to catalyze innovation at UNDP?</i>	<ul style="list-style-type: none"> • Are the objectives achieved in a cost-efficient manner by the development intervention? • Is the relationship between input of resources and results achieved appropriate and justifiable? What is the cost-benefit ratio? • Are there any alternatives for achieving the same results with less inputs/funds? → Specifically, is a cost-sharing project, as opposed to a dedicated trust fund, the most efficient vehicle? • Is the current location of the IF (BPPS) the most efficient one to drive results and trigger organizational change?
4 Impact <i>To what extent is the project on track to influence the broader corporate system in the uptake of innovation in contexts where it has invested in innovation?</i>	<p><i>The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended:</i></p> <ul style="list-style-type: none"> • What has happened as a result of the programme or project? • What real difference has the activity made to the Country Offices? • How many Country Offices have been affected? • What is or are the impact(s)/effects of the interventions?
5 Sustainability <i>To what extent has the project shown to be sustainable and/or scalable?</i>	<ul style="list-style-type: none"> • To what extent is a dedicated Innovation Facility sustainable and/or able to catalyze sustainable continued long-term benefits? • Are the positive effects sustainable and scalable? How is the sustainability or the continuity of the intervention and its effects to be assessed/measured? • What should the next iteration of an Innovation Facility do differently, how should it operate to be more sustainable?

⁵³ <https://www.oecd.org/development/evaluation/dcdndep/47069197.pdf>

ANNEX 3. List of Individuals Consulted

HQ Innovation Team:

- Bernardo Cocco, Policy Advisor, Knowledge Management and Innovation, Development Impact Group, BPPS, UNDP
- Benjamin Kumpf, Policy Specialist, Knowledge Management and Innovation, Development Impact Group, BPPS, UNDP
- Malika Bhandarkar, Innovation Facility, Global Coordinator & Fund Manager, Development Impact Group, BPPS, UNDP

Members of the Innovation Facility Board:

- Haoliang Xu, UN ASG, UNDP Assistant Administrator and Regional Director for Asia and the Pacific
- Rastislav Vrbrensky, Deputy Assistant Administrator and Deputy Regional Director, Regional Bureau for Europe and the CIS, Istanbul Regional Hub

Regional Innovation Leads:

- Jennifer Colville, Regional Team Leader, Innovation, UNDP Regional Hub - Amman
- Alex Oprunenco, Innovation and Knowledge Specialist, Bangkok Regional Hub, UNDP
- Milica Begovic, Ph.D., Knowledge and Innovation Team leader, UNDP Istanbul Regional Hub for Europe & CIS
- Marc Lepage, UNDP Africa Knowledge and Innovation advisor, UNDP

Former Regional Innovation Lead:

- Linda Maguire, UN RC, Resident Representative, UNDP Paraguay

Teams in different phases of innovation that have received funding from the Innovation Facility (draw on for Case Studies):

- Jamison Ervin, Ph.D., Manager, Global Programme on Nature for Development, BPPS, UNDP
- Louise Xi Li, Head of Innovation; Deputy Lead of Communication, Innovation and Partnership Team, UNDP China
- Khatuna Sandroshvili, Innovation Lead, UNDP Georgia
- Gazbia Sorour, Innovation Lab Coordinator, UNDP Egypt
- Reina Otsuka Isada, Environment Specialist, UNDP Rwanda

Partners:

- Paul Anderton, Learning Specialist, Talent Development Unit, BMS, UNDP
- Thomas Feeny, Program Director (Innovation), Results for Development; Manager, International Development Innovation Alliance (*IDIA*).
- Joseph D'Cruz, Senior Advisor, Strategy & Planning, Executive Office of the Administrator, UNDP
- Cynthia McCaffrey, Head, Office of Innovation, UNICEF (and co-lead of UNIN)

ANNEX 4. List of Documents Consulted

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ANNEX 5. Survey Results

This annex provides a summary and analysis of the online survey conducted to gather perspectives and feedback on the functioning and results of the Innovation Facility.

1. Background

The survey questionnaire was developed in collaboration with the Innovation Facility global team. The questionnaire built on the theory of change of the project with a view to assess the outputs and outcomes of the Innovation Facility. The questionnaire made significant room to open ended questions to collect qualitative insights, including pending needs and possible future directions for the project. The questionnaire was made available in English.

The survey was anonymous and remained open for 12 days, from 2 May to 1 June 2018. The survey was disseminated to a convenient sample of UNDP staff members who worked on projects that received seed funding from the Innovation Facility during 2014-2018. The survey was launched to 77 email addresses out of which 9 bounced back and were not delivered to recipients. The survey was taken by 48 participants, 6 of them opting-out before completion. Altogether, the survey compiled feedback from 42 respondents. A detailed review of the responses did not lead to identify and remove any invalid contribution. The response rate to the email survey was 61.8%.

The methodology used to disseminate the survey involved convenient sampling and potential non-response biases. Therefore, the survey did not aim for a sample that would be statistically representative of the entire population. While based on a significant percentage of participants, the findings analyzed below are based on the opinion of 42 respondents that do not necessarily represent the entire population of UNDP staff members that have worked on projects that received seed funding from the Innovation Facility.

2. About the project supported by the Innovation Facility

The first section of the survey intended to collect background information on the projects funded by the Innovation Facility.

2.1. Year of seed-funding support

In which year(s) did your project receive funds from the Innovation Facility?	#
2014	9
2015	19
2016	7
2017	18
2018	4
Total respondents (multiple choices)	57

Key findings:

- The highest numbers of respondents worked on projects that received seed-funding from the Innovation Facility in 2015 and in 2017.
- Few participants worked on projects that received seed-funding in 2016.
- 13 respondents (30%) worked on projects that received seed-funding during more than one year.
- 44.5% of the respondents who worked on projects that received seed-funding in 2014 received additional seed-funding during the following years.

2.2. Geographic location of project implementation

In what country is (was) implemented the project for which you have received seed funding from the Innovation Facility?					
Country	#	Country	#	Country	#
Armenia	1	Global	1	Nigeria	1
Bangladesh	3	Guatemala	1	Pakistan	1
Benin	1	Honduras	1	Regional	1
Bhutan	1	Indonesia	3	Rwanda	1
Botswana	1	Kosovo	1	Serbia	1
Brazil	1	Lebanon	1	Sudan	2
Burkina Faso	1	Macedonia, FYR	1	Switzerland	1
Cabo Verde	1	Mauritius	1	Uruguay	1
Chile	1	Moldova	1	Vietnam	2
Ecuador	1	Mongolia	1	Zimbabwe	2
El Salvador	2	Montenegro	1		
Ghana	1	N/A	1	Total	42

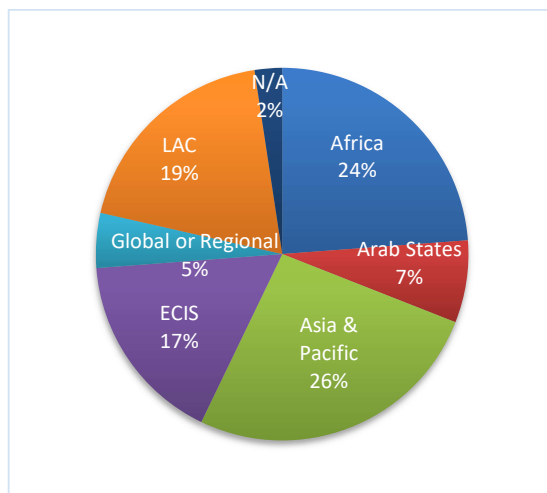


Figure 1a: Percentage of survey respondents per region of implementation of projects seed-funded by the Innovation Facility.

Source: Evaluation survey, 2018.

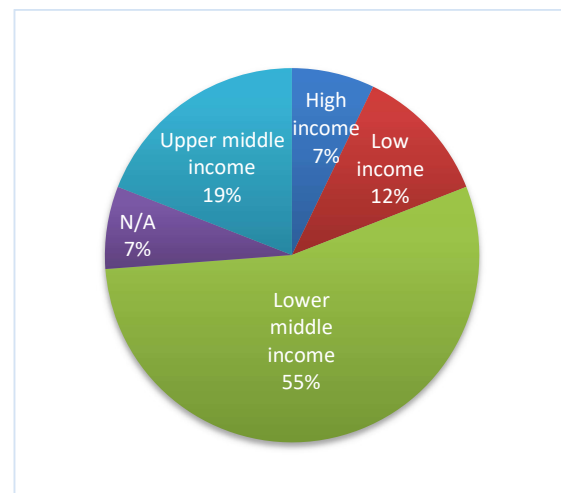


Figure 1b: Percentage of survey respondents per country income group where seed-funded projects were implemented

Source: Evaluation survey, 2018.

Key findings:

- Respondents represent projects seed-funded in 31 countries, plus 2 regional/global projects.
- Asia & Pacific (26%) and Africa (24%) are the regions with the highest number of countries represented.
- Lower-middle income countries are the most represented country income group (55%).

2.3. Sustainable Development Goals

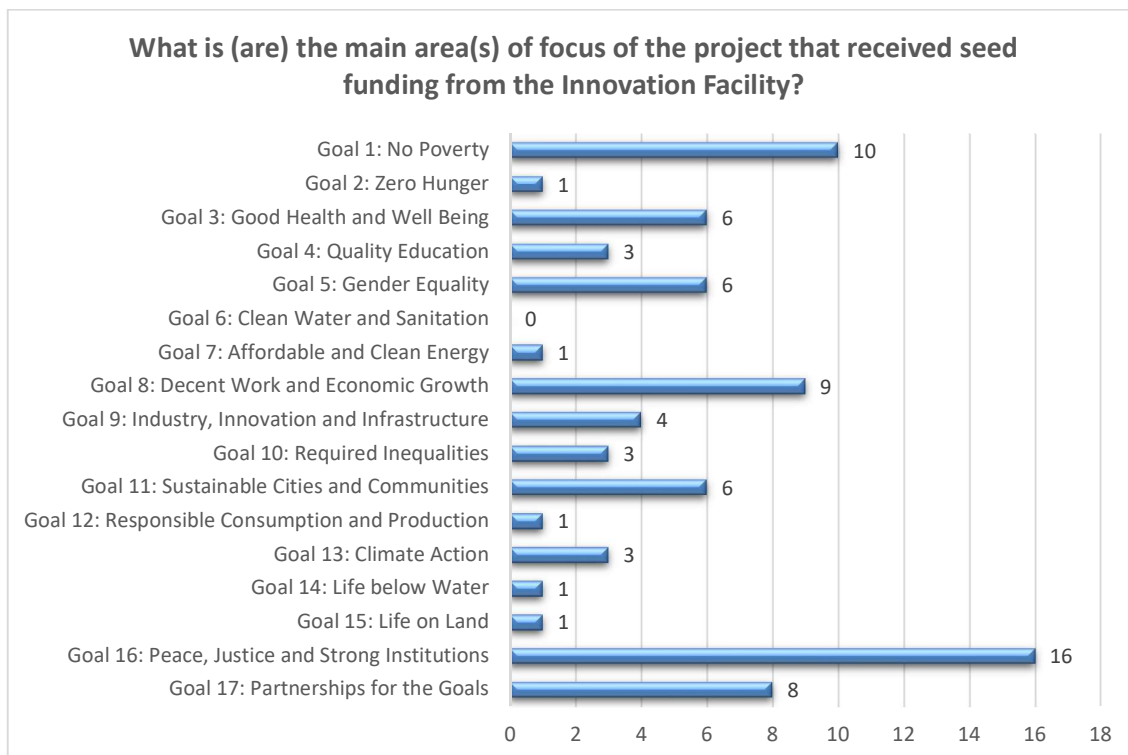


Figure 2: Number of respondents selecting the SDG for the project seed-funded by the Innovation Facility
(multiple responses possible)
Source: Evaluation survey, 2018.

Key findings:

- All SDGs are represented in the sample of respondents but one (Goal 6).
- SDG 16 -*Peace, Justice, and Strong Institutions*- is the goal with the highest number of projects represented.
- 22 respondents (52%) worked on seed-funded projects that spanned across two or more SDGs.

Survey participants were offered the possibility to specify other areas covered by the project that received seed-funding, with the following inputs:

- Disaster Risk Mitigation
- Financing the development by the Diaspora through Diaspora Bonds
- innovative financing which cuts across all goals
- Mobilizing youth
- No directly linked to achieving any of the goals but more towards enabling environment for testing new methodologies and approaches that would later contribute to the goals.
- Operations business process enhancement (integrated online request, cost recovery and reporting system)
- Renewable energy (solar energy)
- Universal Basic Income

3. Assessment of the Outputs of the Innovation Facility

The second section of the survey proposed respondents to assess the outputs of the Innovation Facility.

3.1. Technical support requested to the Innovation Facility

Did you request technical assistance from the Regional Innovation Lead or global Innovation team?	#	%
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No	13	31%
Yes	29	69%
Total	42	100%

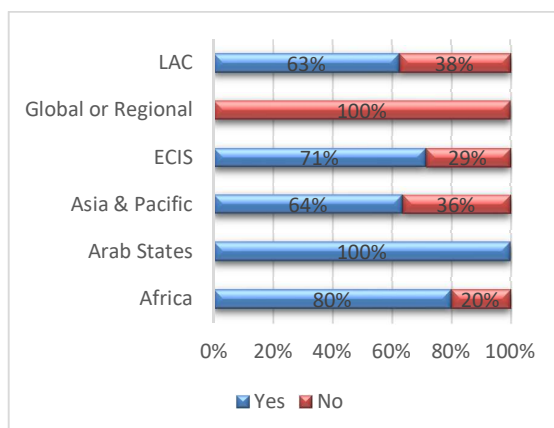


Figure 3a: Percentage of respondents having requested technical assistance per region.
Source: Evaluation survey, 2018.

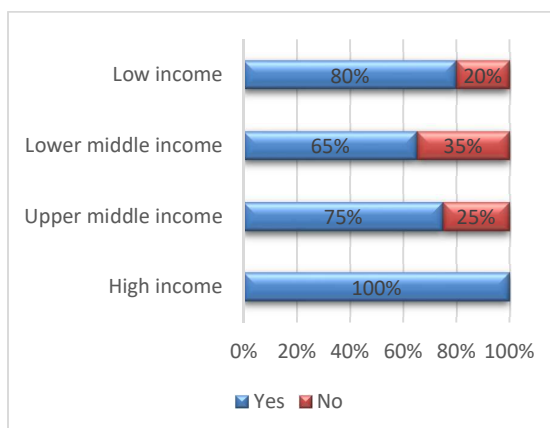


Figure 3b: Percentage of respondents having requested technical assistance per country income group.
Source: Evaluation survey, 2018.

Key findings:

- More than two third of the respondents (69%) have requested technical assistance from the Innovation Facility.
- Respondents from the Arab States and Africa regions have requested technical assistance more frequently.
- Respondents having worked on projects implemented in countries from high and low-income groups have requested more frequent technical assistance.

3.2. Communicating results

Did you Work Out Loud? Did you blog about your ongoing work funded by the Innovation Facility?	#	%
No	8	20%
Yes	33	80%
Total	41	100%

Key findings:

- A clear majority of respondents (80%) has communicated on the achievements of the project.
- *Work Out Loud* tends to be quite equally practiced by (ca. 82%) respondents across regions except for Latin America (62%)

3.3. Output areas

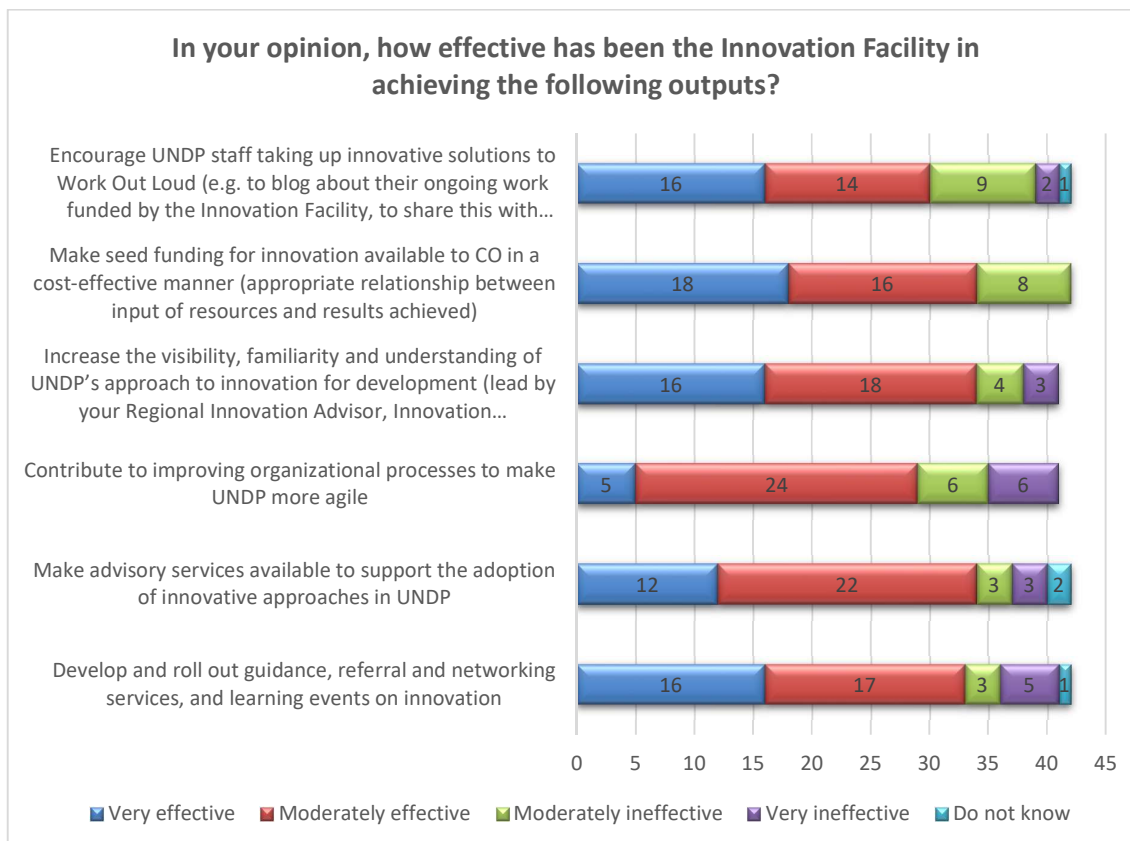


Figure 4: Number of respondents assessing the effectiveness of the Innovation Facility in achieving the proposed outputs.

Source: Evaluation survey, 2018.

Key findings:

- A clear majority of respondents (at least 70%) find that the Innovation Facility has been effective in achieving the proposed output.
- Respondents find that the Innovation Facility has been particularly effective in “Increasing the visibility, familiarity and understanding of UNDP’s approach to innovation for development” (83%) and in “Making seed funding for innovation available to CO in a cost-effective manner” (81%).
- About 30% of the respondents perceive that the Innovation Facility has been somewhat ineffective in “Contributing to improve organizational processes to make UNDP more agile” and according to 26% in “Encouraging UNDP staff taking up innovative solutions to Work Out Loud”.
- As one would expect, respondents who “Worked Out Loud” found the Innovation Facility more frequently (78%) effective in “Encouraging UNDP staff taking up innovative solutions to Work Out Loud” than those (62.5%) who did not “Work Out Loud”

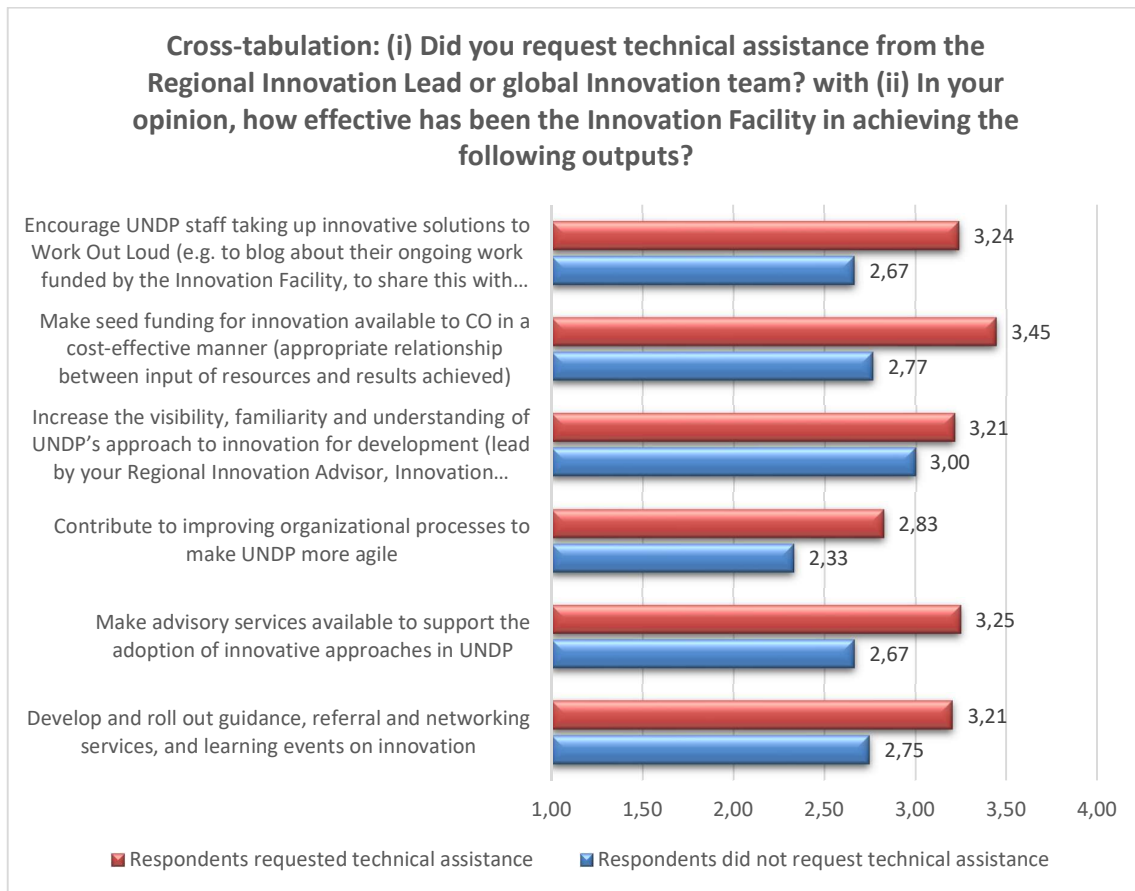


Figure 5: Perceived effectiveness of the Innovation Facility in achieving the proposed outputs (Scale: from 1-Very ineffective to 4-Very effective) according to requests for technical assistance.

