



FINAL ASSESSMENT REPORT

ASSESSMENT OF DEVELOPMENT ACCOUNT PROJECT 14/15 AJ

**Logistics integration for a more sustainable exploitation
of natural resources in Latin America and the Caribbean**

March 2018

This report was prepared by Raúl Guerrero, an external consultant, who led the evaluation. Mr. Guerrero worked under the overall guidance of Raul García-Buchaca, Deputy Executive Secretary for Management and Programme Analysis of the Economic Commission for Latin America and the Caribbean (ECLAC) and Sandra Manuelito, Chief of the Programme Planning and Evaluation Unit of ECLAC, and under the direct supervision of Irene Barquero, Programme Officer of the same Unit, who provided strategic and technical guidance, coordination and methodological and logistical support.

The evaluation team is grateful for the support provided by the project partners at ECLAC, all of whom were represented in the Evaluation Reference Group (ERG). Warm thanks go to the programme managers and technical advisors of ECLAC for their cooperation throughout the evaluation process and their assistance in the review of the report.

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

TABLE OF CONTENTS

	Page
ACRONYMS	iv
EXECUTIVE SUMMARY	v
1 INTRODUCTION	10
1.1 DEVELOPMENT ACCOUNT	10
1.2 PROJECT DESCRIPTION.....	10
2 EVALUATION METHODOLOGY	12
2.1 PRINCIPLES.....	12
2.2 OBJECTIVE AND SCOPE.....	12
2.3 APPROACH.....	13
2.4 LIMITATIONS	16
3 MAIN FINDINGS	17
3.1 RELEVANCE.....	17
3.2 EFFICIENCY	26
3.3 EFFECTIVENESS	30
3.4 SUSTAINABILITY	32
3.5 CROSS-CUTTING ISSUES	34
4 CONCLUSIONS	36
4.1 RELEVANCE AND DESIGN.....	36
4.2 EFFICIENCY	36
4.3 EFFECTIVENESS	37
4.4 SUSTAINABILITY	37
4.5 CROSS-CUTTING ISSUES	37
5 LESSONS LEARNED	38
6 RECOMMENDATIONS	39
ANNEXES	43
ANNEX 1 TERMS OF REFERENCE	44
ANNEX 2 DOCUMENTS REVIEWED	55
ANNEX 3 EVALUATION MATRIX.....	56
ANNEX 4 INTERVIEW GUIDELINES.....	64
ANNEX 5 SURVEY QUESTIONNAIRE.....	68
ANNEX 6 LIST OF INTERVIEWEES.....	78
ANNEX 7 EVALUATOR’S REVISION MATRIX.....	79

ACRONYMS

ACRONYM	DEFINITION
CAN	Andean Community
ECLAC	Economic Commission for Latin America and the Caribbean
ESCAP	Economic and Social Commission for Asia and the Pacific
IDB	Inter-American Development Bank
RBM	Results-based management
SDG	Sustainable Development Goal
SIECA	Permanent Secretariat of the General Treaty on Central American Economic Integration
UNASUR	Union of South American Nations
UNEG	United Nations Evaluation Group

EXECUTIVE SUMMARY

- ES1. The project “Logistics integration for a more sustainable exploitation of natural resources in Latin America and the Caribbean” (US\$ 612,000) was financed under the Development Account’s ninth tranche and implemented under the coordination of the Natural Resources and Infrastructure Division of ECLAC in partnership with the Transport Division of the Economic and Social Commission for Asia and the Pacific (ESCAP) between February 2014 and December 2017.
- ES2. Its objective was to strengthen the capacity of selected Latin American and Caribbean governments and the main regional physical integration initiatives in designing and implementing logistics strategies and policy elements to contribute towards a more diversified use and sustainable exploitation of natural resources.

RELEVANCE AND DESIGN

- ES3. The project responded to the needs identified in the Latin American and Caribbean region and participating countries by proposing a path for transforming the region’s production structure towards a more knowledge-intensive and diversified export structure. The project introduced an innovative approach by specifically addressing the interrelations between logistics policies and strategies and the sustainable use of natural resources. It was also a comprehensive effort to enhance institutional dialogue in order to advance towards a common understanding of the problem in the region.
- ES4. The design identified some of the main bottlenecks, including the lack of capacity among decision makers. The countries were selected according to pertinent criteria and the roles required of the different stakeholders in solving the problem were assessed to some extent. Nevertheless, a more thorough and explicit analysis of the demand side could have been attempted to better understand the rules and incentives that govern the implementation of policy reform and to define more clearly the roles of the various actors.
- ES5. The project was fully in line with several United Nations conferences and summits and clearly contributed to ECLAC and ESCAP mandates. In particular, it contributed to the ECLAC programme of work by promoting infrastructure and transport strategies based on criteria of holism and sustainability, including low-carbon infrastructure services as a way of effectively solving the region’s needs.
- ES6. Credible cause-effect relationships demonstrating the adequacy of the project for addressing the challenges were included in the analysis. Nevertheless, the project design would have benefited from a more thorough description of its logic that verified explicitly the hierarchy and causality of the objectives. Building capacity and influencing policy are complex, non-linear and long-term change processes that cannot be explained by a single factor.
- ES7. The simplified logic framework was useful at the project proposal stage but should have been improved for it to be useful as an effective management tool. The relevance of the indicators was dubious and it would have been advisable to include more specific and measurable indicators to demonstrate the logic and expected accomplishments of the project.

EFFICIENCY

- ES8. As a result of the outstanding collaboration between ECLAC and various counterparts, the activities were implemented as planned and synergies and efficiency gains exploited (for example through joint organization of activities with other stakeholders). The collaboration between ECLAC and ESCAP was somewhat limited.

ES9. The project activities and outputs were of high quality and enabled a bi-directional exchange of information and dialogue between ECLAC and the beneficiaries. Regionally generated knowledge was used and the participation of public institutions, the private sector and civil society was ensured. A broader promotion of the activities could have increased participation and would have enhanced dialogue between governments and civil society.

EFFECTIVENESS

ES10. For its direct beneficiaries (at national and regional level), the project helped to enhance (i) the knowledge and understanding of the pivotal role of logistics in a diversified and more sustainable use of natural resources; and (ii) their capacity to implement related strategies and policy elements.

ES11. The knowledge generated specifically targeted those in the best position to apply such knowledge and the participation of ECLAC ensured that the project reached the highest decision-making levels. At the organization level, the project enhanced government capacity to promote and design effective policies and strategies. At the regional level, the activities promoted a common vision and enhanced policy complementarity.

ES12. The project contributed to the drafting of at least four national and two subregional policies and strategies. Furthermore, in addition to the request for assistance from the 10 countries of the Mesoamerican Project Countries, two countries, Costa Rica and Honduras have requested ECLAC assistance to develop logistics policies that included the consideration of natural resources chains.

SUSTAINABILITY

ES13. At least two factors will have a positive effect on the continuity of the results: the problems and challenges identified during the design phase are still present; and the objectives of the project are embedded in the mandate of ECLAC. Although the project did not develop an explicit exit strategy, the efforts to promote a common vision in the region, to increase ownership at national level and to disseminate the outputs and results were effective for ensuring the sustainability of efforts.

CROSS-CUTTING ISSUES

ES14. The analysis undertaken to underpin the project overlooked gender-related issues. As a result, the design was not gender-responsive. Nevertheless, an effort was made to integrate these issues as well as a human rights perspective during implementation (publications, themes discussed at the events, etc.) The human rights perspective is reflected in the project's approach to logistics related challenges from a social and environmental perspective combined with the more traditional perspective on transport and infrastructure.

ES15. The project was directly (and indirectly) linked with the SDGs. However, it was too early to assess any contributions. A robust theory of change would have been very useful for demonstrating the existing causality.

Lessons learned: Working closely with the regional integration initiatives or mechanisms is an effective way to promote a common vision that, in turn, is able to strengthen the project's results, broaden the dissemination of products and enhance sustainability.

ES16. ECLAC is an excellence-driven organization with a strong record and reputation in the region. Its involvement has the potential to bring about significant efficiency gains by catalyzing dialogue, facilitating access to cutting-edge knowledge and attracting additional contributions (in-kind or other) to the projects. In line with its mandate, ECLAC promotes multilateral dialogue, knowledge-sharing and networking at the regional level, and works together to promote intra- and interregional cooperation.

ES17. In this sense, the project clearly illustrates the benefits of the strategy of working at national, subregional at interregional level. In particular, almost all subregional integration mechanisms were included in the project activities regardless of political sensibilities. The close collaboration with some of these mechanisms and the common vision promoted in the framework of the project were key factors in strengthening the results, dissemination and sustainability. This can be easily replicated in future projects and sectors.

Lessons learned: The support provided through the Development Account is an effective way to strengthen the role of ECLAC as a game changer by enabling the implementation of innovative approaches offering distinctive knowledge and skills that are not dealt with by other partners.

ES18. The role of the Development Account as a vehicle for member countries to tap into the normative and analytical expertise of the United Nations Secretariat was evident throughout the project. By offering distinctive knowledge and skills that are rarely dealt with by other development partners, ECLAC is well placed to be a game changer in terms of (i) promoting dialogue among government officials and civil society groups as well as (ii) promoting exchange of knowledge and transferring skills among countries. In this context, ECLAC is regarded as a key actor contributing to a shared United Nations vision.

ES19. Without the assistance of the Development Account and the work guided by ECLAC, the interrelations between logistics policies and strategies and the sustainable use of natural resources would not have been examined in many countries. Furthermore, the project made it possible to implement an innovative approach to discussing logistics-related challenges from a social and environmental point of view. Such discussions would probably not have taken place were it not for the project, which has filled a significant gap in this sense.

Recommendation to ECLAC divisions: Develop a comprehensive theory of change that explains the causality chain to achieve the objectives and results. It should identify intermediate effects and assumptions that are not necessarily under the control of the project and explain country and sector specificities. It could include one expected accomplishment (EA) for each dimension of capacity-building. Different stakeholders should be involved or, at the very least, their role in solving the problem should be identified during the design.

ES20. Developing and maintaining an evaluative culture in an organization is often seen as key to building more effective results management and evaluation approaches. It is therefore crucial that projects aiming to achieve complex change be underpinned by a robust theory of change, essential for demonstrating what has been achieved, facilitating monitoring and sharing information. It offers senior managers the ability to challenge the logic of the project and the evidence gathered on performance in order to oversee the results management regime, thus ensuring that the results are realistic, transparent and accountable.

ES21. In the future, it would be advisable for similar projects to develop a comprehensive theory of change that explains the causality chain to achieve the objectives and results. In some cases, it may be appropriate to include one expected accomplishment for each dimension of capacity-building identified by the Development Account (individual, organizational and enabling environment). The theory of change should also identify intermediate effects and assumptions that are not necessarily under the control of the project (sphere of influence). An effort should be made to identify the conditions and stakeholders responsible for achieving these effects. This would allow the consideration of complementary activities or remedial measures under the project, including its contribution to the SDGs.

ES22. The analysis should explain country and sector specificities (e.g. different policy areas), developing specific subtheories of change if necessary. By adopting a systemic approach during the design, possible unintended effects (either positive or negative), power relationships and conflicts that may

exist at the boundaries of the system can be examined. Different stakeholders should be involved in the identification of the most critical problems and credible cause-effect relationships, including underlying causes. This should include identifying their different roles, positions, strengths, weaknesses and influences. This process, which plays an important role in building stakeholder consensus, identifies the partnerships needed to effectively address the problems and assesses the roles that different stakeholders must play in solving the problem.

Recommendation to the Department of Economic and Social Affairs and ECLAC divisions: Develop sets of indicators that comprehensively capture the performance of the project. The objective should be to capture both technical and political changes/processes and input/output processes. While aggregate or composite indicators may sometimes be useful, they must be accompanied by methodological specifications.

- ES23. A solid results-based management (RBM) system rests on what is commonly referred to as a life cycle, where results are central to planning, implementation, monitoring and evaluation, reporting and ongoing decision-making. By focusing on results rather than activities, RBM helps to improve the integration of the project vision and support for expected results and to monitor progress more effectively through indicators, targets and baselines. It is therefore essential to include a robust and comprehensive logical framework matrix in the project proposals, with clear and specific results, indicators, risks, assumptions and role of partners. This would enhance both the design and the evaluability of the projects.
- ES24. It may be impossible to identify the indicators in sufficient detail at the time of the project proposal. In that case, the logical framework matrix should be revised at the beginning of the implementation phase to develop indicators that comprehensively capture the performance of the project, including processes and effects. An input-(process)-output-outcome-impact indicator model may be appropriate. Although it should aim to capture both technical and political changes/processes, measurement at the output level should not be overlooked as it enables monitoring of the use of resources, implementation of activities linked to those resources and project deliverables.
- ES25. While it may provide valid information, an expected accomplishment is difficult to assess with a single indicator. Aggregate or composite indicators may be useful but must be accompanied by methodological specifications. To ensure the quality of the indicators, they must comply with numerous criteria. Among other things, they must be specific, measurable, achievable, realistic, time-bound, relevant, acceptable, credible, easy, robust, clear, economic and adequate. In general, they should: (i) have a strong correlation with the objectives; (ii) be easily understood and unambiguous; (iii) enable collection of data with the available resources; and (iv) be sensitive to changes. Furthermore, targets should be defined as specific, measurable and time-bound effects that contribute directly to the achievement of a goal.

Recommendation to the Department of Economic and Social Affairs, ECLAC and ESCAP: Put in place concrete procedures to enhance interregional work and strengthen the collaboration among United Nations Secretariat entities. This should involve joint design, a defined work programme and joint monitoring and reporting. Implementing partners should also agree on a strategy for maintaining interregional communication on a regular basis.

- ES26. The Economic Commissions have a strong record and extensive experience working at intra-regional level. As has been the case in this project, interregional work should be considered in Development Account projects an effective instrument for achieving the desired objectives. Nevertheless, it is important to acknowledge and address the challenges of interregional work.
- ES27. In particular, it would be advisable to put in place concrete procedures to strengthen the collaboration between Economic Commissions (and other entities of the United Nations Secretariat). In addition to joint design, this should involve a defined work programme as well as joint monitoring and reporting (e.g. progress and final reports). Implementing partners should also agree on a strategy for maintaining regular interregional communication, for example, by holding kick-off

meetings. Thus, it would be possible to (i) envisage joint strategies for the use and dissemination of regionally-generated knowledge; (ii) identify opportunities for maximizing the creation of effective and sustainable relationships or enhancing interregional dialogue; and (iii) target the most relevant stakeholders, including civil society.

