



UNITED NATIONS



## FINAL EVALUATION REPORT

**March  
2014**

### **EVALUATION OF DEVELOPMENT ACCOUNT PROJECT 08/09 AO(6B)**

**Strengthening the capacity of government  
officials to adapt to possible scenarios of  
disasters associated with extreme events:  
analysis for adaptation and disaster  
risk reduction policies**



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This report was prepared by Vincent Lefebvre, an external consultant, who led the evaluation. Mr. Lefebvre worked under the general guidance of Alejandro Torres Lépori, Chief of the Programme Planning and Evaluation Unit within the Programme Planning and Operations Division of the Economic Commission for Latin America and the Caribbean (ECLAC), and Nurit Bodemann-Ostow, Programme Officer of the same unit, who provided strategic and technical guidance, coordination, and logistical support. The evaluation also benefited from the assistance of María Victoria Labra, Programme Assistant, Natalia Rodríguez, Team Assistant, and Alejandra Reyes, Programme Assistant, also of the Programme Planning and Evaluation Unit.

The evaluation team is grateful for the support provided by its project partners at ECLAC, all of whom were represented in the Evaluation Reference Group (ERG). Warm thanks go to the programme managers of the Sustainable Development and Human Settlements Division of ECLAC for their cooperation throughout the evaluation process and their assistance in the review of the report, in particular Joseluis Samaniego, Chief of Division, Luis Miguel Galindo-Paliza, Economic Affairs Officer, and José Eduardo Alatorre, Economic Affairs Officer. The team also extends its gratitude to the programme managers of the ECLAC subregional headquarters in Mexico, including Julie Gail Lennox, Chief of the Agricultural Unit, and José Manuel Iraheta, Economic Affairs Officer.

All comments on the evaluation report by the Evaluation Reference Group and the evaluation team of the Programme Planning and Evaluation Unit were considered by the evaluator and duly addressed in the final text of the report, where appropriate. Moreover, as part of the follow-up to this evaluation, the response of ECLAC management to the evaluation will be made publicly available.

The views expressed in this report are those of the author and do not necessarily reflect the views of the Commission.

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**ACRONYMS AND ABBREVIATIONS**

CAC	Central American Agricultural Council
CCRIF	Caribbean Catastrophe Risk Insurance Facility
ECLAC	Economic Commission of Latin America and the Caribbean
ERG	Evaluation Reference Group
FONDEN	Natural Disasters Fund
GIZ	German Agency for International Cooperation
JICA	Japan International Cooperation Agency
PAHO	Pan American Health Organization
RIOCC	Ibero-American Network of Climate Change Offices
UNFCCC	United Nations Framework Convention on Climate Change

## EXECUTIVE SUMMARY

On the basis of its long historical background and expertise in assessing the economic and social impact of disasters, the Economic Commission for Latin America and the Caribbean (ECLAC) implemented a project on strengthening the capacity of government officials to adapt to possible scenarios of disasters associated with extreme events.

The rationale behind the project was that the capacity of governments to assess, manage and reduce risks associated with extreme events remained relatively limited, with some exceptions, among ECLAC member countries.

In that context, ECLAC requested Development Account funding to implement an intervention that would strengthen the capacities of civil servants in relevant ministries (of finance, agriculture, environment and social affairs, for example) in ECLAC member countries. The project aimed at (i) enhancing the understanding of government authorities on the long-term perspective of risk and cost-benefit analysis of policies and measures to reduce those risks, and (ii) enhancing the capacity of government authorities to formulate policy proposals and design measures for the adaptation to long-term changing hazards and disaster risk reduction. This was to be achieved through seminars, short courses, publications and access to upgraded databases on weather, disaster and climate change information.

The project concept was approved in 2009 under the sixth tranche on the Development Account, but the project document was formally endorsed only in 2011 and implemented from 2012 to the end of 2013 (the project document specified a 33-month implementation period, but disbursement delays led to only 20 months of effective implementation). The budget was US\$ 302,000.

## EVALUATION FINDINGS

### A. Relevance

The project was highly relevant, aligned with the Commission's areas of expertise and consistent with the needs and priorities relating to risk assessment and management of extreme events in the region. However, the project was not formulated in direct response to any specific national or regional needs or priorities.

The project initially covered all ECLAC member countries, but it soon became apparent that the geographical coverage was too large and a decision was taken to focus activities on Central America and other Spanish-speaking countries, including some activities in Chile. Nevertheless, even though the scope of the project was tightened, the number of countries and institutions that received support remained disproportionate to the project's budget.

### B. Efficiency

No specific management structure was established to manage the project, but the efficient division of tasks between ECLAC headquarters and ECLAC subregional headquarters in Mexico served to speed up the implementation of the project; the coordination between the ECLAC offices and relevant line ministries was also particularly helpful in this regard.

Despite plans to establish a mechanism to measure the effectiveness of the activities and assess how they contributed to the project's objective, no such mechanism was put in place. This was necessary as the projects' outputs could lead to policy changes at both national and regional levels over the long term.

The long delay in the disbursement of funds combined with the lack of measures by ECLAC to effectively implement the project as planned reduced the project's duration from 33 months to 20 months, and resulted in a disbursement rate of 77% by the end of the project. ECLAC took judicious advantage of the project's funding to finance several flagship activities relating to disaster costing and climate (databases).

### **C. Effectiveness**

There is no concrete evidence that changes were made to policy, standards or regulations as a result of the knowledge acquired by the civil servants participating in the project; however, that knowledge was used to foster dialogue between line ministries (a prerequisite for comprehensive policymaking).

The Commission's tools on disaster impact assessment were well received by the beneficiaries, but additional support was required to facilitate their use in national contexts. The databases require fine-tuning in order to be more accessible to end users. The duration of the project was too short to show any impact through institutionalization or the definition of policies in support of carrying out risk assessments, although communication channels and working groups have been established between ministries and countries to discuss the topic further. A greater awareness of extreme events insurance schemes has resulted in a flow of additional demands for further analysis and discussion on the topic.

### **D. Sustainability**

Overall, the project increased the knowledge of institutional stakeholders on extreme event assessment and cost analysis, but that knowledge has not yet been institutionalized. As yet, there have been no examples of replication of successful practices as the project duration was too short, but there is evidence that the new tools and methodologies are being considered by relevant line ministries, which has resulted in additional requests for support. Policies, standards and regulations are currently being revised in several places, but none has yet been formalized.

**Key lessons learned** include the following: (i) attention should be paid at the formulation stage to ensuring that the scope of the project is not overly ambitious (the budget must be consistent with the extent of the knowledge gaps that the project is addressing to avoid dilution effects); (ii) the success of certain activities can result in additional demands that the project cannot meet, which can be frustrating for beneficiaries; (iii) the direct effects of such projects on policymaking are relatively limited because many other political, social and economic factors are at play.

## **RECOMMENDATIONS**

To consolidate further the project's results, ECLAC should (i) continue building the capacity of relevant line ministries on extreme events assessment, meeting the demand that was successfully generated by the project for more activities on the topic; (ii) establish a follow-up agenda and create a mechanism for monitoring capacity over the long term; (iii) support the establishment of South-South linkages (already under way between some countries); and (iv) make provisions for more formal courses on modelling and fiscal policy as a way to mainstream climate change adaptation and extreme events management into public policies.

For future interventions, ECLAC should (i) improve the project formulation stage to take into account to a greater extent the viewpoints of the end users; (ii) strengthen its capacity to monitor small-scale projects, which should include an effective dissemination and communication strategy; (iii) integrate the topic of the “green economy” into interventions in Central America; (iv) consolidate the results of this project by taking them into account when designing new interventions on the same topic; (v) improve its monitoring and evaluation capability in order to respond swiftly (during the implementation phase of a project) to the changing needs and priorities of beneficiaries.

Finally, a dialogue between ECLAC and the Department of Economic and Social Affairs should be initiated to prevent disbursement delays, reduce their impact if unavoidable and ensure that the Department has the capacity to review the feasibility of the Commission’s proposed activities beyond the administrative requirements of its guidelines.



## 1. INTRODUCTION

### 1.1 Evaluation context

1. The project under review was financed by the Development Account, a facility set up to fund capacity-building projects in developing countries carried out by the economic and social entities of the United Nations.<sup>1</sup> The projects are grouped under five thematic clusters from the United Nations Development Agenda: (i) statistics, (ii) governance and institution-building, (iii) trade, economics and finance, (iv) social development, and (v) sustainable development, environment and natural resources.<sup>2</sup> The Development Account aims to achieve a distinct development impact by building developing countries' capacity for national, subregional, regional and interregional economic and social cooperation. It was established in 1997 by the United Nations Secretariat and has since funded more than 300 projects for a total value of over US\$ 180 million. This project was approved under the sixth tranche (2008/2009) of the Development Account.

2. The project was implemented by the Economic Commission for Latin America and the Caribbean (ECLAC) through its Sustainable Development and Human Settlements Division located in Santiago, in collaboration with ECLAC subregional headquarters in Mexico.

3. The evaluation process followed the new draft guidelines contained in the ECLAC Evaluation Policy and Strategy document. In this case, a discretionary internal evaluation, which involves a summary evaluation process, was conducted owing to budget restrictions. The Development Account guidelines for project preparation require resources to be allocated for monitoring and evaluation, but not for formal evaluation processes.

### 1.2 Evaluation objectives

4. In accordance with United Nations General Assembly resolution 54/236 of December 1999 on programme planning and decision 54/474 of April 2000 on the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, the aim of the evaluation process is to gather sufficient information in order to be able to make an independent assessment of the performance of Development Account Project 08/09AO "Strengthening the capacity of government officials to adapt to possible scenarios of disasters associated with extreme events: analysis for adaptation and disaster risk reduction policies" (ROA/187 6B).

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<sup>1</sup> United Nations Department of Economic and Social Affairs, United Nations Economic Commission for Europe (ECE), United Nations Economic and Social Commission for Asia and the Pacific (ESCAP), Economic Commission for Latin America & the Caribbean (ECLAC), United Nations Economic Commission for Africa (ECA) and United Nations Economic and Social Commission for Western Asia (ESCWA), United Nations Conference on Trade and Development (UNCTAD), United Nations Office on Drugs and Crime (UNODC), United Nations Environment Programme (UNEP), United Nations Human Settlements Programme (UN-HABITAT).

<sup>2</sup> [http://www.un.org/esa/devagenda/UNDA\\_BW5\\_Final.pdf](http://www.un.org/esa/devagenda/UNDA_BW5_Final.pdf).

5. At ECLAC, the evaluation process takes a three-pronged approach focusing on: (i) accountability, by reporting to its stakeholders with a view to enhancing the Commission's legitimacy and credibility; (ii) managing for results in order to improve the Commission's capacity to plan and manage its interventions more efficiently; and (iii) learning, innovation and organizational change, by identifying lessons learned and recommendations as a way to improve and promote new approaches for future interventions.

6. The objectives of this evaluation were to :

- Analyse the design of the project and the relevance of its stated goals to the thematic area and geographical coverage.
- Assess the project's level of efficiency in implementing its activities, including its governance and management structures and use of resources.
- Take stock of the results obtained by the project and evaluate the extent to which it achieved its objectives. To the extent possible, assess the initial impact attributable to the project.

The terms of reference of the evaluation can be consulted in annex 1.

### **1.3 Scope of the evaluation**

7. The present evaluation covers the project "Strengthening the capacity of government officials to adapt to possible scenarios of disasters associated with extreme events: analysis for adaptation and disaster risk reduction policies".

8. The time frame under consideration corresponds to the implementation period, from April 2011 to December 2013, though the project was originally formulated in 2009/2010.

9. The main stakeholders of the project are the implementing partners (ECLAC divisions and subregional headquarters, as well as associated donors) and the beneficiaries, which include national non-governmental and governmental counterparts.

10. The evaluation focused on the following aspects:

- The relevance of the project's design in relation to the perceived and real needs of the beneficiaries.
- The project's results and their potential impact on the beneficiaries and ECLAC.
- The sustainability of the results.

## 2. EVALUATION METHODOLOGY

### 2.1. Overall approach

11. The evaluation methodology followed a four-step approach:

- (i) Passive data acquisition (documentary analysis): analysis of the project document, the biennial programme of work of the ECLAC system and the project's annual financial reports, review of recipient country economic assessments of the impact of climate change (available online) and several project outputs (publications and technical reports). During this phase, the evaluator prepared a checklist detailing the most relevant information pertaining to each kind of stakeholder.
- (ii) Active data acquisition: (i) individual interviews with selected stakeholders, including ECLAC staff involved in implementing the project, institutional beneficiaries (ministries) and external stakeholders who collaborated with ECLAC (qualitative data collection); (ii) online survey of the implementing partners and beneficiaries (quantitative data collection). Data collection was carried out through:
  - Direct telephone interviews with staff from the ECLAC Sustainable Development and Human Settlements Division, partners who collaborated in the organization of specific project activities at country or regional level, beneficiaries (mainly ministries, national agencies and universities). The list of those interviewed can be found in Annex 2.
  - Two online surveys focusing on the implementing partners and project beneficiaries (see annexes 3 and 4).
- (iii) Data analysis: the raw data collected through the online survey was reviewed and processed by the project implementing division and the Programme Planning and Operations Division to assess the project's achievements. That data was used to prepare recommendations for inclusion in this evaluation report.
- (iv) Report presented to ECLAC and review of the evaluation conducted by the Evaluation Reference Group (ERG) and the Programme Planning and Operations Division.