Source: Evaluation survey, 2018.

Key findings:

- There is a positive correlation between the perceived effectiveness of the Innovation Facility in achieving the proposed outputs and the request for assistance from Regional Innovation Leads or global Innovation team; i.e. respondents were more likely to find that the Innovation Facility had been effective in achieving the proposed outputs when they had requested assistance

Survey participants were offered the possibility to comment on the Innovation Facility's outputs, with the following feedback:

- Being the 'innovation focal' is a lonely and challenging job in a CO. We need all the regional and HQ support in providing us the strategic guidance to direct a CO in the new direction. Achim Steiner's Webinar's and stress on the innovation agenda is helping greatly. Having the strategic plan as evidence that we need to move in this direction helps. What has helped me most is my senior management's stress on innovation. Applying innovative approaches is the easy part to the projects. However, mainstreaming them as a norm and a new way of working is a much larger and challenging endeavour. It might be a better strategy now to invest in training innovation leads and giving them the funding to seed fund projects in the COs...
- For operations enhancement business process in particular project from [country], the system can be replicated for effective direct project cost recovery system. Unfortunately it has not been disseminated effectively to other CO. Even GSSC team in [another country] did not know about this system. While the idea would be useful for other CO / GSSC to adopt similar approach for this "one click system". Hope innovation team in HQ can be coordinator for dissemination of information for other CO.

- Given that [country] is an UMIC, UNDP generally does not "own" the responsibility for a project (e.g. financing the project), but provides technical assistance to Govt. Though UNDP can advocate for an innovative project, it is the Govt which decides on its implementation. UNDP has successfully advocated for the [country] project, and Govt is taking the lead - though this takes a lot of time.
- I found the Innovation Facility followed a similar disconnect between country offices and regional centers in terms of our country specific limitations and counterparts. However, the regional innovation coordinator, [name], was very helpful and helped me channel communications back to my Country Director to ensure there was coherent messaging on our innovation programming.
- I think innovation is great. The major leading companies of the world are all innovating, developing new products and services, and changing the world. However, I have concern about UNDP's role in innovation. When we wrote the proposal for our project, one of the questions was about changing the country in 6 - 9 months. But innovation doesn't work this way. Innovation is slow and resource intensive. Although we don't know for sure, Thomas Edison failed more than 1000 times at making a working product. The small, soy sauce container with a red led and rounded shape that you use at certain restaurants took 3 years and many designs to perfect. This list is essentially endless. Innovation takes time, lots of it. Every innovation is built from a 1000 steps before it. You can't rush it. You certainly can't force it. Innovation is also evidence-based, taking ideas and applying dedicated research and detailed oriented steps at every iteration. I think UNDP should re-think how innovation can fit into our work cycle, and how the principles of innovation around the world, particularly the private sector, can carefully be applied to development issues.
- I think it has been a great opportunity to introduce an innovation approach in our office, which we were lacking of. However, more efforts are required to actually change our mindsets on the way we design, implement and evaluate our successes and failures (in line with what is currently going on to promote innovation). The Facility is a great instance to try something new, to motivate partners and senior colleagues. Feedback on each initiative would also be appreciated and advice on how to move on, scale... On the other hand, working on HIV/AIDS in a conservative country where people with HIV are still subject to high levels of stigma and discrimination has not made it easy to work out loud; thus, we could have benefited for more support regarding the external communications and into advocating for a more open approach among all stakeholders involved.
- In practice, the Innovation Facility consists of different parts (questions above mix them up). In general, the regional advisors have been excellent. They have created real impact on the ground. But 1 advisor per continent, with so many country offices and so many project portfolio's ripe for innovation initiatives, is not sufficient. The added value of the Global Facility in HQ turned out to be, apart from the immediate distribution of the funds to the regions, minimal. Additional fund raising, broad promotion and internal advocacy failed. Work out loud is overrated, functions more as an echo chamber for like-minded people. Less emphasis on scalability of solutions (same old good practice trap bedeviling development) more on scalability of approaches (something the Facility at HQ failed to convince donors of).
- Innovative solutions require additional time for sensitization of the Government. The whole concept may be jeopardized if the Government considers "innovative solution" as a possible threat to "stable government policies"
- Involving our main stakeholders especially the governments in the roll out is very critical. It will be more effective if the Facility directly reaches out to government partners in case of a next phase.
- It was a timely investment in Innovation but sadly was not seen as a priority by management
- Knowledge exchange between initiatives and trainings on innovation cutting-edge models would help us to enhance our project. Communication strategy could be more interactive with the on-going project.
- Our Regional Advisor, [name], and [name] before him, have been very country-oriented and provided very practical and advisory support as needed. I say at every opportunity that without the seed funding from the innovation facility, we would not have been able to explore the different dimensions of Islamic finance and SDGs. It has been indispensable.
- Please see the link <https://apps.ciudadelsaber.org/portal/en/foundation/vice-presidency-innovation-center>
- The availability of the Innovation Fund created an enabling environment for the UN to engage with the government on innovation thus strengthening the relationship between the Prime Minister's Office and UNDP; the CO was seen as the lead agency in supporting the government drive innovation. Partnerships were facilitated on behalf of the government with the [country] Innovation Hub in [city], as well as local

partnership such as MTN; It also facilitated the establishment of a pool of innovators and registering an Association of Innovators in [district].

- The competition for time at CO level from different HQ or regional initiatives as intimidating to staff who we're pressured by CO senior management to deliver 100% on AWP activities. For innovation to take root at CO field level, a different emphasis on how we allocate our time is necessary.
- The project incentivizes the government to research for new ways of funding the development namely through the issuance of new different bonds
- The project was implemented in record time for the scope of the proposal. All the efforts were dedicated to obtain an innovative product that consists of a system that allows to reinforce the mechanisms of capture of information on potential emergency events and the mechanisms of dissemination of information to potential victims; specially focus on the exploitation of data from social networks. Since it has just been finished with the elaboration of the product, and is being tested, it will soon be widely disseminated through networks, launching events and training workshops.
- The work of the Innovation Facility is very much appreciated. Often, such work goes against the organizational nature, and it is not easy to influence change on this level.

Key findings:

- Many survey participants share examples of a positive contribution of the Innovation Facility to new projects and/or partnerships.
- Several respondents stress that taking up innovation is not just about buy-in and adoption by UNDP CO management and staff but also for governments to formulate and/or agree the business case and proposed approach.
- Various respondents indicate that adopting innovation goes step-by-step and requires time.
- A few respondents mention the importance of change management and somewhat limited contribution of communications and working out loud.

4. Assessment of the Outcomes of the Innovation Facility

The third section of the survey proposed respondents to assess the outcomes of the Innovation Facility.

4.1. Outcome areas

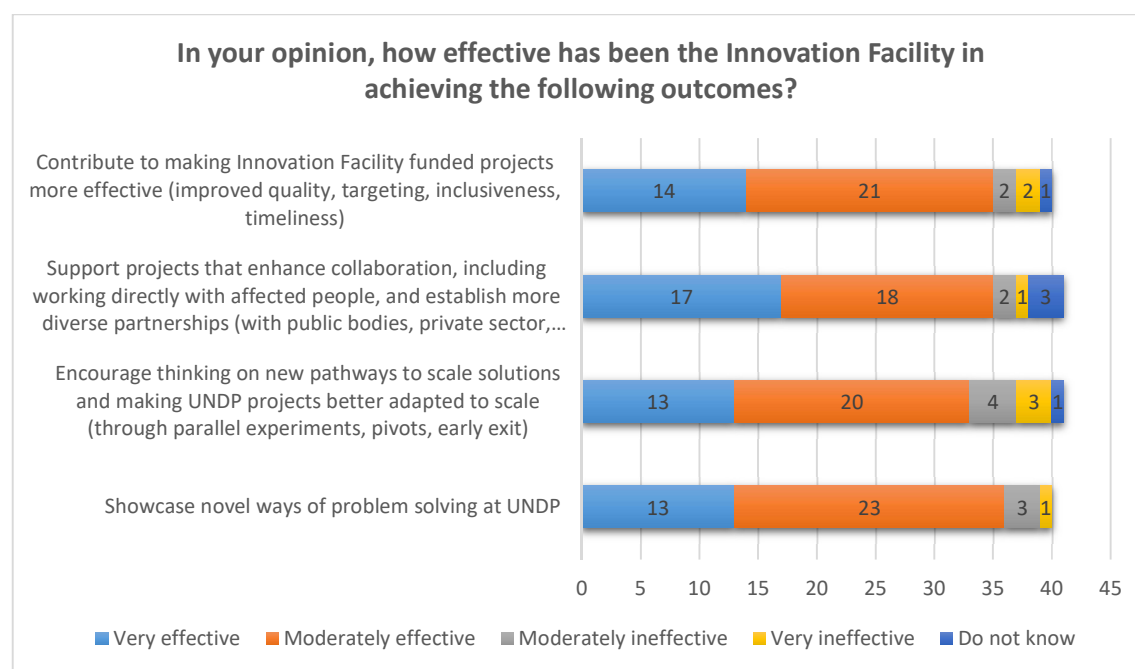


Figure 5: Number of respondents assessing the effectiveness of the Innovation Facility in achieving the proposed outcomes.

Source: Evaluation survey, 2018.

Key findings:

- More than 80% of the respondents indicate that the Innovation Facility project has been effective in achieving the proposed outcomes.
- About 91% of the respondents find that the project has been effective in “showcasing novel ways of problem solving at UNDP” and 88% in “Contributing to make Innovation Facility funded projects more effective (improved quality, targeting, inclusiveness, timeliness)”
- Close to 17% of the respondents find that the project has not been effective in “Encouraging thinking on new pathways to scale solutions and making UNDP projects better adapted to scale (through parallel experiments, pivots, early exit)”

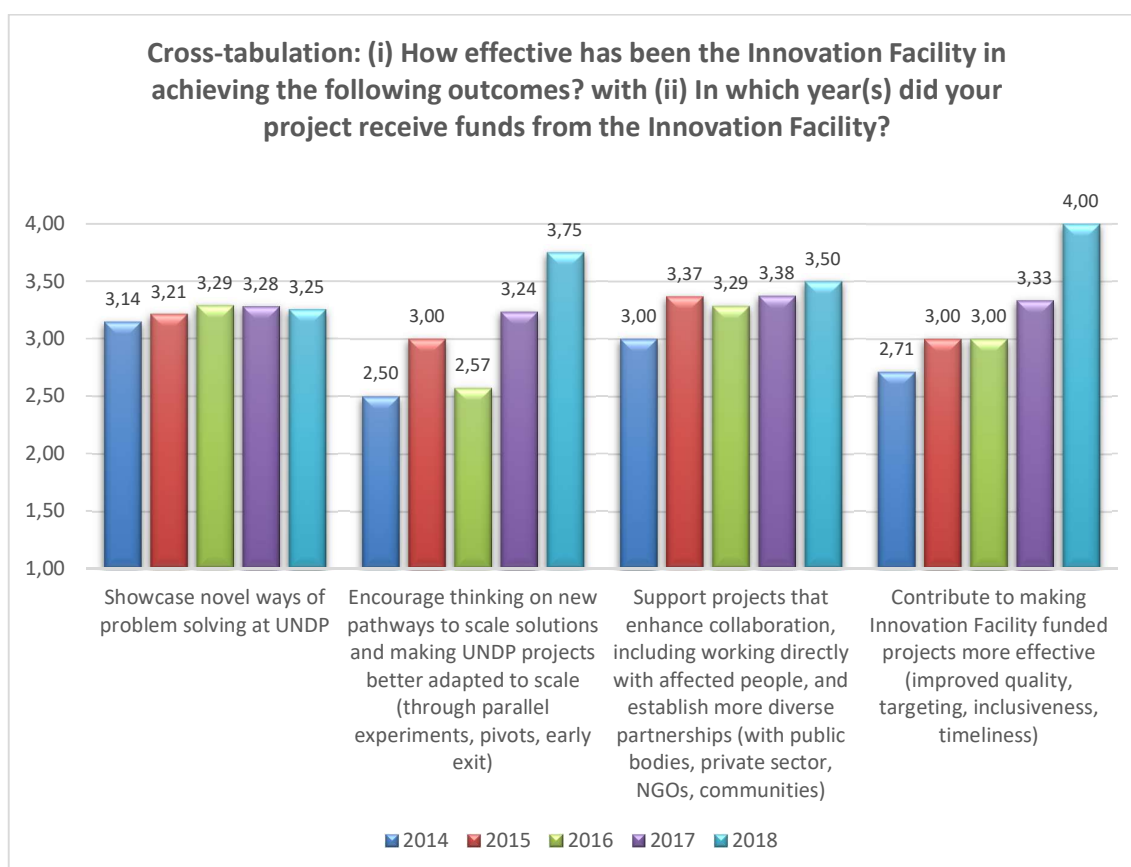


Figure 5: Perceived effectiveness of the Innovation Facility in achieving the proposed outcomes according to the year in which the project received seed-funding (Scale: From 1-Very ineffective to 4-Very effective).

Source: Evaluation survey, 2018.

Key findings:

- Respondents tend to assess more positively over the years the effectiveness of the Innovation Facility in achieving the proposed outcomes except for “Showcasing novel ways of problem solving at UNDP” that peaked in 2016.
- There is continuous improvement in the perception of respondents on the effectiveness of the Innovation Facility to “Contribute to making Innovation Facility funded projects more effective”.

Survey participants were offered the possibility to comment on the Innovation Facility's outcomes, with the following feedback:

- Again, Govt officers are at the receiving end. In fully funded IF projects, the onus is more on UNDP and in a sense less difficult to implement. But, in a country like [country], Govt officers may not understand why UNDP is so concerned about the innovation. Tact and past achievements and leverage play an important role here.
- Focus on designing with the end-user is key whether you have beneficiaries or not. Although there is a systematization effort to leverage the initiatives through annual reports I think offices would benefit for more "digested" contents on what works and what does not work on different kinds of settings.
- It was effective but mainly with like-minded people.
- See previous comments. I read 'at UNDP' as at the field level, where these things, where relevant, have been successful. In the organisation at large, I think there still is a long way to go, if that is necessary at all. Innovation happens at the front line because they must. The further removed from the front line, the less innovation is visible, and the more entrenched interests hide behind 'good practice' and 'scalability'. Ipso facto, funds, support and attention for innovation has to be diverted from those parts of the organisation furthest removed from the field.
- The challenge is scaling and mainstreaming. In [country] CO, we have focused on integrating innovation into our ongoing projects with all responsible for mainstreaming innovation (no one innovation focal point or champion) and this has provided a good strategy. The innovation work is well-established now within existing projects, oftentimes GEF projects.
- The IF was very successful in showing how developmental challenges can be solved through alternative means, and encouraged well the thinking on new pathways to design and scale up alternative solutions. However, the donor community is risk-averse and there is still much to be achieved in creating this thinking among the donors as well. While we can offer the expertise & tested, innovative solutions, the donor community more often than not prefers to use the "traditional", the "what has worked well". Therefore, inclusion of donors and other implementers in the activities of IF can be a good way forward.
- The initial fund was more externally focused and therefore used to support young innovators to engage in the innovation policy space; promote their innovations and applications; and also broker partnership between the Innovators and government. Young Innovators were encouraged to come up with innovations that would contribute towards improved service delivery and increasing access.
- The innovation facility is the appropriate way to push UNDP intervention toward transformation and effectively contribute to the country's development
- The messages from the innovation facility will take years to sink in. Senior Management and HQ often force us to work in corporate-centric ways that inhibit experimenting, primarily in the area of "don't be afraid of failure."
- The reason I rate these low is because outside of the project team in our country implementing Innovation Facility projects, despite our showcasing and internal advocacy, this message of innovation has not reached other colleagues. I think some interesting partnerships, however, have come out of Innovation Facility projects.

Key findings:

- Many participants stressed the importance to reach out to and include governments, stakeholders, and donors in the innovation process.
- Some respondents indicated that the ability of UNDP to experiment and accept failure remains limited.
- A few respondents reported successful achievements on mainstreaming innovation at CO level and enlarging partnerships.

4.2. Most positive outcomes

In your opinion, what were the most positive outcomes that the Innovation Facility has contributed to in your duty station? What are the most positive outcomes on the organizational level? (Please provide specific examples)

- An Innovation Lab for Social Interest Entrepreneurship developed and provides access to innovative entrepreneurship tools and training for victims of violence and returned migrants. - Generated new ideas, enhancements and tests solutions and prototypes to improve the production of 3D-printed

- prosthetics, bringing together academia, biomedical engineers, designers, and entrepreneurs and non-profit organizations that are already producing traditional and 3D-printed prosthetics. - The initiative has consolidated the Alliance with CCIT (Chamber of Commerce and Industry of [city]) creating a commitment to include vulnerable population as users of the Innovation Laboratory of this institution.
- BBLs on innovation hot topics making the organization more modern and youthful.
 - Young people participated in the broader policy space of innovation. An Association of young innovators was established and registered through the fund; partnership was established between the Innovators Association of [district] and the government E-Governance unit; An innovation hub was established at the University of [district] aimed at supporting more young innovators
 - 1. Building partnerships with difficult stakeholders in the government as well as expanding partnerships with big private sector (telecom operators). This has contributed to position UNDP as a partner of choice in certain sectors within [country] - data innovation, youth development, SDGs advocacy, prevention of violent extremism. 2. Sensitization of traditional thinkers towards seeking innovative approaches to address development and operational challenges.
 - A shift that innovation & design of new solutions is nothing "bad", both in the technical staff and the senior management. The work with the IF has led to establishment of the in-house innovation team here in our office that serves as the facilitator and in-house knowledge group of innovative solutions.
 - Advocacy, knew knowledge and new methods to work at national level
 - Contribution with resources to apply innovative systems for water management for irrigation systems
 - Encouraging and establishing a new approach with our national partners; reaching the furthest left behind and those who suffer high levels of discrimination; involving main stakeholders; Openness to change among staff and senior management, a decision pending on having an innovation team/focal point that promotes a different approach (and does not own it...)
 - Finalized project design for the potential experiment in [country] on Universal Basic Income. Initial policy dialogue among key stakeholders who were in the process of "awakening".
 - For the first time, the mobile technology is being envisaged to outreach the poorest and have their feedback. This, if successfully implemented, will open the door (for the first time) to a bottom up approach to inform pro-poor policy decisions.
 - Grace aux fonds sur l'Innovation Facility, des actions ont été menées afin de renforcer le mécanisme de lutte contre les Violences Basées sur le Genre mis en place Par le Gouvernement béninois. Ainsi les appuis données ont permis de : - renforcer les capacités des agents non médicaux: Assistants sociaux, Agents d'ONG, Officiers de Police Judiciaire (OPJ), Magistrats, agents de justice et élus locaux, en matière de prise en charge des femmes et des enfants victimes de violences et abus. L'innovation est que désormais, la prise en charge est holistique suivant les SOP (Standard, Opération Procédure) élaborés à cet effet; - Une base de données sur les résultats de lutte contre les VBG est actualisée et transférée à l'OFFE... - renforcer et de rendre anonyme la dénonciation des actes de violences sur les femmes et les filles. cela s'est fait par le mise en place d'une plateforme électronique de dénonciation ; - élaborer une stratégie d'implication des hommes et garçons dans la promotion des droits des femmes et des filles; « les hommes s'engagent » dans une zone sanitaire; - 10 Comités chargés du suivi de la mise en œuvre et de l'évaluation ont été installés dans les communes ; - former et sensibiliser plus de 250 leaders d'opinions dont 74 femmes sur les lois protégeant les femmes et les filles, notamment la loi VBG, le code des personnes et de la famille, le mariage des enfants et la dénonciation et poursuite des cas de violences ainsi que les différentes voies de recours ; - d'élaborer et de valider le Plan d'Action National de la Résolution 1325 relative à l'implication des femmes des les opérations de maintien de Paix. Depuis plus de 15 ans, le [country] ne disposait pas de son plan d'action, mais grâce à ce fonds, le pays a élaboré son plan de mise en œuvre de la Résolution 1325 portant sur «Femmes, Paix et Sécurité).
 - It allowed HIV youth works to utilize entry level smart phones and social media (mainly WhatsApp) to create and support youth networks of people living with or affected by HIV in [country]. This low cost easy to access has sustained formal and informal networks, which we are designing an \$18M program currently that retains some of the original innovations.
 - It allowed the CO to kick-start innovation thinking within the country programme, which would have been very difficult to achieve or gain traction for without IF funding. It lowered the barrier to engage in innovative pilots.
 - It has helped UNDP's positioning among the country actors as one of the leading organizations in innovation in the Country. The work out loud campaign had an important impact for this purpose.