Recommendation to ECLAC divisions: Implement a sustainability plan (exit strategy) outlining how the project intends to withdraw its resources while ensuring that progress towards the goals continues. The strategy should include targeted activities to link the Development Account project activities with the regular work of ECLAC and partners' future undertakings. This should be reflected in the final report by including indications on how to further sustain the project's results.

ES28. It is crucial to ensure a lasting impact of the results and achievements of this type of project in the form of sustained access to knowledge and enhanced technical capacity of beneficiaries. It is well known that funding cycles are rarely aligned with needs, imposing artificial timelines on programme phase-out. This could be minimized by implementing a sustainability plan outlining how the project intends to withdraw its resources, while ensuring that the achievement of the goals is not jeopardized and that progress towards these goals will continue.

ES29. For future projects, it would be advisable to outline an explicit 'exit strategy' at project outset and further develop it during implementation. The strategy should include specific actions to promote ownership; disseminate outputs and results; and ensure that individual capacities are further translated into institutional capacities. In addition, the exit strategy should define the transition from one type of assistance (e.g. Development Account project) to another (e.g. regular work of ECLAC). Therefore, it is necessary to include targeted activities linking the project's results and the dissemination activities implemented with the future undertakings of ECLAC and partners. The final reports should include (reasoned) indications on how the results are to be sustained.

Recommendation to Department of Economic and Social Affairs and ECLAC: Ensure thorough gender mainstreaming by undertaking a comprehensive gender analysis at project outset or, as a minimum, including a dedicated section in the project document. The design must include positive actions to (i) ensure equal and active participation of women in the activities; (ii) promote the added value of incorporating gender issues into the beneficiaries' work; and (iii) include gender-sensitive indicators and targets. Gender experts or representatives may be invited to the activities to ensure ongoing focus on gender issues.

ES30. There is wide consensus that gender-related issues should be mainstreamed in any development project. It is necessary to highlight target entry points for mainstreaming gender in ECLAC activities through advocacy, project and policy development, implementation, and monitoring and evaluation.

ES31. For future projects, it would be advisable to undertake a comprehensive gender analysis at the project outset. This could be made compulsory for all Development Account project proposals or, as a minimum, a specific section on gender could be included in the project document template. This would ensure that gender-specific roles and the differences in impact on men and women are identified.

ES32. As a result, the design may include gender-specific measures intended to (i) increase the effectiveness and impact; (ii) benefit both men and women by increasing gender balance; or (iii) leverage the results to serve other development objectives, such as economic development and poverty reduction. It may be decided to include gender-specific activities —targeting women, for example— or to incorporate a gender dimension in non-targeted actions. As a minimum, positive actions must be implemented to ensure equal and active participation of women in the activities; promote the added value of incorporating gender issues into the beneficiaries' work, including capacity-building, policy advocacy, among others; and include gender-sensitive indicators (e.g. sex-dissaggregated) and targets. An effective way of maintaining focus on these issues may be to include gender experts from partner development agencies or representatives from women's or gender NGOs in the activities.

1. INTRODUCTION

1. The final evaluation of the Development Account Project ROA 292-9, “Logistics integration for a more sustainable exploitation of natural resources in Latin America and the Caribbean”, was undertaken by Raul Guerrero (hereinafter referred to as “the evaluator”) at the request of ECLAC. See the terms of reference in annex A1 for further details.

1.1 DEVELOPMENT ACCOUNT

2. The United Nations Development Account was established by the General Assembly in 1997 to fund capacity development projects of the economic and social entities of the Organization. It is intended to be a supportive vehicle for advancing the implementation of internationally agreed development goals and the outcomes of the United Nations conferences and summits by building capacity at three levels: individual, organizational and enabling environment. The Account adopts a medium- to long-term approach to helping countries to better integrate social, economic and environmental policies and strategies in order to achieve inclusive and sustained economic growth, poverty eradication and sustainable development.
3. Development Account projects are implemented by global and regional entities, cover all regions of the globe and focus on five thematic clusters. Projects are programmed in tranches, which represent the Development Account programming cycle. The Development Account is funded from the Secretariat’s regular budget and ECLAC is one of its 10 implementing entities. The Department of Economic and Social Affairs provides overall management of the Development Account portfolio.
4. Development Account projects aim to achieve development impact by building the socio-economic capacity of developing countries through collaboration at the national, subregional, regional and interregional levels. It provides a mechanism for promoting the exchange and transfer of skills, knowledge and good practices among target countries within and between different geographic regions, through cooperation with a wide range of partners in the broader development assistance community. It serves as a bridge between in-country capacity development actors, on the one hand, and United Nations Secretariat entities, on the other. The latter offer distinctive skills and competencies in a broad range of economic and social issues that are often only marginally dealt with by other development partners at country level.
5. For target countries, the Development Account provides a vehicle to tap into the normative and analytical expertise of the Secretariat and receive ongoing policy support in the economic and social area, particularly in areas where United Nations country teams have no such expertise. The operational profile of the Development Account is further reinforced by the adoption of pilot approaches that test new ideas and eventually scale them up through supplementary funding, and the emphasis on integration of national expertise in the projects to ensure national ownership and sustainability of project outcomes.
6. ECLAC undertakes internal assessments of each of its Development Account projects, in compliance with the Account’s requirements. Assessments are defined by ECLAC as brief end-of-project evaluation exercises aimed at assessing the relevance, efficiency, effectiveness and sustainability of project activities.

1.2 PROJECT DESCRIPTION

7. The project was financed under the ninth tranche of the Development Account and implemented under the coordination of the ECLAC Natural Resources and Infrastructure Division, in partnership

with the Transport Division of the Economic and Social Commission for Asia and the Pacific (ESCAP). It was planned to be implemented during the four-year period February 2014-December 2017 for a total budget of US\$ 612,000.

8. Its aim was to strengthen the capacity of selected Latin American and Caribbean governments and the region's major physical integration initiatives in designing and implementing logistics strategies and policy elements to contribute towards a more diversified use and sustainable exploitation of natural resources. This objective was to be achieved through two intermediate expected accomplishments:
 - (a) Increased understanding and capacity of policymakers in selected countries in Latin America and the Caribbean and their representatives in physical integration initiatives, regarding the pivotal role of logistics for the more diversified use and sustainable exploitation of natural resources.
 - (b) Enhanced capacity of policymakers in selected countries in Latin America and the Caribbean to design and implement national infrastructure, transport and logistics strategies and policies for diversified and sustainable exploitation of natural resources.
9. The table below summarizes the intervention logic in relation to the expected accomplishments, main activities and indicators as described in the documents. The complete simplified logical framework is included in annex A3.

Table 1
Summary of the intervention logic

EXPECTED ACCOMPLISHMENTS	MAIN ACTIVITIES	INDICATORS
EA1. Increased understanding and capacity of policymakers in select countries in Latin America and the Caribbean and their representatives in physical integration initiatives, regarding the pivotal role of logistics for the more diversified use and sustainable exploitation of natural resources.	A1.1 Preparing and disseminating ten technical studies. A1.2 Launching a web-based toolkit of regional and international best practices. A1.3 Organizing national workshops.	IA1.1 At least four countries in Latin America and the Caribbean report that they have improved their understanding of and capacity to implement logistics strategies and policy.
EA2. Enhanced capacity of policymakers in select Latin American and Caribbean countries to design and implement national infrastructure, transport and logistics strategies and policies for diversified and sustainable exploitation of natural resources.	A2.1 Organizing subregional training workshops for policymakers (using the main regional physical integration mechanisms). A2.2 Providing technical assistance to policy makers. A2.3 Organizing an international seminar.	IA2.1 Draft strategies and policy elements on national infrastructure, transport and logistics for sustainable exploitation of natural resources developed for at least four Latin American and Caribbean countries and also discussed in the region's physical integration initiatives to improve complementarity of policy approaches in the region.

Source: prepared by the evaluator, on the basis of the project document.

2. EVALUATION METHODOLOGY

10. This final assessment was managed by the Programme Planning and Evaluation Unit of the Programme Planning and Operations Division of ECLAC, in accordance with the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation,¹ which stipulates that all programmes shall be evaluated on a regular, periodic basis.

2.1 PRINCIPLES

11. The unit of analysis is the project itself, including its design, implementation and effects. To guarantee credibility and usefulness, the evaluation adhered to the highest professional standards and was conducted in accordance with the provisions contained in the terms of reference and in line with the norms, standards and ethical principles of the United Nations Evaluation Group (UNEG).²
12. The guiding principles of ECLAC were applied throughout the evaluation process (including design, data collection and dissemination of results). In particular, special care was taken to assess the extent to which ECLAC activities and products respected and promoted human rights. This includes a consideration of whether the project treated beneficiaries as equals, safeguarded and promoted the rights of minorities and helped to empower civil society. The evaluation also examined 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.
13. The information was triangulated at different levels (including sources and methods). To the extent possible, the evaluator cross-checked findings through each line of inquiry (e.g. desk research, interviews, surveys, beneficiaries, project managers) in order to answer the evaluation questions credibly and comprehensively. The evaluation created the conditions to guarantee the participation of all beneficiaries, irrespective of their sex or ethnic group.

2.2 OBJECTIVE AND SCOPE

14. In accordance with Development Account requirements, ECLAC undertook this internal assessment³ between **September** and **February 2018**. It was retrospective and summative in nature and it considered both expected and unexpected results. It looked at all project activities and, to the extent possible, at non-project activities. Specifically, it sought to assess and analyse:
- (a) Actual progress made towards project objectives.
 - (b) The extent to which the project contributed to outcomes in the identified countries, whether intended or unintended.

¹ The Regulations were first adopted by the General Assembly in its resolution 37/234 of 21 December 1982 and amended in subsequent resolutions, including resolution 54/236 of December 1999 and decisions 54/474 of April 2000 and 70/8 of December 2015.

² See United Nations Evaluation Group (UNEG), “Standards for Evaluation in the UN System”, New York, April 2005 [online] <http://www.unevaluation.org/document/detail/22>; “Norms for Evaluation in the UN System”, New York, April 2005 [online] <http://www.uneval.org/document/detail/21>; “UNEG Ethical Guidelines for Evaluation”, New York, March 2008 [online] <http://www.unevaluation.org/document/detail/102>.

³ The evaluator noted that there might be some ambiguity between self-evaluation (undertaken under the supervision of respective programme managers) and independent evaluation (undertaken by oversight bodies that do not report to the managers of the programmes in question), given their complementary nature and roles.

- (c) The efficiency with which outputs were delivered.
 - (d) Strengths and weaknesses of project implementation, on the basis of the available elements of the logical framework (such as objectives, results) contained in the project document.
 - (e) The validity of the strategy and partnership arrangements, including coordination among the two implementing Divisions/Offices and other implementing partners.
 - (f) The extent to which the project was designed and implemented to facilitate the attainment of the goals.
 - (g) The relevance of the project's activities and outputs to the needs of member States, the needs of the region/subregion and the mandate and programme of work of ECLAC.
15. Regarding the time frame, the evaluation covered the period beginning with the project's initial design through to the completion of its final activities, plus any results and impact generated since completion. The target audience and principal users of the evaluation include all project implementing partners (ECLAC divisions and subregional headquarters, as well as associated donors), the Development Account Programme Manager (Department of Economic and Social Affairs) and other entities of the Executive Committee on Economic and Social Affairs.
16. Finally, the evaluation placed particular emphasis on measuring the project's adherence to the following key Development Account criteria:⁴
- (a) To result in durable, self-sustaining initiatives to develop national capacities, with measurable impact at field level, ideally having multiplier effects.
 - (b) To be innovative and take advantage of information and communication technology, knowledge management and networking of expertise at the subregional, regional and global levels.
 - (c) To utilize the technical, human and other resources available in developing countries and effectively draw on the existing knowledge, skills and capacity within the United Nations Secretariat.
 - (d) To create synergies with other development interventions and benefit from partnerships with non-United Nations stakeholders.

2.3 APPROACH

17. The evaluation was structured around 10 evaluation questions (EQ) based on four evaluation criteria (relevance, efficiency, effectiveness, sustainability) and the assessment of cross-cutting issues. The impact was addressed through the project's contribution towards other overarching strategies, including the achievement of the Sustainable Development Goals (SDGs):
- (a) **Relevance:** the extent to which the project and its activities were suited to the priorities and policies of the region and countries at the time of formulation and to what extent they were linked or related to the mandate and programme of work of ECLAC.
 - (EQ1) How in line were the activities and outputs delivered with the priorities of the targeted countries?
 - (EQ2) How aligned was the project with the activities and programme of work of the regional commissions, specifically those of the subprogrammes under which the project was implemented?

⁴ See United Nations, "Guidelines for the preparation of concept notes for the 7th tranche of the Development Account (2008)" [online] http://www.un.org/esa/devaccount/docs/guidelines_for_7th_tranche.pdf.

- (b) **Efficiency:** measurement of the outputs (qualitative and quantitative) in relation to the inputs, including **complementarity** (the extent to which the activities and the outcomes of the project have been able to establish and/or exploit synergies with other actions implemented by ECLAC, other United Nations bodies or local organizations).
- (EQ3) Did the collaboration and coordination mechanisms put in place between and within the two regional commissions ensure efficiencies and coherence of response?
- (EQ4) Were services and support provided in a timely and reliable manner according to the priorities established in the project document?
- (c) **Effectiveness:** the extent to which the activities attained the project's objectives and expected accomplishments.
- (EQ5) How effective were the project activities in enabling capacities at the individual level?
- (EQ6) How effective were the project activities in influencing policy making?
- (d) **Sustainability:** the extent to which the benefits of the project are likely to continue after funding has been withdrawn, including **dissemination** and **replication**.
- (EQ7) How was sustainability embedded in the theory of change?
- (EQ8) To what extent has the project implemented measures to enhance the sustainability of results?
- (e) **Cross-cutting issues:** measurement of the **added value** offered by the project and ECLAC, especially in terms of promoting **human rights** and **gender equality**; as well as the contribution towards long-term impact, including the **achievement of the SDGs**.
- (EQ9) How, and to what extent, were human rights and gender issues considered in the design and implementation of the project and its activities?
- (EQ10) How, and to what extent, has the project contributed towards other overarching strategies including the achievement of the SDGs?
18. The evaluator worked independently but did receive organizational support from ECLAC in the setting up of interviews and management of the online survey (see §2.3.2). The evaluation was organized around three different phases: (i) inception, (ii) data collection and (iii) data analysis and reporting.