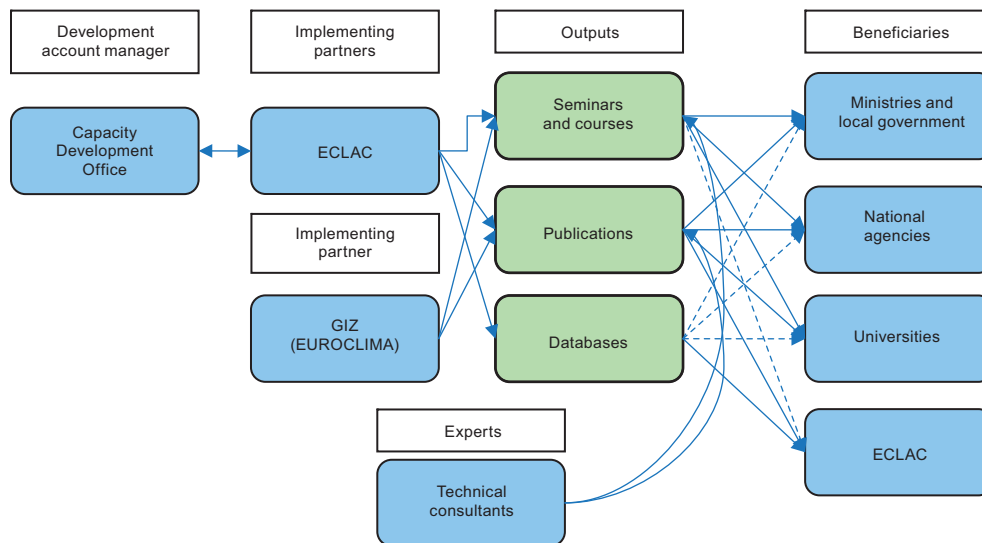
### 2.2. Stakeholder mapping

12. According to the project document, the intervention originally targeted all ministries of public works, environment ministries, risk prevention institutions, financial institutions, including those involved in insurance, and ministries of finance in the Latin American and Caribbean region.

13. A review of the participants at the events organized (training courses and seminars) showed that the project benefitted the following institutions (in descending order of attendance): ministries of environment, ministries of finance, ministries of agriculture, foreign affairs ministries, planning ministries and universities. National agencies and local institutions were also involved, but not systematically.

14. In terms of geographical coverage, the Central American countries, Mexico and Peru benefitted most from the project.

Diagram 1  
Stakeholder mapping



Source: Prepared by the evaluator.

### 2.3. Limitations

15. Although the term “evaluation” is being used, this review of the project does not fulfil the criteria of a full-scale evaluation; in particular, the nature and intensity of the primary data collection (two or three telephone interviews per type of stakeholder) does not allow for systematic cross-checking of information. A decision was taken to conduct this less rigorous evaluation because of resource constraints stemming from the small budget of the project. ECLAC carried out an online survey on the benefits of the project for both the final beneficiaries and the implementing agencies. About a third of the beneficiaries completed the survey, giving some 60 responses (which can be considered representative). As for the implementing agencies, very few ECLAC staff completed the online survey.

16. Although the publications financed under the project might be relevant to the objective of the project from an academic perspective, their real usefulness was not tested through an online survey, thus making it difficult to measure any benefit gained by the beneficiaries. The evaluator assessed a small number of documents and publications through the individual interviews.

17. Furthermore, as the project material did not state how it would include a gender or human rights perspective in its design or activities, it was not possible to measure the application of these principles in the evaluation.

### **3. PROJECT DESCRIPTION**

#### **3.1. Context**

18. The region's sustainable development is being hampered by natural disasters whose economic impact is constantly growing owing to higher levels of human vulnerability, creeping environmental degradation and the increased frequency of extreme events owing to climate change. ECLAC has built up its expertise in analysing the economic and social impact of disasters and in formulating new approaches to and methodologies for disaster recovery, which include financial support and international cooperation. ECLAC has contributed to a number of success stories involving the establishment of comprehensive risk management and risk financing mechanisms, such as the Natural Disasters Fund (FONDEN) in Mexico, the Caribbean Catastrophe Risk Insurance Facility (CCRIF) in the Caribbean and the methodological guidelines on disaster information management produced in the Plurinational State of Bolivia.

However, the overall capacity of countries to assess, manage and mitigate the risks of natural disasters remains relatively limited and depends on their level of development and the size and diversification of their economy. This impedes the achievement of the Millennium Development Goals.

In terms of design, the project was due to be financed under the sixth tranche of the Development Account (concept note approved under that 2008/09 tranche), but the actual design and funding of the project came in 2012/13 owing to the delayed transfer of Development Account funds to ECLAC, by which time the original concept note was perhaps not fully consistent with the Commission's priorities for the biennium 2012-2013.

#### **3.2. Project strategy**

19. Many governments of the region are relatively unaware of the costs of disasters and extreme events, which could occur ever more frequently as a result of climate change. The project was undertaken on the basis that (1) countries' disaster response capacity remains limited; (2) countries have little information on the socioeconomic impact of extreme events, including those that might be associated with climate change; and (3) countries' knowledge of the effects of financing policies on risk reduction is incomplete owing to a lack of linkages and synergies between decision makers. These factors result in poor preparedness and the absence of adequate risk-informed decision-making processes (including through policymaking).

20. ECLAC proposed to improve the management of disaster reduction policies and climate change adaptation measures by: (1) increasing the capacity of government staff to measure environmental expenditures; (2) providing comprehensive assessment techniques for better risk management; (3) enhancing government capacity for optimal resource allocation and reduced risks; and (4) identifying financial resources for environmental sustainability and using economic measures to reduce the risk of extreme events.

#### **3.3. Results framework**

21. The objective of the project was to enhance the capacity of policymakers in Latin America and the Caribbean to better assess, manage and reduce present and foreseeable risks associated with hazards from extreme events associated with long-term climate change, environmental degradation and human settlements patterns.

The two expected accomplishments of the project and their associated indicators of achievement are outlined in table 1.

Table 1  
**Project results framework**

<b>Expected accomplishment</b>	<b>Indicators of achievement</b>
<b>EA1.</b> Enhanced understanding by government authorities at the national and local levels on the long term perspective of risk, and of the cost-benefit analysis of policies and measures to abate risk, including financial mechanisms —at the macro and micro level— for ex-ante disaster risk reduction.	<p><b>IA1.1.</b> Increased number of government entities, such as Treasury Ministries and Risk Disaster Management Agencies, local authorities and local communities that acknowledge having increased their awareness, understanding of the long term risk of extreme weather events and vulnerability, and of the cost-benefit of ex-ante climate change adaptation and risk mitigation policies and measures as a result of project activities.</p> <p><b>IA1.2.</b> Increased number of government entities that formulate studies of the cost-benefit of ex-ante climate change adaptation and risk mitigation policies and measures as a result of project activities.</p>
<b>EA2.</b> Enhanced capacity of government authorities at national and local levels to formulate policy proposals and design measures for the adaptation to long term, changing hazards, and disasters risk reduction.	<p><b>IA2.1.</b> Increased number of government entities at the national and local levels in particular communities that incorporate the methodologies and policies proposed by the project, as part of their policy formulation and planning for disaster risk reduction.</p> <p><b>IA2.2.</b> Percentage of government local authorities participating to the project’s workshops and seminar that acknowledge having improved their capacity to formulate policy proposals and design measures for the adaptation to long term, changing hazards, and disasters risk reduction and better risk management strategies. In order to verify this target, we will establish a partnership and follow-up with the relevant and concerned authorities.</p>

**Source:** Project document.

### **3.4. Project implementation arrangements**

22. According to the project document, the project was to cover the entire region of Latin America and the Caribbean. In order to achieve this, the Sustainable Development and Human Settlements Division of ECLAC, which was responsible for project execution, technical guidance and coordination, applied a two-stage approach with an initial preparatory phase in a small number of countries.

23. The ECLAC subregional headquarters in Mexico and Port of Spain were expected to coordinate the local implementation of the project through the provision of advice and logistical support. However, there was little evidence of any involvement by the subregional headquarters in Port of Spain.

24. Monitoring and evaluation was carried out by the Sustainable Development and Human Settlements Division, with the support of the Programme Planning and Evaluation Unit of the Programme Planning and Operations Division, so as to avoid duplication of efforts and maximize synergies with the Commission’s other programmes and projects. As a large proportion of the project’s budget was used to finance courses and seminars benefitting government institutions, the establishment of relevant linkages with the participants was originally anticipated.

25. The budget of the project was US\$ 302,000, funded by the Development Account under the management of the Capacity Development Office of the Department of Economic and Social Affairs. The project was approved in 2009 (through a concept note). The agreed implementation period was from April 2011 to December 2013 (33 months), however the funding was provided in April 2012, 12 months after the official start-up of the project.

## 4. EVALUATION FINDINGS

### 4.1 Relevance

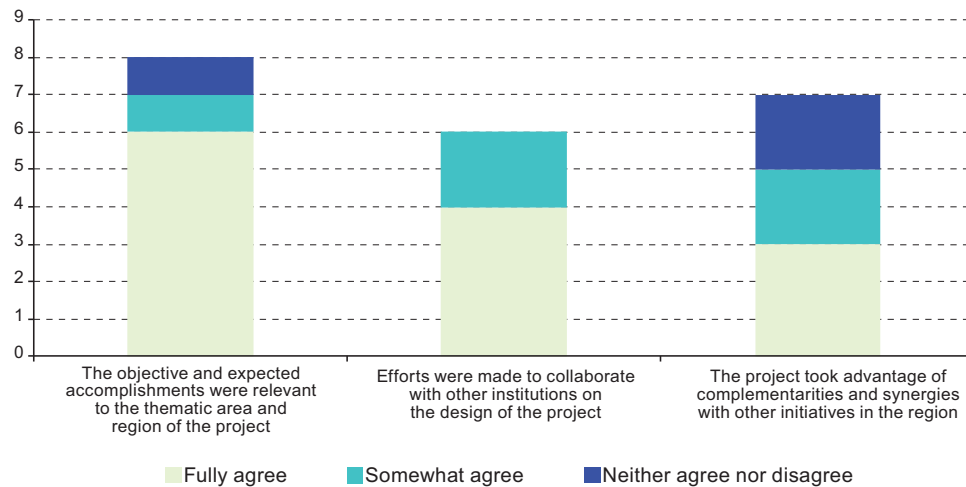
**Finding 1: The project was fully in line with the programme of work of the ECLAC system and responded to the region's a priori needs and priorities relating to sustainable development, though it was not based directly on government requests.**

26. No initial baseline study or assessment was conducted to identify the needs of the member countries in relation to disaster risk assessment and the capacity of State institutions. The project was built on existing in-house knowledge and experience of climate change and disaster risks and took advantage of previous initiatives on climate change and risk assessment (expert meetings organized by the Sustainable Development and Human Settlements Division as part of its regular activities). After the initial start-up, however, several governments submitted requests for support for staff capacity-building in relation to disaster risk management and assessment.

27. The project was consistent with the implementing Division's work programmes for 2010-2011 and 2012-2013; it focused on the assessment of disaster risk management and adaptation to climate variability and change. Over many years of work on the subject, ECLAC has built up its expertise in assessing the economic, social and environmental impact of the damage caused by disasters and has developed methodologies for estimating damage and loss. The project contributed to some of the Division's regular activities, including the upgrading of the disaster database and efforts to integrate risk management into public policy and institutional development for environmental management related to land use and metropolitan areas. The project therefore complemented the Division's regular portfolio of activities.

28. According to the responses to the online survey of the implementing partners (over half of which were from ECLAC staff), the project objective, expected accomplishments and activities were highly relevant. However, the satisfaction rate in relation to the establishment of synergies and complementarities was much lower, which might be explained by the fact that the project was embedded into the Division's portfolio of activities. Nevertheless, the project did successfully lead to the building of synergies with initiatives such as the elements of the EUROCLIMA project managed by the German Agency for International Cooperation.

Figure 1  
**Implementing partners' perceptions of the project's relevance**



**Source:** Prepared by the evaluator, on the basis of the online survey of the implementing partners.

**Finding 2: The project document lacked geographical focus and the scope of the project's geographical coverage ultimately had to be curtailed.**

29. As no specific management structure was established to run the project, it was subsumed under the Sustainable Development and Human Settlements Division's regular management framework. At the design stage, the intention was to take advantage of the existing Ibero-American Network of Climate Change Offices (RIOCC) to facilitate the implementation of the project as these include government officials from ministries of finance and environment.

30. Although the project document specified that the project would concentrate initially on three or four countries with a complete range of activities (policy preparation, seminars, expert group meetings, dissemination workshops), the project provided support to institutions from over 20 countries through seminars and courses (see Annex 5). A decision was ultimately taken to exclude the countries in the Caribbean subregion, with the exception of the Dominican Republic (which is Spanish-speaking). Those cuts could have gone further so as to build up a critical mass of knowledge among institutions in a single subregion (for example, only in Central America), which could have increased the efficiency and effectiveness of the project's results. At the end of the project, the number of participating countries was disproportionate to the budget. As can be seen in Annex 5, ministries from many countries outside the Central American subregion participated only once or twice in the project.

## 4.2 Efficiency

**Finding 3: The Commission's management of the project, including the division of tasks between headquarters and the subregional headquarters in Mexico, resulted in the effective implementation of the project's activities and the establishment of value adding complementarities with other donors.**

31. In terms of operationalization, ECLAC efficiently distributed tasks between the Sustainable Development and Human Settlements Division at headquarters in Santiago (technical input and decision making) and the subregional headquarters in Mexico (logistical support, administrative support and



advice). Two staff members in Chile provided technical guidance and were ultimately responsible for decision making. According to the project document, the subregional headquarters in Mexico (responsible for the Central American subregion) and in Port of Spain (responsible for the Caribbean) were to assist in the implementation of the project. However, as all of the activities (courses, seminars and most of the publications) focused on South America and Central America, the Caribbean (except the Dominican Republic) was excluded from the project by default. The project thus restricted its coverage to Spanish-speaking countries, possibly in an effort to make better use of scarce resources (the initial project lacked geographical focus and was inevitably too ambitious).

32. Contact between the subregional headquarters and the beneficiary institutions was well established, which facilitated the fine-tuning of the workplan to match beneficiary needs, in consultation with ECLAC headquarters. ECLAC also took advantage of several regional initiatives and of existing expertise to contribute to achieving the project's objective of increasing public servants' knowledge in relation to risk management and assessment: for example, Mexico's expertise in disaster risk insurance for agriculture, and livestock and support from the GIZ office in Peru for a project on public investment and climate change adaptation (IPACC).

33. With funding from the EUROCLIMA programme, ECLAC and the GIZ office in Peru co-organized courses on public policies and fiscal reform in relation to extreme events and climate change.

34. GIZ also participated in several seminars on insurance schemes applied to extreme events. The approaches adopted by the two organizations were complementary: ECLAC offered a global (macro) vision and overview of insurance schemes (including a success story from Mexico) and GIZ provided a specific case study from Peru on indexed insurance schemes for extreme events in the agricultural sector.