- It is excellent to have HQ seed money that used rapid prototyping as an approach and that funded innovations -- it is a good incentive. The project is still in testing phase. Therefore this project has not had an organisational impact yet.
- It showcased small initiatives with small funding can spark changes.
- Making innovations a reality and not mere lip service
- Our project was able to directly contribute in a small way to our CPD outcome and 1 output level indicator, directly. However, its relatively minuscule compared to the population of the country. Although, over a period of more time, the work that our project is doing with Innovation Facility funds may have a significant impact on national policy. At the organization level, I don't think there has been any outcome.
- Seed funding for innovation activities. Our events would not have taken place without this.
- showcase alternative approaches to wicked development challenges (use of behavioural insights for policy-making) alternative methods for better evaluation of policy impact (randomised-control trial as alternative tool for measuring the impact)
- Support and funding from IF allowed to set-up a structure (Impact Accelerator) within the UNDP CO that start changing the overall dynamics, attitude to the work in the office. It allowed to bring in, employ and engage resources from relevant part of the private sector, targeting innovative solutions, fast implementation and new vision towards development. I could confidently say that this become one the most drastic change making developments I have ever seen in the UNDP country office. Another initiative funded by IF was IID Summit, which become a turning point and catalyzed range of initiatives related impact investments within the overall UNDP. It also is considered to be one of the most successful events in the industry in terms of producing specific and tangible results.
- Technical support provided by innovation facility for the organization of the YouthConnekt bootcamp and award (part of the jury)
- The fund facilitated the dialogue between our program and the government. It also improve the visibility of the program in [country] and in other countries.
- The funds made available by the IF, together with the regional advisors relentless search for emerging opportunities for innovation, has acted as a catalyst for new approaches and ideas. In my experience, one of the most important outcomes of the IF support was a renewed interest by 'old' partners (national) and the 'discovery' of new societal partners of UNDP. In many countries, UNDP support is seen as stale, increasingly irrelevant and going through the motions (not just in middle income countries). The innovation supported by the IF has piqued new interest.
- The initiative had one outcome which was to develop a visualization tool aimed to complement existing data gathering and analysis methods with the development of new technology, partnerships and capacities for Big Data Analytics. The presentation of this tool as was done presented a new way of engaging with our partners for our Country Office. It was an interactive and innovative tool that enabled people understand the data more clearly, identify quickly and easily linkages, trends, not obvious to them before, even when data volumes are very large.
- The Innovation Facility has enabled our office to learn about an entirely new innovative financial instrument - social impact bond, and to invest efforts toward identifying whether it is possible to apply it in [country]. The experiences in the implementation of the pilot project were shared with the office staff and, at organizational level, it contributed to increasing knowledge and thinking toward implementing SIB in other areas.
- The innovation facility has managed to make staff in the CO more familiar with and confident in applying and integrating innovation approaches in project and programme designs.
- The Innovation facility provided seed funding for the Innovation Lab that was just established and enabled testing of several methodologies and approaches within the ongoing projects. This funding enabled the Hub to function for the first 2 years following the establishment which is the most critical period of the Lab's existence where such funding is much needed. These funding enabled several colleagues to get the opportunity to work on testing new approaches, however, it was not sufficiently long to enable organizational level change and the shift in working. It remained at individual staff members level, and on the margins of the office functioning.
- The Innovation Facility supported a few very diverse innovation projects in [country], ranging from more technological based projects to more human-centred projects.
- The innovation facility was a perfect excuse to test things out side the box. I observed more flexibility inside the organization to test new or risky approaches.

- The innovation facility we received was used to pilot-test a development idea and today the sub-national government has taken over the idea and scaled it up very largely.
- The most positive outcomes is that allowed us to work with youth in a different way. We used technology, apps, develop events that were extremely interesting for them to participate and to get involved. We were able to talk and meet with youth in their own way. Many of our projects at UNDP are for youth, but rarely are they involved in the planning, implementing, etc. They are only seen as targets or as an outcome. Involving them through the entire process show case a different way to approach youth made a positive impact in our organization. Sadly, this practice has not continued regarding working with youth.
- The most positive outcomes that the Innovation Facility has contributed is the terms of targeting the beneficiaries such as unemployed youth, CSO and the private sector. The country office was able to showcase the innovation works through the Innovation Fund Facility.
- The opportunity to structure a new area and identify new partners in the private sector.
- The project made it possible to coordinate quickly and effectively institutions such as the National Emergency Department (main counterpart), telephone companies, National Traffic Police, National Meteorological Institute, Presidency, etc., and achieve a tangible and very useful result for the management of Emergency in [country].
- The seed funding has allowed us to develop a new stream of services around innovative financing that is now being consolidated in the form of a lab. Some concrete examples include the following: 1. Social Impact Bonds are being explored with Planning and Finance Ministries; 2. UNDP is providing support to the Government in the design and now implementation of its Green sukuk (Islamic bond). we are now exploring SDG bonds / sukuk, corporate bonds with private companies and SOEs and sub-national level bonds. 3. We have used funds from Inno Facility to develop pipeline projects for the use of zakat funds on micro-hydro and biodiversity, which are also linked with existing projects. Knowledge sharing, SSC through conferences and papers presented by UNDP and Baznas also helped position UNDP on the issue of Islamic finance. 4. Funds used to explore engagement with waqf organisations and funds.
- UNDP positioning on innovation for transformation in the area of financing for development
- Visibility an attempt to lower reporting requirements
- We were able to find a way to involve young legal professionals understand how the law applies to vulnerable people by having them spend weekends living in villages adjacent to factories, farms, etc. This was eye-opening for them, and they broke out of their rote learning standards to see how they can actually apply the law to a set of facts in an environment that encouraged trust and confidence.

Key findings:

- Many participants refer to outcomes related to enlarged partnerships, being with ministries or public institutions, private sector actors, NGOs and CSOs.
- Many participants indicate increased involvement of specific target groups in policy making and development, particularly the Youth and poor and marginalized communities.
- Many respondents refer to the creation of new approaches/methods, most often in the areas of Alternative Finance, Innovation Labs, Behavioral Insights, and technology related.
- Many respondents indicated that the project has sparked a change within the CO with a culture among management and staff to test new approaches and take risks.
- Several respondents mention the development of new skills as a significant outcome.
- Several respondents indicate that the Innovation Facility project has contributed to improve the visibility and relevance of UNDP and better position the organization as partner of choice.
- One participant refers to the introduction of alternative methods for better evaluation of policy impact (randomised-control trial as alternative tool for measuring the impact).

4.3. Shortcomings

In your opinion, what were the main shortcomings / flaws (if any) in the setup and functioning of the Innovation Facility? (Please provide specific examples)

- I believe the funding from Innovation Facility should be more regular, or allow for consecutive and longer term engagements.

- Little time to implement the initiative
- The funds allocated are too small to impact more on transformation. For deep transformation in the developing countries projects must be really strongly innovative which requires more substantial amounts of available funding.
- 1. For unique context like [country], time frame of seed funded pilot project implementation is extremely tight. In some cases - eight months is not realistic to achieve the targeted results especially when we have to compulsorily work with government counterparts who are extremely sensitive to interventions and methods that they perceive as threatening their security status and also slow. In such scenarios, the facility need to be a little flexible and considerate on the deliverable timings of the activities. 2. Use of some innovation methods such as Artificial Intelligence, Behavioural Sciences and even BIG DATA comes with high risk to human rights principles. The Innovation Facility needs to be mindful of adherence to those principles for the projects being funded. If the recipient COs are not aware of this or they do not have the capacity to take this up, the facility should provide corporate level guidance, legal instruments or resource capacity as a stand in offer during proposal selection to ensure those risks are reduced to the minimum and the CO can focus on the actual implementation of the innovation method.
- 1. Understanding and agreeing on what is considered innovative from the onset, half way through we were informed our project was not innovative enough. 2. Understanding and working out the modalities for working with another country office or sister agency especially on how payments can be made and what the funds can be used for. After engaging Pulse lab Kampala to design the visualization tool it became a challenge to pay for the services given the restrictions of the fund, yet the engagement had been pushed by the facility. 3. Developing a sustainability plan for the innovative initiative
- As previously mentioned, the Innovation Facility wanted quick achievements, which is contrary to the way innovation works. Perhaps it would be better to take a longer-term view of innovative projects, and systematically follow progress and iterations of development ideas.
- Few resources for systematization of experiences
- I believe your challenge remains mainstreaming the work and ensuring that our systems and procedures support rather than hinder. Leadership personalities are still critical in shaping whether innovation takes hold.
- I don't see any shortcomings in the setup, as it worked well and it encouraged inter-office and even inter-region collaboration and experience sharing. However, I think we are still rather a long way of embedding innovation into the business processes of UNDP fully, both in terms of project delivery, as well as internal business processes. This will take still some time. Additionally, while I understand that it is difficult to do practically given the sheer amount of proposals, it would be good to receive feedback on the unsuccessful proposals to the Innovation Facility, as a means of personal and organizational learning. Also, it would be nice to have a shared space where the successful proposals and the progress of them is shared.
- In my opinion, the main shortcomings / flaws (if any) in the setup and functioning of the Innovation Facility are limited duration for implementation and no continuation of support for scaling up.
- Insuffisance des ressources
- It has become better and better. The guidance I have received has been very good, and the set up of more specific rules, templates and guiding concept has helped us a lot in better defining our ideas to submit them to the facility.
- Limited time and rigid UNDP procurement rules.
- more guidance and technical support is needed in terms of partnership development, looking for technical expertise (sometimes) more flexible mechanism on contracting and money disbursement
- No guarantee for scale-up money if test is successful...
- Not enough funds; too few regional advisors; 'straight jacketed' in rigid RBM frameworks that didn't allow for experiments with whole portfolios; inability to convince donors to provide support to innovation per se (instead of 'scalable' products. They're a tough and fossilised crowd though); inability to clear out some of the more inhibitive rules and processes that strangle the organisation.
- Not much has been done to instill the innovative culture at the CO level. The staff who is/are involved in the IF project is/are often alienated and experience difficulty to "sell/market" the idea with colleagues. A dedicated staff/unit may help for recognition within the CO.
- Participation in international events/conferences/workshops should be made possible to CO staff. This is a bit too centralised with staff of the IF.

- Regarding the particular innovation fund grant, there was a long delay in time between submission of the proposal and the notification of project being approved. Since many of the innovation projects were spearheaded by interns or consultants, the original team either were no longer at the Country Office or had moved into different projects within CO. There was more enthusiasm for these innovation type projects from younger CO team members, who often had more precarious contracts as compared to long-term, more secured CO team members.
- Restricted funding and very short project duration (de facto 8 months).
- Subjectivity of the focal points in providing support especially at the regional level
- The funds we received were very limited and the time for implementation was very short. This is a flaw since we had to hurry to implement and rarely we had time to follow up with the beneficiaries.
- The Innovation Facility could have benefited from more senior mgmt leadership and integration into the work of the Bureaus. It's relatively limited funding scope also meant that scaling up solutions in contexts where innovation was completely new was difficult.
- The innovation facility has to be linking with ongoing effort to see sustainability. I think a support to CO about methodologies, experiences is needed in order to present new approaches.
- The jargon doesn't translate into any language, and it constantly changes. This presents obvious challenges, but it also makes people question themselves... Am I not modern? Am I not innovative? If I can't adequately explain to others the difference between replication and scaling up, does that mean I don't get it?
- The objectives of the project were poorly defined from the start. Rather, it was an advocacy project for scaling up a solar energy pilot project. The program has been reoriented. The programmed missions inside and outside the country have been canceled. The funds were used to recruit a consultant for the organization of a round table, but time was not enough for this activity. So the consultant did a study.
- The project durations were too short to achieve tangible outcomes. Since the projects were directly implemented by UNDP, it added to the workload.
- The shortcoming the size of allocated funds which in large countries like [country] is inadequate for a pilot test. It will be good therefore for larger countries to have sizeable funding allocations from the facility.
- The timeframe for implementation, considering projects that involve a multi-stakeholder partnership. The amount of money donated made us spend a lot of time negotiating with providers in order to have a high-quality output.
- There were no major shortcomings as far as the fund was concerned. It was a flexible grant that enabled us to achieve the desired project outcomes.
- Timeliness was quite a hard issue to comply with given the short time to implement and the difficulties encountered in the process (approving research protocols, recruitment of patients, developing the app). UNDP procurement processes delayed also the kick-off for implementation. A change of government posed an extra difficulty in the launching of the initiative although there is interest in the new authorities to continuity and ownership
- Too much jargon. This limited our ability to effectively use national officers at UNDP to become engaged fully.
- Unfortunately, there has been no opportunity yet to apply for scale-up funding for successful innovation projects in 2017/2018, yet this is crucial to ensure innovation does not remain at the piloting stage but becomes part of how things are done.
- While the Facility was very much needed for the COs and provided an opportunity for testing and experimenting, the offices that were able to benefit from it were rather limited. RBEC was able to receive very limited funding, and this funding was distributed by IRH for a projects agreed in advance in which offices had very limited role to play or to co-design the projects (except in 2017 when offices were invited to apply directly to HQ. And finally, once funds were distributed for the given year, there were no funds available for matching for potentially interesting initiatives.

Key findings:

- A very high number of participants point out the short timeframe made available to use the funds from the Innovation Facility as well as a disconnect between the time span of pilot experiments and the objectives to achieve and be measured on impact.
- A very high number of participants underline that the project comes with limited financial resources, especially to scale up or replicate experiments.

- Many respondents point out the need for more capacity development on innovation and portfolio of initiatives as well as related areas such as partnership building.
- Several participants mention UNDP systems and procedures including rigid procurement rules, RBM frameworks, etc. as impediments.
- A few respondents refer to the challenge of convincing donors to provide support to innovation per se.

4.4. Final comments about the outcomes of the project

Survey participants were invited to share final comments on the Innovation Facility project, with the following feedback:

- 1. Innovation Facility has been very supportive to Sudan CO innovation needs, requests and challenges. In particular, Jennifer Colville has played an instrumental role in motivating the CO and its senior management towards adopting innovation across its portfolios by her guidance, continued follow up, support to resource and partner mobilization as well as providing learning and networking opportunities to staff members and government partners. She is an equal contributor as us in bringing Sudan CO as innovation front-runner in the region.
- 2. Having said that, perhaps the seed funding model could be modified a little. Instead of stand alone ad hoc demo pilots or scale up, the facility should target funding in embedding innovation based output within existing CO multi year projects and programme. This model will have an integrated and more impactful results not only in terms of development but also buy-in from all stakeholders. I suppose this is already sketched in the new SP.
- A good concept, UNDP was too conservative at the time.
- Bold and bright future. Why? Because, taking the [country] example (establishing a Citizens Reporting Mechanism of the UNICEF RapidPro type to improve service delivery to the poor), this would not have been possible from the established CO system. The IF has allowed some people to think out of the box and apply for the fund from an independent mindset.
- has been a pleasure working with them
- Innovation at UNDP does not have to be supported through the Facility, but don't throw out the painstakingly build ecosystems and networks by the regional advisors. Innovation should, by now, be made a mandatory part of UNDP projects, putting aside funds per project to regularly scan project for innovation opportunities. There should also be a penalty on 'practices' and projects who continue with business as usual 50 years ago and those funds should go to innovation projects. Bureaucracies follow the money, so take it away from non functioning entities.
- It should be the approach for everything that we do; before any project starts, a second thought on new ways and possibilities should be discussed through a wide participatory process
- Maybe this was not one of the objectives, but the Facility could have been better in securing better networking among colleagues doing innovation in the organization and sharing experiences and lessons learned. Programmes such as innovation fellows and integrating this service line into the regular UNDP staff exchange programs to ensure better utilization of the gained knowledge but also offer recognition and rewards for the (really champions at that early 2014-2015) staff members brave enough to embark on such new initiatives.
- Networking and exchange of ideas and experiences among the COs would greatly benefit.
- Really appreciate continuous support we get from IF both at regional and global level.
- Thank you to all the IF colleagues for their undying enthusiasm and support. Their expertise, dedication, and effort has been excellent and is the strongest asset of the IF. We <3 you, [name]!
- The fund should also be open to regional offices as there are projects that could have multiple effect if implemented at regional level and using web based approaches.
- The innovation facility is a useful approach to explore and test new development ideas
- The innovation facility is well designed as the way to push innovation and should really be encouraged and strengthened. The amount of funding should be increased significantly as programmatic base for deep changes in developing countries. For [country] is particularly important the existence of this facility fund to help the implementation of innovative solutions encountered in the national plan for sustainable development PEDS and for the implementation of SDGs
- The innovation staff were very supportive and encouraging throughout the process as well as flexible in accommodating no cost extensions and budget adjustments. Our regional lead, in particular, was in

regular exchange with us giving us useful technical contacts as well as advise on the project and facilitating our efforts to blog about our work.

- The structure of the funds under General Expense worked well. Some of our initial budget lines came in under expense, and so we were able to reallocate funds to another relevant budget line (and all exceeding expenses above and beyond Innovation Facility funds were internally funded).

Key findings:

- A very high number of respondents commend the objectives of the project as well as its functioning and outcomes.
- Many participants indicate that additional identification and sharing of lessons learned and networking would be beneficial.
- Some participants propose stronger institutionalization and mainstreaming of innovation, for instance by systematizing a funding window for innovation in UNDP projects.

5. Options for the future

The final section of the survey proposed respondents to rank and suggest possible actions the Innovation Facility could eventually focus on in the future.

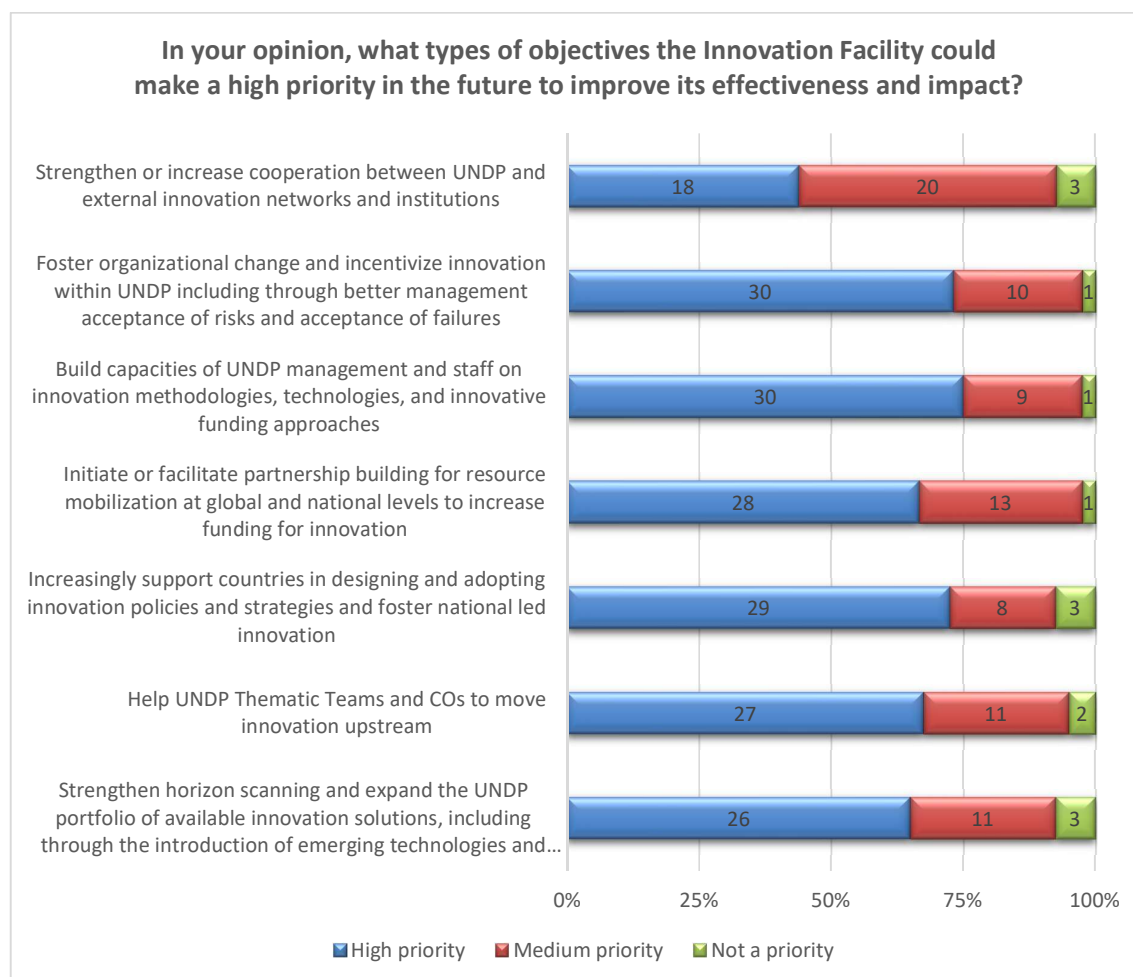


Figure 6: Number of respondents prioritizing the proposed objectives.