2.3.1 INCEPTION

19. This phase started with the **document review**. The purpose during this phase was to become familiar with the project, context, main stakeholders (partners, beneficiaries, etc.) and results (intended and achieved). This entailed reviewing relevant documentation and mapping key stakeholders. Relevant sources of information and conceptual frameworks were identified and reviewed, including: allotment advice, redeployments, project document, progress reports, meeting reports, workshop related documents, studies, publications and consultancy terms of references (see the full list in annex A2).
20. This phase concluded with the elaboration of the **inception report**, which described the overall evaluation approach, including an evaluation matrix and a detailed workplan. The evaluation matrix served as an overarching tool to guide the preparation of the data collection tools and efforts to implement them (see annex A5). It also illustrated the organization of the evaluation criteria and key questions (for example, the use of encapsulating questions to avoid repetition and lengthiness).

2.3.2 DATA COLLECTION

21. To the extent possible, data were collected and analysed through a mixed method approach. On the basis of the evaluation matrix, several tools were developed to gather primary data, including specific interview guides (see annex A6) and survey questionnaires (see annex A7). The evaluator

interviewed 20 project managers, implementing partners and beneficiaries (4 face-to-face and 16 remotely); the full list of interviewees is included in annex A8.

22. In order to test different hypotheses, both quantitative and qualitative information (see the questionnaire in annex A4) was collected from key project stakeholders (a sample of implementing partners and project beneficiaries) through an **electronic survey** administered by the Programme Planning and Evaluation Unit in Spanish to the participants in nine events.⁵ The survey was also administered in French to the participants in the workshop held in Haiti but did not yield any results. There were a total of 416 individual participants (a person is counted as one participant even if they attended more than one event). The survey was sent to the 297 valid email addresses available in the list (71%). The table below summarizes the number of stakeholders contacted and the various response rates.

Table 2
Response Rate

	Implementing Partners and/or Project Beneficiaries	ECLAC/ESCAP Staff (Project Managers and others participating in the events)	Total
Interviews:			
Number of stakeholders contacted	29	4	33
Number of stakeholders interviewed	18 (62%)	2 (50%)	20 (61%)
Surveys:			
Number of stakeholders contacted	297	-	297
Number of survey responses	80 (27%)	-	80 (27%)

Source: Prepared by the evaluator

2.3.3 DATA ANALYSIS AND REPORTING

23. The evaluator utilized the data collected to ascertain the trustworthiness of meanings and assertions from the different data sources and to identify patterns in the data.

⁵ The survey was administered to the participants in:

National workshops:

National Workshop on Integrated and Sustainable Logistics and Mobility Policy, San Jose, 21-22 April 2015.

National Workshop on Integrated and Sustainable Logistics and Mobility Policy, Bogota, 4-5 November 2015.

National Workshop on Integrated and Sustainable Logistics and Mobility Policy, Peru, 15-16 June 2016.

Taller Nacional sobre integración de infraestructuras logísticas y recursos naturales en Países Andinos [Spanish only], Santa Cruz de la Sierra, Plurinational State of Bolivia, 10-11 August 2017.

Subregional training workshops:

“Transport terrestre en Haïti : Enjeux et Défis de la Modernisation” [French only], Port-au-Prince, 3-4 September 2015.

“Gobernanza de los Recursos Mineros e Infraestructura: el caso de la industria del carbón mineral en Colombia” [Spanish only], Cartagena de Indias (Colombia), 5-6 April 2016.

“Políticas de logística, recursos naturales y su vínculo con los Objetivos de Desarrollo Sostenible” [Spanish only], Santiago, 16-18 August 2016.

Taller nacional de políticas integradas y sostenibles de logística [Spanish only], Quetaro (Mexico), 13-14 June 2017.

International seminar:

Governance Week on Natural Resources and Infrastructure, Santiago, 7-11 November 2016.

24. The evaluation included a content analysis of findings from the document review to the extent that they provide answers to the evaluation questions. In particular, the evaluator analysed the problem and objective trees included in the project document by logically reconstructing the theory of change, identifying original weaknesses, gaps and/or any unintended effects (both positive and negative).
25. In addition, the interview responses were analysed to tease out any details, gaps and uncertainties regarding questions that were not clarified by the documentary evidence. For those questions that were answered through the documents, responses were cross-checked with the interviewee responses for convergence.
26. Finally, the evaluator reviewed the results of the survey to check for internal consistency (between the different respondents) and external consistency (between the survey results and the findings from other sources).

2.4 LIMITATIONS

27. This end-of-project evaluation should be regarded as a quick review conducted through an expedited process. The available resources were rather limited and therefore the depth and scope of assessment are also somewhat limited. The findings, in particular those related to the project's effects at the policy level, should therefore be taken with caution. This is important as context matters greatly in the use of findings for policy processes.
28. To some extent, the evaluation relied on the memories of project participants and, despite the triangulation foreseen by the methodology, may contain various biases. Although 33 interviews were requested and important efforts were made to schedule as many as possible, only 20 were finally completed. Useful information was gathered through in-country field work, but approximately 50% of the confirmed face-to-face interviews were cancelled at the last minute. The survey yielded a low rate of response and a significant number of beneficiaries did not answer all the questions. This reduced comparability in some measure and warranted a more careful interpretation of the survey results.
29. Complex systems present a serious challenge for attribution. In this regard, it should be noted that the reformulation of hypotheses was very limited; the small survey sample posed the risk of producing inconclusive findings; the methodology intentionally excluded the examination of power relationships, possible conflicts and the boundaries of the system⁶ (this means that the evaluation did not seek to answer why some aspects were prioritised over others); and some stakeholders struggled to clearly identify the specific activities of the project. Learning about and from the contributions made was a priority of the evaluation.
30. The **evaluability**⁷ of the project is in some way limited by the absence of monitoring data. There was a tendency to focus on final outcomes and to ignore important information on how the project achieved them. The documentary information available for the project was often descriptive rather than analytical. This made it difficult to identify the critical success factors and the emergence of new relationships and patterns because these were not tracked.
31. The evaluation can hardly be considered a final one. In particular, some project activities were being implemented during the evaluation (e.g. final event organized in Santiago) and the final project report was, therefore, not available. This posed obvious challenges for assessing impact, ownership and sustainability, among others.

⁶ The boundaries define what is inside the system and what is outside.

⁷ The extent to which an activity or project can be evaluated in a reliable and credible fashion. See Organization for Economic Cooperation and Development (OECD), "Quality Standards for Development Evaluation", DAC Guidelines and Reference Series, Paris, 2010 [online] <https://www.oecd.org/development/evaluation/qualitystandards.pdf>.

3. MAIN FINDINGS

32. This section outlines the main findings and analysis related to each of the evaluation criteria (relevance, effectiveness, efficiency, sustainability and cross-cutting issues), including the design and theory of change.

3.1. RELEVANCE

3.1.1 COUNTRY AND REGIONAL NEEDS

The project aimed to propose a path for transforming the region's production structure towards a more knowledge-intensive and diversified export structure. It was well aligned with regional needs in terms of public policies and investment projects to foster growth in more sophisticated export sectors that are less prone to price volatility. (F1)

Logistics policies and strategies could play a crucial role in achieving a more sustainable use of natural resources. The project helped to develop an innovative approach by specifically addressing the interrelations between them and developing theoretical approaches for the analysis of global production chains and networks associated with natural resources. (F2)

The project was therefore pertinent from both a technical and a political point of view. Inter-sector coordination was weak in the region and a comprehensive approach to the problem did not exist. The project represented a comprehensive effort to enhance institutional dialogue to advance towards a common understanding of the problem, including a joint regional effort that was deemed particularly necessary. (F3)

33. The project document highlighted the region's significant limitations in terms of infrastructure and logistics services. This translates into high costs and considerable negative externalities, which seriously affect future trade competitiveness and development. The project assumption is fully confirmed by an array of indicators such as the Enabling Trade Index or the Logistics Performance Index that show the region lagging behind most industrialized countries and several developing regions.
34. The Inter-American Development Bank (IDB) has also noted that Latin American and Caribbean countries' inability to cope with a globalization process that is inherently transport-intensive and where supply chains are being organized on a global scale is one of the reasons why the region has lagged behind in its integration into the world trading system.⁸ Technological innovations driven by transport technology developments have changed the economic landscape of the world, allowing countries to exploit economies of scale in both the transport and the production of manufactured goods. Increased efficiency in freight logistics and the advancement of trade facilitation infrastructure will effectively enable new regional players to enter the global economy—promoting competition, improving distribution and reducing companies' logistics costs and allowing firms to take advantage of market access opportunities created through regional and multilateral trading agreements. However, the region continues to trail others in investment in infrastructure and in the logistics performance that would allow it to fully benefit from these developments.
35. Another rationale behind the project was the fact that, despite recent progress in industrial structural change and economic development, the region relies on the export of natural resources and related

⁸ See P. Guerrero, K. Lucenti and S. Galarza, "Trade Logistics and Regional Integration in Latin America and the Caribbean", *IDB Working Paper series*, No. IDB-WP-148, Washington, D.C., Inter-American Development Bank (IDB), December 2009.

products with low value added and little technological investment. Although the participation of Latin American and Caribbean countries in global value chains has risen during this century, it is below the global average and there is sufficient evidence to confirm the region's vulnerable position in the economic globalization process. The latest reports by ECLAC indicate that the region's specialization is mainly in forward linkages, as a supplier of inputs —mostly commodities— for third country exports. Compared with other regions, particularly the European Union and South-East Asia, Latin America and the Caribbean has fewer backward linkages (i.e. the share of foreign value added in the region's exports) and their number has been declining.⁹

36. The project also highlighted the fact that logistics chains in the region were mainly oriented to the extraction and export of some commodities. Consequently, the possibilities for developing new industry clusters and creating regional and subregional value chains were reduced. IDB has highlighted that, without a renewed focus on trade transaction costs, the region will continue to be left out of self-reinforcing production and trade networks —economies of scale in production and related transportation performance are making it more difficult to compete at the global level. In the same vein, ECLAC (2017) points out that trade is unlikely to play a strong role in the region's economic growth before the end of the present decade. Accordingly, the region urgently needs public policies and investment projects to foster growth in more sophisticated export sectors that are less prone to price volatility than those of the existing export basket. The project aimed to propose a path for shifting the region's production structure towards a more knowledge-intensive and diversified export structure.
37. During the design of the project, it was acknowledged that the change in the geography of trade offered an opportunity to identify best practices in logistics and feed back the lessons learned from Asian buyers into the region, and to understand the successes and challenges in implementing integrated logistics strategies and policies. Nevertheless, recent evidence indicates that although China has become an important trading partner for many countries of Latin America and the Caribbean, the current trade relationship with China does not contribute to long-term regional economic development. China's economic slowdown in recent years has hit commodities prices hard and left the region's economies in a vulnerable situation. In addition, the region continues to add very little value to the products exported to China and four products alone (copper, iron, soy and oil) represent 70% of total exports. A joint regional effort is deemed necessary to create common strategies for trade with China and to remove barriers to intraregional trade. This would allow the creation of a platform to develop export structures with greater technological content and boost production transformation.
38. It was broadly acknowledged by interviewees that governance of both logistics and natural resources remain high on national and regional agendas. All survey respondents (68) thought that logistics policies and strategies played or could play a paramount role in achieving a more sustainable use of natural resources. In this sense, the project helped to introduce an innovative approach by specifically addressing the interrelations between them. Many of the existing methodologies focused on the production or trading phase, omitting the importance of the logistics infrastructure (i.e. the physical and logical thread that connects the network). The project addressed different theoretical approaches for analysing global natural resource production chains and networks. It is based on the assumption that not only do properly coordinated logistics allow flows of materials to be mobilized in an appropriate, timely, safe way and at a competitive cost, but they also have an enormous impact on the interconnection of territories, on the connectivity and accessibility of transport services and on the mitigation of negative externalities generated by the activity that affect the environment and the population.¹⁰

⁹ See Economic Commission for Latin America and the Caribbean (ECLAC), *Economic and Social Panorama of the Community of Latin American and Caribbean States, 2016*, (LC/L.4288), Santiago, 2017.

¹⁰ See C. Muñoz and G. Pérez, "Reflections on the role of logistics in the sustainable exploitation of natural resources in Latin America and the Caribbean", *FAL Bulletin*, No. 357, Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), May 2017.

39. Similarly, 89% (71 out of 80) of respondents thought that the objectives of the project responded to the needs and priorities of the countries and region; 11% (9 out of 80) did not have sufficient information to respond. Several beneficiaries thought that the “comprehensive” approach adopted by the project was particularly relevant for the region. It was also mentioned that several countries were in the process of elaborating or reviewing their logistics strategy and the project supported these processes.
40. Most beneficiaries considered that the project was pertinent from both a technical and a political point of view. Inter-sector coordination was weak and a comprehensive approach to the problem did not exist in the region. The project represented an effort to enhance institutional dialogue to advance towards a joint understanding of the problem, including at regional level. For example, the Natural Resources and Infrastructure Division organized a series of meetings during the Governance Week on Natural Resources and Infrastructure (November 2016) to promote a shared vision for better governance of natural resources and infrastructure among governments, multilateral organizations, academia, private sector and other stakeholders in civil society.¹¹ In particular, the ministerial delegations that attended the High-level Regional Dialogue on the Governance of Natural Resources and Infrastructure explicitly requested ECLAC to design and implement a programme of work for the medium and long term, which includes the following elements: (i) a research programme to facilitate a substantive discussion and to formulate and apply public policy tools that include a State strategic and political vision and the participation of non-State stakeholders in the private sector and civil society; (ii) planning and implementing technical cooperation, capacity-building and knowledge-sharing initiatives to support member States; and (iii) convening of the High-level Regional Dialogues on the Governance of Natural Resources and the Infrastructure in a regular and systematic manner, on the basis of the outcomes and contributions of research and technical cooperation programmes.