**Finding 4: The project did not formally measure the effectiveness of the activities for the beneficiaries.**

35. The section in the project document on monitoring and evaluation made reference to measuring the relevance and effectiveness of activities through evaluation surveys. However, the annual reports contain no evidence that such evaluation surveys were carried out. The only sources of information available are the agendas of the seminars and courses and the lists of participants. Some of the stakeholders interviewed indicated that an informal feedback mechanism was put in place. The only formal information on the usefulness of the seminars and courses for the beneficiaries was the end-of-project online survey, however, barely one third of the beneficiaries submitted a completed survey (see effectiveness).

**Finding 5: The delayed disbursement of funds at the start of the project was evidence of a poor operationalization process combined with a lack of foresight by ECLAC.**

36. The project was very slow to get off the ground, with a 20% delivery rate after 21 months of implementation (out of 33 months). This was due to the 12-month delay in the arrival of the funds from the Capacity Development Office. This should have resulted in a corresponding extension of the project's duration. It also indicates a lack of foresight by ECLAC, which did not use funds from another source in order to begin the project on time or request an advance from the Development Account to ensure the smooth implementation of the project, as is the practice in other United Nations agencies. Further complicating the situation for the Sustainable Development and Human Settlements Division, most of the topics for the publications, seminars and courses were not defined at the project formulation stage and time during the project therefore had to be devoted to defining the topics and consulting with partners.

37. The project was officially completed in December 2013. At the time of the evaluation (February 2014), the delivery rate of both disbursed and committed funds was 77%. Over US\$ 68,000 had not been allocated by the end of the project, possibly evidencing the difficulties ECLAC faced in managing numerous small-scale activities in a relatively short time span.

Table 2  
**Budget expenditures**  
(United States dollars)

	<b>Original budget</b>	<b>Financial report December 2011</b>	<b>Financial report December 2012</b>	<b>Financial report December 2013</b>
General temporary assistance	26 000	No annual report was filed	-	27 459
Consultants fees and travel	136 000		54 000	144 204
Travel of staff	33 000		1 948	6 593
Operating expenses	16 000		-	5 965
Seminars and workshops	91 000		-	49 707
<b>Total</b>	<b>302 000</b>		<b>55 948</b>	<b>233 928</b>

**Source:** Prepared by the evaluator on the basis of the project document and the annual reports for 2012 and 2013.

**Finding 6: ECLAC efficiently took advantage of the project’s funding to finalize several activities under the Commission’s programme of work to enhance its capacity for economic analysis of disasters and ultimately its members’<sup>3</sup> capacity through access to databases and the Commission’s disaster impact methodology.**

38. The project contributed significantly to several of the Commission’s regular activities, including updates to the databases on weather events and disaster impact estimates, the data from which was used for ECLAC studies and publications (for example,; the Handbook for Disaster Assessment) (see effectiveness).

39. For the completion of the latest edition of the Handbook for Disaster Assessment and the corresponding database, ECLAC also mobilized funding from other sources, namely (i) the Japan International Cooperation Agency (JICA), (ii) the Pan American Health Organization (PAHO), (iii) ECLAC cooperation funds, and (iv) the regular budget of the ECLAC Public Information and Web Services Section.

### **4.3 Effectiveness**

40. The effectiveness of the project was assessed mainly through the online surveys. Although only one third of the surveyed beneficiaries (government staff) responded, the overall number of responses (more than 60) was high enough to be statistically significant. As for the collaborating partners (organizations that provided assistance to ECLAC to achieve its objective), the response rate was too low to provide any meaningful information. The findings were cross-checked with the phone interviews conducted during the evaluation whenever possible. A list of the activities completed under the project can be found in Annex 6.

<sup>3</sup> ECLAC has 44 member States from Latin America, the Caribbean and Europe; 12 non-independent territories in the Caribbean are associate members.

## A. Seminars and courses

**Finding 7: There is little evidence to suggest that major changes to public policy occurred as a result of the increased capacity of civil servants to assess the risk of extreme events; however, the knowledge acquired through the project has been used to foster dialogue on risk management between sectors and between countries.**

41. The results of the online survey (see annexes 3 and 4) show a very high rate of overall satisfaction with the courses and seminars, though their impact on the day-to-day work of the beneficiaries was variable. The telephone interviews confirmed that the knowledge acquired through the courses and seminars on public finance was useful for the beneficiaries, but not applicable in their day-to-day work for the following reasons: (1) the modelling packages and econometric tools were not available in their workplaces; (2) human resources were insufficient; (3) the case studies and exercises presented were not tailored to the participants' context.

Table 3  
Usefulness of the seminars and courses according to the beneficiaries

Seminar or course	Satisfaction rate (percentage of beneficiaries who fully agreed or somewhat agreed with the statement)	
	Contributed to increased staff technical capacity	Acquired knowledge applied in day-to-day activities
(A) Diálogo Regional 2013: “Transversalización e institucionalización del cambio climático en Ministerios de Economía, Hacienda y Planeamiento” Lima, 12-13 November 2013	100	70
(B) X Encuentro anual de la RIOCC: “Valoración del trabajo de los 10 años de la red, revisión del programa de trabajo y de las prioridades en materia de adaptación, reducción del riesgo de desastres y mitigación” Santiago, 1-3 October 2013	70	70
(C) Reunión de expertos sobre gestión integral del riesgo climático y seguros en el sector agropecuario de Centroamérica y República Dominicana. Panama City 29-30 August 2013	80	70
(D) Segundo seminario internacional: Cambio climático, finanzas públicas y política social universal Mexico City, 28-30 January 2013	50	60
(E) Desafíos de la política fiscal, social y ambiental en el contexto del desarrollo sostenible y discusión de resultados de estudios sobre impactos socioeconómicos del cambio climático Santiago, 19-21 November 2012	50	50
(F) I Foro técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 16-17 August 2012	80	50
(G) II Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 13-15 August 2012	80	70
(H) I Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica Tegucigalpa, 15-17 May 2012	80	40

**Source:** Prepared by the evaluator on the basis of the 2014 online survey of beneficiaries.

42. The technical meetings and corresponding reports on agricultural insurance schemes (for example, the meeting of experts (C) of table 3) generated much interest in Central America, both at the technical and political levels in the ministries (particularly among the ministers of agriculture). As a result of the knowledge acquired, institutions were better prepared to design and formulate common insurance schemes and evaluate existing insurance schemes, but political turnover at the ministerial level in Central America also potentially jeopardized the chances of a region-wide agreement on a common insurance scheme.

43. The project examined the topic of social protection systems in relation to disaster risk appraisal and potential effects on fiscal policy (for example, at seminar (D) of table 3), but the topic failed to attract much interest from the beneficiaries. The regional dialogue on the mainstreaming and institutionalization of climate change in ministries of economy, finance and planning (see (A) of table 3) significantly strengthened the capacities of civil servants with immediate effect by linking ministries to discuss a multisectoral approach to climate change risk.

44. Despite the potential benefit of universal social protection for vulnerable groups, in particular women, children and older persons, there was no evidence that the project applied any specific methodological approach to gender or human rights concerns.

45. The ultimate aim of the meetings listed in table 3 was to shift the focus of the dialogue on extreme events risk scenario analysis from a purely technical viewpoint at the ministerial level to a public policy angle at the government level with a view to integrating such analysis into policies and strategies.

## **B. Databases and the handbook for disaster assessment**

### **Finding 8: The databases contain useful data, but they require fine-tuning and an improvement in processing capability to make them more accessible to end users.**

46. The project contributed to the updating and upgrading of three databases: (1) weather database, (2) disaster impact estimation database, (3) database on the effects of climate change on the coasts of Latin America and the Caribbean. The first two of these databases have not yet been launched publicly because they still require fine-tuning (data processing and analysis). Although it is too early to assess their impact on the beneficiaries, the presentations of these databases during seminars generated interest from participants.

47. The database on disaster impact estimation and the Handbook for Disaster Assessment are to be made available to the public simultaneously. At the time of writing, the handbook was in the final stages of editing.

48. Some survey respondents from Honduras and Chile expressed an interest in directly using the database on the effects of climate change on the coasts of Latin America and the Caribbean, but others had no knowledge at all of the databases, evidencing possible communication problems.

Table 4  
Usefulness of the databases according to the beneficiaries

Database	Satisfaction rate (percentage of beneficiaries who fully agreed or somewhat agreed with the statement)	
	Database contributed to increasing the technical capacity of the institution or its staff	Database useful in day-to-day activities
Effects of climate change on the coasts of Latin America and the Caribbean	60	40
Disaster impact estimation database	50	50

Source: Prepared by the evaluator on the basis of the 2014 online survey of beneficiaries.

**Finding 9: The ECLAC tools on disaster impact assessment contained very useful information, according to the beneficiaries. Nevertheless, national institutions required additional support to tailor the methodologies to their national contexts.**

49. The new version of the Handbook for Disaster Assessment was finalized with support from the project in the form of financing for chapters on transport, environment, and water and sanitation, as well as financing for a consultant to review the Handbook and standardize its style. It will be piloted in 2014. The interviewed beneficiaries had all heard of the 2006 version of the handbook, which had been used by several institutions, and were eagerly awaiting the launch of the new edition. They urged ECLAC to adapt its dissemination efforts to each country's specific conditions.

50. ECLAC presented its disaster impact methodology at a wide variety of seminars and meetings (including meetings of the South American Infrastructure and Planning Council, the Union of South American Nations and the regional meeting of the United Nations Office for Disaster Risk Reduction) and responded to requests for assistance to train civil servants (for example, local government in Mexico), and has thus been contributing to creating awareness among governments of the need to integrate extreme events risk analysis into policies and strategies.

51. Overall, the beneficiaries expressed an interest in these tools, but also requested that adaptations be made so that they could more easily use the data in their day-to-day work. This might require additional fine-tuning of the databases to make them more user-friendly and to adapt the complexity levels of the data.

### C. Publications

52. The project financed several studies and reports on risk assessment, reduction and management in relation to climate insurance, public policies and regulations, urban land use and land development. Most were linked to seminars and courses and their usefulness was reviewed in that connection; they were not assessed independently.

53. Some of the publications were not directly related to the specific objective of the project but contributed by providing the project's beneficiaries with data and information on climate change, extreme weather events and risks. Examples include the document on the possible scenarios for post-2015 climate change negotiations under the United Nations Framework Convention on Climate Change (UNFCCC), the working document for the forum on sustainable transport in Latin America, and the reports on

consumption patterns per income quintile in Argentina, Chile, Ecuador, El Salvador, Guatemala, Mexico and Peru. The report on Mexico fed into the debate on policymaking in relation to social inclusion and extreme event risks.

**Finding 10: The knowledge imparted on extreme events risk assessment was not incorporated into public policy in the participating countries during the short time frame of the project as the process of institutionalizing such knowledge requires more time, however, there are many indications that it is under way (including intersectoral focus groups, international sectoral meetings, review of policies and regulations).**

54. The seminars that were held emphasized the clear lack of linkages at the policy level between climate change, extreme events risk management and social inclusion, evidencing the need to mainstream social inclusion into climate change policies, addressing in particular the specific needs of women and children, nutritional and food security and extreme poverty, among other priority areas) and to integrate climate change into other government policies.

55. The indicators of achievement defined in the project document referred to the introduction of new or revised government policies following the implementation of the project; however, there is no evidence that the project's results led directly to the adoption of new or revised policies, probably because of the project's short time frame. Nevertheless, all of the beneficiaries who were interviewed said that the project contributed significantly to linking government ministries for the purposes of sharing knowledge, which is the first step towards formulating policies and strategies. The seminars on the mainstreaming and institutionalization of climate change between institutions resulted in the establishment of new communication channels and working groups comprising members from different government institutions, which is evidence that knowledge on the topic had been acquired, but not yet institutionalized. The online survey confirms this finding: advice was provided to a Honduran-Caribbean marine coastal subcommittee; common initiatives were carried out by the National Commission for Risk Prevention and Emergency Response and the Ministry of Finance in Costa Rica; a dialogue was established between the National Environment Authority and the Ministry of Finance and Economy in Panama to discuss the formulation of a common sustainable fiscal, environmental and social policy and a proposal was put forward for the formulation of a national climate change policy to be integrated into the National Development Strategy.

**Finding 11: The sessions on extreme events insurance schemes for agriculture attracted a lot of interest from ministerial officials at all levels (from technical staff up to ministers), but further assistance is required in order to establish how best to introduce such schemes in each country.**

56. The activities relating to the climate insurance schemes were considered highly relevant by the beneficiaries, as were the publications (for example, the study on the formulation of climate insurance schemes in the agricultural sector), and resulted in requests for support for further analysis and discussion. Ministries of finance, in particular, were interested as a means to insure infrastructure. How such schemes would be operationalized in Central America remained, however, unclear and additional studies were required to determine details such as who would finance such schemes and how, and whether they would be national or regional in scope (see recommendations).

57. In the case of Central America, the biannual meetings of the Council of Ministers of the Central American Agricultural Council (CAC) have been an effective forum for: (i) ECLAC to shine the spotlight on extreme events risk management and assessment capabilities within agriculture ministries through the delivery of seminars and technical courses; and (ii) governments to review topics and issues raised by

their own technical staff, which can lead to requests for assistance from ECLAC and other agencies to tailor additional training sessions, conduct studies or hold meetings. The project's awareness-raising activities also helped to raise the profile of the CAC Technical Group on Climate Change and Comprehensive Risk Management, which advises the ministers of agriculture of Central America on topics including extreme events risk management and establishing intersectoral linkages through capacity-building. The technical group is currently (i) finalizing with AGROASEMEX<sup>4</sup> a report on a package of recommendations on agricultural insurance schemes for extreme events risks in the region; (ii) promoting meetings of experts in Costa Rica on risk monetization for insurance providers; and (iii) assessing the risks associated with climate change for the basic grain and coffee sectors.

#### 4.4 Sustainability

**Finding 12: The project increased the Commission's capacity to analyse the costs of extreme events region-wide using its databases, however, these are not yet available to the beneficiary countries. As for the beneficiaries, the project increased their knowledge, but that has not yet translated into the institutionalization of processes and methods or the establishment of new rules and regulations.**

58. The interviews with the beneficiaries and implementing partners showed that the project contributed significantly to enhancing institutions' risk management and assessment capacities in connection with climate change and extreme events. They also highlighted persistent shortcomings, in particular with regard to the institutionalization of the topic (moving from passive knowledge acquisition towards effective integration of risk assessment into the institutions). Technical assistance could help to achieve that and ECLAC could play a major role in that regard.