Source: Evaluation survey, 2018.

Key findings:

- Respondents prioritized very closely six out of the seven proposed objectives, indicating a potentially large agenda of work for a future Innovation Facility project.
- The objectives prioritized by the highest number of respondents correspond to UNDP internal objectives, with “Fostering organizational change and incentivize innovation within UNDP including through better management acceptance of risks and acceptance of failures” and “Building capacities of UNDP management and staff on innovation methodologies, technologies, and innovative funding approaches”.
- The objectives prioritized next by respondents follow very closely the two first ones but are more outward facing objectives, with “Increasingly support countries in designing and adopting innovation policies and strategies and foster national led innovation” and “Initiate or facilitate partnership building for resource mobilization at global and national levels to increase funding for innovation”.
- One objective has been less frequently perceived as a priority by respondents, i.e. to “Strengthen or increase cooperation between UNDP and external innovation networks and institutions”.

Respondents were invited to indicate if there were additional activities or outputs not covered by the Innovation Facility that you would like to see, returning the following suggestions:

- Develop a platform with benchmarks on innovation methodologies to be accessed at the country-level.
 - Foster a culture of designing human centered projects based on innovative research methods (ethnography, user experience and design thinking).
- Being innovative requires a creative mind, therefore the fund should not be confined into a box. the innovation facility should be fluid, agile and allow people to respond to their intuitive creativity....
- Explore Peace/Happiness/Self-satisfaction solutions as substitutes for material development/economic growth
- I think Innovation Facility could help to understand the New Way of Working approach that SDG agenda and humanitarian approach are trying to develop.
- It would be good to provide the possibility of implementing additional activities for the projects that are on the right track and that already achieved certain tangible results.
- Lever existing large-scale investments e.g. Global Fund
- More information on the innovation approaches and how they work and how they could better be applied
- No comment. Good luck with your evaluation.
- No, just congratulate the great work that the team is doing to empower the offices in innovation issues. We are waiting for another stage to be able to enhance what has been developed in the country.
- Partnerships for resource mobilization is key
- Please reinstate a dedicated focal point for innovation in RBLAC
- Possibility of funding the use of modern system of information/ modern technologies to push the effective development
- Substantive support and intensified work on zero corruption initiatives (behavioral insights used to promote understanding of impact of corruption on human lives).
- The innovation facility is very critical facility for the organization, and it must remain. However, I would like to suggest in future to look into and improve:
 - the way how funds are distributed to COs
 - ensure that the funding are not distributed through calls, but COs can access when they really need them
 - there should be a separate stream of funding for the Innovation Labs that UNDP supported. UNDP should secure funding for Labs functioning for the first 3-4 years, otherwise, the organization looks unserious with partners when providing 50K+ for a year or so, which is not sufficient at all. This is a huge burden then for the COs to try to mobilize sources in other ways, when there are no results yet, while introducing new way of working or tackling things for which no one is ready for, or even worse, opposing it. Thank you for the opportunity to provide feedback.
- To tackle delays due to business process obligations, Innovation Facility could create corporate level innovation resource capacity rosters and/or ToRs and/or LTAs with lead research institutions on priority innovation areas - Big Data, BIs, AIs, Gamification, Block Chain, Data privacy specialists, mobile technology for social good, IoTs, etc. which the COs can tap into without competitive selection processes hence considerably reducing procurement timings for results delivery.

- We would continue to promote the use of the concept of green water for various uses

Key findings:

- A few respondents suggest the development of platforms with knowledge and information resources accessible at country level and easier process to tap innovation seed-funds on a need basis.
- A few respondents recall the value of sustainable funding to make innovation stick and scale in partner organizations.

ANNEX 6. Case Studies

Innovation for Development Lab (I4D), UNDP Egypt

Project context and objectives

Egypt's Innovation for Development Lab (I4D Lab) was launched in 2014 to apply citizen-centered approaches in designing and implementing development projects, explore and adopt new processes in development practices, and help strengthening social innovation capacities of government counterparts and local partners.

Innovation objectives and support received

The team first learned about the Innovation Facility during the SHIFT week, back in 2014. All innovation initiatives were then sparked by the first seed-funding and call for applications the IF put out in 2014. The CO was initially granted \$120,000 to experiment innovation and found that the experience was quite successful. The CO then created the concept of Innovation Lab in Egypt, which served as the umbrella for all following experiments and innovation projects. Over the years I4D has received a total of \$355,000 for 5 initiatives (including the Lab), as well as advisory services. Technical support has covered getting knowledge on innovation methodologies, nurturing and exchanging ideas to design or improve project proposals, connecting with other country offices or linking with external experts, facilitating partnerships, and so forth. For example, the CO organized a workshop some months ago on public service innovation. Around 13 COs from around the globe attended it and the Innovation Facility played a strong role in organizing and designing the workshop.

Project functioning and implementation

The lab is installed within UNDP Egypt, which is the only one lab across UNDP that is inside the CO. The lab is part of the innovation for development team. Until 2014 the team was part of UNDP ICT4Development portfolio, i.e. a very traditional type of project government support work. Then in 2014 the team started with the I4D initiative to transform, to become the innovation for development team. The team has now two parts. One part is still working on the traditional ICT portfolio with large scale million-dollars development projects, but there is also an innovation lab in this team. Accordingly, the innovation team is split between two functions that serve each other. Right now, the innovation team is composed of 4 staff but usually it's a 6 people unit. A lot of the innovation activity is funded by the Innovation Facility, but the CO has also mobilized resources locally. This has been achieved through existing UNDP programmes. For instance, one activity would focus on youth employment and innovation would be integrated into it. Mainstreaming is one strategy that has become very common. The other strategy is for the lab, which is very partnerships focused, to find local innovation partners in the entrepreneurship ecosystem in Egypt who will play a critical role in the implementation of a specific initiative. This second strategy saves a lot of resources and inputs are done in-kind.

Project outputs and outcomes

Through its ongoing work, and ongoing collaboration with the Innovation Facility, the CO has pursued successful social initiatives across several avenue: from fostering entrepreneurship and economic growth, through integrating people with disabilities and addressing Gender Based Violence - working closely with community and forging partnerships with Government, Private companies as Microsoft and non-profits. In terms of creating new programmes, the Innovation Facility definitively helped. The team has also designed new projects like with the Egypt Posts, a key public institution with 4,000 offices. The CO is helping to set the Post Innovation Lab, i.e. to utilize a Public Service Innovation Lab framework to effect a paradigmatic change in Egypt Post, whereby stakeholders are brought together to design and test new approaches and solutions for public services. Another initiative to mention is the work with the Government to use impact investment as an alternative source for development in Egypt.

Lessons learned

While it is now found that there is a lot of demand from national partners and stakeholders for innovation, at first there was a lot of skepticism. This is perceived to be normal, coming from a government that has been working in the same way for a very long time. But initially it was very difficult to insufflate innovative approaches. Accordingly, the strategy of the team was to work with ministries that were a bit more innovative and a bit more opened. Once a proof of concept was showed to them, they started to demand more and more work, leading to expand services to new bodies. Mobilizing funding is also difficult, therefore the team looked for resources in existing programmes and in-kind resources from partners. Another lesson learned is that building local capacities takes time. Since it's all about experimentation, it is important to be open to learning from failure.

ServiceLab, UNDP Georgia

Project context and objectives

Transforming public services to meet the true expectations of the citizens and create public value is indisputably a challenge, especially in a post-Soviet context of development. To contribute to impressive government reforms in this direction in Georgia, ServiceLab – the innovative service laboratory for public services – was founded in 2014 with the support of UNDP, as part of the Public Service Development Agency (PSDA) of the Ministry of Justice of Georgia. ServiceLab serves as a space to connect citizens and decision-makers, experts and academia to analyze the most-needed services and products, generating ideas with potential beneficiaries and developing prototypes. This is the first government lab in Georgia. Its main priority is to develop the public sector and public services.

Innovation objectives and support received

The Innovation Facility has provided \$110,000+ (2015 via SHIFT, 2015 and 2017) in seed funding over the years, as well as \$120,000 (split between Georgia and South Africa) to support a cross-regional initiative that uses Behavioural insights to prevent GBV. Technical advisory support has been available to the ServiceLab on request since its inception. The Innovation Facility provides technical support through different mediums, such as connecting innovation staff across COs, showcasing at larger scale the work that is done in the country, funding peer to peer exchanges, or supporting the innovation days event in Istanbul which has strong capacity building and networking components.

Project functioning and implementation

The CO has not created a dedicated job position, but a Programme Associate was agreed to commit 20% -50% of her time to cover innovation portfolios in Istanbul Regional Hub and Georgia CO between 2014-2018. Project managers take on innovative approaches and mainstream them in existing projects when the value of such interventions is evident and approved by management. Innovation comes as an add-on to mainstream programming, as it is not necessarily an integral part of the projects initial design. The added value of the Innovation Facility is to commit money for trying out initiatives that traditionally would not be funded. Without such funding, it would not be possible to build national ownership and nationally owned experimental projects. Small experiments allow to test the ground and to foster demand from national partners.

Project outputs and outcomes

Currently, promoting user-centered design, innovative policies, as well as an increased incorporation of citizen feedback in processes related to the design and delivery of new services or the improvement of existing ones, is one of the mandates of the ServiceLab, both within the Agency it is housed in, as well as other government entities. In this regard, ServiceLab often partners with various ministries and agencies to solve public sector challenges. To ensure that no one is left behind, ServiceLab is scaling up by taking its innovative methods from the national level to the municipal level. ServiceLab conducts workshops and trainings, as needed, to help public entities develop their products and services. Since 2014, ServiceLab has implemented and contributed to several successful services and projects, as well as conducted capacity building measures and participated in public policy formation. Some highlights are “112 Services Can See You”, a project aimed to provide deaf and hard of hearing persons with access to essential emergency services, or the insurance mechanism for travel documents, a service that ServiceLab found to be desired by Georgian citizens. PSDA, including ServiceLab, has been entrusted the role of the policy lead by the Government of Georgia during the on-going process of drafting the *Public Service Design and Delivery Policy* as part of the on-going Public Administration Reform.

Lessons learned

Innovation implies to overcome resistance, which is true both for UNDP and external partners alike. Therefore, a large part of embedding and scaling innovation comes from handholding. This is true internally, as layers of management need to learn and understand the proposed approach and buy the business case. This is also what happens when innovation is tried out with national partners. It is very important to support their change management process in the similar process of overcoming internal resistance from the way of doing business as usual. Handholding, staying with the partners throughout the process is crucial for the ultimate scale up of the interventions up to the point when ‘owners’ of the problem are institutionally prepared and relevantly skilled to lead on the process. The greatest strength of the CO innovation initiatives has been that UNDP managed to stay with the national partners for quite some time, like 3 years for example in the case of the first lab, to handhold the process of experimentation and expand it to local governance level, and creating the unique niche for the ServiceLab as the leading design practitioner in the government.

Baidu E-waste Recycling, UNDP China

Project context and objectives

China is one of the largest producers and recipients of e-waste in the world. In 2014, it has produced 6,032 kilotons of e-waste (discarded electrical goods). The same year, UNDP partnered with the tech-giant Baidu and leveraging an umbrella GEF project with the Ministry of Environmental Protection on E-Waste, to launch 'Baidu Recycle', an app that facilitates e-waste recycling. Recycling e-waste is a grey and hazardous area. Due to the varied materials involved in their construction, electronic goods are typically dispatched to landfills by consumers rather than getting properly disposed by certified factories. E-waste is particularly dangerous as it contains hazardous chemicals, posing a risk to all who come in contact. The existing 'grey market' for e-waste disposal is carried out informally by untrained and unprotected workers. This unregulated disposal is a significant source of organic pollutants and GHG emissions, posing direct threats to human and environmental health.

Innovation objectives and support received

The project received seed funds from the Innovation Facility in 2014 (\$75,000) and 2015 (\$25,000). Technical support and advisory services were also provided on request, 2014 and beyond. Building up a mobile application requires a whole process of innovation. Domestic partners are not quite there yet. They are product driven but do not necessarily understand innovation for development with principles such as inclusion. Seed funds allowed more interviews, market research, workshops, innovation process, etc. It gave the space to run activities that normally are not considered with only private sector funding. Baidu contributed annual funds, e.g. RMB1.5M [USD233,782.00] the first year, but it was mostly used for the development application itself.

Project functioning and implementation

The app is a result of a partnership between UNDP and the tech giant Baidu, with support from the UNDP Innovation Facility fund. It is the first product from the UNDP-Baidu Big Data Joint Laboratory, which serves as an engine to identify valuable data, formulate and implement new methods and frameworks for using big data to support development goals.

Project outputs and outcomes

Baidu Recycle was launched in 2014, creating a 'shared value' solution for e-waste and the formalization of precarious labor in China. Citizens download an app to call an e-waste recycler to come and pick up the item from their doorstep to a recycling plant. The app essentially encourages e-waste recycling by simplifying the process and eliminating interaction with illegitimate markets. Within the first year of implementation, in 2015, 152.74 million e-waste items were recycled, including TVs, computers, and fridges; of which, 11,429 items via the 'Baidu Recycle' version 1.0. Piloted in the cities of Beijing and Tianjin, the service has scaled to 22 cities in China. Version 3.0 was rolled out in 2017. This initiative has gained global recognition: it was selected as a semi-finalist in the MIT Climate Co-Lab Contests, the UAE Government selected it for its 4th World Future of Government Summit, and it was one of the winners (of over 800 entries) of the 2015 Solutions Summit. In 2016, with the launch of Version 2.0, the team built an internet-based nationwide e-waste management ecosystem, and launched the Baidu Recycle Green Service Alliance, comprising Intel, ROBAM Appliances, Midea, Joyoung, Changhong, Haier, Lenovo, TCL-Aobo, and the China Resource Recycling Association. In China, Baidu contributed RMB4.5M for the testing and scaling of the initiative. At an international workshop governments, private sector and UNDP offices representatives from 13 countries gathered to learn on-site about China's e-waste management systems, practices, disposal and treatment technologies, and ultimately identify implementation potential in their respective countries. Baidu is now going global as UNDP shares knowledge and tests the app's replicability for other countries. UNDP developed the app in English to share knowledge and expertise with the rest of the world.

Lessons learned

The establishment of innovation facility helped the CO to visualize what does innovation mean and what does it mean to projects. The initial seed funding offered project staff with an opportunity to do extra work, as innovation was initially seen as something additional to the existing work portfolio. Internally, the innovation seed funding helped to adopt innovative approaches. Externally, seed funds have stimulated the project from idea generation up to prototyping. The project is implemented with a private sector partner, therefore seed funds and global support helped the partner to see that the project was solid. It strengthened the confidence of the partner to invest in the project and it raised the visibility of the project.

Spatial Data Sandbox, UNDP Cross-regional (Global) Project | Big data, new and emerging data

Project context and objectives

Accurate spatial data on the status and trends of biodiversity, ecosystems and essential ecosystem services is of paramount importance for decision-makers and the achievement of the SDGs. In response to the limited ability of countries to access and integrate spatial data into planning, reporting, and decision making for sustainable development, UNDP in partnership with NASA and a consortium of universities and NGOs designed a Spatial Data Sandbox through the UN Pulse Lab in Kampala.

Innovation objectives and support received

This project received \$80,000 in funding at its inception from the Innovation Facility in 2017. Building on the success of a beta version planning tool tested in Zimbabwe (in 2015), the development of the global open data platform provides a user-friendly portal for governments, researchers, and communities to share and access information that can facilitate better spatial planning and natural resource management. The project implemented in Zimbabwe served as an effective proof of concept for a spatial portal that does not require GIS. But that project was limited in scale and scope with only one country and 35 data layers covered and a narrow partnership. The seed funding from the innovation facility helped to bring together 80 groups to agree on what a spatial portal should do, to strike a new partnership, to bring together 72 data layers, and to work with UN Environment to create a new portal.

Project functioning and implementation

The open 'sandbox' data approach fosters an environment for data collection across sectors, integrating socioeconomic data with data on biodiversity, ecosystem services conservation, and areas under threat, for example. The platform is developed by the MapX (via the Pulse lab) and end users are involved in developing, shaping, testing and refining the tools (user-centered design). The overarching goal is to make the data fully available to all countries by 2020. The data is collected to support project and action-plan development, as well as reporting results on nature-based SDGs. As such it includes socio-economic data (poverty, nature-based livelihoods, food security, water security, disaster risk reduction); biodiversity and ecosystem data (status and trends of species, habitats); conservation data (protected area estate, indigenous and community conserved areas); areas under threat (human footprint); and ecosystem services data (provisioning of water, food, medicines, disaster risk reduction, livelihoods). The Data Sandbox is an open platform that does not require any specialized GIS skills or software, allowing governments, communities and researchers to review and upload data.

Project outputs and outcomes

In 2017, the project established baseline data in 110 countries to understand existing use of spatial data planning and reporting, and conducted user needs assessments in 45 countries. In December '17, Montreal, capacity-building workshops took place during the sixth national report to the Convention on Biological Diversity. The purpose of the workshops was to expose participants to available support material and tools to facilitate the preparation of the sixth national report. A Spatial Data workshop, co-organized by UNDP and UN Environment, familiarize participants with use of spatial data to support their work on Biological Diversity. Following the initial results from the roll-out of the platform, UNDP and partners will refine the system and work with governments to embed spatial data into national reporting and support decision makers to apply the data to foresight exercises to inform alternative policy actions. While innovation funds were granted, the project started collaborating with NASA to have a partnership with six universities and eight countries where data systems were improved in a much more detailed way.

Lessons learned

Seed funding from the Innovation Facility was critical to attract other resources. It helped to fund the participation of 15 people to the meeting in Washington while the remainder 55 participants came on the own. This meeting catalyzed the whole idea and started generating momentum. From there, UN Environment funded about \$150,000 and the GEF about \$250,000. So suddenly the project became a growing concern and partnership. Small seed funds that support a clear vision and a clear pathway can be very effective at attracting additional resources and to bring a proof of concept to scale up globally.

ANNEX 7. UNDP Innovation Networks

This annex presents a review and analysis of the online activity of UNDP Innovation's social media channels and networks. Data was extracted from the UNDP Innovation Twitter account and from Yammer.

1. UNDP Innovation Twitter Activity

The evaluation reviewed the UNDP Innovation social media activity with a focus on @UNDP_innovation Twitter account. Data extraction was performed on 27 April 2018 with BirdSong Analytics. Data cleansing, presentation, and analysis were performed by the evaluation.

As of 27 April 2018, **8300 tweets** had been posted on the UNDP Innovation Twitter account. The account was followed by **14701 users** and was following 804 Twitter accounts. The account had collected 2742 Like.

1.1. Demographics of INASSA Twitter Account followers

From the 14701 followers of @UNDP_innovation 6214 users have not provided sufficient data to identify or retrieve a country location. The remaining 8487 followers are spread across 172 countries, with some concentration on a smaller number of locations. The top 10 countries account for 49% of the followers. Europe & the CIS and Asia & the Pacific are the regions hosting the highest number of followers -Figure 1-. Latin America & the Caribbean account for close to 8% of the followers and the Arab States for about 7%. Altogether there is an almost equal share of followers from high income countries (49%) and from countries in middle and low-income groups (51%) -Figure 2-.