3.1.2 ECLAC MANDATE AND INTERNATIONAL AGENDA

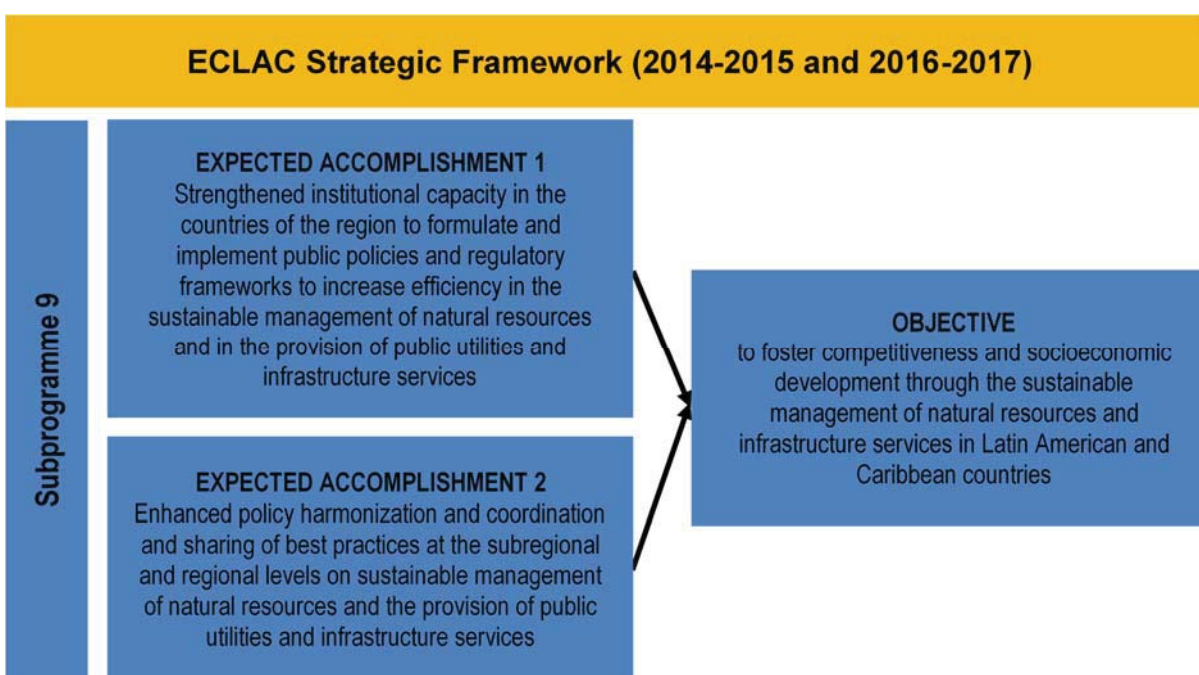
The project directly contributed to the ECLAC mandate by promoting infrastructure and transport strategies based on criteria of holism and sustainability, including low-carbon infrastructure services as a way of effectively solving the needs of the region (strategic framework 2014-2015 and 2016-2017). It did so by (i) generating, disseminating and applying innovative and sound approaches to tackling development challenges in the subregion whilst strengthening multisectoral and interdisciplinary analysis; and (ii) strengthening technical capacities. (F4)

The project was fully in line with the ESCAP vision for transport (development of international integrated intermodal transport and logistics system) and several international initiatives such as Agenda 21: Programme of Action for Sustainable Development, the Plan of Implementation of the World Summit on Sustainable Development, the Programme of Action for the Sustainable Development of Small Island Developing States, the Mauritius Strategy for the Further Implementation of the Programme of Action for the Sustainable Development of Small Island Developing States, the Almaty Programme of Action and the more recent Vienna Declaration and Programme of Action. It was also aligned with the Millennium Development Goals (MDGs) and SDGs. (F5)

¹¹ This activity was mainly funded by the project but also with the German Agency for International Cooperation (GIZ), the Spanish Agency for International Development Cooperation (AECID) and the ECLAC regular budget. The event was attended by authorities and experts from 20 Latin American and Caribbean countries, including 25 ministers and deputy ministers of energy, infrastructure, transport and natural resources, carrying out a week of meetings devoted to debating the governance of natural resources and infrastructure. The discussions were aimed at moving toward more integrated and sustainable development in the framework of the Agenda 2030 for Sustainable Development. For further information see Economic Commission for Latin America and the Caribbean (ECLAC), “Countries of the region underline importance of dialogue for better governance of natural resources and infrastructure”, Santiago, 11 November 2016 [online] <https://www.cepal.org/en/pressreleases/countries-region-underline-importance-dialogue-better-governance-natural-resources-and>.

41. The overall mission of ECLAC is to promote the economic, social and environmentally sustainable development of countries of Latin America and the Caribbean by undertaking comprehensive research and analysis of development processes and providing the relevant normative, operational and technical cooperation services in support of regional development efforts. The project directly contributed to the Commission's strategic framework during the 2014-2015 and 2016-2017 bienniums. In particular, one of the main priorities was to promote infrastructure and transport strategies based on criteria of holism and sustainability, including low-carbon infrastructure services as a way of effectively solving the needs of the region. According to ECLAC programming documents, it has been fully demonstrated that the existence of appropriate infrastructure and infrastructure services boosts productivity and competitiveness as well as equity and therefore improves economic and social conditions in the region.¹²
42. The overall strategy during this period was structured around 14 interdependent and complementary subprogrammes and the project falls within the scope of subprogramme 9, which aims to foster competitiveness and socioeconomic development through the sustainable management of natural resources and infrastructure services.

Diagram 1
Economic Commission for Latin America and the Caribbean (ECLAC) strategic framework



Source: Prepared by the evaluator, on the basis of information provided by the Economic Commission for Latin America and the Caribbean (ECLAC).

¹² See Economic Commission for Latin America and the Caribbean (ECLAC), “673(XXXIV) Programme of work and priorities of the Economic Commission for Latin America and the Caribbean for the 2014-2015 biennium” [online] https://www.cepal.org/sites/default/files/pages/files/ses-34-work_programme_resolution_english_final.pdf; “684(XXXV) Programme of work and priorities of the Economic Commission for Latin America and the Caribbean for the 2016-2017 biennium” [online] https://www.cepal.org/sites/default/files/pages/files/ses.35_resolution_work_programme_english_finaldocx.pdf.

43. The project was well aligned with the three indicators used to measure the achievements under this subprogramme:
- (i) Increased number of new policies, measures or actions adopted by countries of the region in the areas of sustainable management of natural resources and the provision of public utilities and infrastructure services in line with ECLAC recommendations.
 - (ii) Increased number of stakeholders acknowledging that they have benefited from ECLAC technical cooperation services to improve their work in the area of sustainable management of natural resources and the provision of public utilities and infrastructure services.
 - (iii) Increased number of public, academic, regional and business institutions taking action to harmonize or coordinate policies for management of natural resources and/or the provision of public utilities and infrastructure services in line with ECLAC recommendations.
44. In this sense, the project contributed to the ECLAC programme of work in at least two different ways: by promoting crucial research and by strengthening technical capacities. It also contributed to the strategic aim of generating, disseminating and applying “innovative and sound approaches to tackling the development challenges of the subregion” whilst strengthening “multisectoral and interdisciplinary analysis ... and the development of analytical models with quantitative and qualitative tools”.
45. The project was well aligned with the strategic framework for the period 2014-2015 and 2016-2017 by contributing to and coordinating actions geared towards economic development. It also contributed to the ESCAP vision for transport (development of an international, integrated, intermodal transport and logistics system) and the following expected accomplishments:¹³
- Increased capacity of ESCAP member States and the private sector to plan and develop international intermodal transport linkages.
 - Increased capacity of ESCAP member States and the private sector to implement measures to improve the efficiency of international transport operations and logistics.
46. The project was also related to several major international initiatives such as Agenda 21: Programme of Action for Sustainable Development, the Plan of Implementation of the World Summit on Sustainable Development, the Programme of Action for the Sustainable Development of Small Island Developing States, the Mauritius Strategy for the Further Implementation of the Programme of Action for the Sustainable Development of Small Island Developing States and the Almaty Programme of Action. It also contributed to Millennium Development Goals 1 (to eradicate extreme poverty and hunger) and 8 (to develop a global partnership for development) as well as the outcome document of the United Nations Conference on Sustainable Development (Rio+20 Conference), in which governments recognized the importance of improving accessibility; of the efficient movement of goods, and access to environmentally sound, safe and affordable transportation; and supported the development of sustainable transport systems, including energy efficient multi-modal transport systems.
47. The project remained relevant to the SDGs. Its objectives were directly linked with the targets of SDGs 9 (industry, innovation and infrastructure) and 12 (responsible consumption and production); and more indirectly with SDGs 1 (no poverty), 8 (decent work and economic growth) and 11 (sustainable cities and communities). The project is also aligned with the more recent Vienna Programme of Action for landlocked countries, which states that “cumbersome transit procedures and inadequate infrastructure substantially increase the total expenses for transport and other transaction costs, which erodes the competitive edge of landlocked developing countries, reduces economic growth and subsequently negatively affects their capacity to promote sustained economic development,

¹³ See subprogramme 3 of Economic and Social Commission for Asia and the Pacific (ESCAP), “Draft strategic framework for the biennium 2014-2015” (E/ESCAP/68/17), Bangkok, 2012 [online] http://www.un.org/ga/search/view_doc.asp?symbol=E/ESCAP/68/17&Lang=E.

human and social progress and environmental sustainability”. The Programme of Action also highlighted the need to promote meaningful regional integration to encompass cooperation among countries in a broader range of areas than just trade and trade facilitation.

3.1.3 PROJECT DESIGN

The selection of countries was based on three clear and pertinent criteria: interest, representativeness and participation in regional integration mechanisms. To some extent, the roles that the different stakeholders needed to play in solving the problem was also assessed during the design. (F6)

Important and plausible cause-effect assumptions and potential risks were made explicit in the design to demonstrate the adequacy of the project as a means of addressing the challenges. Nevertheless, the design of the project would probably have benefited from additional analysis at country level with specific stakeholders (i.e. explicit analysis of the demand side). (F7)

It would have been advisable to verify explicitly the hierarchy and causality of the objectives. The simplified logic framework was useful at the project proposal stage but less so as an effective management tool. The indicators, which are too similar to the expected accomplishments, are neither specific nor time-bound and could have been strengthened by including clear targets. (F8)

48. The design of the project involved several steps: stakeholder analysis, problem analysis and objectives analysis.

Stakeholder analysis

49. The project document identified ministries of transport and public works as the main beneficiaries to facilitate a shift from unimodal decision-making processes that lacked a system approach towards more integrated logistics and infrastructure development policies with a regional perspective. Logistics and transport associations and ministries of mining/natural resources were also identified as important stakeholders, along with regional integration initiatives. Nevertheless, the project document was descriptive and rather succinct. The project strategy has involved working at two different levels: political (ministerial) and technical (planning directors).
50. As established in the project document, the selection of the participating countries was based on three main criteria: country's interest, equitable geographical representation and participation in regional integration mechanisms. The activities focused primarily on five countries (Costa Rica, Paraguay, Peru, the Plurinational State of Bolivia and Trinidad and Tobago) and three regional integration mechanisms (UNASUR, SIECA and the Mesoamerican Integration and Development Project (Mesoamerica Project)). The scope was further expanded to cover other countries that gained importance during implementation such as Colombia, El Salvador and Haiti.
51. The roles that different stakeholders must play in solving the problem was assessed to some extent during the design phase. However, the latest guidelines for the preparation of project documents approved by the Department of Economic and Social Affairs¹⁴ recommend identifying all non-United Nations stakeholders of the project, including those who are affected by the identified problem(s). Although these guidelines were not available during project design, having been approved during its implementation, the evaluator believes that they can be used as a relevant benchmark. The guidelines require the implementing entities to provide the following information for each relevant stakeholder:

¹⁴ See United Nations, “Guidelines for the preparation of Project Documents for the 10th tranche of the Development Account”, 2016 [online] http://www.un.org/esa/devaccount/docs/guidelines/Guidelines_PD_T10_Updated%2030-08-2016.projects/guidelines.html.

Table 3
Stakeholder analysis

Non-United Nations Stakeholders	Type and level of involvement in the project	Capacity assets	Capacity Gaps	Desired future outcomes	Incentives
All direct and indirect non-United Nations stakeholders should be listed here, each on a separate row	How does each of the stakeholders relate to the project/problem outlined in the previous section?	What resources and strengths does the stakeholder possess that can help address the problem targeted by the project?	What needs and vulnerabilities does the stakeholder have that the project aims to address?	What are the desired outcomes of project implementation for the stakeholder?	What is the stakeholder's incentive for involvement in the project? How can buy-in be ensured?

Source: United Nations, "Guidelines for the preparation of Project Documents for the 10th tranche of the Development Account", 2016 [online] http://www.un.org/esa/devaccount/docs/guidelines/Guidelines_PD_T10_Updated%2030-08-2016.pdf.

52. The events organized under the project attracted over 400 participants. The distribution of the participants is in line with the design (project document): high-level decision makers and senior advisors from the public sector (33%); academia (24%); regional organizations (16%); and experts, practitioners, representatives of civil society organizations (5%). Twenty-five countries were represented among the participants, with approximately half of them coming from Mexico, Colombia, Chile and Costa Rica.

Problem analysis

53. The project document provides an analysis of the main problems faced by the region. Although the credibility of the hypothesis could have been increased by including relevant references, the assumed causal relationships seem plausible. It is widely agreed that the analysis determined crucial underlying causes of the identified problems and it demonstrated the adequacy of the project as a means of addressing the challenges. In this sense, approximately 96% of the survey respondents (69 out of 72) think that the the events organized under the project were relevant or very relevant to their national context.
54. As mentioned above, the project targeted countries with different characteristics. The Natural Resources and Infrastructure Division was undoubtedly familiar with the regional context, and the asymmetries and conflicts associated with infrastructure and regional transport were fully considered in the project design. Nevertheless, the analysis could have been strengthened by a clearer identification of the relationships with other problems (such as risks related to the lack of resources in relevant institutions) and specific country-level problems, needs or constraints—that is, explicit demand-side analysis. In this sense, the region is quite heterogeneous: there are countries with reasonably stable and predictable institutional frameworks for making and implementing government decisions and where ECLAC research is one of many sources of influence in policymaking; while others are rather distinct, with precarious institutions, lack of autonomy, high personnel turnover, non-existent policy influence mechanisms (e.g. intermediary institutions that translate research into policy or action), and greater implementation challenges.

55. Stakeholders have mentioned other bottlenecks such as lack of interest or political commitment and resources, weak institutions, absence of an integral approach. The above-mentioned guidelines for the preparation of Development Account project documents recommend undertaking a country-by-country analysis in order to provide a clearer picture of the status of affairs in each target country and the realistic outcome sought.¹⁵ Although recognizing that it was included as part of the implementation (initial consultative meetings), the design of the project would have probably benefited from additional analysis with specific stakeholders at country level. This would have allowed for a more accurate evaluation of the size and complexity of the problem and the relationships between different contributing factors (e.g. more targeted technical assistance).