59. The project increased the analytical capacity of ECLAC through improved databases on climate change and the cost of disasters. The impact of the databases as key resources for governments is somewhat limited as few institutions take advantage of the data available, which is possibly evidence of the fact that ECLAC still needs to match the data and database processing capacity with governments' information needs.

60. The following results were achieved in terms of the project's impact on governments:

- (i) Enhanced climate risk management and assessment within institutions through improved methodologies and the design of new tools (for example, to appraise public investment in climate risk analysis, climate risk indicators, econometric techniques and modelling).
- (ii) Dialogue between institutions through the establishment of working groups (for example, a sectoral, inter-institutional network on climate events, intersectoral seminars in Costa Rica and international exchange of information in Central America).
- (iii) Strengthened linkages between the institutions and ECLAC (for example, additional requests for support received to enhance the capacity of civil servants and to further foster linkages between institutions and governments).
- (iv) Design, formulation and revision of standards, public policies and strategies on climate risk assessment (for example, design of national adaptation strategies, draft national policies on climate change and legislation on water access in agriculture).

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<sup>4</sup> AGROASEMEX is a Mexican national insurance organization charged with providing protection for the agricultural sector. See [online] <http://www.agroasemex.gob.mx>.

**Finding 13: The project duration was too short to see examples of replication of successful practices; ECLAC should pursue awareness-raising and capacity-building exercises on a more long-term basis.**

61. There was no evidence of formal replication or scaling-up of successful practices at the time of the evaluation. Interviews confirmed that the duration of the project was too short and that most of the institutions involved were at the stage of carrying out internal assessments of their capabilities and enhancing capacities and did not yet have any success stories to report. In the case of the climate insurance schemes in Central America promoted by the project, the institutions were aware of such schemes, but because of the complexity and costs involved, establishing them among different nations required agreement at the political level. The topic generated much interest and more studies were requested to produce a comprehensive update on existing practices and knowledge so as to support Central American countries and the Dominican Republic.

**Finding 14: The new tools and methodologies on extreme event risk assessment are currently being tested by the beneficiary ministries. There are many example of institutions reviewing policies and designing new regulations, but none have yet been formally endorsed.**

62. The responses to the online surveys showed a marked difference between the beneficiaries, who were optimistic and cited numerous examples of positive effects, and the implementing partners, who were more cautious (see table 5). This was possibly because the achievements of individual institutions were not necessarily shared systematically with ECLAC.

Table 5  
Usefulness of the seminars and courses according to the implementing partners

Question on the impact and sustainability of the project	Percentage of partners who fully or somewhat agreed
Policies, standards or regulations were formulated that benefited from the project	20
New specific partnerships and/or examples of cooperation were facilitated by the activities carried out under the project	30
Replication or follow-up activities were conducted that benefited from the project	50
Institutions are backed by a political commitment and financial capacity to continue making progress in the analysis and formulation of risk adaptation and mitigation measures	20

**Source:** Prepared by the evaluator on the basis of the 2014 online survey of the implementing partners.

63. Overall, the project made significant progress towards the inclusion of climate change risk analysis by ministries (mainly economy, finance and planning) and central banks in Central America. In particular, a number of ministries of finance are reviewing the possibility of including the consideration of extreme event risks in fiscal policy. In Costa Rica, this issue is being considered in conjunction with the green economy and 2020 carbon neutral initiatives.



## 5. LESSONS LEARNED

**Lesson 1: Enough time should be devoted to the project formulation stage to ensure that the planned outreach is consistent with the budget and that knowledge gaps are understood in sufficient detail.**

64. Although the beneficiaries were relatively well identified in the project document, the knowledge gaps were not. This was mentioned repeatedly by the interviewed beneficiaries who said that the project would have achieved its objective more effectively, if the topic had been discussed in greater detail prior to implementation. It was also necessary to stay focused and channel resources towards the main issues and the beneficiaries with the greatest needs (avoid dilution).

**Lesson 2: The project raised the awareness of both technical and political stakeholders on extreme events risk assessment and mainstreaming and created more demand for further knowledge than the project was able to meet.**

65. The seminars and publications increased the technical knowledge of civil servants and also indirectly raised the awareness of actors in the politic arena. Flows of information were established between the two groups, with policymakers asking for more information from technical staff in order to improve public policies, and technical staff requesting additional resources in order to apply their new knowledge to make technical proposals with a view to mainstreaming risk management into public policies. Both groups sought to extend and deepen their knowledge in this area.

**Lesson 3: The ultimate goal of mainstreaming extreme events risk management into public policies went beyond the scope of the project, but the project did contribute to building the knowledge required for such policies. Multilateral institutions must now continue to provide support to governments in order to ensure that policymakers receive the information required.**

66. Overall, the project successfully generated awareness among institutions through its capacity-building activities, but owing to its short duration, it was not able to see through to completion the nascent processes of integrating disaster risks assessment into national policies and strategies. The capacity-building conducted was beneficial, but the further integration of that knowledge depends on the political context in each country. Changes in government can result in the discontinuity of public policy reforms (including fiscal policies and agricultural insurance schemes). Since the priorities defined by political actors can vary widely, extreme events assessments must be mainstreamed at the institutional level and between institutions (intersectoral). Several activities (databases, handbook) were not completed by the end of the project, despite the expectations they had generated among the beneficiary institutions. Additional interventions will therefore be needed to build on the achievements of the project and propagate its results.

## 6. CONCLUSIONS

67. The project should be considered as an intermediate step between governments recognizing the need to integrate disaster risk assessment into their policies and the actual integration of risk management into policies and strategies.

68. The knowledge transfer that took place under the project generated much enthusiasm in the beneficiary institutions, however, the project's time frame was too short to see through to completion the ultimate goal of integrating disaster risk assessment into public policies.

69. The project was effective on two levels. First, ECLAC was able to increase the capacity of government institutions to mainstream climate change and extreme events risks assessment in a relatively smooth process through a minor project (in financial terms). ECLAC acted as a facilitator and provided relevant technical support. Line ministries are on their way to transforming data into information that can be used by policymakers. Second, ECLAC acted as a facilitator to promote political dialogue within and between countries, pushing for consensus. Nevertheless, achieving major changes in public policy requires the mobilization of considerable financial resources (for example, agricultural insurance schemes, inclusive social protection) in order to have a nationwide impact. ECLAC can continue to provide information and support to line ministries, but progress on risk management ultimately depends on political will.

## 7. RECOMMENDATIONS

### A. Consolidating the project's achievements

**Recommendation 1: ECLAC should continue to provide ad hoc technical assistance on extreme events risk assessment in response to requests from line ministries and support the institutionalization of processes, tools and regulations.**

70. The project opened up new perspectives of analysis for civil servants with regard to mainstreaming a climate change perspective into fiscal policy reform; however, the seminars were too short and knowledge gains must be consolidated for optimal use by institutions (see also recommendation 4).

71. The relevance of regional or national insurance risk schemes in Central America should be assessed and decision makers provided with recommendations on how best to cost such schemes in each country's particular context. This calls for an enhanced capacity to analyse climate data at the regional level.

**Recommendation 2: ECLAC should follow up on the databases and impact assessment methodologies established under the project, perhaps through the introduction of a long-term monitoring mechanism.**

72. The Commission could draft an agenda to identify the next steps to be taken. Additional resources are needed to finalize the databases, to make them public and establish mechanisms for automatic updating; the Handbook for Disaster Assessment must be disseminated, possibly first during a pilot phase and then either in its existing format to a wider audience or tailored (by ECLAC or by beneficiary institutions with ECLAC support) somewhat to the specific needs of member States.

73. As mentioned above, measuring the impact of such a small-scale intervention on policymaking at the national or regional level within the project time frame is not realistically possible. Measuring the changes that occur over the long term will require ECLAC to develop innovative measurement techniques, which could be included under the Commission's biennial programme of work.

74. With regard to the insurance schemes, support should be given to identify sources of funding so as to integrate schemes within the ministries of finance and raise awareness on the need for institutionalization.

**Recommendation 3: ECLAC should encourage the establishment of South-South linkages between line ministries on extreme events and climate change adaptation.**

75. Online forums should be set up on several topics relating to the project (including cost-benefit analysis, insurance schemes and inclusive social protection) that have not yet been mainstreamed by line ministries and that still require discussion at the political level. These forums could be overseen by ad hoc technical groups (under CAC, for example, in Central America).

**Recommendation 4: ECLAC should ensure the delivery of more formal courses on econometric modelling and fiscal policy as tools for incorporating climate change and extreme events risk assessments into public policy.**

76. According to the beneficiaries, certain subjects cannot get the in-depth treatment they require during a short seminar. In such cases, specific learning programmes on risk assessment could be organized, either as classroom-based courses or distance-learning schemes.

## **B. Future interventions:**

**Recommendation 5: ECLAC must improve the formulation stage of its projects by conducting exhaustive discussions with the main stakeholders and planning for delays in the disbursement of funds in the initial stages of implementation.**

77. Development Account projects are initially proposed in the form of a concept note, which, if accepted, is developed into a full-scale project proposal. The relevance and potential effectiveness of new interventions must be substantiated and confirmed through a process of consultations with beneficiaries. Both the concept note and the project document should be discussed with the key stakeholders and potential beneficiaries to ensure that the intervention responds to needs identified by ECLAC and recognized by the beneficiaries themselves. In the case of Central America, regional technical groups are an ideal platform for formulating interventions.

78. The absence of funding at the start of an intervention is almost a systemic issue in the United Nations and should be taken into account by the implementing agency, which should make provisions to secure funds from other mechanisms (including working capital and temporary access to other sources of funding or interventions).

**Recommendation 6: At the formulation stage, the Department of Economic and Social Affairs should strengthen its capacity to analyse the feasibility of potential interventions.**

79. Once the concept note has been approved, the Department of Economic and Social Affairs focuses relatively little attention on the content of projects, as long as a budget is set and the guidelines are fulfilled to some extent. From the perspective of the implementing agency, the project formulation stage is an administrative step that culminates in the presentation of the project proposal. There is no independent body to assess the feasibility of the intervention. The Department of Economic and Social Affairs should reinforce its capacity to review potential interventions not only at the concept note stage, but also at the project formulation stage to ensure that the implementing agency has examined the issues thoroughly and that the expected accomplishments and corresponding means of achieving them will realistically have a meaningful impact. This could be achieved through more precise guidelines, but a preferable option would be the introduction of a new or improved mechanism for consultation and dialogue with implementing agencies.

**Recommendation 7: Both ECLAC and the Department of Economic and Social Affairs should assess periodically the level of implementation of interventions and have mechanisms in place that alert them to implementation rates that fall below certain thresholds.**

80. Although many projects start off with a slow rate of implementation that speeds up once the management structure is firmly established, the 12-month delay in fund disbursement in this case should have resulted automatically in a corresponding extension of the project's duration. However, this was not the case, and by the end of the project not all of the project's funds had been spent. For future interventions, low disbursement rates should be discussed with the donor (once the implementing agency has identified the possible causes and the potential impact on the results) with a view to seeking ways to improve the implementation of the project, including changes to objectives, amendments to expected accomplishments, reduction of scope and an extension of the project duration.

**Recommendation 8: ECLAC should strengthen its capacity to monitor small-scale projects and ensure that effective follow-up and communication strategies are put in place.**

81. Despite being specifically mentioned in the project document, there is little evidence that ECLAC monitored the effectiveness of the results (although this might have been done informally). This was foreseeable as the project document did not orient the implementing team as to how this should be done and the ECLAC team thus focused on the execution of the activities (number of meetings, number of participants and responding to regional needs in connection with the topic). Little time was devoted to reflecting on the impact of the intervention and how to measure that impact and share success stories.

**Recommendation 9: Future projects in Central America should integrate activities relating to green economy initiatives and agricultural insurance schemes.**

82. The green economy (encompassing elements such as renewable energy sources, natural capital and low-carbon power) and agricultural insurance schemes for extreme events attracted considerable attention from both policymakers and line ministries. These topics should be studied with a view to providing decision makers with information.

**Recommendation 10: New interventions should be designed as sequels to this project so as to consolidate the results and provide additional support to beneficiary institutions for the meaningful application of the knowledge acquired.**

83. With a view to mainstreaming extreme events risk assessment, future support should (i) pursue awareness-raising (for example, on social inclusion, the green economy and the recognition of intersectoral risks); (ii) establish the current situation (degree of integration, extent of adoption of new concepts, degree of involvement of the institutions) and be prepared to respond to ad hoc requests from the main stakeholders (for example, support in building relationships between institutions, technical assistance on public policy revisions and on technical subjects), reflecting the specific environment and conditions in each country.

**Recommendation 11: ECLAC should improve the monitoring and evaluation elements of its capacity-building interventions with a view to responding more swiftly to beneficiary institutions' requests.**

84. ECLAC can improve the impact and sustainability of future interventions by reviewing its monitoring approach in relation to capacity-building. It should design more formal mechanisms for following up on progress so that project planners can apply resources during the implementation to consolidate achievements. New interventions should systematically integrate activities that support earlier results with a view to improving the sustainability of achievements.

## Annex 1

**TERMS OF REFERENCE****ECONOMIC COMMISSION FOR LATIN AMERICA AND THE CARIBBEAN (ECLAC)****Evaluation of the Development Account Project (0809AO)****Strengthening the capacity of government officials to adapt to possible scenarios of disasters associated with extreme events: analysis for adaptation and disaster risk reduction policies****TERMS OF REFERENCE****I. BACKGROUND AND OVERVIEW***The Development Account*

The Development Account (DA) is a programme of the United Nations Secretariat aimed at enhancing capacities of developing countries in the priority areas of the United Nations Development Agenda.<sup>5</sup> Since its establishment in 1997, 256 projects have been funded from the Account, with a total envelope of \$156.9 million. The present project being evaluated, entitled “*Strengthening the capacity of government officials to adapt to possible scenarios of disasters associated with extreme events: analysis for adaptation and disaster risk reduction policies*” was approved under the 7<sup>th</sup> tranche of the Development Account for the 2010-2011 biennium, and was implemented by the Sustainable Development and Human Settlements Division of the Economic Commission for Latin America and the Caribbean (ECLAC).

These Terms of Reference (TORs) describe the final evaluation<sup>6</sup> to be conducted of this Development Account project.