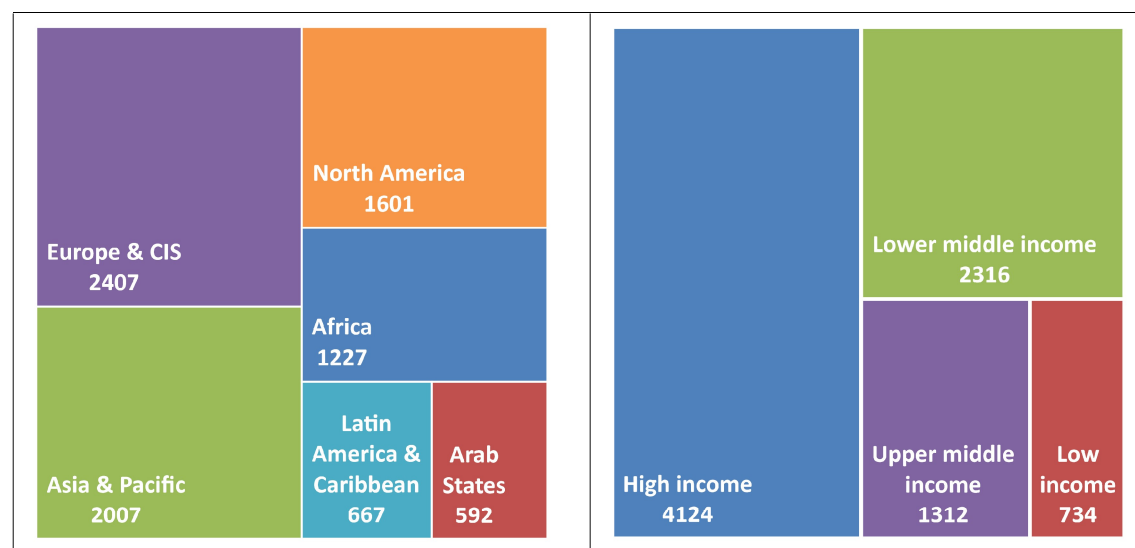


Figure 1: Number of followers of @UNDP_innovation per region
Source: Evaluation, 2018

Figure 2: Number of followers of @UNDP_innovation per country income group
Source: Evaluation, 2018

Countries with the highest number of followers are the USA, UK, and India. Within the USA, there is a high concentration of users in New York (+550 followers) and Washington (+190). Other notable places in the USA with a significant number of followers include Boston/Cambridge (+50) as well as the San Francisco/Bay area (+45). Kenya and Nigeria are the African countries with the highest number of followers -Table 1-. About 80% of the followers of @UNDP_innovation have referred "English" as the language of interface of their Twitter account (followed by Spanish and French for 6% and 4% respectively of the users).

Africa		Arab States		Asia & the Pacific		Europe		LAC		North America	
Kenya	267	Egypt	121	India	447	UK	708	Mexico	99	USA	1389
Nigeria	201	Jordan	58	Australia	214	Switzerland	187	Colombia	96	Canada	212

South Africa	117	UAE	57	Pakistan	202	France	160	Brazil	79
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Table1: Number of @UNDP_innovation followers - Top countries

Source: Evaluation, 2018.

Out of 14701 followers of @UNDP_innovation 5244 users have reported the gender characteristic “Male” or “Female” on their profile. “Male” users of @UNDP_innovation account for 55% of the followers and “Female” users for 45% -Figure 3-. A gender disaggregation per country income group shows that females are more represented than males in high income countries (49% male, 51% female) but less frequent users of @UNDP_innovation when based in low income countries (69% male, 31% female) -Figure 4-. Cross-tabulations according to regional groupings show that females are especially underrepresented in South Asia (25% female, 75% male) and Sub-Saharan Africa (31% female, 69% male).

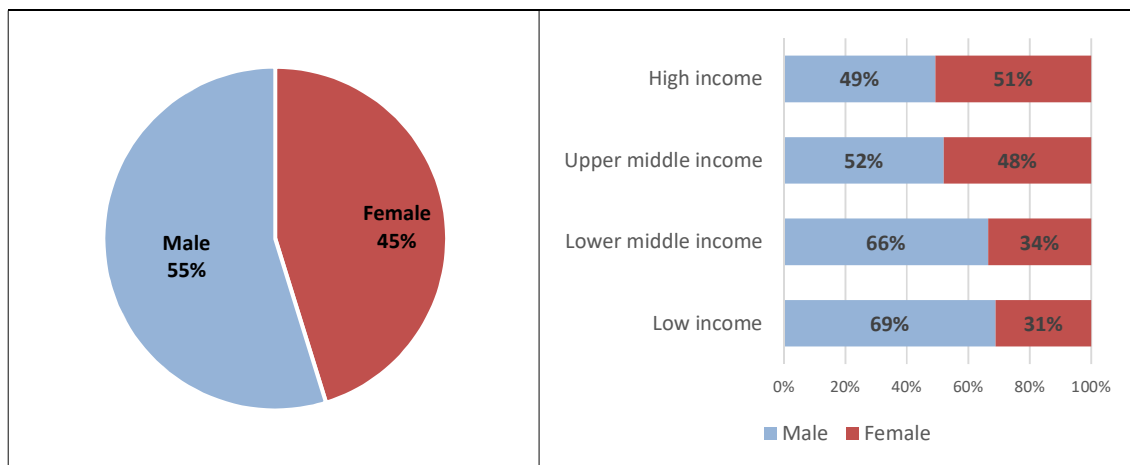


Figure 3: Percentage of @UNDP_innovation followers per gender

Source: Evaluation, 2018

Figure 4: Percentage @UNDP_innovation followers per gender and country income group

Source: Evaluation, 2018

The 14701 followers of the UNDP Innovation Twitter account follow altogether 78,604,212 Twitter accounts and are followed by 28,430,693 users⁵⁴. The community of @UNDP_innovation followers has posted 26,571,854 tweets. As often with social media tools, the relevance of this community including of the most active followers to the objectives and activities of the account cannot be ascertained⁵⁵.

The terms most frequently used by the followers of @UNDP_innovation to present themselves in their Twitter bio⁵⁶ are Development (1267 occurrences), Social (778), and Innovation (691) -Figure 5-.

⁵⁴ The number of unique accounts is likely to be lower as users may follow some of the same accounts, which then duplicate.

⁵⁵ E.g. the top 5 followers of @UNDP_innovation with the highest number of followers themselves (about 4 million altogether) are (1) a DJ & music producer, (2) a religious person, (3) a YouTube celebrity, (4) a law firm advertising for its services, and (5) a music label.

⁵⁶ After removal of non-significant words such as ‘and’, ‘the’, ‘in’, ‘or’, ‘to’, ‘for’, etc.

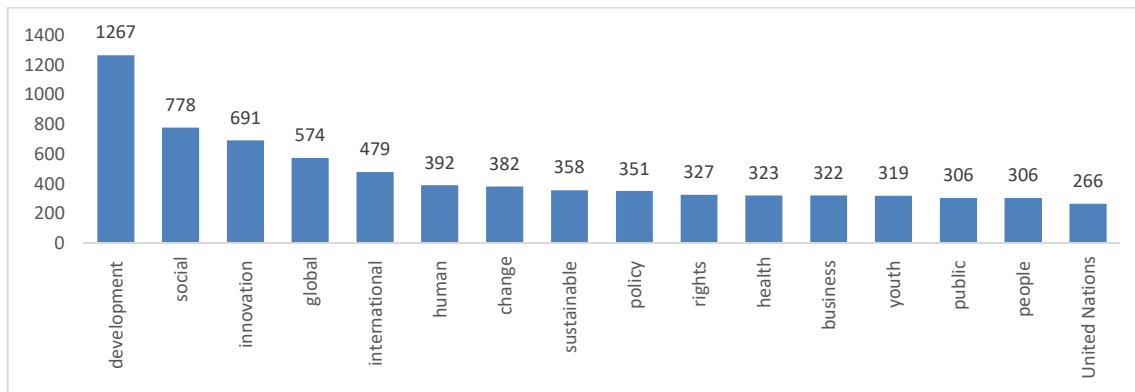


Figure 5: Number of occurrences of the terms most often used in the bio of @UNDP_innovation followers
Source: BirdSong Analytics & Evaluation, 2018.

1.2. Twitter Activity

The @UNDP_innovation Twitter account was created in February 2010. The evaluation was able to access detailed data on the account activity for past 3200 tweets i.e. since December 2014. From February 2010 until December 2014, @UNDP_innovation has disseminated 5100 tweets or an average of 87 tweets per month. Since December 2014, the account has disseminated on average 80 tweets per month. The accounts that have generated the highest number of tweets are @UNDP_innovation (1068), @UNDP (121), @UNDPEurasia (114), @UNDPEgypt (102), @bkumpf (99), @JenColville10 (76), @paulaist (69), @marclepage (44), @bcocobklyn (43), and @KolbaLab (39). Over the past 40 months the account activity has shown an overall declining trend, with peaks around the release of the annual reports of the Innovation Facility -Figure 6-. However, over that period users' engagement has relatively increased. During the first quarter of 2015, UNDP_innovation generated 40% of the tweets while this proportion was down to 25% during the first quarter of 2018 -which is a positive achievement. Furthermore, the average number of likes per message has also increased over that period. Since December 2014 the @UNDP_innovation account has generated a total of 4400 likes, i.e. an average of 1.4 like per tweet, up to 1.6 on average during the first quarter of 2018. The tweets that received the highest numbers of likes include a tweet from UNDP to celebrate the launch of UNICEF Innovation Center (123 likes), the release of the "Guide to Data Innovation for Development" (67 likes), and the launch of "Innovation for 2030" -i.e. the IF annual report 2016- (58 likes). The messages that were retweeted the most include a retweet from @UNGGlobalPulse announcing a "New infographic: 17 examples of BIG DATA for SDGs" (212 retweets), and a tweet from @UNDP_innovation promoting @UNDPEurasia's "Art is slippery: 6 ways you can use it to build peace" (60 retweets).

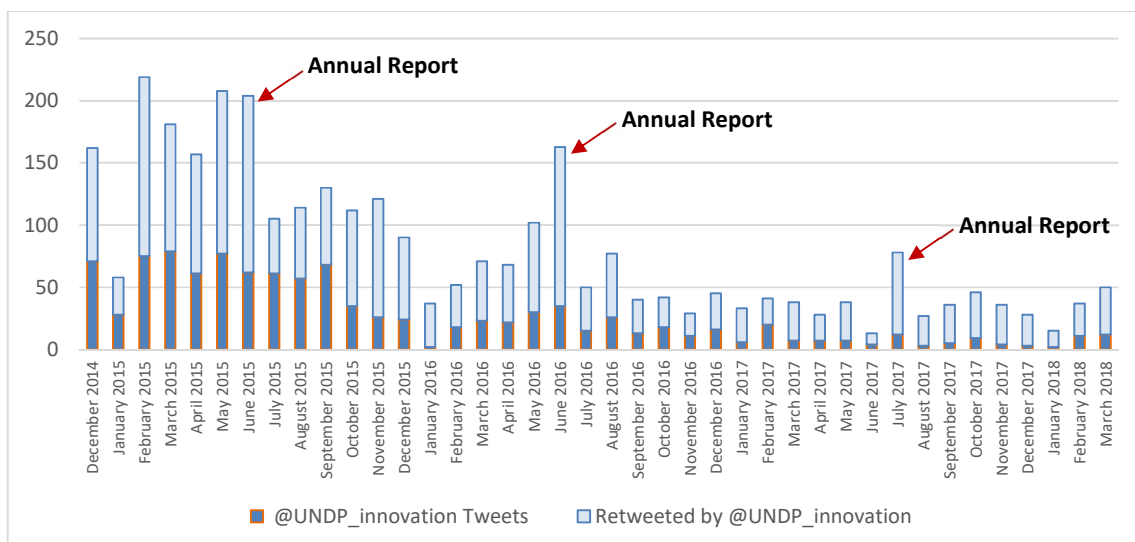


Figure 6: Number of tweets and retweets per month on @UNDP_innovation

Source: Evaluation, 2018

The terms most frequently found in tweets on UNDP_innovation are ‘inno4dev’ (1412 occurrences), ‘innovation’ (800), and ‘new’ (200) -Figure 7-. Another notable semantic network is formed with the terms ‘development’, ‘#sdgs’, ‘#globalgoals’, and ‘#globaldev’. The term ‘youth’ is part of the most cited words, which is not the case for terms like ‘gender’, ‘women’, or ‘female’. The twitter accounts that are most frequently referred in messages are @undp-innovation (439 references), @undp (356), and @bkumpf (232). The channel contributes also to the visibility of the account ‘@denmark_un’ (160 references) -Figure 8-.

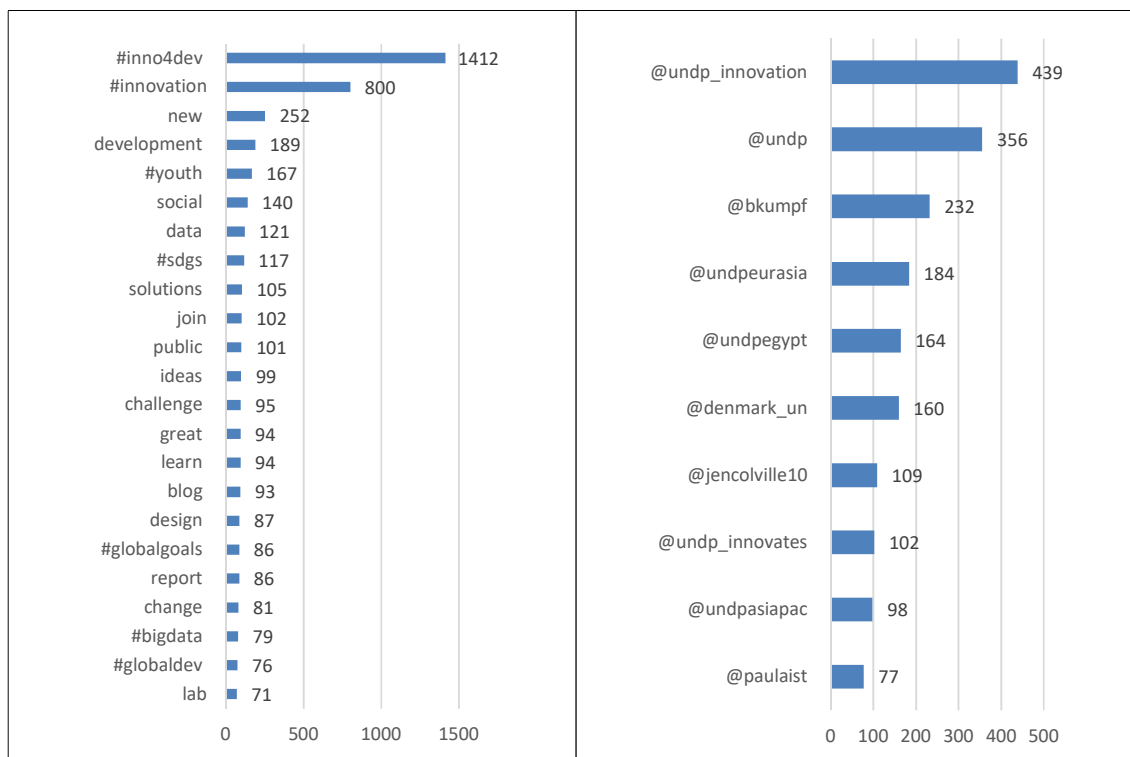


Figure 7: Number of occurrences of the terms most frequently tweeted on @UNDP_innovation

Source: BirdSong Analytics & Evaluation, 2018

Figure 8: Number of occurrences of the accounts most frequently mentioned on @UNDP_innovation

Source: BirdSong Analytics & Evaluation, 2018

The evaluation performed a Social Network Analysis (SNA) of Twitter messages containing the terms “UNDP” and⁵⁷ “innovation”. The SNA was conducted with NodeXL⁵⁸ using the Twitter search API for data extraction⁵⁹. The underlying network is based on a sample of the total number of recent tweets that mention the searched terms. It is therefore a snapshot and proxy of the entire community and connections. The resulting graph⁶⁰ presents *who was replied to or was mentioned* in selected tweets -Figure 9-.

⁵⁷ i.e. using the Boolean operator AND

⁵⁸ <http://nodexl.codeplex.com/>

⁵⁹ Data extraction was performed on 11 May 2018. The search query returned 308 unique tweets from 12 March to 11 May 2018. They were shared 2795 times between 786 Twitter accounts during that period.

⁶⁰ Graph layout is based on the Harel-Koren Fast Multiscale algorithm.

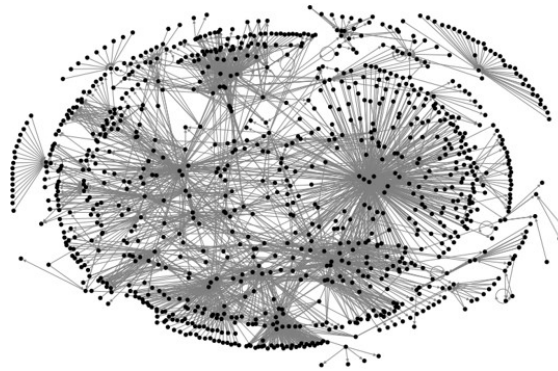
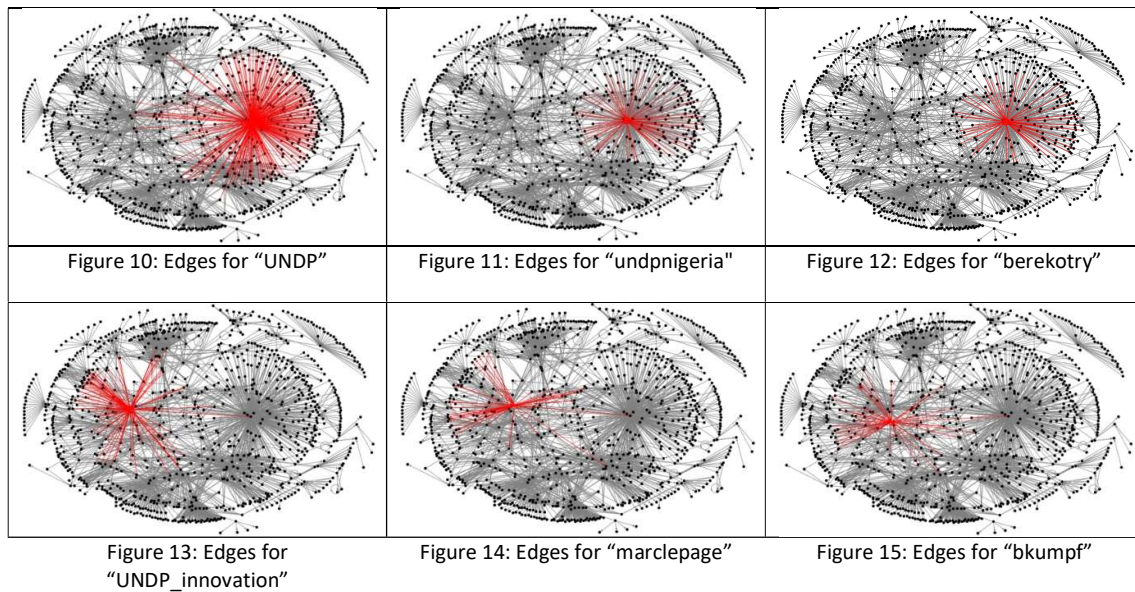
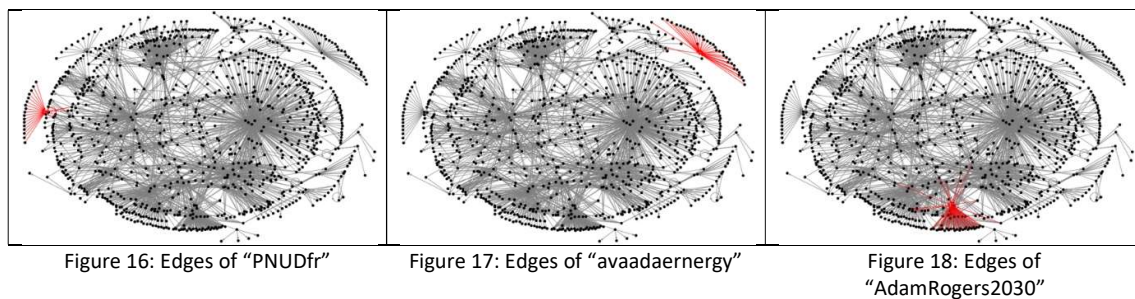


Figure 9: Network graph of "UNDP" and "innovation" on Twitter
Source: NodeXL and Evaluation, 2018

The SNA identifies several nodes with commonalities in their communication patterns over the period of study, such as "UNDP", "UNDPNigeria", and "berekotry" -Figures 10, 11, 12-; or to some extent "UNDP_innovation", "bkumpf", and "marclepage" -Figures 13, 14, 15.



Several nodes reach out to cliques that are less directly connected to the core network, for instance "PNUDfr", "avaadaenergy", or "AdamRogers2030" -Figures 16, 17, 18-.



Among the vertices with a notable number of connections we find Twitter participants such as the UNDP Administrator -Figure 19-, organizations such as the UN -Figure 20-, and partners such as Dynamic Futures -Figure 23-.

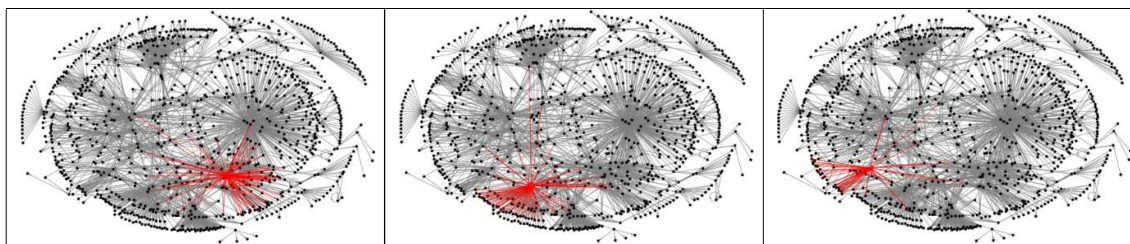


Figure 19: Edges of "asteiner"

Figure 20: Edges of "UN"

Figure 21: Edges of "Dynamic_Futures"

For the given sample and period of analysis, the accounts with the highest betweenness centrality are successively "undp", "undp_innovation", "asteiner", "undpasiapac", and "undp_india". The nodes with the highest Eigenvector centrality are "undp", "asteiner", "dfid_uk", "undp_innovation", and "matthewrycroft1".