Table 4
Country analysis

Country	Status of affairs	Realistic outcomes
Country name	<p>How does the identified problem play out in the selected country?</p> <p>What progress has already been made or what steps have been taken to address the issues?</p> <p>What are the principle assets the country has to address the issue?</p> <p>What at the principle gaps to be addressed?</p>	<p>What will this project be able to achieve in the country within the specified timeframe?</p> <p>What tangible outcomes/ outputs are foreseen?</p>

Source: United Nations, “Guidelines for the preparation of Project Documents for the 10th tranche of the Development Account”, 2016 [online] http://www.un.org/esa/devaccount/docs/guidelines/Guidelines_PD_T10_Updated%2030-08-2016.pdf.

Objectives analysis and project strategy

56. The project aimed to foster a more efficient design of infrastructure and logistics for the extraction and export of natural resources and related industries through capacity development and policy influence. This, in turn, should result in an increased added-value in the supply chains and sustainability of the sectors as well as the promotion of a coherent regional integration approach. In this sense, it was confirmed during the interviews that the activities implemented were seen as efficient vehicles for spearheading policy changes and regional cooperation.
57. The description of the project strategy consists of the project’s objective, expected accomplishments, indicators of achievement (including means of verification) and main activities, as well as explicit assumptions and hypotheses. It is depicted by a ‘simplified logical framework’ (see annex A4). The objective tree attempted to determine and clarify the (short-, medium- and long-term) goals to be achieved for a sustainable solution and it made explicit important cause-effect assumptions and potential risks. Nevertheless, it would have been advisable to verify explicitly the hierarchy and causality of the objectives.
58. Although the project could be considered small in scope and budget, the importance of a robust and explicit **theory of change** should not be understated. While a single project cannot address all conceivable problems, adopting a systemic approach to the problems would have made it possible to examine potential unintended effects (either positive or negative), power relationships and conflicts that may exist at the boundaries of the system. For example, the project design did not consider the possible effects of the lack of resources, the possible institutional weaknesses or staff turnover. Had this been done, stakeholders could have engaged in a process to visualize a future in which the problems were resolved before attempting to reword them.

¹⁵ The evaluator acknowledges that the guidelines were not available at the time of project design and, therefore, the project cannot be criticized for not adhering to them. The guidelines can, rather, be used as a relevant benchmark for evaluation and as a source of best practices.

59. The **simplified logic framework** was useful at the project proposal stage but much less so as an effective management tool during implementation. It would have been useful to expand it further by adding details to improve alignment of monitoring and reporting. In this sense, the indicators are too similar to the expected accomplishments and not specific enough. For example, it is difficult to measure the level of understanding or the capacity to design and implement strategies and policies; even more so to measure both together. A target of sorts was included in the indicators (four countries), but the information provided was insufficient as no specifications were given regarding the countries (or categories) concerned, the number and type of policymakers overall and in each country, or timelines, among others. Indicator 1.1 was modified during preparation of the 2016 progress report to measure only the number of countries, and not stakeholders, as initially foreseen. The changes did not make the indicator more relevant or specific. Although not specifically mentioned in the Development Account project document template,¹⁶ the latest guidelines call for indicators to be strengthened by including clear targets. It is expected that the entities involved will include benchmarks for all indicators and ensure that there is a baseline for quantitatively and/or qualitatively measuring or assessing change.
60. According to a report prepared for the Department of Economic and Social Affairs's Quadrennial Comprehensive Policy Review (2012), results-based management (RBM) is a broader management strategy and it is not synonymous with performance monitoring and evaluation. It is conceptualized as a results chain, composed of inputs-activities-outputs-outcomes-impact. The assumption is that actions taken at one level will lead to a result at the next level, and in this sense, the results chain stipulates the sequence of actions taken to achieve a particular result.¹⁷
61. Therefore, for results-based management it is necessary to define and measure at the level of outcomes, which is particularly challenging for development interventions such as advocacy, capacity development and advisory services. Nevertheless, it is also acknowledged that measurement at the output level is important for monitoring the use of resources, implementation of activities linked to those resources and project deliverables. However, the project did not develop indicators that comprehensively capture its performance.

Table 5
Project Results Framework

Expected accomplishments	Indicators of Achievement
EA1 Increased understanding and capacity of policymakers in select countries in Latin America and the Caribbean and their representatives in physical integration initiatives, regarding the pivotal role of logistics for the more diversified use and sustainable exploitation of natural resources.	Policymakers in at least four countries in Latin America and the Caribbean indicate, through a survey, that they have improved their understanding and capacity to implement logistics strategies and policy elements for a more diversified use and sustainable exploitation of natural resources.
EA2 Enhanced capacity of policymakers in select Latin American and Caribbean countries to design and implement national infrastructure, transport and logistics strategies and policies for diversified and sustainable exploitation natural resources.	Draft strategies and policy elements on national infrastructure, transport and logistics for sustainable exploitation of natural resources developed for at least four Latin American and Caribbean countries and are also discussed in the region's physical integration initiatives to improve complementarity of policy approaches in the region.

Source: project document

¹⁶ See United Nations, "Development Account guidelines and templates", 2013 [online] <http://www.un.org/esa/devaccount/projects/guidelines.html>.

¹⁷ See A. Bester, "Results-based management in the United Nations development system: progress and challenges", New York, United Nations, July 2012 [online] http://www.un.org/esa/coordination/pdf/rbm_report_10_july.pdf.

62. As shown in the table above, a single indicator is used to assess the achievement of each expected accomplishment. Although these indicators provide valid information about the project contribution to major long-term initiatives, the causality is weak. It would have been advisable to also include indicators at a lower level, thus making it possible to measure the more direct effects of the project and, at the same time, provide evidence demonstrating the logic of the intervention, reinforcing attribution at higher levels.

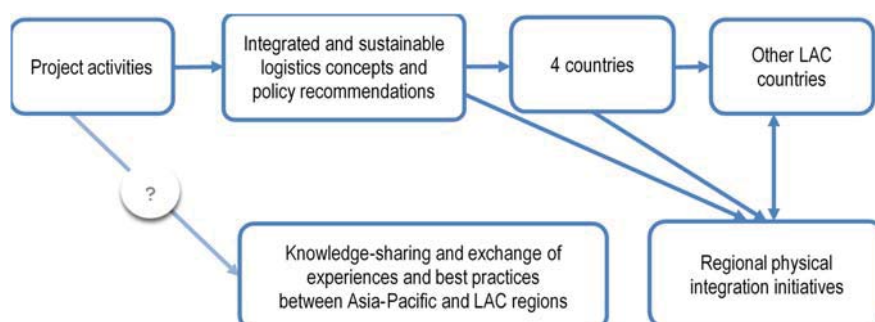
3.2. EFFICIENCY

3.2.1 ORGANIZATIONAL ARRANGEMENTS

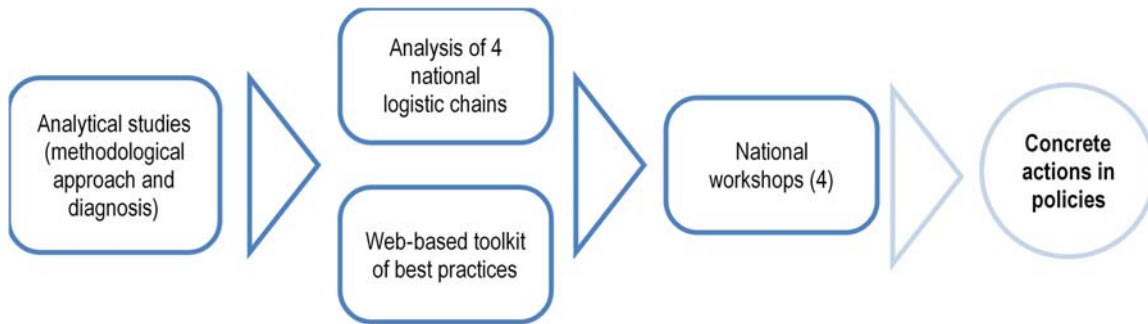
The activities were implemented as planned, without any significant delays. There was outstanding collaboration between ECLAC and the different counterparts and the project even benefited activities organized by other stakeholders. On the other hand, the collaboration between ECLAC and ESCAP was somewhat limited. (F9)

All project managers were of the opinion that the project used regionally-generated knowledge. The participation of public institutions, the private sector and civil society in the activities was ensured. To some extent, the project probably helped to enhance the dialogue between governments and civil society. (F10)

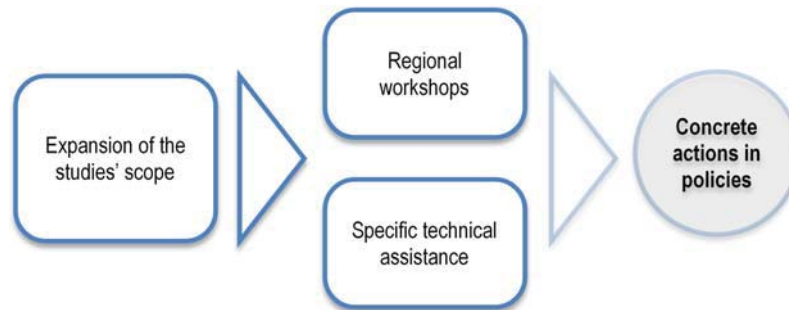
63. Although the project suffered delays at the beginning of the implementation phase due to the deployment of UMOJA at ECLAC, the activities were carried out as planned in the project document (see, for example, the 2016 progress report). Initially, the activities had a national focus: centred on Costa Rica (cassava), Peru (mining), the Plurinational State of Bolivia (landlocked country) and Trinidad and Tobago (oil and gas). In the second stage, its scope was expanded to the region with the inclusion of Paraguay (chia and soya), Colombia (coal) and participants from the rest of Latin America through regional integration mechanisms such as UNASUR, SIECA, the Mesoamerican Project and the Andean Community (CAN). Lastly, the project took on an international dimension by including the Asia-Pacific perspective. This implementation phase consisted of three main stages.



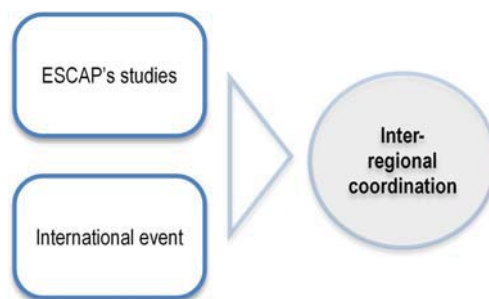
64. The first stage involved the drafting of a set of analytical studies to establish the methodological approach and main diagnostics. This was to be followed by an analysis of the main logistics chain of four countries and the development of a web-based toolkit to provide the input for a round of national workshops that would enhance understanding, identify specific challenges and validate policy recommendations.



65. The second stage consisted of the expansion of the analytical studies to cover other national and regional experiences with a view to facilitating a second round of regional workshops to train national officials to develop national logistics policies with a regional perspective. In parallel, policymakers received specific technical assistance in identifying and addressing particular challenges faced by a country or a regional integration initiative.



66. Finally, the third stage aimed to improve interregional coordination and dialogue through studies led by ESCAP. One international event including the main export partners in the ESCAP region was held to promote interregional platforms and logistics solutions.



67. The project was able to respond to the changing needs of the beneficiaries and the management structures enabled effective implementation. In particular, the project sought to collaborate with relevant integration mechanisms such as SIECA, the Mesoamerica Project, UNASUR, CAN and the Association of Caribbean States.¹⁸ In addition, a number of meetings and workshops helped to pinpoint the specificities and needs of some countries. On the basis of these needs, the project team was then able to identify opportunities for technical cooperation.
68. The project benefited activities organized by other stakeholders such as national governments, UNASUR, the Mesoamerican Project and IDB and even co-financed several activities. As a result of synergies with other initiatives, the project methodology was used to study the case of Colombia (coal) and also supported some work in Haiti that was particularly complex and of regional importance. On the other hand, the collaboration between the respective divisions of ECLAC and ESCAP was somewhat limited, evidenced, for example, by the absence of joint reporting.
69. Most stakeholders thought that the project used regionally-generated knowledge. Although not falling under the project, the ECLAC proposal on integrated and sustainable logistics (and mobility) policies explicitly includes and encourages cooperation with public institutions, the private sector and civil society (including NGOs, universities and associations). In this regard, civil society organizations participated in project events. Over 79% of the beneficiaries (57 out of 72 respondents) considered that interested groups, including trade, agriculture, professional, labour and entrepreneurial associations participated actively in the events. Likewise, 79% of respondents (26 out of 33) considered that the publications incorporated the civil society's point of view (only 6% disagreed). The interviews also confirmed that the project was thought to have helped to enhance the dialogue between governments and civil society.

3.2.2 ACTIVITY/OUTPUT REALIZATION

The project was implemented as planned and the different activities and outputs were of high quality. It allowed a bi-directional exchange of information and a dialogue between ECLAC and the beneficiaries. (F11)

Wider dissemination of the activities would have increased participation and probably increased the benefits of the project. (F12)

70. It was difficult to clearly identify the specific project activities implemented for a number of reasons, among which were synergies with other initiatives, co-financing, the fact that the project was still ongoing, activities that were organized by ESCAP, to name a few. The activities listed below were among those implemented under the project:
- A1.1 Technical studies: 13 technical studies (one forthcoming), exceeding the 10 initially foreseen. In addition, an ECLAC publication including the main findings of the project is carded for 2018.¹⁹

¹⁸ The Mesoamerican Integration and Development Project (MIDP) is a proposal developed by ten Mesoamerican countries to strengthen regional integration and to promote economic and social development of the participating countries. The objective is to enhance living conditions and prosperity for their peoples. For further information visit, see [online]<http://www.proyectomesoamerica.org/joomla/>.