*Project Objective<sup>7</sup>*

The key objective of the project was to strengthen the capacities of Latin American and Caribbean countries to identify long term risks of extreme weather events under climate change scenarios (ex-ante perspective) in the region and to analyze and formulate adaptation and risk mitigation measures from an economic point of view to ensure adequate choices according to government’s development priorities.

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<sup>5</sup> Development Account projects are implemented in the following thematic areas: advancement of women; population/countries in special needs; drug and crime prevention; environment and natural resources; governance and institution building; macroeconomic analysis, finance and external debt; science and technology for development; social development and social integration; statistics; sustainable development and human settlement and trade. See also UN Development Account website: <http://www.un.org/esa/devaccount/projects/active/theme.html>.

<sup>6</sup> While referred to as “evaluation” for the purposes of the project, this report should be considered more as an “assessment” within ECLAC, due to the less extensive data collection and analysis involved.

<sup>7</sup> All information related to this project has been extracted from the official Project Document, dated February 2011.

### *Implementation Arrangements*

The project was implemented by the Sustainable Development and Human Settlements Division of ECLAC, which was responsible for the overall technical coordination and execution of the project's main activities in close coordination with ECLAC's sub regional office for Central America in Mexico City and the sub regional office for the Caribbean in Port of Spain.

### *Stakeholders*

This project sought to respond to the growing demand by relevant *stakeholders* at the national, regional, and global levels for strengthening statistical capacity in Latin America and the Caribbean to compile economic and social indicators that provide an adequate basis for policy and decision making processes. In particular it aimed to promote coordination and collaboration among the areas responsible of infrastructure planning and development, usually the ministries of public works at national and local level, land use regulation in general in Environment Ministries and Local Land Use Planning Offices, financial institutions at national level, especially those involved in the Insurance business, and budgeting offices in the various levels of government, normally the ministries of finance.

Other stakeholders were the direct response and risk prevention offices that usually use a short term and ex-post facto approach. It was assumed that these stakeholders would benefit from a long term perspective of risk and from the cost-benefit analysis of policies and measures to abate risk. Other ECLAC initiatives have established stable focal points in a number of countries or taken advantage of existing networks, such as the RIOCC, that include government officials of the ministries of environment and finance. This project sought to work with these networks.

### *Communication*

The ECLAC project team at ECLAC used the website of ECLAC's Sustainable Development and Human Settlements Division to ensure visibility of the project, as well as IT tools to provide beneficiaries with appropriate support.

### *Timeframe*

Implementation of the project began in April 2011 and ended in December 2013. The overall duration of the project was therefore 2 years and 9 months, with progress reports prepared on a yearly basis.

### *Expected Accomplishments, Indicators of Achievement, and Planned Activities*

As part of its results framework, the project contained a set of expected accomplishments, their corresponding indicators of achievement, as well as specific activities aimed at achieving these accomplishments. These are listed below as follows:

#### **Expected accomplishments**

- I. Enhanced understanding by government authorities at the national and local levels on the long term perspective of risk, and of the cost-benefit analysis of policies and measures to abate risk, including financial mechanisms —at the macro and micro level— for ex-ante disaster risk reduction.

- II. Enhanced capacity of government authorities at national and local levels to formulate policy proposals and design measures for the adaptation to long term, changing hazards, and disasters risk reduction.

### **Indicators of achievement**

#### *Expected Accomplishment I*

- (a) Increased number of government entities, such as Treasury Ministries and Risk Disaster Management Agencies, local authorities and local communities that acknowledge having increased their awareness and understanding of the long term risk of extreme weather events and vulnerability, and of the cost-benefit of ex-ante climate change adaptation and risk mitigation policies and measures as a result of project activities. During the seminars and national presentations, participants would be surveyed about these matters.  
Baseline: 0  
Target: 12 government entities.

#### *Expected Accomplishment II*

- (b) Increased number of government entities at the national and local levels in particular communities that use and consider the methodologies and policies proposed by the project, as part of their policy formulation and planning for disaster risk reduction. During the seminars and national presentations, participants would be surveyed about these matters.  
Baseline: 0  
Target: 6 government entities at the national and local levels
- (c) Percentage of government local authorities participating to the project's workshops and seminar that acknowledge having improved their capacity to formulate policy proposals and design measures for the adaptation to long term, changing hazards, and disasters risk reduction and better risk management strategies.  
Baseline: 75%  
Target: 80%

### **Main Activities**

- (a) Develop and disseminate an integrated data base (data and report) on the economic, social and environmental costs of extreme events in the past. The report would include a survey of the literature to assess the costs of disasters and of values at risk. This activity would build on the existing data of ECLAC on assessed disasters as well as other databases on the impact if these events and establish patterns of impacts by disaster types related to climate change and their normalized costs.

Preparatory phase: Selection of countries. The project focused its activities on a subset of countries within LAC (3-4). Participating countries would be chosen on the basis of expression of interest and level of vulnerability.

- (b) Develop a report with probable scenarios of climate change, the probabilistic areas under risk, estimate the extreme weather events, the expected disaster types, their potential cost in different time horizons, and stylized models of disasters' impacts.



- (c) Organization of an Expert Group meeting (EGM) to revise and debate on the extreme events potential costs and implications in the medium and long term
- (d) Prepare one policy proposal document in each selected country both in terms of DRR and possible financial mechanisms and instruments based on cost-benefit analysis to fill the institutional identified gaps in the most risk prone areas.
- (e) Organize three regional dissemination workshops with national and local authorities.

## **II. PURPOSE AND OBJECTIVES OF THE EVALUATION**

### *Context*

This evaluation is in accordance with the General Assembly resolutions 54/236 of December 1999 and 54/474 of April 2000, which endorsed the Regulations and Rules Governing Programme Planning, Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME).<sup>8</sup> In this context, the General Assembly requested that programmes be evaluated on a regular, periodic basis, covering all areas of work under their purview. As part of the general strengthening of the evaluation function to support and inform the decision-making cycle in the United Nations Secretariat in general and ECLAC in particular and within the normative recommendations made by different oversight bodies<sup>9</sup> endorsed by the General Assembly,<sup>10</sup> ECLAC's Executive Secretary is implementing an evaluation strategy that includes periodic evaluations of different areas of ECLAC's work. This is therefore a discretionary internal evaluation managed by the Programme Planning and Evaluation Unit (PPEU) of ECLAC's Programme Planning and Operations division (PPOD).

### *Objectives*

As the final evaluation of the present project, this exercise is summative in nature. Specifically, it seeks to:

1. Analyze the design of the project as well as the relevance of its stated goals to the thematic area and region within which it operated.
2. Assess the project's level of efficiency in implementing its activities, including its governance and management structures and use of resources.
3. Take stock of the results obtained by the project and evaluate the extent to which it achieved its objectives. To the extent possible, assess initial impact attributable to the project.

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<sup>8</sup> ST/SGB/2000/8 Articles II, IV and VII.

<sup>9</sup> OIOS report entitled "Assessment of Evaluation Capacities and Needs in the United Nations Secretariat" (IED-2006-006, 24 August 2007); The Joint Inspection Unit report entitled "Oversight Lacunae in the United Nations System" (JIU/REP/2006/2).

<sup>10</sup> Including GA resolutions 54/236 and 54/474 endorsing the PPBME rules and regulations (ST/SGB/2000/8).

### III. SCOPE OF THE EVALUATION

The evaluation's *unit of analysis* is the project itself—including both the design and implementation of planned activities as well the results and impacts achieved.

The *timeframe* to be studied corresponds to the period beginning with the project's initial design through the completion of its final activities, amounting to two years and nine months in total.

The *target audience and principal users* of the evaluation include all project implementing partners and beneficiaries, as well as other Regional Commissions and agencies of the UN system and government counterparts active in the Latin America and Caribbean region and on the topic of measurement of women's unpaid work in support of poverty reduction.

### IV. GUIDING PRINCIPLES

#### *ECLAC guiding principles*

The evaluator will apply ECLAC's guiding principles to the evaluation process.<sup>11</sup> In particular, special consideration will be taken to assess the extent to which ECLAC's activities and products respected and promoted human rights. This includes a consideration of whether ECLAC interventions treated beneficiaries as equals, safeguarded and promoted the rights of minorities, and helped to empower civil society. Moreover, the evaluation process itself, including the design, data collection, and dissemination of the evaluation report, will be carried out in alignment with these principles.

The evaluation will also examine the extent to which *gender concerns* were incorporated into the project—whether project design and implementation incorporated the needs and priorities of women, whether women were treated as equal players, and whether it served to promote women's empowerment. When analyzing data, the evaluator will, wherever possible, disaggregate by gender.

#### *Development Account criteria*

Finally, the evaluation will place particular emphasis on measuring the project's adherence to the following key *Development Account criteria*:<sup>12</sup>

- Result in durable, self-sustaining initiatives to develop national capacities, with measurable impact at field level, ideally having multiplier effects;
- Be innovative and take advantage of information and communication technology, knowledge management and networking of expertise at the sub regional, regional and global levels;
- Utilize the technical, human and other resources available in developing countries and effectively draw on the existing knowledge/skills/capacity within the UN Secretariat;
- Create synergies with other development interventions and benefit from partnerships with non-UN stakeholders.

<sup>11</sup> See ECLAC, "Preparing and Conducting Evaluations: ECLAC Guidelines" (2009) for a full description of its guiding principles.

<sup>12</sup> UN GA, "Guidelines for the Preparation of Concept Notes for the 7<sup>th</sup> Tranche of the Development Account (2010-2011)".

## V. EVALUATION ETHICS

The evaluation will be conducted in line with the norms and standards laid out by the United Nations Evaluation Group (UNEG) in its “Norms for Evaluation in the UN System” and “Standards for Evaluation in the UN System”.<sup>13</sup>

Evaluators are also expected to respect UNEG’s ethical principles as per its “Ethical Guidelines for Evaluation”.<sup>14</sup>

- Independence: Evaluators shall ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.
- Impartiality: Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the policy, program, project or organizational unit being evaluated.
- Conflict of Interest: Evaluators are required to disclose in writing any past experience, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise.
- Honesty and Integrity: Evaluators shall show honesty and integrity in their own behavior, negotiating honestly the evaluation costs, tasks, limitations, scope of results likely to be obtained, while accurately presenting their procedures, data and findings and highlighting any limitations or uncertainties of interpretation within the evaluation.
- Competence: Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.
- Accountability: Evaluators are accountable for the completion of the agreed evaluation deliverables within the timeframe and budget agreed, while operating in a cost effective manner.
- Obligations to Participants: Evaluators shall respect and protect the rights and welfare of human subjects and communities, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented.
- Confidentiality: Evaluators shall respect people’s right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.
- Avoidance of Harm: Evaluators shall act to minimize risks and harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.

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<sup>13</sup> *Standards for Evaluation in the UN System, UNEG, April 2005.* ([http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=22](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22)) *Norms for Evaluation in the UN System, UNEG, April 2005.* ([http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=21](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=21)).

<sup>14</sup> *UNEG Ethical Guidelines for Evaluation, UNEG, March 2008* (<http://www.unevaluation.org/ethicalguidelines>).

- **Accuracy, Completeness and Reliability:** Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. Evaluators shall explicitly justify judgments, findings and conclusions and show their underlying rationale, so that stakeholders are in a position to assess them.
- **Transparency:** Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.
- **Omissions and wrongdoing:** Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the proper oversight authority.

## VI. EVALUATION CRITERIA AND QUESTIONS

This evaluation encompasses the different stages of the given project, including its design, process, results, and impact, and is structured around four *main criteria*: relevance, efficiency, effectiveness, and sustainability. Within each of these criteria, a set of *evaluation questions* will be applied to guide the analysis.<sup>15</sup> The responses to these questions are intended to explain “the extent to which,” “why,” and “how” specific outcomes were attained.

### 1. **Relevance:**

- (a) Were the programme’s objectives relevant to the implementing countries’ development needs and priorities?
- (b) Were the project’s objectives aligned with the mandate of ECLAC and that of the Sustainable Development and Human Settlements subprogramme?
- (c) Did the design of the project effectively establish governance and management structures of the project?

### 2. **Efficiency**

- (a) Did the governance and management structures of the project contribute to effective implementation of its operations and coordination of partners?
- (b) Were services provided in a reliable and timely manner?
- (c) Were resources used efficiently and cost-effectively?

### 3. **Effectiveness**

- (a) To what extent did the project achieve the goals and objectives outlined in the project document?
- (b) How satisfied were the project’s main beneficiaries with the quality and timeliness of the services they received (to the extent measurable)?
- (c) What were the results of the project (to the extent measurable)? Have they contributed to increasing access to information, technical skills, and resources of the beneficiaries?

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<sup>15</sup> The questions included here will serve as a basis for the final set of evaluation questions, to be adapted by the evaluator and presented in the inception report.

#### 4. Sustainability

- (a) Are project results expected to have a lasting impact on beneficiaries' access to knowledge and technical capacity in the medium- to long term?
- (b) Has the project contributed to the development of concrete policies aimed at strengthening the capacities of participating countries to identify long term risks of extreme weather events and to develop adaptation and risk mitigation measures?
- (c) Does the project demonstrate potential for replication and scale-up of successful practices?

### VII. DATA COLLECTION METHODS

- *Desk review and stakeholder mapping*

All relevant project information will be reviewed as part of the data collection process, including DA project criteria, the project document, annual progress reports, the final project report, consultancy TORs, workshop and meeting reports and surveys, key knowledge products and communication materials. Furthermore, a stakeholder mapping will be developed to chart the main actors in project implementation, including managers, implementing partners within and outside the UN system, as well as programme beneficiaries.

- *Electronic surveys*

The ECLAC-PPOD Evaluation Team and the external evaluator may consider developing a self-administered electronic survey directed at two different types of stakeholders: a) project managers within the Commission and partners within the UN System and participating countries, and b) project beneficiaries.

- *Stakeholder interviews*

A limited number of interviews may be carried out via tele- or videoconference with project partners. Information from these interviews will be validated and triangulated against the desk review and electronic survey.

### VIII. EVALUATION PROCESS

#### 1. Inception and data collection

The evaluator will begin the evaluation process by undertaking a *desk review* of all relevant project documentation as well as a *stakeholder mapping* of key actors.