2. UNDP Yammer Network

A brief review of the Innovation Yammer group shows more than 1400 members using it. The network is primarily used to disseminate regular updates, highlight recent innovation achievements, flag upcoming events. This information is effectively accessed and consulted. The group is less active as a venue to ask questions or to engage members in substantive discussions. The network would most likely require additional facilitation capacity to become more highly collaborative. As a reminder, the historical UNDP communities of practice used to be facilitated by 2 full-time staff.

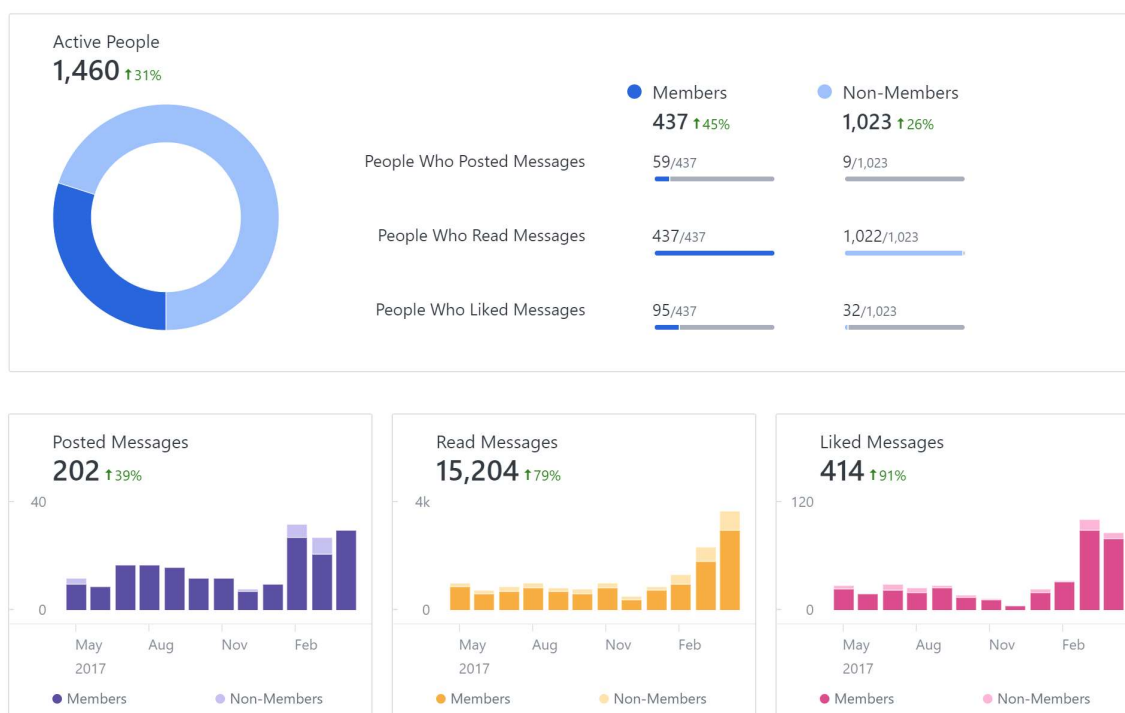


Figure 22: Activity on the Innovation Yammer Group over the past year.

Source: UNDP Yammer, May 2018.

ANNEX 8. Evaluation Consultant Code of Conduct and Agreement Form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form⁶¹

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Patrick BREARD

Name of Consultancy Organization (where relevant): Breard & Associates

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Bordeaux on 30 July 2018

Signature: 

⁶¹www.unevaluation.org/unegcodeofconduct

ANNEX 9. Inception Report

Formative Evaluation of the UNDP Innovation Facility Inception Report

Final draft

Patrick Breard – 15 May 2018

1. Introduction

This Inception Report reflects the Independent Evaluator's understanding of the Terms of Reference -Annex 1- for the Evaluation. The report presents the scope of the Evaluation, recalls the evaluation questions, and clarifies in greater depth the design and the methodology that will be used during the Evaluation. Finally, the Report reflects the input received during the kick-off inception calls with the Innovation Facility Project Team and the comments made by the Innovation Facility Project Team on the earlier draft versions of the Report.

2. Context

The Innovation Facility (IF) was set up in June 2014 to support UNDP and partners in finding more effective solutions to development challenges. Leveraging UNDP's global presence, the IF helps to experiment with different innovation methods, rapidly learn what works, and catalyse the right partnerships to bring what works to scale. Between 2014 and 2017, the IF supported over 142 initiatives in 85 countries with seed-funding.

The governance structure of the IF is composed of the *Innovation Facility Board*, the main organ for strategic direction setting. It is made up of UNDP senior leadership at the ASG and Director-level across BPPS, BMS, BERA and RBx. The *Project Manager* function is assigned to UNDP Global Innovation Specialist, responsible for general management of project implementation, partnership building with RBx/RCs, leading *Board* meetings, and related tasks. The *Project Team* is located in BPPS and composed of: *Global Knowledge Management and Innovation Advisor*; the *Global Innovation Specialist*, and *Regional Innovation Advisors and Specialists*¹. *Project Assurance* and Support is carried out by an *Operations Team* in BPPS that ensures that project operations correspond to agreed work plans, budget and UNDP procedures.²

The project was initiated with financial support from the Government of Denmark. UNDP pays for all staff costs. According to the Project Document (ProDoc), total resource requirements for project implementation were USD9.6M. The project started with a mobilization of USD3.2M (USD2.7M from Denmark plus USD500,000 from UNDP Global Program V).

3. Objectives and Scope of the Evaluation

The main goal of the assessment is to provide UNDP management with key lessons regarding the implementation of the IF project, and not the innovation function at UNDP. More specifically, the evaluation will pursue the following objectives:

- Provide key lessons and inputs to UNDP management regarding the implementation of the UNDP Innovation Facility project (2014 to 2017): with special focus to assess whether the current approach and investments trigger organizational change and innovation in UNDP's country-level programming in the best way possible, given the organizational set up.
- Inform the implementation and positioning of the next phase of the UNDP Innovation Facility (2019 – 2021) or another vehicle to advance and institutionalize innovation in UNDP, with regards to the 2018-2021 UNDP

¹ Regional Innovation Leads out posted in the Regional Hubs are BPPS staff.

² In the case of regional events and country-level activities, the project would seek support at that level.

Strategic Plan and the larger UN Reform Agenda including the discussion on frontier issues undertaken by UN the Secretary General and CEB, and the UN Innovation Network.

- Provide recommendations to improve programme design, processes, and systems (including the monitoring and evaluation plan) for the operationalization of the next iteration of the Innovation Facility (2019 to 2021) or another corporate innovation initiative.

As the Innovation Facility has secured funding for a follow-up phase, the assessment will be forward looking and analyze problems and challenges the project is facing and propose corrective actions. Specifically, with regard to the scope, the evaluation will:

- Review the implementation and processes of the Innovation Facility: 2014 to 2017.
- Recognize that as originally formulated the Innovation Facility ProDoc did not contain an explicit TOC, review the appropriateness of the conceptual framework of the initiative, determining whether the objectives, the implicit theory of change and the results framework articulated were put sufficiently into action, revisited and updated and whether relevant, reliable and valid indicators, measures, tools and mechanisms are in place.
- Assess the management, processes, and structure of the Innovation Facility project including how effectively and efficiently the innovation could be translated in implementing the 2018-2021 UNDP Strategic Plan.
- Assess whether the processes, structures, and implementation plans are sufficient to foster innovation at UNDP, in-line with the 9 UN Principles of Innovation for Development, the 2014-2017 UNDP Strategic Plan, and in-line with the objectives of the project.
- Provide key insights on successes, failures and lessons of the UNDP Innovation Facility programmatic investments and advisory services in UNDP HQ, Regional Hubs and Country Offices reflecting on strategic objectives related to improved development impact, more inclusive processes as well as enhanced staff capacities, new service lines, additional resources mobilized and new partnerships created.
- Formulate recommendations for improvements and operational suggestions for the Innovation Facility. These proposed improvements will be based on and derive from the findings of the assessment, and will be in the context of implementing the 2018-2021 UNDP Strategic Plan.

Accordingly, the evaluation will focus on the Innovation Facility project, and will not perform an assessment of the larger 'innovation function' at UNDP.

The main evaluation questions to be addressed are:

- **How has the Innovation Facility project supported UNDP in achieving its strategic results?**
- **What were outstanding features of how the Innovation Facility project operates? What are shortcomings / flaws in the setup?**
- **What should the next iteration of an Innovation Facility project do differently, how should it operate to be more effective?**

The 3 evaluation questions above are developed by the Project Team, and can be further unpacked using the UN/OECD-DAC's criteria of relevance, efficiency, effectiveness, impact, and sustainability:

- | | |
|----------------------------|---|
| 1 Relevance: | <i>How well designed is the project to meet its broader objective to advance innovation across UNDP?</i> |
| 2 Effectiveness: | <i>How well has the project delivered the expected results?</i> |
| 3 Efficiency: | <i>To what extent is the project on track to catalyze innovation at UNDP?</i> |
| 4 Impact: | <i>To what extent is the project on track to influence the broader corporate system in the uptake of innovation in contexts where it has invested in innovation?</i> |
| 5 Sustainability: | <i>To what extent has the project shown to be sustainable and/or scalable?</i> |

The evaluation will focus on the period from 2014 to 2017. However, it is recognized that several ongoing initiatives predate the project document, accordingly the evaluation will address resources relevant during this period, regardless of the initial roll-out/start date.

Target users of the evaluation report are the IF Project Team, the UNDP Innovation Board, and the Government of Denmark as funder.

4. Project outputs and outcomes

The IF project document from 2014 does not features a theory of change but a Results and Resources Framework that articulates a basic logical framework linking the project to UNDP Strategic Plan 2014-2017 and the IRRF. The Results and Resources Framework unfolds the outcome and output levels by proposing indicators, baseline, targets, and a timeline.

Outcome	Outputs
Innovations enabled for development solutions, partnerships and other collaborative arrangements	<ul style="list-style-type: none"> Output 1: Product and service offerings developed reflecting Leading Edge Thinking on Innovation for Development Output 2: Country, regional and global initiatives initiatives/projects incorporate innovative approaches for Co-Design of Development Problems and Solutions Output 3: Increased visibility, familiarity and understanding of UNDP's approach to innovation for development (through Advocacy, Outreach and Communication) Output 4: Increased availability of qualified Social Innovators to support UNDP innovation for development work Output 5: Improved organizational process (for Performance Efficiency)
Indicators (as per the 2014-2017 IRRF)	<p><i>7.6.1 SP Output Indicator: Number of new public-private partnership mechanisms that provide innovative solutions for development</i></p> <p>Global Programme Indicators (Indicators to measure Global Programme Contribution)</p> <p>No and type of public – private partnership mechanisms and models to provide innovative solutions for development piloted and rolled out through the UNDP Innovation Facility</p> <p><i>7.6.2 SP Output Indicator: Number of additional pilot and demonstration projects initiated or scaled up by national partners (e.g. expanded, replicated, adapted or sustained)</i></p> <p>Global Programme Indicators (Indicators to measure Global Programme Contribution)</p> <p>No and type of Innovation Facility initiatives initiated or scaled up (which includes methodologies and tools for scanning the horizon, collecting and analysing data)</p>

Table 1: Innovation Facility Project Outcomes and Outputs
Source: UNDP Innovation Facility Project Document, 2014 and 2014-2017UNDP IRRF

The section below on the theory of change builds on the initial Results and Resources Framework and adjustments made during project implementation.

5. Stakeholder analysis

The following key stakeholder groups were identified as having a contribution to or interest in the IF project outcomes:

Stakeholders	Power they hold over the project results/ implementation and the level of interest	Participation in the project design	Potential roles & responsibilities in project implementation	Changes in their behaviour expected through implementation of the project

UNDP Senior Leadership	<p>UNDP initiated the project via BPPS. High level of interest in innovation.</p> <p>Main body for project governance is via the Innovation Facility Board made up of Senior Leadership at the ASG and Director-level, from BMS, BERA, BPPS, and RBx.</p>	<p>Development of the project document and provision of the direction and management of the project.</p> <p>Innovation Facility Board provides governance, direction, and project oversight</p>	<p>Define the project scale and scope</p> <p>Devise strategic directions and sign-off on the annual work plan and champion the project in their Bureau, support improvements in UNDP processes, foster change management.</p>	<p>Secure achievement of project outcomes and long-term project sustainability. Strengthen the link between innovation and projects at global, regional and country level. Leverage and amplify innovation outputs from all COs.</p>
Innovation Facility team	<p>Primary designer of the project and day-to-day coordination and advocacy of project outputs. The Global Innovation Team is composed of the <i>Global KM & Innovation Advisor</i>, <i>Global Innovation Specialist (i.e the Project Manager)</i>; and the Regional Innovation Leads. Each team all secures additional support as required from project coordinators, fund managers, communication specialists, operations support etc., via consultant or sharing the time of staff.</p> <p>Financial resources management and operations. Ensure that funds are made available to the project. Enable swift disbursements, procurement, operations, and project implementation.</p> <p>Via the Regional Innovation Leads (BPPS staff) based in the Regional hubs, the IF has direct involvement in formulation, co-design and oversight of projects at CO level. Strong interest in mainstreaming innovation in the UNDP Strategic Plan and in vertical Focus Areas.</p>	<p>Proposing project activities and delivery of outputs</p> <p>Using UNDP systems for fund management. Application of UNDP rules and regulations</p>	<p>Project implementation. Proposing to adjust the course of the project, accounting for changes in the internal or external environment. Manages call for proposals.</p> <p>Manage the call for proposals for their regions, conduct initial screening of proposals, manage reporting on initiatives and projects being undertaken in their regions, and manage the innovation for development community of practice in their regions. Provide Technical Assistance, and opportunities</p> <p>Ensure that resources entrusted to UNDP are utilized appropriately. Ensure that critical project information is monitored and updated in Atlas and delivery reports are prepared and submitted to the project board. Ensure that risks are properly managed. Ensure that financial reports are submitted to UNDP on time.</p>	<p>Identification of catalytic initiatives for the Innovation Facility. Secure achievement of project outcomes and long-term project sustainability. Identification of new opportunities. Phases out unpromising activities. Informs innovation key stakeholders based on lessons learned.</p> <p>Facilitate the realization of the workplan in line with UNDP accountability standards and requirements</p>
Internal UNDP Clients: Thematic teams, Units, Country Offices etc.	<p>Includes UNDP programme/project managers and operations staff in COs. Includes CO senior management as well as CO innovation early adopters -at all levels and across all function areas.</p>	<p>Participation in design and implementation of initiatives funded by the IF project.</p>	<p>Inform innovation gaps and needs with a view to initiate or upscale projects and achieve the SDGs. Participate in co-design of projects embedding innovation. Consult and make use of project</p>	<p>Increased use of project outputs. Establishment of connections with innovation stakeholders. Spillover effect.</p>

			outputs -e.g. seed funding, advice, training-. Contribute to monitoring project outputs- e.g. micro narratives-. Share lessons learned.	
Resource partners (donors)	Critical role to ensure sustainability of the project	Sources of funding and therefore may invest in new types of activities	Influence strategic adjustments made during project implementation	Secure project sustainability. Sponsor and promote the Innovation Facility.
National Partners	Includes national governments and public administration, other international organizations in countries, NGOs/CSOs, etc.	Participation in co-design and implementation of project	Inform innovation gaps and needs with a view to achieve the SDGs. Participate in the co-design of projects embedding innovation. Make use of the project outputs. Share lessons learned.	Increased use of project outputs. Establishment of connections with the private sector and other innovation stakeholders. Spillover effect.
Private Sector	Co-designing projects and bringing capacity to innovation initiatives to the project -e.g. technologies, know-how-. Interest in expanding market presence and contribute to the SDGs - via shared value partnerships. For example Microsoft, DigiCell etc. Providing access to markets and scaling successful initiatives. Investing in innovation portfolio as a resource partner.	No participation in the design of the IF project but in co-design and implementation of national development projects -i.e. IF project activities and outputs-.	Inform UNDP and partners about available innovation capacities. Leverage the project for new connections. Identify and launch work streams to address innovation for development gaps.	Stronger streams of business. Advocate for development projects embedding innovation.
Innovation partners	Institutions interested in periodic exchanges about their respective work programs in the innovation space and, when mutually beneficial, collaboration -e.g. GSMA, Nesta, FutureGov, MindLab and others	No participation in project design.	They contribute to the growing body of knowledge through multiple channels, including meetings, events, and online networks.	Cross-dissemination of outputs and collaboration on innovation approaches.

Table 2: Innovation Facility Project Stakeholders

Source: Evaluation, 2018

These stakeholders will play different roles in terms of informing the evaluation through interviews and / or surveys. More details are provided in the section on methodology.

During the evaluation, stakeholders will be analyzed according to the following questions:

- Who are the main stakeholders (intended, actual, and potential) and what are their roles, contributions, and benefits vis-à-vis key functions of the Innovation Facility (horizon scanning, advisory support, seed funding)?

- Are all potential network stakeholders involved in an optimal way³?

6. Theory of Change

As introduced earlier, the ProDoc did not feature a Theory of Change but a simplified logical framework provided through the Results and Resources Framework. Together with consultations of the Global Innovation Team and after review of secondary resources –e.g. Annual Reports–, this framework has served as a basis to reconstruct the below Theory of Change at evaluation -Figure 1-.

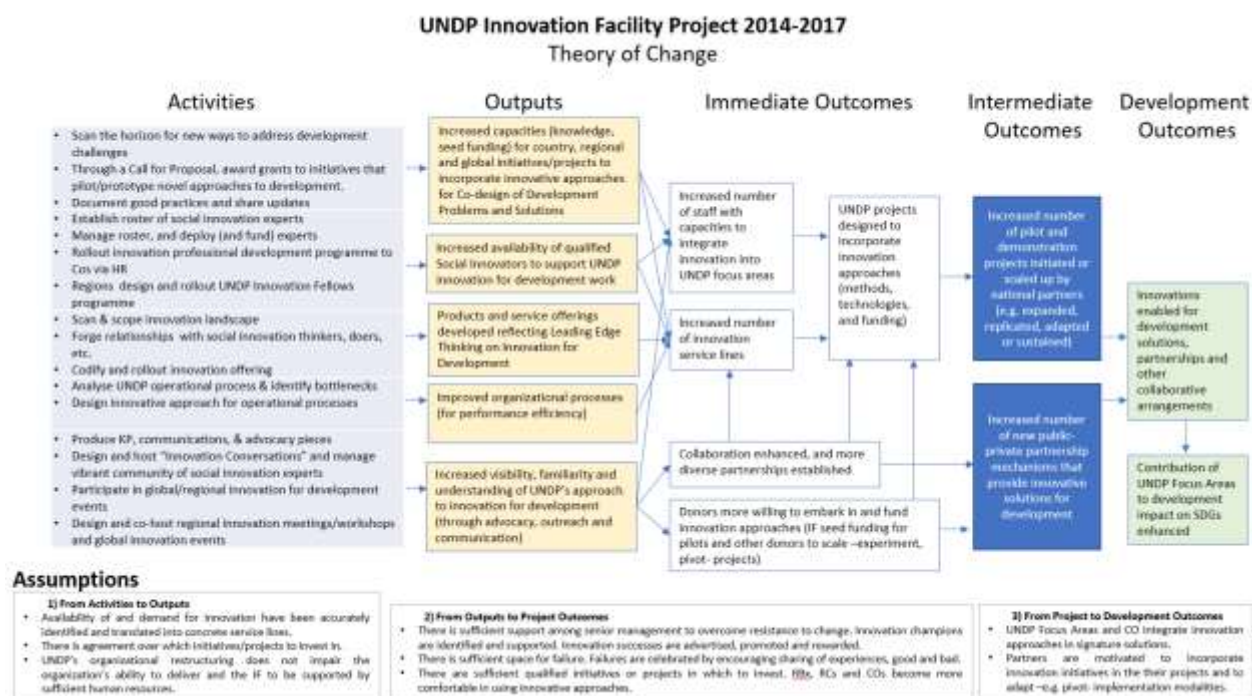


Figure 1: Reconstructed Theory of Change of the Innovation Facility

Source: Evaluation, 2018

The assumptions indicated in the ToC -Figure 1- are primarily derived from the risks log provided in the ProDoc. The assumptions appear to describe a coherent and rather cohesive set of conditions under the pathways for a realization of the change processes between outcomes/intermediate states. However, the evaluation will further analyze the reconstructed ToC and underlying assumptions.