¹⁹ See G. Pérez and S. Jansen, "Natural resources logistics in landlocked countries in Latin America and the Caribbean", *FAL Bulletin*, No. 348, Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), April 2016; A. Jaimurzina and others, "Joint paper on inland waterways classification for South America", *Project Documents* (LC/TS.2017/11), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), March 2017; J. Lardé and S. Marconi, "Recolección y tratamiento de datos sobre inversiones en infraestructura a partir de las

- A1.2 Web-based toolkit: beta version has already been developed and it is currently being integrated into the Natural Resources and Infrastructure Division webpage.²⁰
 - A1.3 National workshops: held in Costa Rica,²¹ Peru,²² the Plurinational State of Bolivia,²³ Belize (28-29 November 2017) and Trinidad and Tobago (12 December 2017).²⁴
 - A2.1 Subregional training workshops: meeting of transport ministers of SIECA and the Mesoamerican Project in Guatemala (15-16 June 2015), Secretary General of UNASUR (29-30 October 2015), Colombia (4-5 November 2015 and 5-6 April 2016), Chile (16-18 August 2016) and Brazil (19 October 2017) and Chile (30-31 October 2017).
 - A2.2 Technical assistance: eight country missions and five missions to regional organizations, including Haiti, Costa Rica, Honduras and Mesoamerican Project (Regional Transport Technical Commission).
 - A2.3 International seminar: four side events were organized during the Governance Week on Natural Resources and Infrastructure in Chile (7-11 November 2016).
71. The level of satisfaction was very high. 94% of the participants (68 out of 72) indicated that they were satisfied or very satisfied with the issues discussed during the events and 92% (66 out of 72) thought that the events were efficiently or very efficiently organized. All respondents (33) deemed that the publications were of good quality and 95% (16 out of 17) were satisfied or very satisfied with the technical assistance received and thought that it was efficiently provided; one respondent did not have enough information on which to base a response. It should be noted that 66% of respondents (45 out of 68) thought that the project promoted a bi-directional exchange of information and a dialogue between ECLAC and the beneficiaries; over 10% thought that the implementation was more prescriptive, with ECLAC providing information to the countries; over 4% thought that the information did not flow at all; and over 19% responded that they did not know.

finanzas públicas en América Latina y el Caribe: glosario y formulario”, *Project Documents* (LC/TS.2017/28), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), April 2017; L. García, “Aspectos metodológicos en el vínculo entre recursos naturales y logística regional”, *Project Documents* (LC/TS.2017/21), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), April 2017; D. Duque, O. Medina and M. Saade, “Infraestructura logística para una mejor gobernanza de la cadena del carbón en Colombia”, *Project Documents* (LC/TS.2017/75), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), November 2017; R. Cornejo, “Las cadenas logísticas mineras en el Perú: oportunidades para una explotación más sostenible de los recursos naturales”, *Project Documents* (LC/TS.2017/146), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), January 2018; E. Ramos, C. Muñoz and G. Pérez, “La gobernanza de los recursos naturales y los conflictos en las industrias extractivas: el caso de Colombia”, *Project Documents* (LC/TS.2017/71), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), September 2017; D. Suárez, “Logística y recursos naturales en los países sin litoral: el caso de la soya y la chía en el Estado Plurinacional de Bolivia y Paraguay”, *Project Documents*, Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), unpublished [online] https://www.cepal.org/sites/default/files/news/files/lcts2018_bo_py.pdf; L. Román, “Análisis de la cadena logística de la yuca en Costa Rica”, *Project Documents* (LC/TS.2018/17), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), March 2018; V. Supersad, “Opportunities for more sustainable infrastructure and logistics of hydrocarbons in the Caribbean: the case of Trinidad and Tobago”, *Project Documents*, Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), unpublished [online] https://www.cepal.org/sites/default/files/news/files/lcts_tt.pdf; Environmental considerations in the provision of economic infrastructure, (forthcoming); The Logistics Policy of Korea, lessons for Latin America and the Caribbean, (forthcoming); Human Rights and infrastructure provision in LAC, (forthcoming).

²⁰ Accessible through the Maritime and Logistics Profile of Latin America and the Caribbean, a website that is part of the Natural Resources and Infrastructure Division’s regular programme of activities. See [online] <http://perfil.cepal.org/l/en/start.html>.

²¹ National Workshop on Integrated and Sustainable Logistics and Mobility Policy, San Jose, 21-22 April 2015.

²² National Workshop on Integrated and Sustainable Logistics and Mobility Policy, Perú, 15-16 June 2016.

²³ Taller nacional sobre integración de infraestructuras logísticas y recursos naturales [Spanish only], Santa Cruz de la Sierra (Plurinational State of Bolivia), 10-11 August 2017.

²⁴ Held at ECLAC Subregional Headquarters for the Caribbean, with the participation of officials from Barbados, Guyana, Saint Lucia and Trinidad and Tobago.

72. The evaluation can affirm that the activities were complementary and reinforced the internal coherence of the project. During the interviews, it was confirmed that the events were also seen as a contribution towards building or strengthening networks of policymakers, experts, researchers and the like. Regarding the practical organization of the events, stakeholders mentioned that they should have been more widely publicized to increase participation. Another interesting issue that emerged during the interviews was the need to strengthen the reliability of ECLAC technical assistance, making it more regular compared with ad hoc implementation. This was a consequence of resources constraints: ECLACs regular funds are very limited and technical assistance is mainly driven by extra-budgetary funds as well as regional programmes for technical cooperation and activities under Development Account projects. Therefore, it is impossible to plan and offer regular and systematic technical cooperation in one specific area for the 33 countries of the region, even with efforts to prioritize activities and use funds efficiently.

3.3 EFFECTIVENESS

73. Capacity is defined as “the ability of people, organizations and society as a whole to manage their affairs successfully”, while capacity building is understood as “the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time.”²⁵ Capacity development has traditionally been associated with knowledge transfer and training of individuals, yet it is a complex, non-linear and long-term change process in which no single factor (e.g. information, education and training, technical assistance, policy advice) can by itself be an explanation for the development of capacity. As mentioned before, the Development Account aims to build capacity at three levels: individual, organizational and (enabling) environment. The project addressed these three dimensions.
74. The enabling environment relates to political commitment and vision; policy, legal and economic frameworks; national public-sector budget allocations and processes; governance and power structures; incentives and social norms. The organizational dimension relates to public and private organizations, civil society organizations and networks of organizations. The individual dimension relates to the people involved, in terms of knowledge, skill levels (technical and managerial) and attitudes.

3.3.1 CONTRIBUTION AT INDIVIDUAL LEVEL

For direct beneficiaries both at national and regional level, the project enhanced (i) the knowledge and understanding of the pivotal role of logistics in the more diversified use and sustainable exploitation of natural resources; and (ii) their capacity to implement logistics strategies and policy elements for a more diversified use and sustainable exploitation of natural resources. (F13)

75. Over 87% of the survey respondents (60 out of 68) considered that policymakers’ capacity and information deficiency was the main limitation to devising effective policies and strategies to promote a better use of natural resources. Both the interviews and the survey confirmed that the project contributed to increased understanding and capacity of direct beneficiaries (e.g. participants in the events), both at national and regional level, with regard to the pivotal role of logistics in the more diversified use and sustainable exploitation of natural resources. Close to 85% of the beneficiaries (61 out of 72) use the knowledge obtained in the events in their daily work; 10% (7) do not use it at all and 5% (4) did not have enough information on which to base a response. Similarly, 76% of

²⁵ See Organization for Economic Cooperation and Development (OECD), “The challenge of capacity development: working towards good practice”, *OECD Journal on Development*, vol. 8, No. 3, Paris, 2008, p. 244.

respondents (25 out of 33) use the publications often; the rest use them less often. In line with the project focus, several respondents indicated that the information provided a holistic overview, and was useful for their tasks related to comparing the situation in different countries and for ensuring inter-institutional coordination.

76. Similar responses were obtained when beneficiaries were asked to what extent the project had helped enhance their knowledge and understanding of and capacity to implement logistics strategies and policy elements for a more diversified use and sustainable exploitation of natural resources. Over 82% of survey participants (53 out of 68) reckoned that their knowledge about existing strategic and policy options increased. They broadly acknowledged that the project had helped enhance their capacity to design and implement efficient logistics policies and strategies (75%; 51 out of 68) and to establish linkages between logistics and the use of natural resources (82%; 56 out of 68). Furthermore, 87% of respondents (59 out of 68) were convinced of the need to establish these types of policies and strategies.

3.3.2 CONTRIBUTION AT ORGANIZATIONAL AND ENABLING ENVIRONMENTAL LEVEL

The project helped to enhance the governments' capacity to promote and design effective logistics policies and strategies for a more diversified use and sustainable exploitation of natural resources. At the regional level, the activities helped to promote a common vision and to enhance policy complementarity. (F14)

The knowledge generated specifically targeted those who were best placed to apply it in the policy process and the participation of ECLAC ensured that the project reached and influence at the highest decision-making levels (good reputation). (F15)

The project contributed to the drafting of at least four national policies and strategies and to move forward with two subregional logistics policies. At least 10 countries requested ECLAC support to begin developing logistics policies that included the consideration of natural resources chains. (F16)

77. Influencing policy is more a process than a product, as a number of activities and relationships interact with each other. However, the process is not linear: policy decisions over time generally display a complicated pattern of advances and reversals tied together in feedback loops of decision, implementation, second thoughts and course corrections.²⁶ Moreover, policy influence should be understood as a means to an end and not an end in itself.²⁷ Policymaking is often considered to be a set of processes that includes (i) the setting of an agenda, (ii) the specification of alternatives from which a choice is to be made, (iii) an authoritative choice from among those specified alternatives and (iv) the implementation of a decision.
78. The sphere of control of the project is limited to the inputs, activities, outputs, processes and immediate effects. It is therefore more difficult to demonstrate the project's contribution at the level of organization and enabling environment (sphere of influence). Nevertheless, on the question of whether the project enhanced government's capacity to promote and design more effective policies, 73% of the participants (50 out of 68) responded positively —of those, 28% thought that the project enhanced capacity significantly while 45% thought that it enhanced capacities to some extent; 13% responded negatively and 13% did not know. On the other hand, 26% (18 out of 68) believed that the activities contributed to new initiatives, policies or programmes; 30% (29 out of 68) thought that they did not and 29% did not know. Most stakeholders emphasized that because of the good reputation of ECLAC, its participation allowed the project to reach and influence at the highest decision levels.

²⁶ See F. Carden, *Knowledge to Policy: Making the Most of Development Research*, International Development Research Centre (IDRC), 2009.

²⁷ See J. Kingdon, *Agendas, Alternatives, and Public Policies*, New York, HarperCollins Publishers, 1984.

79. In addition, 87% of the participants (59 out of 68) held the view that the project had the explicit intention to influence policies in the region and 76% (52) thought that this intention had been made sufficiently clear throughout implementation and that the knowledge generated specifically targeted those who were in the best position to apply it in the policy process. At the regional level, over 85% (58) considered that the activities contributed to a common vision and 78% (54) to enhancing policy complementarity.
80. The project contributed or was contributing to the design of several specific national policies and strategies, including: (i) the integrated mobility and logistics policy in El Salvador (ECLAC support was explicitly acknowledged in a speech by the President of the Republic); (ii) the national inter-modal logistics masterplan in Colombia (which incorporated ECLAC recommendations), (iii) the draft national logistics policy in Costa Rica; and (iv) the national logistics strategy in the Plurinational State of Bolivia. At the regional level, the project contributed to the work of entities such as the Inter-Institutional Technical Group of the Mesoamerica Project (of which ECLAC is a member) through the Política de Logística y Movilidad de Mesoamérica;²⁸ the South American Infrastructure and Planning Council (COSIPLAN) of UNASUR, which seeks to establish logistics as a strategic focus for promoting a systemic view of infrastructure and transport; and SIECA, in the drafting of the text of the Central American Regional Framework Policy on Mobility and Logistics.
81. Therefore, the project not only promoted political vision and commitment, but was also able to promote and move forward subregional logistics policies (SIECA and Mesoamerican Project). In addition to the request for assistance from the 10 countries of the Mesoamerican Project, two countries —Costa Rica and Honduras—, requested ECLAC support to begin developing logistics policies that included the consideration of natural resources chains. The final declaration of the Governance Week on Natural Resources and Infrastructure, signed by 25 ministers and deputy ministers of energy, infrastructure, transport and natural resources, is another example of the project's achievements at the regional level.
82. Under the project, an effort was made to include a core of key stakeholders at the national and subregional levels in the activities —for example, the Regional Transport, Infrastructure and Logistics Directorate at SIECA, selected educational institutions and private experts participated in almost all the activities. Some interviewees expressed the view that a more “regular” participation could be promoted, but this reflects the resource limitations of the project.

3.4 SUSTAINABILITY

The fact that the problems and challenges identified during the design remain and the objectives of the project are embedded in the ECLAC mandate ensures the continuity of ECLAC support. The project's efforts to promote a common vision in the region and ownership at national level were an effective strategy for ensuring that future efforts would continue in the same line. (F17)

While considerable efforts were dedicated to disseminating both outputs and results, additional efforts are certainly needed. The web-based toolkit is expected to play a crucial role in further disseminating the project's results. (F18)

83. All stakeholders thought that the project was ambitious. Nevertheless, the project's impact on long-term processes such as the elaboration of new policies was particularly encouraging given the size of the project (in terms of resources utilized) and the fact that its implementation was not even finalized. As mentioned above, policymaking is not a linear process and the project's contribution to capacity-building and exchange of experiences will last beyond the formal conclusion of the

²⁸ See [online] <http://www.mopt.go.cr/wps/wcm/connect/a1a26454-ad62-4897-b407-ade0af9b019c/Politica+Marco+Regional++Movilidad+y+Logistica+Nov+2016-CR.pdf?MOD=AJPERES>.

- activities. In this regard, 76% of the responses to the survey (46 out of 68) confirmed that ECLAC implemented adequate mechanisms to ensure sustainability.
84. The problems and challenges identified during project design are still present, as confirmed at the events and in publications. Although the project did not have an explicit exit strategy, the promotion of a common vision in the region, together with the efforts made to promote national ownership were an effective strategy for ensuring that future efforts would continue in the same line. This is demonstrated by the request made to ECLAC by at least 10 countries. In addition to the request for assistance from the 10 countries of the Mesoamerican Project, two countries —Costa Rica and Honduras—, requested ECLAC support to begin developing logistics policies at national level for support in the development of logistics policies that include the consideration of natural resources chains (see above). As described earlier, the objectives of the project are embedded in the mandate of ECLAC, thus ensuring the Commission's continued support. The future work of and collaboration with regional integration initiatives seems particularly relevant and important in this sense; in line with the aforementioned Governance Week declaration. An effort to clarify how to integrate interregional work —including cooperation between Latin America and the Caribbean and Asia— more effectively could also be useful for the future.
85. Sustainability relies in part on the capacity for dissemination and replication. Under the project, considerable efforts were dedicated to disseminating both outputs and results. The workshops were crucial in this regard, as they provided opportunities to disseminate experiences, country-specific methodologies and comparative findings. ECLAC has also made significant efforts to disseminate project publications and, although both the interviews and survey responses confirmed the success of this strategy, several beneficiaries stated that a wider dissemination was still necessary. A beta version of a web-based toolkit had already been developed and was being integrated into the Natural Resources and Infrastructure Division's webpage at the time of the evaluation. The toolkit will be accessible through the Maritime and Logistics Profile, a website that is part of the Division's programme of activities, which means that the maintenance costs will be covered by the ECLAC regular budget. The toolkit is expected to play a crucial role in further disseminating the project's results.
86. The responses to the survey indicate that 76% of respondents (46 out of 68) thought that the project or its activities would have multiplier effects and over 88% (60) thought that the project or its activities could be replicated. On the other hand, only 63% of the respondents (44) considered that their country or institution had implemented adequate mechanisms to advance in the project's results and less than 56% (38) thought that there was political support and a favorable environment for continuing with similar actions. Moreover, 63% (43) thought that there was appropriation by beneficiaries and 62% (42) thought that alliances had been established to ensure sustainability.
87. This indicated a need for further and continuous support, as substantiated by the interviews. In this sense, ECLAC has confirmed that its involvement will not cease upon the conclusion of the project. Although necessarily playing a more limited role than during the implementation of the project, ECLAC —in line with its mandate— will continue to support capacity-building of government and non-government organizations. It should be noted that 97% of survey respondents (66 out of 68) thought that policymakers are generally interested in drafting logistics strategies and policies that promote a better use of natural resources, while 84% (57) considered that regional integration mechanisms are the appropriate fora for promoting such policies.