In addition to the desk review, the evaluator, with the assistance of the ECLAC Evaluation Team, may conduct an *electronic survey*, which will be distributed among key project stakeholders, including ECLAC project managers, implementing partners, and beneficiaries. The evaluator will adapt the survey questions to these different groups, according to their overall function within the project. ECLAC-PPOD will be responsible for the dissemination, follow-up, and analysis of the survey. The evaluator will be expected to incorporate survey results in the overall analysis of evaluation findings.

Moreover, as mentioned above, the evaluator may conduct a limited number of semi-structured interviews with project partners via tele- or videoconference, as deemed necessary.

## 2. Analysis and report drafting

After completion of the data collection process, the evaluator will conduct an *analysis* of the various sources of data collected, including project documents, survey results, and interview findings. This analysis will serve as the basis for the evaluation findings and recommendations.

The analysis will be followed by the preparation of the *draft evaluation report*, which will be reviewed by the evaluation task manager (ECLAC-PPOD) for comments. These comments will be addressed by the evaluator in the *revision process*, and will be responded to formally by the evaluator in a *revision matrix*, indicating what adjustments were made according to each comment and why. Once the revision is complete, the evaluator will submit the *final evaluation report*.

Upon finalization of the evaluation report it is sent for *editing* within ECLAC's Publications Division and is *disseminated* via ECLAC's intranet system and its public webpage. The evaluation report is also shared with DESA's Capacity Development Office, the management unit of the Development Account, so as to contribute to the accountability and learning process of the evaluation.

## IX. KEY PRODUCTS

### 1. Data collection tools

Depending on the methodology to be applied in the evaluation, the evaluator will develop appropriate data collection tools, including survey questionnaires and interview guides.

### 2. Evaluation report

The final report presents the outcomes of the overall evaluation process. It describes the main activities and results of the project, the findings of the data collection process, and the lessons, conclusions and recommendations derived from it, including the project's prospects for sustainability. The evaluation recommendations are key to guiding improvements efforts in management and implementation of future DA projects.

### 3. Revision matrix

The revision matrix contains the evaluator's response to all comments made by both the ERG and the evaluation task manager. It indicates whether a comment was addressed in the revised report, how it was addressed, and a justification for the evaluator's decision.

## X. ROLES AND RESPONSIBILITIES IN THE EVALUATION PROCESS

### 1. Commissioner and task manager of the evaluation:

Programme Planning and Evaluation Unit (PPEU)

- Commissions the evaluation
- Develops the evaluation TORs
- Selects and recruits the evaluator

- Provides overall management of the evaluation and its budget and strategic guidance on the evaluation process
- Provides coordination support for the data collection process, including the dissemination and processing of the electronic survey, coordination of interviews with project partners
- Coordinates communication and information flow between the evaluator and project stakeholders
- Manages the quality assurance process of the evaluation. Reviews and provides feedback on evaluation deliverables
- Takes responsibility for the editing and dissemination of the evaluation report.

## 2. Evaluator

External evaluation consultant

- Undertakes a desk review and designs the evaluation methodology
- Conducts the data collection process, including the design of the electronic survey and semi-structured interviews
- Undertakes data analysis

## XI. TERMS OF THE CONSULTANCY

Implementation arrangements

While ECLAC-PPOD is responsible for the overall organization, coordination, and review of the evaluation, the consultant (also referred to as “evaluator”) agrees to adhere to the terms of the consultancy agreement and carries the responsibility of undertaking evaluation activities and submitting key deliverables the evaluation outlined in this document.

Language

The knowledge products developed within the framework of the project are in Spanish, while the project document and annual monitoring reports are in English. The evaluator should therefore have an advanced understanding of written Spanish, while not being required to speak or write in the language. The evaluator will conduct telephone interviews and draft all evaluation deliverables at a professional level of English.

Coordination

The evaluation task managers in ECLAC-PPOD will provide guidance to the evaluator throughout the evaluation process, ensuring regular communication and coordination with all project partners to ensure the evaluation remains on track. Any previous reviews or assessments undertaken by units or divisions participating in the project will be taken into account in carrying out the evaluation. To this end, coordination with project partners will be critical to access relevant information.

If any difficulties arise over the course of the process, they should be raised by the evaluator or ECLAC-PPOD in view of seeking an immediate and fair solution for all parties.

### Intellectual property rights

The consultant is obligated to cede editorial rights, patents and other intellectual property rights to ECLAC for all of the products and materials resulting from the evaluation consultancy, in the cases where these rights are applicable. The evaluator will not be allowed to use, share or disseminate excerpts or entire products to third parties without previously obtaining written permission from ECLAC.

### Evaluation Timeline

The assignment will be divided into two consultancy contracts: the first for a period of 3 weeks, from December 11<sup>th</sup> to 31<sup>st</sup> 2013, and the second for a period of 2 months, from January 1<sup>st</sup> to February 28<sup>th</sup> 2014. The specific schedule for the submission of each of the evaluation deliverables will be jointly determined by ECLAC-PPOD and the evaluator.



## Annex 2

**INTERVIEWEES**

<b>Date</b>	<b>Country</b>	<b>Name</b>	<b>Institution</b>	<b>E-mail</b>
Friday, 17 January 2014	Chile	Nurit Bodemann-Ostow Alejandro Torres Lépori María Labra	ECLAC, Programme Planning and Operations Division	Nurit.BODEMANN-OSTOW@cepal.org Alejandro.TORRESLEPORI@cepal.org Maria.LABRA@cepal.org
Tuesday, 28 January 2014	Chile	Luis Miguel Galindo José Eduardo Alatorre	ECLAC, Sustainable Development and Human Settlements Division	luismiguel.galindo@cepal.org joseduardo.alatorre@cepal.org
Tuesday, 28 January 2014	Costa Rica	Cynthia Córdoba	Ministry of Environment and Energy	ccordoba@minaet.go.cr
Wednesday, 29 January 2014	Peru	Alberto Aquino	GIZ office in Peru	alberto.aquino@giz.de
Thursday, 30 January 2014	Mexico	Ricardo Mercado	Deputy Director General for Research and Development, AGROASEMEX	rmercado@agroasemex.gob.mx
Thursday, 30 January 2014	El Salvador	Sonia Baires	Ministry of Environment and Natural Resources	sbaires@marn.gob.sv
Thursday, 6 February 2014	Mexico	Julie Lennox José Manuel Iraheta	ECLAC subregional headquarters in Mexico	jglnx@yahoo.com jose.iraheta@cepal.org
Monday, 7 February 2014	Costa Rica	Manuel Jiménez	Executive Secretary, Central American Agricultural Council	majimenezcr@gmail.com

## Annex 3

### ANALYSIS OF THE ONLINE SURVEY OF THE PROJECT'S IMPLEMENTING PARTNERS

The survey sample included staff members from the implementing agency and the implementing partners.

Sample size: 46  
 Number of responses: 12<sup>16</sup>  
 Response rate: 26%

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#### Activities carried out during the project formulation phase

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- Knowledge of the international and, in particular, the regional situation.
  - The final document consists of several chapters that address different topics relating to climate change in the Central America subregion and its impact on different sectors of the economy. In order to obtain the results, a large number of experts in the region were consulted, including specialists in climate models, biodiversity, health, economics, agriculture and water resources. Work was also carried out in conjunction with government institutions responsible for other relevant topics in the region.
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#### Project's complementarities and synergies

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- Mexico was one of the first countries to address risk management and its progress lies in having begun to work on this issue much earlier than other countries.
  - We worked in synergy with other initiatives on issues of risk management and climate change in the region, such as those of the Technical Group on Climate Change and Comprehensive Risk Management and the Executive Secretariat of the Central American Agricultural Council and of the GIZ office in Peru.
  - The work in conjunction with government institutions and their support, willingness and commitment made it possible to address issues of specific relevance to the region and to the particular characteristics of each country. Efforts were thus made to ensure that the results presented were of the greatest possible use to decision makers. The databases that were set up during the project, and the results provided in the final document, now serve to deepen the analysis at the microregional level in the countries of Central America.
  - Mainstreaming climate change in the ministries of economy, finance and planning in Latin America. ECLAC provided support for the organization and funding of a regional dialogue with 10 participating countries.
- 

Opinion on the following	Fully agree
The services and support provided under the project were provided in a timely and reliable manner.	73%
The project was able to progress smoothly owing to the application of efficient workflows.	88%
Resources were allocated to activities and outputs in an efficient and cost effective manner.	73%
The project's activities were carried out with effective coordination between the implementing agencies and their partners in the participating countries.	75%

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<sup>16</sup> This was the overall response rate; the response rate per topic was too low to provide any statistically significant information.

The materials and the methodology used in the activities and outputs of the project met quality expectations.	75%
The project helped to increase the knowledge and understanding of the beneficiaries regarding the long-term risks of extreme events under climate change scenarios for the region.	75%
The project helped increase the technical capacity of beneficiaries in the analysis and formulation of measures for adaptation to and mitigation of risks associated with extreme weather events.	75%
The project helped the countries to make progress on the analysis and formulation of measures for adaptation to and mitigation of risks associated with extreme weather events.	75%
Policies, standards or regulations that have been introduced benefited in some way from the project.	20%
New specific partnerships and/or examples of cooperation were facilitated by the activities carried out under the project.	33%
Replication or follow-up activities were carried out as a result of the project.	50%
As a result of the project, institutions have developed their political commitment and financial capacity to continue making progress in the analysis and formulation of risk adaptation and mitigation measures.	17%

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**What was most critical element for carrying out and ensuring the success of the activities?  
Suggestions for improvement**

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- Knowledge of the international situation.
  - The workflow in Central America was coordinated by Julie Lennox, as climate change focal point. She was responsible for direct communication with donors, consultants and public policymakers. She coordinated the review and preparation of the final document, with the support of the ECLAC team working on the project. Constant communication between those involved and the adaptability of the work plan to the needs of the participating countries allowed for the activities to be carried out efficiently.
  - Financing by ECLAC of some participants. Active participation of ECLAC experts in the regional dialogue.
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**Examples of cooperation during the implementation of the project and suggestions for improvement**

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- Disseminate other schemes operating in the region, for example, those in Mexico and the Caribbean.
  - For example, two technical courses were carried out on public finance, tax reform and risk management in the context of climate change. In addition, a collaborative effort was made to hold a meeting of experts on comprehensive management of climate risks and insurance in the agricultural sector in Central America and Dominican Republic. One of the most important factors is the collaboration between the staff from ECLAC headquarters and from the subregional headquarters in Mexico, thanks to which these events were carried out successfully.
  - Support was provided to conduct training courses, seminars and workshops with experts to discuss the comprehensive management of climate risk and insurance in the agricultural sector and public finances, tax reform and risk management in the context of climate change.
  - Cooperation with public policymakers to develop the chapter on the impact of climate change on water resources. Cooperation on this topic was fundamental as the specific areas of study were decided on together with governments according to their needs; the governments had all the information needed to obtain the results.
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**Examples of acquired knowledge or capacity during the implementation of the project**

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- Risk management for countries.
  - For example, training on: (a) comprehensive management of climate risk and insurance in the agricultural sector; and (b) public finances and risk management in the context of climate change.
  - Support was provided for two technical courses on public finances, tax reform and risk management in the context of climate change, a technical forum on the same topic, and a meeting of experts on comprehensive management of climate risk and insurance in the agricultural sector in Central America and the Dominican Republic, among other meetings.
  - Specific training courses were organized for public officials from the different governments in the application of the different methodologies used in the project. The aim was to build capacity in the region to conduct a more in-depth analysis of results.
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**Examples of cooperation and partnerships initiated under the project**

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- None.
  - Connection between the work of ECLAC, the governments of Central America and the development of new hydroelectric projects in the region.
  - For example, online meetings were scheduled to continue exchanging information on a regular basis.
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**Examples of replication or follow-up that benefited from the project's outputs or activities**

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- Dissemination of international models and experiences.
  - As a result of the technical courses, two studies were carried out: the first on climate risk management and insurance schemes in the agricultural sector and the second on the preparation of an agricultural climate insurance scheme.
  - As a result of the meeting of experts on comprehensive management of climate risk and insurance in the agricultural sector in Central America and the Dominican Republic, it became apparent studies were needed for the Central American countries to expand their knowledge on the progress that has been made in the region in connection with this topic and the possible actions going forward. On that basis such studies were commissioned.
  - Currently all governments in the region have climate models that can be used for the planning of public policies. In Guatemala, the government is following up on the results of the project in relation to the country's public policy, particularly in relation to agriculture, drought, aridity and hydroelectricity.
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**Examples of policies, strategies, standards or regulations that were considered, formulated or implemented thanks to the activities and results of the project**

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- None.
  - The project's results were used constantly during negotiations at the Conference of the Parties to the United Nations Framework Convention on Climate Change, and for budget allocation purposes in various countries.
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**Examples of political commitment or financial support to further analyse and formulate measures on adaptation to and mitigation of extreme weather events**

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- Continue work as Central America requires a significant investment in human capital, and the development of capacities in risk management, especially from the perspective of public finances.
  - The participating countries will be invited to an international event in July 2014 in Lima on public investment and adaptation.
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## Annex 4

**ANALYSIS OF THE ONLINE SURVEY OF THE PROJECT'S BENEFICIARIES**

Beneficiaries surveyed on seminars, courses and databases.