7. Evaluation Methods

The evaluation will be guided by the Terms of Reference and follow the underlying evaluation principles established by OECD/DAC, while recognizing the challenges of capturing results in complex systems with many actors.

The evaluation will collect and analyze data from a range of sources to triangulate and deepen understanding. To ensure consistency during the data collection, an Evaluation Framework will be applied -Annex 2. The Framework outlines evaluation questions according to the **evaluation criteria** identified in the Terms of Reference and complemented by the Global Innovation Team during the evaluation inception phase. Data sources are highlighted in Table 3 (dark green=primary data source; medium green=secondary data source).

³ The evaluation will analyze the role of the Innovation Project Board, currently rather acting as an advisory board of senior managers.

Stakeholders	UNDP Senior Management	Resource partners (donors)	UNDP Innovation Facility Team	UNDP Innovation clients: COs, thematic	National Partners	Private Sector	Innovation partners
Evaluation Criteria							
Relevance	●	●	●	●	●	●	●
Effectiveness	●	●	●	●	●	●	●
Efficiency	●	●	●	●	○	○	○
Impact	●	●	●	●	●	●	○
Sustainability	●	●	●	●	●	●	○

Table 3: Evaluation Criteria and Primary Source of Data
Source: Evaluation, 2018

The evaluation will use various tools for data collection:

- **Desk study:** A review of existing literature, documents and data will be conducted focusing on outputs and outcomes characterizing the Innovation Facility -cf. Annex 7. The review will investigate the activity on the relevant UNDP innovation networks -e.g. Yammer, Twitter- to the extent data is available.
- **Interviews:** Interviews will be conducted with selected stakeholders. The canvas for semi-structured interviews -Annex 3- will be further adapted to ensure specific relevancy to the above stakeholders. Interviews will be conducted virtually and remain confidential. Notes taken by the evaluation during the interviews will not be shared with the Global Innovation Team or with any other UNDP staff. A preliminary list of interviewees has been identified by UNDP -Annex 7-. Pending informants are interested and available, additional interviews may be arranged targeting national and private sector partners. At inception stage, the following number of interviews per stakeholder group is targeted:

Informant groups	Tentative number of interviews
HQ Innovation Team	3
Members of the Innovation Facility Board	2
Regional Innovation Leads	4
Teams that received IF funding	4
Partners	4
Total	17

- **Survey:** The evaluation will carry out a survey of selected informants -e.g. sample of Regional Innovation Leads- and of all 142 UNDP programme/project managers that received seed funding from the Innovation Facility -Annex 7-. The evaluation expects that UNDP will provide contact details (email addresses and other details as available) of this pool of programme/project managers based on readily available data. To increase the response rate, the dissemination strategy will involve an initial launch message authored by UNDP, a reminder message sent by the evaluation, and a final message from the evaluation announcing a brief extension of the survey period. Altogether, the survey is expected to be opened for 3 weeks. The survey will be anonymous, but IP addresses may be collected by the survey platform to avoid having to send reminder messages to target recipients who already responded. As the survey questionnaire -Annex 4- will be distributed by email, it may be confronted to various non-response biases. Accordingly, results of the survey

will be representative of the perception of the respondents but will not be extrapolated to all 142 target programme/project managers.

- **Case studies:** Three short case studies -Annex 5- will be developed. Each case study will aim at demonstrating the impact pathway from projects supported by the Innovation Facility, i.e. from funded activities to development changes. Methodology for the selection of the case studies features criteria with contrasted behaviors:
 - Types of innovation approaches: (i) methodologies (including technologies), (ii) funding
 - Stage of project: (i) Early stage, (ii) Test & Evidence Collection Phase, (iii) Scaling-Up.
 - Reach of project: (i) local, (ii) national, (iii) regional, or (iv) cross-regional
 - Scope of project: Thematic area, as per the SP or SDGs.

At evaluation inception stage, the following initiatives have been identified from the following region, of which 3 are to be selected: China, Georgia, Egypt, Indonesia or cross-regional for nature based innovation.

The evaluation will use a combination of complementary tools for analysis of the data collected.

- **Qualitative analysis** of data according to the above evaluation criteria;
- **Quantitative analysis** including selected cross-tabulations of survey responses (e.g. per respondents' profile).

The overall approach taken will be a participatory evaluation. Evaluation recommendations will be developed in close consultation with the Global Innovation Team.

8. Team roles and responsibilities

The roles and responsibilities among the evaluation team have been introduced in the Terms of Reference.

- The **Evaluation Consultant** will provide an independent assessment of the Innovation Facility. The consultant will work under the overall responsibility of *UNDP Global KM & Innovation Advisor* and will consult with UNDP on any procedural and methodological matters related to the evaluation.
- The **UNDP Global KM & Innovation Advisor** will take the management decisions over the evaluation and is the first recipient of the deliverables. The Global KM & Innovation Advisor will validate and approve key deliverables of the evaluation and share them with the donor and relevant stakeholders. Changes to this evaluation will be approved by the Global KM & Innovation Advisor.
- The **UNDP Innovation Specialist** and the **Innovation Facility Coordinator** will support the evaluation, facilitate access to information resources: inform relevant stakeholders of the evaluation and data collection, and will encourage their voluntary participation allowing the consultant to conduct the evaluation as efficiently and independently as possible. In order to provide more visibility and credibility to the online survey, the Innovation Specialist will take charge of its initial launch.

9. Evaluation schedule

The evaluation will be undertaken between April and June 2018, in accordance with the work plan below (based on UNDP Terms of Reference and on the effective start date of the evaluation).

Tasks	April					May				June			
	2	9	16	23	30	7	14	21	28	4	11	18	25
Preparation Phase													
Data gathering by UNDP (since February)													
Inception Phase													
Initial Desk Review													
Inception Calls													
Inception Report													
Preparation first draft													
UNDP Analysis of Draft													
Finalization													
Data Collection & Review Phase													
Secondary Data Analysis													
IF publications and reports													
Networks analysis													
Interviews													
Preparation													
Delivery													
Analysis													
Case studies													
Survey													
Design and test													
Launch and reminders													
Analysis													
Analysis & Reporting													
First Draft Report													
Data Compilation and Preparation draft report													
Submission First Draft													
UNDP Analysis													
Final Draft Report													
Revisions and Submission of Final Report													
PowerPoint Presentation of Evaluation													
UNDP Review & Agreement													

Annex 1: Terms of Reference

Consultancy – FORMATIVE EVALUATION OF UNDP INNOVATION FACILITY

1. Background

ABOUT THE INNOVATION FACILITY

Unlocking the power of innovation for social good and sustainable growth is a dedicated goal in the Agenda 2030 and it is a vehicle to achieve all 17 SDGs. In 2014, UNDP set up a dedicated Innovation Facility with the support of the Government of Denmark. The Facility supports our partners – governments, civil society organizations, the private sector as well as UNDP Country Offices – in finding more effective solutions to development challenges.

The UNDP Innovation Facility (IF), hosted in the Development Impact Group, Bureau of Policy and Programme Support (BPPS), supports initiatives that a) strengthens UNDP's position as a leading advisor on innovation for development; b) enables national development actors to co-create value; c) increases understanding of the role and value of innovation for development; d) supports social innovators both within the organization and from the broader development community; and finally, e) enhances UNDP's own performance through innovative practices.

OUR APPROACH TO INNOVATION

UNDP's presence in more than 170 countries and territories across the globe, allows us to experiment with different innovation methods, rapidly learn what works, and catalyze the right partnerships to bring what works to scale. Our approach to innovation is iterative: we test, evaluate and build new solutions and services based on practical experiments.

Our services help partners and UNDP to refine responses and develop new solutions. They include:

Reframing policy issues and redesign programming by identifying key insights into the needs of users through methods such as human-centered design, behavioural insights and social innovation camps	Connecting and co-designing with citizens, government, academia, and private sector organizations – leveraging local solutions and co-creating new solutions
Testing hypotheses by running rapid prototypes, parallel field tests and experiments	Partnering with new actors, including start-ups, innovation hubs, think tanks and the private sector, on building 'shared value'

Between 2014 and 2017, the Innovation Facility supported over 142 initiatives in 85 countries with seed-funding awarded through a competitive process. To be successful a proposal needs to iterate pathways to reach a better understanding of a given development problem and then design a solution together with partners and people affected by the challenge. Winning submissions must also carefully pay attention to the scaling potential of the solution. Across 2014 and 2015, our partners -- Governments, private sector, and Country Offices – took up well over 60% of the initiatives we funded.

To achieve these results, the UNDP Innovation Facility works with all parts of the organization to foster skills, iteratively develop methods and tools based on concrete interventions, to identify and share lessons and to remove organizational bottlenecks for innovation.

UNDP is also an active participant in the UN Innovation Network, a collaborative network of UN bodies that have established innovation teams. As a member of this Network, UNDP has also endorsed the 9 Principles of Innovation, which guide the implementation of the Innovation Facility.

UNDP's new Strategic Plan spanning 2018 to 2021 emphasizes the need to innovate – to identify, test, evaluate and scale up novel approaches across UNDP's subject areas, in programme development, management and review. The Strategic Plan identifies 6 results related to innovation including an indicator on: "Percentage of country offices that pilot and/or scale innovative tools and methodologies." This provides a vital opportunity for the Innovation Facility to review what it has achieved and position itself for the next phase of UNDP's innovation journey.

UNDP would to conduct a light evaluation of the initiative. This light evaluation is intended to improve performance as well as inform the strategic course and engagement of the Innovation Facility moving forward.

2. Duties and Responsibilities

SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

The objectives of the evaluation are:

- Provide key lessons and inputs to UNDP management regarding the implementation of the UNDP Innovation Facility (2014 to 2017): with special focus to assess whether the current approach and investments trigger organizational change and innovation in UNDP's country-level programming in the best way possible, given the organizational set up.
- Inform the implementation and positioning of the next phase of the UNDP Innovation Facility (2019 – 2021), with regards to the 2018-2021 UNDP Strategic Plan and the larger UN Reform Agenda including the Innovation Lab that is being proposed (as of early 2018) at the Secretary General's Office and the UN Innovation Network.
- Provide recommendations to improve programme design, processes, and systems (including the monitoring and evaluation plan) for the operationalization of the next iteration of the Innovation Facility (2019 to 2021).

The evaluation will have 2 components. It will review the implementation and processes of the UNDP Innovation Facility (2014 to 2017) with regards to:

a. Change management.

b. Development impact.

The evaluation will take place in 2018 to inform the Innovation Facility's next Project Document. This will shape its approach and operationalization. It will cover country, regional and corporate levels through a case study approach including desk reviews and strategic (virtual) interviews with select staff based in programme countries and regional hubs at different phases of their innovation journey, as well as colleagues at HQ on change management.

Specifically, with regard to the scope, the evaluation will:

- Review the implementation and processes of the Innovation Facility: 2014 to 2017.

- Recognizing that as originally formulated the Innovation Facility ProDoc did not contain an explicit TOC, review the appropriateness of the conceptual framework of the initiative, determining whether the objectives, the implicit theory of change and the results framework articulated were put sufficiently into action, revisited and updated and whether relevant, reliable and valid indicators, measures, tools and mechanisms are in place.
- Assess the management, processes, and structure of the Innovation Facility including how effectively and efficiently the innovation could be translated in implementing the 2018-2021 UNDP Strategic Plan.
- Assess whether the processes, structures, and implementation plans are sufficient to foster innovation at UNDP, in-line with the 9 UN Principles of Innovation for Development, the 2014-2017 UNDP Strategic Plan, and in-line with the objectives of the project.
- Provide key insights on successes, failures and lessons of the UNDP Innovation Facility programmatic investments and advisory services in UNDP HQ, Regional Hubs and Country Offices reflecting on strategic objectives related to improved development impact, more inclusive processes as well as enhanced staff capacities, new service lines, additional resources mobilized and new partnerships created.
- The assessment will culminate with recommendations for improvements and operational suggestions for the Innovation Facility. These proposed improvements will be based on and derive from the findings of the assessment, and will be in the context of implementing the 2018-2021 UNDP Strategic Plan.

Users

The key users of the light evaluation will be the Innovation Facility team, the UNDP Innovation Board as well as the Government of Denmark as funding partner.

EVALUATION APPROACH AND METHODOLOGY

The 'light' evaluation will be conducted by an international evaluator. The evaluation will be transparent, inclusive, and conducted in a participatory manner. The evaluation will utilize mixed methods approach, drawing on both primary and secondary, quantitative and qualitative data to come up with an overall assessment backed by clear evidence. The evaluation is expected to use a case study approach as one of its data gathering tools to capture in more detail the importance of context in explaining variations in results per country and regions. The evaluation will also utilise a theory-based approach taking into consideration strategic and planning documents. The evaluation will also be informed by the project QA, the recent evaluations of UNDP's institutional effectiveness and of the Strategic Plan (2014-2017).

The evaluation consultant will develop the design for the evaluation including the approach, the evaluation criteria and questions contained in a matrix, and methodology for data collection and analysis. The criteria should draw from the UN/OECD-DAC's 5 evaluation criteria: For example: **Relevance:** *How well designed is the project to meet its broader objective to promote innovation across UNDP?*; **Effectiveness & Efficiency:** *How well has the project delivered the expected results?*; **Impact & Sustainability:** *To what extent is the project on track to influence the broader system in the countries or initiatives that have received funding?*

Indicative methods for data collection will include document review and interviews with key informants.

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outline in the [UNEG 'Ethical Guidelines for Evaluations'](#).

EVALUATION PROCESS, DELIVERABLES AND TIMETABLE:

The evaluation will include 4 main phases, each with distinct milestones and deliverables.

Main deliverables:

The final evaluation report and PowerPoint are expected by June 2018, across 30 to 40 working days. The proposed timeframe and expected deliverables will be discussed with the Evaluation consultant and refined during the inception phase. The final schedule of deliverables will be presented in the inception report. The Evaluation Unit reserves the right to request several versions of the report before sharing the report with other stakeholders and until it meets the quality standards set by UNEG.

The Evaluation consultant will be responsible for preparing and submitting the following deliverables:

1. Inception report;
2. Draft and final evaluation report;
3. PowerPoint presentation of key findings and recommendations.

Phase	Deliverables	General Timeframe
Preparatory	The Innovation team will collect relevant documents, background for case studies, including surveys, and create a repository in google drive for the Evaluator.	1 Feb- 4 April
	The Innovation team will prepare a preliminary interview list for the Evaluator.	
Inception	The Evaluator will review documents and survey results	5 -30 April
	<p>The Evaluator will draft inception report should include (up to 5 pages):</p> <ol style="list-style-type: none"> 1. Evaluation design including a fully-fleshed out methodology; 2. Time-table for the exercise. 3. Relevant annexes: including questions for the interviewees; data collection methods and information sources. <p>The draft inception report will be reviewed by the Innovation team before the Evaluation expert moves to the next phase.</p>	
Data Collection	<p>The Evaluator will draft 3 case studies to assess development impact:</p> <ul style="list-style-type: none"> • Remote interviews with innovation focal points in countries and at regional hubs (no travel required). <p>Change management:</p> <ul style="list-style-type: none"> • Select interviews at HQ and regional hubs. 	1-13 May

Reporting	<p>Draft final report: should outline clear evidence-based conclusions and findings. It should include focused, actionable recommendations (SMART), and a clear, standalone Executive Summary. (Maximum 40 pages including annexes).</p> <p>It should include:</p> <ol style="list-style-type: none"> 1. Short description of the Innovation Facility and organizational context within UNDP, findings of the review of the implementation and processes of the Facility 2014 to 2017. 2. Description of the methodology utilized; 3. Findings of (issues identified under 'scope', page 2): <p>*Whether the conceptual framework was appropriate, actioned and updated with relevant, reliable and valid indicators, measures, tools and mechanisms.</p> <p>*How effectively and efficiently the innovation could be translated in implementing the 2018-2021 UNDP Strategic Plan.</p> <p>*The ability of the project to foster innovation at UNDP, in-line with the 9 UN Principles of Innovation for Development, and in-line with the objectives of the project.</p> <p>*The assessment of the value of the current approach in triggering organizational change and innovation in UNDP's country-level programming in the best way possible, given the organizational set up.</p> <ol style="list-style-type: none"> 4. Lessons learned from the implementation of the Innovation Facility. This includes -- successes, failures and lessons of the UNDP Innovation Facility programmatic investments and advisory services in UNDP HQ, Regional Hubs and Country Offices reflecting on strategic objectives related to improved development impact, more inclusive processes as well as enhanced staff capacities, new service lines, additional resources mobilized and new partnerships created. 5. Forward-looking recommendations including actions to operationalize these for the consideration of management. 6. Relevant annexes. 	14-30 May
	Comments from the global Innovation team	
	Final report: includes comments from the Innovation team and partners.	
	A PPT summarizing the main findings and recommendations to be used by the Innovation team leader in the final de-briefing to the Innovation board and UNDP leadership. Preferably the consultant (team) delivers the final presentation onsite or virtually to UNDP's Innovation Board.	

Annex 2: Evaluation Framework

Evaluation Criteria and Key Evaluation Questions	Evaluation Sub Questions	Indicators	Sources
Relevance <i>How well designed is the project to meet its broader objective to advance innovation across UNDP?</i>	Does the Innovation Facility do the right things?	<ul style="list-style-type: none"> Level of alignment of the IF with the broader development context (decreasing regular resources, countries changing income group, QCPR, etc.) Level of alignment between demand for and provision of IF services and solutions 	Documents: Global analyzes and publications, QCPR, IF ProDoc and Annual Reports, minutes of IF Project Board meetings, previous evaluations Interviews: IF Global Innovation Team, IF Regional Innovation Team, CO Programme/Project Managers
	To what extent is the overall project framework aligned with the broader strategic goals of the organization?	<ul style="list-style-type: none"> Level of alignment of the IF (and logframe) with UNDP mandate and the Strategic Plan 2014-2017 (SDGs, SSC and partnerships, institutional effectiveness, inclusion) Level of alignment of the IF with UNDP's agenda for organizational change (2011) 	Documents: UNDP Strategic Plan and IRRF, IF ProDoc and Annual Reports, previous evaluations Interviews: IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
	How has the Innovation Facility supported UNDP in achieving its strategic results?	<ul style="list-style-type: none"> Types of contribution of IF services & solutions to UNDP strategic results Level of IF funding per UNDP Focus Area & SDG 	Documents: IF Annual Reports, Mid-term review and Final Evaluation UNDP Strategic Plan, ROAR Analysis, previous evaluations Interviews: IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
Effectiveness <i>How well has the project delivered the expected results?</i>	Have the objectives of the project been achieved – or to what extent will the objectives of the intervention be (most likely) achieved?	<ul style="list-style-type: none"> IF project outputs (realized vs. targeted) Level of satisfaction of users with IF services and solutions Types and levels of project spillovers 	Documents: IF ProDoc and Annual Reports, IF outputs (publications, blogs, newsletters, conversations, etc.), ROAR Analysis, minutes of IF Project Board meetings, previous evaluations Interviews: IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers

	Were the initial objectives ambitious enough to advance radical changes within the organization?	<ul style="list-style-type: none"> • Scope and scale of the IF objectives and resources vs. perceived needs • Extent to which the IF change management plan and capacities were aligned with the level of intended transformation 	Documents: IF ProDoc and Annual Reports, ROAR Analysis, minutes of IF Project Board meetings Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
	Are the beneficiaries target groups (Country Offices) clearly identified/defined?	<ul style="list-style-type: none"> • Extent to which IF users were segmented (e.g. by region, income group, gender, etc.) • Type of support provided to CO and level of targeting/tailoring (marketing materials, communication events, funding, etc.) 	Documents: IF Annual Reports, Minutes of IF Project Board meetings, previous evaluations, ROAR Analysis Networks activity: Yammer, Twitter Interviews: IF Global Innovation Team, IF Regional Innovation Team
	What were some of the outstanding features of how the Innovation Facility operates?	<ul style="list-style-type: none"> • Most significant change that IF users attribute to the project • Level of satisfaction of users with IF services & solutions 	Documents: IF Annual Reports, ROAR Analysis, previous evaluations Survey: Seed funded CO Programme/Project Managers Interviews: IF Project Board, COs Programme/Project Managers
	What are shortcomings / flaws in the setup?	<ul style="list-style-type: none"> • Level of satisfaction of target users with IF components (governance, processes, services and solutions, lessons learning, upscaling, etc.) • Perceived needs for improvement in the setup of the IF 	Documents: IF Annual Reports, ROAR Analysis, Minutes of IF Project Board meetings, previous evaluations Survey: Seed funded CO Programme/Project Managers Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
	What should the next iteration of an Innovation Facility do differently, how should it operate to be more effective?	<ul style="list-style-type: none"> • Priority needs of target users vs. level of effort (impact-effort, quick wins, etc.) • Level of alignment of the IF theory of change with the Strategic Plan 2018-2021 • New pathways to institutionalization and upscaling of project outcomes • Perceived value by IF users of other innovation approaches (e.g. UNICEF, UNFPA, etc.) 	Documents: IF Annual Reports, ROAR Analysis, Minutes of IF Project Board meetings, previous evaluations Networks activity: Yammer, Twitter Survey: Seed funded CO Programme/Project Managers Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
Efficiency <i>To what extent is the</i>	Are the objectives achieved in a cost-efficient manner by the	<ul style="list-style-type: none"> • Ratio IF project management costs vs IF project implementation costs 	Documents: IF Annual Reports, ROAR Analysis, Minutes of IF Project Board meetings, previous evaluations Interviews: IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers

project on track to catalyze innovation at UNDP?	development intervention?	<ul style="list-style-type: none"> Amount and share of financial resources committed to IF project outputs and activities Number of CO that received and used IF funding within the given deadline 	
	Is the relationship between input of resources and results achieved appropriate and justifiable? What is the cost-benefit ratio?	<ul style="list-style-type: none"> Share of IF funding in the budget of supported projects Projects results attributed to IF funding 	Documents: IF Annual Reports, ROAR Analysis, Minutes of IF Project Board meetings Survey: Seed funded CO Programme/Project Managers Interviews: IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
	Are there any alternatives for achieving the same results with less inputs/funds?	<ul style="list-style-type: none"> Perceived 'value for money' of IF funds according to users Types of funding alternatives according to users 	Survey: Seed funded CO Programme/Project Managers Interviews: IF Project Board, IF Regional Innovation Team, COs Programme/Project Managers
	Specifically, is a cost-sharing project, as opposed to a dedicated trust fund, the most efficient vehicle?	<ul style="list-style-type: none"> Pros and cons of cost-sharing modality vs trust fund in IF context 	Documents: POPP, previous evaluations, relevant notes and reports on funding modalities Interviews: IF Global Innovation Team, BMS?
	Is the current location of the IF (BPPS) the most efficient one to drive results and trigger organizational change?	<ul style="list-style-type: none"> Level of satisfaction of users with IF governance structure (organization, location, work modalities, etc.) Perceived achievements of the IF change management activities 	Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team
Impact To what extent is the project on track to influence the broader corporate system in the uptake of innovation in contexts where it	What has happened as a result of the programme or project? <i>(The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or</i>	<ul style="list-style-type: none"> Outcomes realized vs. expected <ul style="list-style-type: none"> Number of pilot and demonstration projects initiated or scaled up by national partners (e.g. expanded, replicated, adapted or sustained) Number of new public-private partnership mechanisms that provide innovative solutions for development 	Documents: IF Annual Reports, ROAR Analysis, Minutes of IF Project Board meetings, previous evaluations, project outputs (publications, blogs, newsletters, conversations, etc.) Survey: Seed funded CO Programme/Project Managers Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers

has invested in innovation?	<i>indirectly, intended or unintended)</i>	<ul style="list-style-type: none"> Types of unintended outcomes 	
	What real difference has the activity made to the Country Offices?	<ul style="list-style-type: none"> Types and level of change in CO programmes/projects Extent to which the IF has contributed to fostering change in COs (increased agility, incentivized innovation, new processes, new skills, etc.) 	Documents: IF Annual Reports, ROAR Analysis, previous evaluations Survey: Seed funded CO Programme/Project Managers Interviews: IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
	How many Country Offices have been affected?	<ul style="list-style-type: none"> Number of COs that have benefited from the IF <ul style="list-style-type: none"> Technical advice Funding Networking Etc. 	Documents: IF Annual Reports, ROAR Analysis, previous evaluations, (publications, blogs, newsletters, conversations, etc.) Survey: Seed funded CO Programme/Project Managers Interviews: IF Global Innovation Team, IF Regional Innovation Team
	What is or are the impact(s)/effects of the interventions?	<ul style="list-style-type: none"> Level of increased effectiveness of UNDP Focus Areas (quality, targeting, inclusiveness, timeliness of projects) Level of contribution to achieving the SDGs Unintended effects 	Documents: IF Annual Reports, ROAR Analysis, previous evaluations, (publications, blogs, newsletters, conversations, etc.) Survey: Seed funded CO Programme/Project Managers Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
Sustainability To what extent has the project shown to be sustainable and/or scalable?	To what extent is a dedicated Innovation Facility sustainable and/or able to catalyze sustainable continued long-term benefits?	<ul style="list-style-type: none"> Extent to which the IF responds to users' needs Level of institutionalization of innovation in UNDP (e.g. in policies, governance structure, work plans, processes, knowledge production and learning, job descriptions, staff skills, incentives, etc.) 	Documents: IF Annual Reports, ROAR Analysis Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers
	Are the positive effects sustainable and scalable? How is the sustainability or the continuity of the intervention and its	<ul style="list-style-type: none"> Extent to which good practices are identified and reused within and across COs / regions and Focus Areas Extend to which lessons learned are codified and taken up to improve organizational performance 	Documents: IF Annual Reports, ROAR Analysis Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers

	effects to be assessed/measured?	<ul style="list-style-type: none"> Range of potential indicators (e.g. at institutional, organization and individual levels) 	
	What should the next iteration of an Innovation Facility do differently, how should it operate to be more sustainable?	<ul style="list-style-type: none"> Perceived types of activities to strengthen institutionalization, functioning and funding 	<p>Documents: IF Annual Reports, ROAR Analysis, previous evaluations</p> <p>Survey: Seed funded CO Programme/Project Managers</p> <p>Interviews: IF Project Board, IF Global Innovation Team, IF Regional Innovation Team, COs Programme/Project Managers, BPPS Policy Specialists (e.g. Chiefs of Profession or Units Heads at HQ or RH)</p>

Annex 3: Canvas for interviews

HQ Innovation Team and Regional Innovation Leads
<p>Introduction</p> <ul style="list-style-type: none"> • <i>[To Regional Innovation Leads: About the evaluation (objectives, process, etc.) and interview (confidentiality, duration, etc.)]</i> • Role in the Innovation Facility project / level of time commitment?
<p>Relevance</p> <ul style="list-style-type: none"> • How would you describe and assess the current purpose of the Innovation Facility? • Would you recommend any actions that could further align the Innovation Facility with UNDP objectives as laid out in the Strategic Plan <i>[To Regional Innovation Leads: ...regarding the country/regional priorities of your duty station]</i>?
<p>Effectiveness</p> <ul style="list-style-type: none"> • How effective has the Innovation Facility been in introducing new ways of working, including emerging technologies, in UNDP overall? • From your global perspective, in what ways did the Innovation Facility influence UNDP practices or operations? • In your opinion, what is the most significant change that the Innovation Facility has brought to UNDP? <i>[To Regional Innovation Leads: ...and to your Regional Bureau / Hub? Your region?]</i>
<p>Efficiency</p> <ul style="list-style-type: none"> • What were the outstanding features of how the Innovation Facility operates? <ul style="list-style-type: none"> ○ Through providing seed funds to successful projects via a call for proposal ○ Through Technical Assistance (i.e. horizon scanning, portfolio scans for opportunities to innovate, co-designing projects, supporting teams with upskilling, and referral of talent to support execution of innovative projects) • In your opinion, what were the shortcomings / flaws in the setup of the Innovation Facility and/or the way it works? • Is the current location of the Innovation Facility (BPPS) the most efficient one to drive results and trigger organizational change? If not, what is your recommendation for an organizational home? • <i>[To Regional Innovation Leads: In your opinion, how efficient was and is the matrix arrangement of Regional Leads between BPPS and a Regional Bureau? What could be improved / changed?]</i> • <i>[To Regional Innovation Leads: Would there be any alternatives for the Innovation Facility to achieve the same results with less inputs/funds?]</i>
<p>Impact</p> <ul style="list-style-type: none"> • From your global perspective, in what ways did the Innovation Facility contribute to development outcomes? <ul style="list-style-type: none"> ○ Making UNDP projects more effective (improved quality, targeting, inclusiveness, timeliness) ○ Enlarging partnerships and/or increase uptake of innovation approaches and outcomes ○ Enhancing development impact on UNDP Focus Areas • Do you have suggestions how UNDP, the Innovation Facility and Country Offices together, could improve the measurement of the impact of innovation / the work of the Innovation Facility on development outcomes?
<p>Sustainability</p> <ul style="list-style-type: none"> • What should the next iteration of an Innovation Facility do differently? How should it operate to be more effective? • If you are familiar with other innovation outfits (e.g. UN Global Pulse, UNICEF Innovation Fund), are there innovation services or solutions they provide that could be taken up by the Innovation Facility?

Other

- Is there anything more that you would like to share to inform this evaluation?

Members of the Innovation Facility Board**Introduction**

- About the evaluation (objectives, process, etc.) and interview (confidentiality, duration, etc.)
-

Relevance

- How would you describe the current purpose of the Innovation Facility?
- Would you recommend any actions that could further align the Innovation Facility with the objectives of UNDP as laid out in the new Strategic Plan and in parallel with regional priorities?

Effectiveness

- How has the Innovation Facility supported the objectives of UNDP and your region)?
- In your opinion, what is the most significant change that the Innovation Facility has brought to UNDP? And across the region?
- From a more global standpoint, how has the Innovation Facility supported UNDP in achieving its strategic results?

Efficiency

- What were the outstanding features of how the Innovation Facility operates?
- In your opinion, what were the shortcomings / flaws in the setup of the Innovation Facility?
- Is the current location of the Innovation Facility (BPPS) the most efficient one to drive results and trigger organizational change? If no, what organizational home do you recommend for the Innovation Facility?
- Would there be any alternatives for the Innovation Facility to achieve the same results with less inputs/funds?

Impact

- In what ways have you seen the Innovation Facility influencing practices or operations in your Bureau (or Hub)?
- In what ways have you seen the Innovation Facility contributing to development outcomes?

Sustainability

- What should the next iteration of an Innovation Facility do differently? How should it operate to be more effective?
- If you are familiar with other innovation outfits (e.g. UN Global Pulse, UNICEF Innovation Fund), are there innovation services or solutions they provide that could be taken up by the Innovation Facility?

Other

- Is there anything more that you would like to share to inform this evaluation?

Teams that received Innovation Facility funding**Introduction**

- About the evaluation (objectives, process, etc.) and interview (confidentiality, duration, etc.)
- What is your job function and how did you start hearing about the Innovation Facility?

Case study questions

<ul style="list-style-type: none"> • What was the context of the project / the development challenge addresses that received Innovation Facility funding and what were its objectives? <ul style="list-style-type: none"> ○ Please reflect on the capacity of the Country Office team to deliver the initiative? • What were the innovation objectives and the support received? <ul style="list-style-type: none"> ○ Level of seed funding via the call for proposal? ○ Any Technical Assistance (i.e. horizon scanning, portfolio scans for opportunities to innovate, co-designing projects, supporting teams with upskilling, and referral of talent to support execution of innovative projects)? • How would you describe the functioning and implementation of the project? <ul style="list-style-type: none"> ○ What was the most significant change that the Innovation Facility brought to your project? ○ Were there any shortcomings / flaws in the setup of the Innovation Facility? In the services provided? ○ Would there be any alternatives for the Innovation Facility to achieve the same results with less inputs/funds? • What have been the project outputs and outcomes? <ul style="list-style-type: none"> ○ To what extent did Innovation Facility funding influence practices or operations in your project? ○ To what extent did Innovation Facility funding contribute to development outcomes? <ul style="list-style-type: none"> ▪ Making the project more effective (improved quality, targeting, inclusiveness, timeliness) ▪ Enlarging partnerships and/or increase uptake of innovation approaches and outcomes ▪ Enhancing development impact on UNDP Focus Areas ▪ Unintended outcomes? <p>How could UNDP, on the country-level and with support from global, improve how it measures the impact of innovation?</p>

<p>Lessons Learned</p> <ul style="list-style-type: none"> • What are the lessons learned regarding the support you received from the Innovation Facility? How can UNDP improve its innovation support-function?

<p>Partners</p> <p>Introduction</p> <ul style="list-style-type: none"> • About the evaluation (objectives, process, etc.) and interview (confidentiality, duration, etc.) • What is your job function and relationship with the Innovation Facility? <p>Relevance</p> <ul style="list-style-type: none"> • How would you describe and assess the current purpose of the Innovation Facility? <p>Effectiveness</p> <ul style="list-style-type: none"> • From your standpoint, what are the main achievements of the Innovation Facility? Or what is the most significant change that the Innovation Facility has brought to UNDP (or to partners?) • In your opinion, how has the Innovation Facility supported UNDP in achieving its strategic results? <p>Efficiency</p> <ul style="list-style-type: none"> • What were the outstanding features of how the Innovation Facility operates? <ul style="list-style-type: none"> ○ Through providing seed funds to successful projects via a call for proposal ○ Through Technical Assistance (i.e. horizon scanning, portfolio scans for opportunities to innovate, co-designing projects, supporting teams with upskilling, and referral of talent to support execution of innovative projects)
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<ul style="list-style-type: none"> • In your opinion, what were the shortcomings / flaws in the setup of the Innovation Facility?
<p>Impact</p> <ul style="list-style-type: none"> • In what ways have you seen the Innovation Facility contributing to development outcomes? <ul style="list-style-type: none"> ○ Making UNDP projects more effective (improved quality, targeting, inclusiveness, timeliness) ○ Enlarging partnerships and/or increase uptake of innovation approaches and outcomes ○ Enhancing development impact on UNDP Focus Areas
<p>Sustainability</p> <ul style="list-style-type: none"> • What should the next iteration of an Innovation Facility do differently? How should it operate to be more effective?
<p>Other</p> <ul style="list-style-type: none"> • Is there anything more that you would like to share to inform this evaluation?

Annex 4: Survey Questionnaire for Programme/Project Managers that received Funding from the Innovation Facility

1. About the project supported by the Innovation Fund (IF)

In which year did your project receive funds from the Innovation Facility:

2014 2015 2016 2017 2018

In what country is (was) implemented the project for which you have received seed funding from the Innovation Facility?

< Global

Cross-regional

Regional

List of countries>

What is the main area of focus of the project that received seed funding from the Innovation Facility?

- ☐ Goal 1: No Poverty
- ☐ Goal 2: Zero Hunger
- ☐ Goal 3: Good Health and Well Being
- ☐ Goal 4: Quality Education
- ☐ Goal 5: Gender Equality
- ☐ Goal 6: Clean Water and Sanitation
- ☐ Goal 7: Affordable and Clean Energy
- ☐ Goal 8: Decent Work and Economic Growth
- ☐ Goal 9: Industry, Innovation and Infrastructure
- ☐ Goal 10: Required Inequalities
- ☐ Goal 11: Sustainable Cities and Communities
- ☐ Goal 12: Responsible Consumption and Production
- ☐ Goal 13: Climate Action
- ☐ Goal 14: Life below Water
- ☐ Goal 15: Life on Land
- ☐ Goal 16: Peace, Justice and Strong Institutions
- ☐ Goal 17: Partnerships for the Goals

2. Assessment of IF Outputs

Did you request technical assistance from the Regional Innovation Lead or global Innovation team?

Yes

No

Did you Work Out Loud? Did you blog about your ongoing work funded by the Innovation Facility?

Yes

No

In your opinion, how effective has been the Innovation Facility in achieving the following outputs?

	Very effective	Moderately effective	Moderately ineffective	Very ineffective	Do not know or not applicable

Develop and roll out guidance, referral and networking services, and learning events on innovation					
Make advisory services available to support the adoption of innovative approaches in UNDP					
Contribute to improving organizational processes to make UNDP more agile					
Increase the visibility, familiarity and understanding of UNDP's approach to innovation for development (lead by your Regional Innovation Advisor, Innovation Champions in Countries or the global Innovation team)					
Make seed funding for innovation available to CO in a cost-effective manner (appropriate relationship between input of resources and results achieved)					
Encourage UNDP staff taking up innovative solutions to Work Out Loud (e.g. to blog about their ongoing work funded by Innovation Facility, to share this with their Regional Innovation Lead and the global team)					

Any comments?

3. Assessment of IF Outcomes

In your opinion, how effective has the Innovation Facility been in achieving the following outcomes?

	Very effective	Moderately effective	Moderately ineffective	Very ineffective	Do not know or not applicable
Showcase novel ways of problem solving at UNDP					
Encourage thinking on new pathways to scale solutions and making UNDP projects better adapted to scale (through parallel experiments, pivots, early exit)					
Support projects that enhance collaboration, including working directly with affected people, and establish more diverse partnerships (with public bodies, private sector, NGOs, communities)					
Contribute to making Innovation Facility funded projects more effective (improved quality, targeting, inclusiveness, timeliness)					

Any comments?

In your opinion, what were the most positive outcomes that the Innovation Facility has contributed to in your duty station? What are the most positive outcomes on the organizational level? (Please provide specific examples)

In your opinion, what were the main shortcomings / flaws (if any) in the setup and functioning of the Innovation Facility? (Please provide specific examples)

Any additional comments on the Innovation Facility?

4. Pending needs

In your opinion, what types of objectives the Innovation Facility could make a high priority in the future to improve its effectiveness and impact?

	High Priority	Medium priority	Not a priority
Strengthen horizon scanning and expand the UNDP portfolio of available innovation solutions, including through the introduction of emerging technologies and ways of working			
Help UNDP Thematic Teams and COs to move innovation upstream			
Increasingly support countries in designing and adopting innovation policies and strategies and foster national led innovation			
Initiate or facilitate partnership building for resource mobilization at global and national levels to increase funding for innovation			
Build capacities of UNDP management and staff on innovation methodologies, technologies, and innovative funding approaches			
Foster organizational change and incentivize innovation within UNDP including through better management acceptance of risks and acceptance of failures			
Strengthen or increase cooperation between UNDP and external innovation networks and institutions			

Please indicate if there are there additional activities or outputs not covered by the Innovation Facility that you would like to see:

Annex 5: Outline of the 3 Case Studies (up to 500 words)

- Project context and objectives (with a note on capacity of team to deliver the initiative)
- Innovation objectives and support received
- Project functioning and implementation
- Project outputs and outcomes
- Lessons learned

Case study focal points:

- **Baidu E-waste Recycling:** Louise Xi Li, China Team
- **ServiceLab:** Khatuna Sandroshvili, Georgia team
- **Data Sandbox:** Jamison Ervin, Nature Team
- Gazbia Sorour, Egypt

Annex 6: List of individuals and documents consulted for the inception report

Individuals consulted:

- Bernardo Cocco, UNDP Global KM & Innovation Advisor, Innovation Facility Project Manager
- Benjamin Kumpf, UNDP Global Innovation Specialist
- Malika Bhandarkar, Innovation Facility Global Coordinator & Fund Manager

Documents consulted:

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- Wandel J. and Martínez-Solimán M. 2016. Launch of Innovation Challenges Policy. Email message. Sent on Sunday, March 20, 2016. Internal document.

Annex 7: List of Individuals and Documents to Consult during the Evaluation

Individuals to be consulted:

HQ Innovation Team:

- Bernardo Cocco
- Benjamin Kumpf
- Malika Bhandarkar

Members of the Innovation Facility Board:

- Haoliang Xu, ASG RBAP
- Rastislav Vrbrensky, Director Istanbul Regional Hub

Regional Innovation Leads:

- Jennifer Colville, Arab States
- Alexandru Oprunenco, Asia & Pacific
- Milica Begovic, ECIS
- Marc Lepage, Africa
- Linda Maguire (former RBA innovation focal point now Paraguay Country Director)

Teams in different phases of innovation that have received funding from the Innovation Facility (draw on for Case Studies):

- Jamison Ervin, Nature Team
- Louise Xi Li, China Team
- Khatuna Sandroshvili, Georgia team
- Gazbia Sorour, Egypt

Partners:

- UNDP Talent Development Unit: Mariam Kakkar or Paul Anderton
- IDIA: Tom Feeny
- UNDP Executive Office: JD Cruz
- UNIN: Cynthia McCaffrey, Head, Office of Innovation, UNICEF (and co-lead of UNIN)

Send survey to:

UNDP Project Managers (sample below)⁴

- | | |
|---|--|
| • Marc Lepage, Africa (Regional Innovation Lead) | • Fadhil Bakeer Markar, Sri Lanka |
| • Paavani Reddy, Bangkok Regional Hub supporting Indonesia | • Lejla Sadiku, Istanbul Regional Hub (Cross Regional Initiative on SDG Tier III indicators) |
| • Francine Pickup, Indonesia Team (former RBAP innovation focal point now Indonesia Country Director) | • Leila Ullrich, Lebanon |
| • Pallavi Yagnik, Health Team | • Anisha Thapa, Sudan |
| | • Projects in: Armenia, Mongolia, India, Pakistan, Georgia, Moldova, Montenegro, |

⁴ The Innovation Facility will share the e-mail addresses of all relevant project managers that have won funding via the call for proposals.

Argentina, Chile, Brazil, Honduras, Cape Verde, Mauritius, Rwanda etc.

Documents to be consulted:

- Relevant background documentation
- Project design documents (including minutes of the project appraisal committee meeting); Annual Work Plans and Budgets or equivalent, revisions to the projects (Project Document Supplement), the logical frameworks and relevant budgets
- Project reports such as annual reports, progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.
- Terms of reference of the bodies / functions part of the governance structure
- Project outputs
- Surveys and reviews conducted by the team
- Evaluations/reviews of relevant projects