3.5 CROSS-CUTTING ISSUES

3.5.1 GENDER AND HUMAN RIGHTS

Gender-related issues were overlooked in the project document and the design was not gender-responsive. Nevertheless, an effort was made to integrate these issues during the implementation phase, for example by including specific publications. (F19)

A human rights perspective was incorporated in the themes discussed at the events and in publications. (F20)

88. Although there has been little research on the relationships between gender and logistics, the evidence shows why gender matters for trade facilitation and logistics and how gender dimensions can be integrated into trade facilitation and logistics initiatives.²⁹ For example, women are disproportionately disadvantaged when it comes to infrastructure; there is particularly strong evidence that they often face higher transaction costs in relation to transport infrastructure. The lack of physical security at border crossings has a differential effect on women, making them particularly vulnerable to harassment and gender-based violence. The officialdom and corruption associated with cross-border trade is also considered a constraint that affects women more than men.
89. The guidelines for the preparation of Development Account project documents are clear in this respect, as they recommend devoting attention to gender considerations, identifying dimensions of gender inequality and the extent to which women and men may be differently affected by the problem and require differentiated capacity development support. Although gender-related issues were overlooked in the project document and the design was not gender-responsive, an effort was made to integrate these issues during implementation. For example, ECLAC gave a presentation on the participation of women in mining and logistics services in Latin America at an event hosted by the International Labour Office.³⁰ Additionally, the Natural Resources and Infrastructure Division prepared a document analysing the main constraints of current policies and the effects of the lack of a gender perspective on the poor development of the sector.³¹
90. Regarding gender representation in project activities, the available lists of participants showed that less than 30% of the direct beneficiaries were women (women accounted for a similar percentage of survey respondents and less than 24% of interviewees). Most interviewees confirmed that women were underrepresented at events, which “reflected the reality in the sector”. Nevertheless, 64% of survey respondents (46 out of 72) thought that there was equal participation of men and women at the events; less than 20% (14) felt that women were underrepresented. Rather than seeing this as evidence of equal participation, the evaluator interpreted these figures as a symptom of the acceptance of the (unequal) status quo. It was noted that, too often, stakeholders considered that the fact project did not discriminate against women was sufficient. This was reflected somewhat in the percentage of respondents (64%, or 21 out of 33) who thought that the project addressed gender equality only superficially or not at all; 27% thought that it was thoroughly addressed.
91. On the other hand, the interviews and the survey both confirmed that the project was implemented with some degree of a human rights perspective. For example, while 89% of survey respondents (64 out of 72) opined that the themes treated at the events incorporated a human rights perspective, only 29% of them thought that it was thoroughly done. By comparison, over 90% (29 out of 32) thought that this perspective was adopted in the publications (only 37% thought that it was thoroughly done).

²⁹ See E. Krug and others, *World Report on Violence and Health*, Geneva, World Health Organization (WHO), 2002.

³⁰ Decent Work for Green and Inclusive Transport (Leipzig, Germany, 18 May 2016).

³¹ A. Jaimurzina, C. Muñoz y G. Pérez, “Género y transporte: experiencias y visiones de política pública en América Latina”, *Natural Resources and Infrastructure series*, No. 184 (LC/TS.2017/125), Santiago, Economic Commission for Latin America and the Caribbean (ECLAC), December 2017.

It should be noted that almost all respondents acknowledged that this perspective was relevant to both the events and the publications. A document on human rights and infrastructure provision in Latin America and the Caribbean is currently being drafted and is to be published in 2018.

3.5.2 CONTRIBUTION TO THE SDGs

The project was directly (and indirectly) linked with the SDGs by approaching logistics from a social and environmental perspective together with the more traditional perspective on transport and infrastructure. It was, nevertheless, too early to assess any contributions, and doing so in the future also presented an enormous challenge. (F21)

92. The project was closely linked with Goal 9 (to build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation), contributing particularly towards target 9.4: “upgrade infrastructure and retrofit industries to make them sustainable, with increased resource-use efficiency and greater adoption of clean and environmentally sound technologies and industrial processes, with all countries taking action in accordance with their respective capabilities”. It was also aligned with Goal 13 (to take urgent action to combat climate change and its impacts) and target 13.2, “integrate climate change measures into national policies, strategies and planning”.
93. Although it was broadly acknowledged that it was too early to assess, 53% of survey respondents (36 out of 68) thought that the project contributed to the achievement of the SDGs; 47% did not have enough information on which to base a response. It was mentioned that “there was a clear link between human development, environment and mining competitiveness”. In this sense, the project approached logistics from a social and environmental perspective combined with the more traditional perspective on transport and infrastructure. Nevertheless, measuring the contribution of the project to the SDGs will represent an enormous challenge even in the future and would probably require a different evaluation methodology.

4. CONCLUSIONS

4.1 RELEVANCE AND DESIGN

94. The project responded to the needs identified in Latin America and the Caribbean and participating countries by proposing a path for transforming the region's production structure into a more knowledge-intensive and diversified export structure. One contribution of the project was to introduce an innovative approach by specifically addressing the interrelations between logistics policies and strategies and the sustainable use of natural resources. It also represented a comprehensive effort to enhance institutional dialogue to advance towards a common understanding of the problem in the region. **(C1 based on F1, F2 and F3)**
95. The design identified some of the main bottlenecks, including the lack of capacity among decision makers. The countries were selected on the basis of pertinent criteria and the roles required of the different stakeholders in solving the problem were assessed to some extent. Nevertheless, a more thorough and explicit analysis of the demand side could have been attempted to better understand the rules and incentives that govern the implementation of policy reform and to define more clearly the roles of the various actors. **(C2 based on F6 and F7)**
96. The project was fully in line with several United Nations conferences and summits and clearly contributed to ECLAC and ESCAP mandates. It contributed to the programme of work of ECLAC in particular by promoting infrastructure and transport strategies based on criteria of holism and sustainability, including low-carbon infrastructure services as a way of effectively solving the needs of the region. **(C3 based on F4 and F5)**
97. Credible cause-effect relationships demonstrating the adequacy of the project for addressing the challenges were included in the analysis. Nevertheless, the project design would have benefited from a more thorough description of its logic that explicitly verified the hierarchy and causality of the objectives. Building capacity and influencing policy are complex, non-linear and long-term change processes that cannot be explained by a single factor. **(C4 based on F7 and F8)**
98. The simplified logic framework was useful at the project proposal stage but should have been improved for it to be useful as an effective management tool. The relevance of the indicators was dubious and it would have been advisable to include more specific and measurable indicators to demonstrate the project's logic and achievements. **(C5 based on F8)**

4.2 EFFICIENCY

99. As a result of the outstanding collaboration between ECLAC and various counterparts, the activities were implemented as planned and synergies and efficiency gains were exploited (for example through joint organization of activities with other stakeholders). The collaboration between ECLAC and ESCAP was limited. **(C6 based on F9)**
100. The project activities and outputs were of high quality and enabled a bi-directional exchange of information and dialogue between ECLAC and the beneficiaries. Regionally generated knowledge was used and the participation of public institutions, private sector and civil society was ensured. Wider promotion of the activities could have increased participation and would have enhanced dialogue between governments and civil society. **(C7 based on F10, F11 and F12)**

4.3 EFFECTIVENESS

101. For its direct beneficiaries (at national and regional level), the project helped to enhance (i) the knowledge and understanding of the pivotal role of logistics in a diversified and more sustainable use of natural resources, and (ii) their capacity to implement related strategies and policy elements. **(C8 based on F13)**
102. The knowledge generated specifically targeted those in the best position to apply it and the participation of ECLAC ensured that the project reached the highest decision-making levels. At the organization level, the project helped to enhance government capacity to promote and design effective policies and strategies. At the regional level, the activities promoted a common vision and policy complementarity. **(C9 based on F14 and F15)**
103. The project contributed to the drafting of at least four national and two subregional policies and strategies. Furthermore, at least one regional integration initiative comprising 10 countries and two individual countries requested ECLAC assistance to develop logistics policies that included the consideration of natural resources chains. **(C10 based on F16)**

4.4 SUSTAINABILITY

104. At least two factors will have a positive effect on the continuity of the results: the problems and challenges identified during the design stage are still present and the objectives of the project are embedded in the ECLAC mandate. Although the project did not develop an explicit exit strategy, the efforts to promote a common vision in the region, to increase national ownership and to disseminate the outputs and results were an effective strategy for ensuring that future efforts would continue in the same line. **(C11 based on F17 and F18)**

4.5 CROSS-CUTTING ISSUES

105. The analysis undertaken to underpin the project overlooked gender-related issues. As a result, the design was not gender-responsive. Nevertheless, an effort was made to integrate these issues as well as a human rights perspective during implementation (publications, themes discussed at events, etc.) The human rights perspective is reflected in the project's approach to logistics related challenges from a social and environmental perspective combined with the more traditional perspective on transport and infrastructure. **(C12 based on F19, F20 and 21)**
106. The project was directly (and indirectly) linked with the SDGs. However, it was too early to assess any contributions. A robust theory of change would be very useful for demonstrating the existing causality. **(C13 based on and F7, F8 and F21)**

5. LESSONS LEARNED

Working closely with the regional integration initiatives or mechanisms is an effective way to promote a common vision that, in turn, is able to strengthen the project's results, broaden the dissemination of products and enhance sustainability.

107. ECLAC is an excellence-driven organization with a strong record and reputation in the region. Its involvement has the potential to bring about significant efficiency gains by catalyzing dialogue, facilitating access to cutting-edge knowledge and attracting additional contributions (in-kind or other) to the projects. In line with its mandate, ECLAC promotes multilateral dialogue, knowledge-sharing and networking at the regional level, and works together to promote intra- and interregional cooperation.
108. In this sense, the project clearly illustrates the benefits of the strategy of working at national, subregional at interregional level. In particular, almost all subregional integration mechanisms were included in the project activities regardless of political sensibilities. The close collaboration with some of these mechanisms and the common vision promoted in the framework of the project were key factors in strengthening the results, dissemination and sustainability. This can be easily replicated in other project and sectors.

The support provided through the Development Account is an effective way to strengthen the role of ECLAC as a game changer by enabling the implementation of innovative approaches offering distinctive knowledge and skills that are not dealt with by other partners.

109. The role of the Development Account as a vehicle for member countries to tap into the normative and analytical expertise of the United Nations Secretariat was evident throughout the project. By offering distinctive knowledge and skills that are rarely dealt with by other development partners, ECLAC is well placed to be a game changer in terms of (i) promoting dialogue among government officials and civil society groups as well as (ii) promoting exchange of knowledge and transferring skills among countries. In this context, ECLAC is regarded as a key actor contributing to a shared United Nations vision.
110. Without the assistance of the Development Account support and the work guided by ECLAC, the interrelations between logistics policies and strategies and the sustainable use of natural resources would not have been examined in many countries. Furthermore, the project made it possible to implement an innovative approach to discussing logistics-related challenges from a social and environmental point of view. Such discussions would probably not have taken place were it not for the project, which has filled a significant gap in this sense.

6. RECOMMENDATIONS

111. On the basis of the evaluation findings and conclusions, this section presents four recommendations for actions deemed necessary to address the identified challenges. The recommendations are intended primarily for ECLAC divisions and subregional headquarters and the Department of Economic and Social Affairs, which are the main beneficiaries of this evaluation. They are meant to be actionable, i.e. specific and practical. However, some may require changes that stretch the Commission's current capacity.

Recommendation 1 (based on C2, C4 and C13)

To ECLAC divisions (with the support of the Programme Planning and Evaluation Unit / Programme Planning and Operations Division): Develop a comprehensive theory of change that explains the causality chain to achieve the objectives and results. It should identify intermediate effects and assumptions that are not necessarily under the control of the project and explain country and sector specificities. It could include one expected accomplishment for each dimension of capacity-building. Different stakeholders should be involved or, at the very least, their role in solving the problem should be identified during the design.

112. Developing and maintaining an evaluative culture in an organization is often seen as key to building more effective results management and evaluation approaches. It is therefore crucial that projects aiming to achieve complex change be underpinned by a robust theory of change. The theory of change is essential for demonstrating what has been achieved, facilitating monitoring and sharing information. It offers senior managers the ability to challenge the logic of the project and the evidence gathered on performance in order to oversee the results management regime, thus ensuring that the results are realistic, transparent and accountable.
113. In the future, it would be advisable for similar projects to develop a comprehensive theory of change that explains the causality chain to achieve the objectives and results. In some cases, it may be appropriate to include one expected accomplishment for each dimension of capacity-building identified by the Development Account (individual, organizational and enabling environment). The theory of change should also identify intermediate effects and assumptions that are not necessarily under the control of the project (sphere of influence). An effort should be made to identify the conditions and stakeholders responsible for achieving these effects. This would allow the consideration of complementary activities or remedial measures under the project, including its contribution to the SDGs.
114. The analysis should explain country and sector specificities (e.g. different policy areas), developing specific subtheories of change if necessary. By adopting a systemic approach during the design, possible unintended effects (either positive or negative), power relationships and conflicts that may exist at the boundaries of the system can be examined. Different stakeholders should be involved in the identification of the most critical problems (including underlying causes) and credible cause-effect relationships. This should include identifying their different roles, positions, strengths, weaknesses and influences. This process, which plays an important role in building stakeholder consensus, facilitates the identification of the partnerships needed to effectively address the problems and assesses the roles that different stakeholders must play in solving the problem.