Sample size: 184  
 Number of responses: 61  
 Response rate: 33%

<b>Knowledge of online databases supported by the project</b>	<b>Yes</b>	<b>No</b>
<b>Efectos del cambio climático en la costa de América Latina y el Caribe</b>	38%	62%
<b>Evaluaciones de Desastres en América Latina y el Caribe</b>	39%	61%

<b>Workshops and seminars</b>	<b>Overall relevance</b>	<b>Relevance to beneficiary's work</b>	<b>Quality and suitability of materials</b>
	<b>(Fully agree)</b>	<b>(Fully agree)</b>	<b>(Fully agree)</b>
Diálogo Regional 2013: "Transversalización e institucionalización del cambio climático en Ministerios de Economía, Hacienda y Planeamiento" Lima, 12-13 November 2013	73%	80%	70%
X Encuentro anual de la RIOCC: "Valoración del trabajo de los 10 años de la red, revisión del programa de trabajo y de las prioridades en materia de adaptación, reducción del riesgo de desastres y mitigación" Santiago, 1-3 October 2013	88%	63%	63%
Reunión de expertos sobre gestión integral del riesgo climático y seguros en el sector agropecuario de Centroamérica y República Dominicana Panama City, 29-30 August 2013	73%	64%	82%
Segundo seminario internacional: Cambio climático, finanzas públicas y política social universal Mexico City, 28-30 January 2013	75%	67%	83%
Desafíos de la política fiscal, social y ambiental en el contexto del desarrollo sostenible y discusión de resultados de estudios sobre impactos socioeconómicos del cambio climático Santiago, 19-21 November 2012	62%	45%	65%
I Foro técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 16-17 August 2012	75%	58%	75%
II Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 13-15 August 2012	73%	64%	83%
I Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica Tegucigalpa, 15-17 May 2012	69%	46%	71%

Online databases	Overall relevance	Relevance to beneficiary's work	Quality and suitability of materials
	(Fully agree)	(Fully agree)	(Fully agree)
Efectos del cambio climático en la costa de América Latina y el Caribe	71%	67%	71%
Evaluaciones de Desastres en América Latina y el Caribe	57%	55%	57%

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**Suggestions for future interventions in relation to the subject matter**

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- I think it is very important to define dissemination strategies on climate change targeting the entire rural population of each country and to reduce vulnerabilities.
  - Inclusion of social issues in studies.
  - There is insufficient information about climate risks, their impact on the region's activities and the mechanisms available to abate that impact.
  - Work is needed to set up a regional database to help study and propose measures to address climate change.
  - Continue building knowledge on econometric models.
  - We must be clear on the methodologies that we will use to evaluate the long-term risks taking into account the uncertainty of the situation.
  - It seems appropriate to include, from a budgetary or financial viewpoint, how to measure the impacts of disasters on public budgets, including the resources allocated to mitigation or adaptation activities in the public budget.
  - The issue of eco-efficiency in SMEs and their involvement at the local level in the measures for adaptation to and mitigation of climate change (this was the focus of my doctoral studies).
  - Even though there was broad coverage of how to conduct economic evaluations and the use of econometric tools, the assessment of the impacts of climate change or disaster scenarios was not so clear and needs to be dealt with in greater detail.
  - Impacts on development.
  - Links with environmental issues.
  - Procedures in place for timely measures for disaster prevention and response in each country.
  - In the Plurinational State of Bolivia, in particular, support is needed to conduct studies that focus on urban areas and how to reduce the effects of climate change on land use, infrastructure and energy consumption, using specific models for cities.
  - No, I think that the most important topics were covered.
  - A location analysis at the micro-level.
  - How countries should manage financing in cases of disasters.
  - Recognition and valuation of contingent liabilities.
  - The fiscal implications of climate change.
  - The economic assessment of the impacts of long-term risks of extreme weather events.
  - Specification and use of time-series models for forecasting the effects of climate change.
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- The specific topic of vulnerability.
  - The project did not address the risks of large-scale armed conflict, famine or the mass exodus of people to points of thermal comfort. There was no discussion on the specific implications for humanity of an increase of more than 2 degrees in temperature over the average temperature of the planet.
  - I cannot say as I was not invited to attend. However, I can say that the issue of climate change should be addressed in view of specific cases of hydrometeorological phenomena, including disaster risk management in a context of climate change.
  - The role of ecosystem services in risk management.
  - The Inter-American Development Bank currently offers financing facilities for climate change risks. However, a well-designed support facility in cases of recurrent or extreme weather events is lacking in countries such as Honduras, since the existing mechanism covers only earthquakes. This topic is being addressed by the Central American Integration System (SICA).
  - The establishment of early warning systems for the agricultural sector in the member countries.
  - The impact of risks on fiscal matters. Scope for countries to issue sovereign bonds and obtain financial benefits if they cut greenhouse gases.
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#### **Suggestions for future interventions in relation to materials and methodologies**

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- ECLAC studies and research have a high degree of acceptance worldwide. What is more, the projects carried out are important for the countries.
  - Develop an inventory of human and material resources to facilitate work on risk management. To complement this action, standard methodologies are needed for the processing of information and the study of events.
  - High quality of speakers. Relevant and innovative topics addressed on the basis of research.
  - I liked the fact that those responsible for the issues were experts in the field. Furthermore, the courses, training materials and logistics were excellent.
  - Very good technical courses, which could be repeated.
  - Time set aside for conclusions or practice.
  - n/a
  - -
  - The subject matter is very relevant and the consultation prior to the implementation of the programme only made it more so. The technical team was highly committed to preparing the information in support of the activity.
  - I suggest including a workshop course on the design and drafting of public policy relating to adaptation and mitigation actions.
  - The econometric exercises were very helpful but more time could have been devoted to carrying out an exercise based on the results, focusing on which policies could be chosen at the decision-making level taking into account national characteristics.
  - Excellent facilitator at the event. Very good participatory working methodology using whiteboards and paper. An expert present throughout the event.
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- Direct interaction with speakers and an environment that enables the exchange of experiences and strategic alliances is very good. Grounding public policy in the issue of climate change in connection with public investment projects is fundamental. Although it is a cross-cutting issue, there are cases in which it is key to take action through specific projects in accordance with the reality in each region. It is extremely important to identify those projects, to prioritize them and guide our governments towards implementing them in the short and medium term. We must get better at grounding good ideas in priority projects.
  - Training, in my opinion, is a process and, as such, should involve, for example, the regular participation of the same individuals (for at least 50% of the planned activities), who will thus obtain a much better grasp of the subject matter. But I also understand that this is not down to the organizers, rather each government must take the decision in this case, but as there is a database of attendees, organization efforts should perhaps target the person who attended the event, in addition to the competent authority.
  - The quality of the presentations was very good, as were the organization, the working method and the multidisciplinary approach.
  - In short, the issues addressed were of great value and interest. The support and assistance of the donor agencies and their presentations were excellent. ECLAC could show a little more interest with respect to following up on proposals and requests for support for specific processes by some countries. We are still waiting. Thank you.
  - The methodology and theoretical instruments that were imparted must be applied to concrete examples, not only to the elements of financial risk per se.
  - Allocate more time for meetings and courses.
  - I liked all of the aspects in terms of quality and methodology.
  - I thought it was all interesting.
  - The content addressed was very useful, however, a number of the courses and seminars did not cover all of the promised content.
  - At the activity in which I participated, the participation of experts from the insurance field was notable. Also, significant was the opportunity for the representatives of Central America to participate, with whose contributions it was possible to paint a picture of the situation in the region with regard to insurance.
  - I cannot comment.
  - Link in a more explicit manner policymaking, the generation of standards and the actions taken (management/adaptation/mitigation) in the field.
  - As I was only in Tegucigalpa in 2012, I cannot express an opinion. However, interesting topics were discussed and the best thing is that the databases that have been set up can serve as a support.
  - I understand that a tighter focus should be applied with a view to defining concrete proposals with deadlines.
  - Extend the duration of the workshop.
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<b>Workshops and seminars</b>	<b>Overall understanding of the topic</b>	<b>Increased capacity of analysis and response in relation to the topic</b>	<b>Day-to-day use of acquired knowledge</b>
	<b>(Fully agree)</b>	<b>(Fully agree)</b>	<b>(Fully agree)</b>
Diálogo Regional 2013: “Transversalización e institucionalización del cambio climático en Ministerios de Economía, Hacienda y Planeamiento” Lima, 12-13 November 2013	88%	100%	67%
X Encuentro anual de la RIOCC: “Valoración del trabajo de los 10 años de la red, revisión del programa de trabajo y de las prioridades en materia de adaptación, reducción del riesgo de desastres y mitigación” Santiago, 1-3 October 2013	83%	67%	71%
Reunión de expertos sobre gestión integral del riesgo climático y seguros en el sector agropecuario de Centroamérica y República Dominicana Panama City, 29-30 August 2013	80%	78%	70%
Segundo seminario internacional: Cambio climático, finanzas públicas y política social universal Mexico City, 28-30 January 2013	83%	55%	59%
Desafíos de la política fiscal, social y ambiental en el contexto del desarrollo sostenible y discusión de resultados de estudios sobre impactos socioeconómicos del cambio climático Santiago, 19-21 November 2012	60%	53%	53%
I Foro técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 16-17 August 2012	82%	82%	55%
II Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 13-15 August 2012	83%	83%	67%
I Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica Tegucigalpa, 15-17 May 2012	80%	80%	40%
<b>Online databases</b>	<b>Overall understanding of the topic</b>	<b>Increased capacity of analysis and response in relation to the topic</b>	<b>Day-to-day use of acquired knowledge</b>
	<b>(Fully agree)</b>	<b>(Fully agree)</b>	<b>(Fully agree)</b>
<b>Efectos del cambio climático en la costa de América Latina y el Caribe</b>	65%	61%	43%
<b>Evaluaciones de Desastres en América Latina y el Caribe</b>	62%	52%	52%

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**Examples of the knowledge and capacities acquired during the seminars and workshops**

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- Better define the importance of the protection and conservation of the coastal areas to reduce the extreme effects of climate change.
  - Use of the information to manage resources more effectively in order to address risk management issues associated with natural disasters.
  - One of the most important contributions of the workshop was the highlighting of the impacts of climate change from an economic perspective; furthermore the methodologies used were of interest.
  - Methodological approach to climate impacts. Standardization of information for comparison.
  - The conclusion that in Central America parametric insurance is not yet a possibility and lots of information and time are required to implement such schemes.
  - They helped me to formulate better proposals for mainstreaming climate change as part of the process of drafting a national policy on climate change based on the National Development Strategy.
  - Econometric training related to climate change.
  - Climate change experiences in different countries, future expectations, econometric analysis and projections.
  - We made workshop plans using some data from the database on the effects of climate change on the coasts of Latin America and the Caribbean.
  - Creation of institutional and inter-institutional networks.
  - During the Forum it was very important to learn about the experiences that other countries in the region have had, especially in relation to investment planning for risk reduction. Particularly helpful was how to establish criteria for evaluating investment projects with a focus on risk reduction.
  - First, awareness of the issue (I work in a ministry of finance in budget administration) was the foundation for beginning to talk about the topic at the ministry level and to sensitize other officials.  
As a result, the Budget Act of 2014 included a section allocating resources to the mitigation of and/or adaptation to climate change. This was the first effort of its kind and requires improvement; a number of ministries participated in identifying resources.
  - Innovative experiences for the region in relation to insurance, and results on the effects of climate change on the agricultural sector.
  - In my doctoral studies on sustainable development and globalization, I set out the methodological and theoretical basis for eco-efficiency in SMEs.
  - Knowledge of the use of econometric tools for evaluating energy policies.
  - Advance the process of mainstreaming climate risk in the Ministry of Planning and Cooperation (MIDEPLAN). Promote technical meetings for working together with other ministries. Develop work initiatives linking this subject to environmental issues.
  - The presentation and experience shared by Ecuador regarding green taxes was of great interest and value.
  - Understanding of measurements and analysis of the models developed in these areas.
  - The application of econometric models to determine different variables.
  - The impact of climate change and the threat of rising temperatures and sea level.
  - Guidance on use of the tool in undergraduate and postgraduate theses.
  - The use of the econometric tool.
  - Technical improvement in conceptual terms. Link with agricultural insurance and the real possibility of sharing experiences.
  - I cannot comment for the reasons given above.
  - I work in the Climate Change Unit of the Ministry of Finance and we are coordinating a climate change mitigation project relating to renewable energy. Yes, it has been useful to me.
  - The various ways to generate actions and the impact in the areas affected by climate change.
  - The document on the effects of climate change on the coasts of Latin America and the Caribbean was consulted for the technology needs assessment for the tourism sector.
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**Examples of changes in management or activities on the basis of the acquired knowledge or capacities**


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- Advice was provided to the recently constituted Honduran-Caribbean inter-institutional marine coastal subcommittee.
  - Assess the disaster risk and work more on prevention as a starting point. There is more awareness of the importance of strengthening the capacity of managers, technical staff, experts and others on these relevant issues.
  - Organization of information in databases so as to facilitate comparisons with data from other countries.
  - The up-to-date knowledge shared on certain issues relating to green taxation and adaptation of infrastructure was very helpful in the process that I was coordinating at the time (coordination of the drafting of a national policy on climate change).
  - Enriching the budget analysis with the skills learned.
  - Proactive participation in sectoral agricultural policies.
  - Whenever possible, discuss with colleagues the need to change the patterns of use of natural resources and try to raise the awareness of those in one's immediate surroundings.
  - My knowledge on the subject of insurance has been strengthened and as a result I am able to express more informed opinions and recommendations.
  - The main activity of my office is liaising with SMEs, and I try to raise awareness among entrepreneurs about the issue of climate change and the important role that their companies can play as promoters of climate change mitigation and adaptation.
  - The knowledge acquired may not come under the exact field of expertise of the institution, but it can generate exchange and understanding of the need for interdisciplinary and inter-institutional relationships to address the issue in a more comprehensive way.
  - In the last five years, the Ministry of Planning and Cooperation (MIDEPLAN) has become another model example within the State apparatus in relation to planning actions that promote prospective risk management. Its technical team has been receiving more training and can be included in initiatives promoted by the National Commission for Emergency Prevention and Response and the Ministry of Finance.
  - I have emphasized to the technical staff and directors of the institution the importance of obtaining final approval from the environmental authorities for construction projects, in the interests of private investment, and State and social priorities, in order to lessen the effects of climate change. (We are aware of the need for political will to give this issue its rightful place in decision-making). It is necessary to strengthen the capacity of the institution and raise environmental management to ministry status.  
I have been in touch with the Advisory Office of the National Environment Authority (ANAM) and there are plans to coordinate with the Ministry of Economy and Finance on the drafting of a fiscal, social and environmental policy in the context of sustainable development.
  - Formulation of strategies and policies on climate change at the regional level in Peru.  
Assessment of climate change risk management at the regional level.
  - Now I understand how to use time-series analysis and I am doing research in my country using what I learned.
  - The incorporation of new technical criteria in working papers. Awareness of the national and Central American reality in relation to insurance makes it possible to improve the conceptualization of the contributions to the subject and the design of work strategies.
  - The same as the previous answer.
  - I think I answered this in my response to the previous question.
  - With respect to the situation in my country, the population is not aware because they simply do not know what is causing the effects and therefore there is little they can do about it; and the relative lack of action of the directly responsible authorities is and will always be ineffective. That leaves me to demonstrate the effects and consequences to be considered by decision-making bodies and to present the measures to be implemented, including prevention and remedies, especially with regard to the safety of persons, physical security, food security and other issues.
  - Preparation of the annual contingency plan for hurricane season in the agricultural sector, giving talks to technical staff and producers on climate risk management and climate change.
  - We try to build alliances with other institutions because it is clear to us that an isolated effort will not make a difference.
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<b>Workshops and seminars</b>	<b>Overall impact of the topic on the country's capacity for analysis and response</b>	<b>Replication, follow-up or formulation of policies, strategies, standards or regulations in relation to the topic</b>	<b>My institution has the managerial and financial capacity to operationalize the acquired knowledge</b>
	<b>(Fully agree)</b>	<b>(Fully agree)</b>	<b>(Fully agree)</b>
Diálogo Regional 2013: "Transversalización e institucionalización del cambio climático en Ministerios de Economía, Hacienda y Planeamiento" Lima, 12-13 November 2013	67%	40%	40%
X Encuentro anual de la RIOCC: "Valoración del trabajo de los 10 años de la red, revisión del programa de trabajo y de las prioridades en materia de adaptación, reducción del riesgo de desastres y mitigación" Santiago, 1-3 October 2013	71%	50%	57%
Reunión de expertos sobre gestión integral del riesgo climático y seguros en el sector agropecuario de Centroamérica y República Dominicana Panama City, 29-30 August 2013	60%	40%	20%
Segundo seminario internacional: Cambio climático, finanzas públicas y política social universal Mexico City, 28-30 January 2013	60%	47%	50%
Desafíos de la política fiscal, social y ambiental en el contexto del desarrollo sostenible y discusión de resultados de estudios sobre impactos socioeconómicos del cambio climático Santiago, 19-21 November 2012	47%	44%	35%
I Foro técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 16-17 August 2012	64%	56%	44%
II Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica San Salvador, 13-15 August 2012	60%	50%	38%
I Curso técnico sobre finanzas públicas, reforma fiscal y administración de riesgos en el contexto del cambio climático en Centroamérica Tegucigalpa, 15-17 May 2012	46%	40%	27%
<b>Online databases</b>	<b>Overall impact of the topic on the country's capacity for analysis and response</b>	<b>Replication, follow-up or formulation of policies, strategies, standards or regulations in relation to the topic</b>	<b>My institution has the managerial and financial capacity to operationalize the acquired knowledge</b>
	<b>(Fully agree)</b>	<b>(Fully agree)</b>	<b>(Fully agree)</b>
<b>Efectos del cambio climático en la costa de América Latina y el Caribe</b>	52%	35%	25%
<b>Evaluaciones de Desastres en América Latina y el Caribe</b>	50%	37%	26%

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**Examples of how management practices or activities have changed  
because of the acquired knowledge and capacities**

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- We are working with other governmental and academic institutions to incorporate factors such as natural risks, that cannot be valued economically; indicators are being created to measure the benefits or at least reflect them
  - There is a stronger understanding of what should be done and support from public finance.
  - For the training of personnel involved in adaptation policies.
  - Participation in these forums makes one aware of the changes that are happening to our country's climate, to observe the trends in the frequency and severity of the changes in climate, and to propose risk management measures.
  - Promote systems for rainfall collection for use in rice cultivation in times of drought.
  - Improve budget analysis by applying the lessons learned.
  - Through workshops to raise awareness in areas of high vulnerability. Improvements could be made in terms of financial resources.
  - Early warning, establish a sectoral agricultural drought policy.
  - N/A
  - As far as I know, the database has not been used by the ministry that I represent (finance), but I assume that the ministry of environment and the ministry of energy use them, hence my answers to the previous questions.
  - More detail is now known on how the impacts on key activities affect food security, including for example grain consumption and access to coffee farming as a livelihood.
  - Risk analysis has been included in the evaluation of public investment projects.
  - Active efforts have been made to highlight the need to build a financial strategy for climate risk response involving the participation of actors such as the National Commission for Emergency Prevention and Response, the Ministry of Finance, the Comptroller General of the Republic and Ministry of Planning and Cooperation (MIDEPLAN).  
This is an element which has been taken into account for the next National Development Plan.
  - Invite more technical staff and policymakers to participate.
  - Perhaps encourage participants to present a study at the end and to follow it up.
  - My participation is related only to the insurance business conducted in Panama. The important thing is that the international events in general in which I have participated have shone the spotlight on the topic and it has thus received more political attention.
  - I cannot comment on the specific issues presented at these events, but I can tell you as a professional in the area of disaster risk management and emergency response of the Directorate General of Investment Policy of the Ministry of Economy and Finance of Peru, the activities would have strengthened my capacities in relation to the public investment projects that I work on. At the Directorate General, we are always promoting quality projects that do not generate risks.
  - The percentage of poverty and extreme poverty in my country is high and vulnerability combined with lack of awareness increase the effect. Information should be shared more directly with the people with a view to ensuring that the existing problem receives the required attention; unfortunately public officials have a limited scope for intervention.
  - The technology needs assessment for the tourism sector in the Dominican Republic.
  - Yes. For example Uruguay just signed with the World Bank to finance a climate insurance arrangement to cover the State electricity company in the event of a drought (hydropower is the main source of electricity in Uruguay) as one example of a typical climate change adaptation policy.
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**Examples of policies, strategies, standards or regulations that are being or were considered, formulated or implemented owing to the knowledge or capacities acquired**

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- We are working on internal standards and methodologies to set in motion the creation of indicators. Also, a natural disasters risk policy is being developed, and we are part of the technical committee.
  - Specifically I know of the assessments that have been carried out and the interventions that have been made to include the issue in public investment in the Latin American countries, and the possibility of incorporating the issue into the national accounts.
  - For the development of the National Adaptation Strategy.
  - To date ECLAC has not played a major role in the design of policies, standards or regulations in the case of Mexico.
  - The State must be made aware of the need to promote legislation to facilitate access to water resources for agriculture.
  - I participated in a seminar shortly before the conclusion of the process of inter-institutional participation and the start of the process to draft a national policy on climate change: it was very helpful for preparing lines of action, indicators, etc.
  - Establishment of the sectoral inter-agency network to address risks associate with weather events.
  - N/A.
  - An agreement on technical assistance is about to be implemented between ECLAC and the government. That assistance will include capacity-building for the formulation of policies and standards from the point of view of government finances.
  - The recommendations will be studied in greater depth and presented at technical and political forums with decision-making capacity.
  - Creation of a tool to assess risk in public investment projects.
  - No replication as yet. And the link with ECLAC has involved collaborating with researchers and resource management to finance the participation of some candidates.
  - ECLAC acts as a catalyst and promotes forums for dialogue.
  - Although it has perhaps not had the same impact as the establishment of standards, it has been successful in terms of convincing the financial authorities that the issue is relevant to finances.
  - I cannot comment for the reasons given above.
  - The constant reiteration of the need to address the reality of the effects of climate change in the solutions put forward in the format of State policy, especially in connection with poverty.
  - Preparation of educational leaflets and documents on risk management and climate change.
  - Unfortunately it is a very political issue and while there is no support from that sector, I do not think that any progress can be made.
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## Annex 5

**LIST OF BENEFICIARY COUNTRIES AND INSTITUTIONS**

<b>Country</b>	<b>Beneficiary</b>	<b>Topic of focus</b>
Argentina	Environment ministry	Finances and social policy Impact of climate change on government policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Barbados	Risk management entity	Public finances and risk management
Belize	Ministry of Agriculture and Environment	Risk management and insurance
Bolivarian Republic of Venezuela	Ministry of foreign affairs	Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Brazil	Donor (GIZ) Ministry of planning Environment ministry	Mainstreaming climate change Mainstreaming climate change Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Chile	Donor (GIZ) Ministry for social development  Environment ministry	Mainstreaming climate change Finances and social policy Mainstreaming climate change Impact of climate change on government policy
Colombia	Ministry of agriculture and environment Ministry of finance Ministry of planning Ministry of foreign affairs	Finances and social policy Mainstreaming climate change Impact of climate change on government policy Finances and social policy
Costa Rica	Donor (GIZ) Risk management entity National insurance institute Ministry of agriculture Ministry of finance  Ministry of planning Environment ministry	Mainstreaming climate change Public finances and risk management Risk management and insurance Risk management and insurance Public finances and risk management Finances and social policy Impact of climate change on government policy Mainstreaming climate change Public finances and risk management Finances and social policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)

## Annex 5 (continued)

<b>Country</b>	<b>Beneficiary</b>	<b>Topic of focus</b>
Cuba	Environment ministry	Finances and social policy Impact of climate change on government policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Ecuador	Ministry of finance Environment ministry	Finances and social policy Finances and social policy Impact of climate change on government policy
El Salvador	Central reserve bank Environment fund of El Salvador Ministry of agriculture  Ministry of finance  Ministry of foreign affairs  Environment ministry	Public finances and risk management Public finances and risk management Risk management and insurance Public finances and risk management Public finances and risk management Finances and social policy Mainstreaming climate change Public finances and risk management Finances and social policy Public finances and risk management Finances and social policy Impact of climate change on government policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Spain	Ministry of agriculture and environment University	Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC) Finances and social policy Impact of climate change on government policy
Guatemala	Ministry of agriculture Ministry of finance  Environment ministry	Risk management and insurance Public finances and risk management Mainstreaming climate change Finances and social policy Impact of climate change on government policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Honduras	Agricultural development bank Ministry of agriculture Ministry of economic affairs and finance Environment ministry	Risk management and insurance Risk management and insurance Public finances and risk management  Public finances and risk management Finances and social policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)



## Annex 5 (continued)

<b>Country</b>	<b>Beneficiary</b>	<b>Topic of focus</b>
Mexico	Donor (GIZ)	Mainstreaming climate change
	Risk management entity	Public finances and risk management
	National institute of ecology	Risk management and insurance
	Ministry of finance	Finances and social policy
	Environment ministry	Impact of climate change on government policy
	University	Mainstreaming climate change
Nicaragua	Ministry of finance and public credit	Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
	Environment ministry	Public finances and risk management
		Mainstreaming climate change
Panama	Panama City	Risk management and insurance
	Ministry of agriculture	Risk management and insurance
	Ministry of economic affairs and finance	Public finances and risk management
	Ministry of foreign affairs	Risk management and insurance
	Environment ministry	Finances and social policy
		Impact of climate change on government policy
Paraguay	Environment ministry	Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
		Finances and social policy
Peru	Donor (GIZ)	Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
	Regional government of Lima	Risk management and insurance
	Ministry of economic affairs and finance	Mainstreaming climate change
	Ministry of planning	Finances and social policy
	Environment ministry	Impact of climate change on government policy
	University	Mainstreaming climate change
		Finances and social policy
		Impact of climate change on government policy
		Mainstreaming climate change

## Annex 5 (concluded)

<b>Country</b>	<b>Beneficiary</b>	<b>Topic of focus</b>
Regional	Central American Monetary Council	Public finances and risk management Finances and social policy Impact of climate change on government policy
	Food and Agriculture Organization of the United Nations	Risk management and insurance
	United Nations Development Programme	Finances and social policy Impact of climate change on government policy
Dominican Republic	Central reserve bank	Impact of climate change on government policy
	Climate change institute	Mainstreaming climate change
	Ministry of agriculture	Risk management and insurance
	Environment ministry	Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
Uruguay	Ministry of economic affairs and finance	Finances and social policy Finances and social policy
	Environment ministry	Finances and social policy Disaster risk reduction and mitigation-Ibero-American Network of Climate Change Offices (RIOCC)
	University	Impact of climate change on government policy

## Annex 6

## LIST OF COMPLETED ACTIVITIES

Expected achievement	(near-) Completed activity
EA1. Enhanced understanding by government authorities at the national and local levels on the long term perspective of risk, and of the cost-benefit analysis of policies and measures to abate risk, including financial mechanisms —at the macro and micro level— for ex-ante disaster risk reduction	<p><b>Courses/seminars:</b></p> <ul style="list-style-type: none"> <li>• Public finances and risk management in the context of climate change</li> </ul> <p><b>Reports &amp; studies:</b></p> <ul style="list-style-type: none"> <li>• Cost-benefit of ex-ante climate change adaptation and risk mitigation policies and measures</li> <li>• Best practices on climate change adaptation at local level</li> <li>• Identification of regular consumption patterns per income quintile in Argentina, Guatemala, Ecuador and Peru</li> <li>• Identification of regular consumption patterns per income quintile in Chile, Colombia, El Salvador and Mexico</li> <li>• Proposal for the establishment of a general framework for promoting climate risk reduction and adaptation to climate change</li> </ul> <p><b>Databases:</b></p> <ul style="list-style-type: none"> <li>• Disaster impact and costs estimation</li> <li>• Weather database</li> </ul>
EA2. Enhanced capacity of government authorities at national and local levels to formulate policy proposals and design measures for the adaptation to long term, changing hazards, and disasters risk reduction	<p><b>Courses/seminars:</b></p> <ul style="list-style-type: none"> <li>• Reinforcing the capacity of policy makers in Latin America to reduce risk related to climate change</li> <li>• Natural hazard and urban land use generation within Santiago City</li> <li>• Mainstreaming and institutionalisation of climate change for the ministries of finance, planning and economy</li> </ul> <p><b>Reports &amp; studies:</b></p> <ul style="list-style-type: none"> <li>• Study for the construction of climate insurance applicable to the agricultural sector</li> <li>• Design and implementation of public policies oriented to natural risk reduction of climate change and extreme events</li> <li>• Regulations for climate change</li> <li>• Public policies taking into account natural risk reduction for extreme climate change events</li> <li>• Scenarios for possible negotiations on climate change post 2015 carried out in the UNCCC</li> <li>• Public policy proposals for the generation of sustainable urban land generation and land use benefitting social residents</li> </ul> <p><b>Databases:</b></p> <ul style="list-style-type: none"> <li>• Vulnerability and exposure of coasts to climate change</li> </ul> <p><b>Handbook for Disaster Assessment:</b></p> <ul style="list-style-type: none"> <li>• Drafting of the stylized facts section</li> <li>• Drafting of the transport section</li> <li>• Drafting of the WATSAN section</li> <li>• Drafting of the environmental section</li> <li>• Estimating the socio-economic and environmental effects of disasters (other sections of the report finalized through different funding sources)</li> </ul>



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