Recommendation 2 (based on C5)

To the Department of Economic and Social Affairs and ECLAC divisions (with the support of the Programme Planning and Evaluation Unit /Programme Planning and Operations Division): Develop sets of indicators that comprehensively capture the performance of the project. The objective should be to capture both technical and political changes/processes and input/output processes. While aggregate or composite indicators may sometimes be useful, they must be accompanied by methodological specifications.

115. A solid results-based management (RBM) system rests on what is commonly referred to as a life cycle, where results are central to planning, implementation, monitoring and evaluation, reporting and ongoing decision-making. By focusing on results rather than activities, RBM helps to improve the integration of the vision and support for expected results and to monitor progress more effectively through indicators, targets and baselines. It is therefore essential to include a robust and comprehensive logical framework matrix in the project proposals, with clear and specific results, indicators, risks, assumptions and role of partners. This would enhance both the design and the evaluability of the projects.
116. It may be impossible to identify the indicators in sufficient detail at the time of the project proposal. In that case, the logical framework matrix should be revised at the beginning of the implementation to develop indicators that comprehensively capture the performance of the project, including processes and effects. An input-(process)-output-outcome-impact indicator model may be appropriate. Although it should aim to capture both technical and political changes/processes, measurement at the output level should not be overlooked as it enables monitoring of the use of resources, implementation of activities linked to those resources and specific project deliverables.
117. While it may provide valid information, an expected accomplishment is difficult to assess with a single indicator. Aggregate or composite indicators may be useful but must be accompanied by methodological specifications. To ensure the quality of indicators, they must comply with numerous criteria. Among other things, they must be specific, measurable, achievable, realistic, time-limited, relevant, acceptable, credible, easy, robust, clear, economical and adequate. In general, they should: (i) have a strong correlation with the objectives; (ii) be easily understood and unambiguous; (iii) enable collection of data with available resources; and (iv) be sensitive to changes. Furthermore, targets should be defined as specific, measurable and time-bound effects that contribute directly to the achievement of a goal.

Recommendation 3 (based on C6 and C7)

To the Department of Economic and Social Affairs, ECLAC and ESCAP: Put in place concrete procedures to enhance interregional work and strengthen the collaboration among United Nation Secretariat entities. This should involve joint design, a defined work programme and joint monitoring and reporting. Implementing partners should also agree on a strategy for maintaining interregional communication on a regular basis.

118. The Economic Commissions have a strong record and extensive experience working at intra-regional level. As has been the case in this project, interregional work should be considered in Development Account projects an effective instrument for achieving the desired objectives. Nevertheless, it is important to acknowledge and address the challenges of interregional work.

119. In particular, it would be advisable to put in place concrete procedures to strengthen the collaboration between Economic Commissions (and other entities of the United Nations Secretariat). In addition to joint design, this should involve a defined work programme as well as joint monitoring and reporting (e.g. progress and final reports). Implementing partners should also agree on a strategy for maintaining interregional communication on a regular basis (for example, by holding kick-off meetings). Thus, it would be possible to (i) envisage joint strategies for the use and dissemination of regionally-generated knowledge; (ii) identify opportunities for maximizing the creation of effective and sustainable relationships or enhancing interregional dialogue; and (iii) target the most relevant stakeholders, including civil society.

Recommendation 4 (based on C11)

To ECLAC divisions: Implement a sustainability plan (exit strategy) outlining how the project intends to withdraw its resources while ensuring that progress towards the goals continues. The strategy should include targeted activities to link the Development Account project's activities with the regular work of ECLAC and partners' future undertakings. This should be reflected in the final report by including indications on how to further sustain the project's results.

120. It is crucial to ensure a lasting impact of the results and achievements of this type of project in the form of sustained access to knowledge and enhanced technical capacity of beneficiaries. It is well known that funding cycles rarely align with needs, imposing artificial timelines on programme phase-out. This could be minimized by implementing a sustainability plan outlining how the project intends to withdraw its resources while ensuring that the achievement of the goals is not jeopardized and that progress towards these goals will continue.
121. For future projects, it would be advisable to outline an explicit 'exit strategy' at project outset and further develop it during the implementation. The strategy should include specific actions to promote ownership; (disseminate outputs and results; and ensure that the individual capacities are further translated into institutional capacities. In addition, the exit strategy should define the transition from one type of assistance (e.g. Development Account project) to another (e.g. regular work of ECLAC). Therefore, it is necessary to include targeted activities linking the project's results and the dissemination activities implemented with the future undertakings of ECLAC and its partners. At the very least, the final reports should include (reasoned) indications on how the projects results are to be sustained.

Recommendation 5 (based on C12)

To the Department of Economic and Social Affairs and ECLAC: Ensure thorough gender mainstreaming by undertaking a comprehensive gender analysis at project outset or, as a minimum, including a dedicated section in the project document. The design must include positive actions to (i) ensure equal and active participation of women in the activities; (ii) promote the added value of incorporating gender issues into the beneficiaries' work; and (iii) include gender-sensitive indicators and targets. Gender experts or representatives may be invited to the activities to ensure ongoing focus on gender issues.

122. There is wide consensus that gender-related issues should be mainstreamed in any development project. It is necessary to highlight target entry points for mainstreaming gender in ECLAC activities through advocacy, project and policy development, implementation, and monitoring and evaluation.

123. For future projects, it would be advisable to undertake a comprehensive gender analysis at the project outset. This could be made compulsory for all Development Account project proposals or, as a minimum, a specific section on gender could be included in the project document template. This would ensure that gender-specific roles and the differences in impact on men and women are identified.

124. As a result, the design may include gender-specific measures intended to (i) increase the effectiveness and impact of the project; (ii) benefit both men and women by increasing gender balance; or (iii) leverage the results to serve other development objectives, such as economic development and poverty reduction. It may be decided to include gender-specific activities — targeting women, for example— or to incorporate a gender dimension in non-targeted actions. As a minimum, positive actions must be implemented to ensure equal and active participation of women in the activities; promote the added value of incorporating gender issues into the beneficiaries' work, including capacity-building, policy advocacy, among others); and include gender-sensitive indicators (e.g. sex-dissagregated) and targets. An effective way of maintaining focus on these issues may be to include gender experts from partner development agencies or representatives from women's or gender NGOs in the activities.

ANNEXES

ANNEX 1	TERMS OF REFERENCE
ANNEX 2	DOCUMENTS REVIEWED
ANNEX 3	EVALUATION MATRIX
ANNEX 4	INTERVIEW GUIDELINES
ANNEX 5	SURVEY QUESTIONNAIRE
ANNEX 6	LIST OF INTERVIEWEES
ANNEX 7	EVALUATOR'S REVISION MATRIX

ANNEX 1

TERMS OF REFERENCE

Evaluation of the Development Account Project ROA 292-9 Logistics integration for a more sustainable exploitation of natural resources in Latin America and the Caribbean

I. Introduction

1. 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). 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 UN Secretariat in general and ECLAC in particular and within the normative recommendations made by different oversight bodies endorsed by the General Assembly, 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).

II. Evaluation Topic

2. This evaluation is an end-of-cycle review of a project aimed at strengthening the capacity of selected Latin American and Caribbean governments and the countries' representatives in the physical integration initiatives on the pivotal role of logistics for a more diversified use and sustainable exploitation of natural resources. The project expected to achieve this objective through fostering a more efficient design of infrastructure and logistics for the extraction and exports of natural resources and related industries, with the view to increase the added-value in the supply chain, the sustainability of this sector and the promotion of regional coherence approach that support the regional integration process. It aimed to do so through direct capacity-building, analysis and sharing of foreign experiences and best practices, and technical assistance missions.
3. Furthermore, as Asia-Pacific countries are main recipients of a large share of Latin American exports and significant part of the world logistics chain, coordination and cooperation in infrastructure and logistics between the two regions are also crucially important for a more efficient and sustainable logistics services. It was expected that the project would foster knowledge-sharing between the two regions and the exchange of experiences and best practices for a more sustainable exploitation of natural resources through the regional integration of logistics chains, facilitation process and the creation of added-value intra-regional clusters and be part of global value chains.

III. Objective of the Evaluation

4. The objective of this evaluation is to review the efficiency, effectiveness, relevance, and sustainability of the project implementation and more particularly document the results the project attained in relation to its overall objectives and expected results as defined in the project document.
5. The project objective was to strengthen the capacity of selected Latin American and Caribbean governments and the region's major physical integration initiatives in designing and implementing logistics strategies and policy elements to contribute towards a more diversified use and sustainable exploitation of natural resources.

6. The evaluation will place an important emphasis in identifying lessons learned and good practices that derive from the implementation of the project, its sustainability and the potential of replicating them to other countries.
7. The lessons learned and good practices in actual project implementation will in turn be used as tools for the future planning and implementation of projects.

IV. Background

The Development Account

8. The Development Account (DA) was established by the General Assembly in 1997, as a mechanism to fund capacity development projects of the economic and social entities of the United Nations (UN). By building capacity on three levels, namely: (i) the individual; (ii) the organizational; and (iii) the enabling environment, the DA becomes a supportive vehicle for advancing the implementation of internationally agreed development goals (IADGs) and the outcomes of the UN conferences and summits. The DA adopts a medium to long-term approach in helping countries to better integrate social, economic and environmental policies and strategies in order to achieve inclusive and sustained economic growth, poverty eradication, and sustainable development.
9. Projects financed from the DA aim at achieving development impact through building the socio-economic capacity of developing countries through collaboration at the national, sub-regional, regional and inter-regional levels. The DA provides a mechanism for promoting the exchange and transfer of skills, knowledge and good practices among target countries within and between different geographic regions, and through the cooperation with a wide range of partners in the broader development assistance community. It provides a bridge between in-country capacity development actors, on the one hand, and UN Secretariat entities, on the other. The latter offer distinctive skills and competencies in a broad range of economic and social issues that are often only marginally dealt with by other development partners at country level. For target countries, the DA provides a vehicle to tap into the normative and analytical expertise of the UN Secretariat and receive on-going policy support in the economic and social area, particularly in areas where such expertise does not reside in the capacities of the UN country teams.
10. The DA's operational profile is further reinforced by the adoption of pilot approaches that test new ideas and eventually scale them up through supplementary funding, and the emphasis on integration of national expertise in the projects to ensure national ownership and sustainability of project outcomes.
11. DA projects are being implemented by global and regional entities, cover all regions of the globe and focus on five thematic clusters¹. Projects are programmed in tranches, which represent the Account's programming cycle. The DA is funded from the Secretariat's regular budget and the Economic Commission for Latin America and the Caribbean (ECLAC) is one of its 10 implementing entities. The UN Department of Economic and Social Affairs (DESA) provides overall management of the DA portfolio.
12. ECLAC undertakes evaluations of each of its DA projects in accordance with DA requirements.

¹ 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>.

The project

13. The project under evaluation is part of the projects approved under this account for the 9th Tranche (2014-2017). It was implemented by the Economic Commission for Latin America and The Caribbean (ECLAC), specifically its Natural Resources and Infrastructure Division (NRID) in partnership with the Transport Division of Economic and Social Commission for Asia and the Pacific (ESCAP).
14. The original duration of this project was of approximately four years (February 2014–December 2017), having started activities in September 2014.
15. The overall logic of the project against which results and impact will be assessed contains an overall objective and a set of expected accomplishments and indicators of achievement that will be used as signposts to assess its effectiveness and relevance.
16. The project’s objective as stated above is “to strengthen the capacity of selected Latin American and Caribbean governments and the region’s major physical integration initiatives in designing and implementing logistics strategies and policy elements to contribute towards a more diversified use and sustainable exploitation of natural resources.”²
17. The expected accomplishments were defined as follows:
 - EA1: Increased understanding and capacity of policymakers in select countries in Latin America and the Caribbean and the countries representatives in the physical integration initiatives, regarding the pivotal role of logistics for the more diversified use and sustainable exploitation of natural resources.
 - EA2: Enhanced capacity of policymakers in select Latin American and Caribbean countries to design and implement national infrastructure, transport and logistics strategies and policies for diversified and sustainable exploitation of natural resources.
18. To achieve the expected accomplishments above, the following activities were originally planned:
 - (A1.1) Preparing and disseminating ten technical studies.
 - (A1.2) Launching a web-based toolkit of regional and international best logistics practices for sustainable exploitation of natural resources.
 - (A1.3) Organizing national workshop(s) for all stakeholders to increase the understanding of national authorities and stakeholders about the pivotal role of logistics for a more diversified use and sustainable exploitation of natural resources.
 - (A2.1) Organizing sub-regional training workshops for policy makers, using the existing the main regional physical integration mechanisms, to enhance the capacity of policy makers in at least 4 countries in LAC to design and implement logistics strategies and policies and particularly to discuss sub-regional logistics integration potential.
 - (A2.2) Providing technical assistance to policy makers in LAC in designing and implementing logistics integration strategies and complementary policies for more sustainable natural resources exploitation into a regional perspective.
 - (A2.3) Organizing one international seminars to discuss with high level national authorities the implementation of logistics strategies into a framework of regional common policies.

The budget for the project totalled US\$ 612,000. Progress reports were prepared on a yearly basis.

² See Annex 1: Project Document.

Stakeholder Analysis

19. Project beneficiaries included all relevant stakeholders involved in the design and implementation of infrastructure and logistics, and transport policies, as well as those involved in the design of policies related to the management and exploitation of natural resources and setting its regulations, including the Ministries of Transportation and Public Works, logistics and transports Associations and regional and subregional integration schemes and initiatives such as CELAC, UNASUR/COSIPLAN/IIRSA, CARICOM, Mesoamerican Project and SIECA, among others.

V. Guiding Principles

20. The evaluation will seek to be independent, credible and useful and adhere to the highest possible professional standards. It will be consultative and engage the participation of a broad range of stakeholders. The unit of analysis is the project itself, including its design, implementation and effects. The evaluation will be undertaken in accordance with the provisions contained in the Project Document. The evaluation will be conducted in line with the norms, standards and ethical principles of the United Nations Evaluation Group (UNEG)³.

21. It is expected that ECLAC's guiding principles to the evaluation process are applied⁴. In particular, special consideration will be taken to assess the extent to which ECLAC's activities and outputs respected and promoted human rights⁵. 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.

22. 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.

23. Moreover, the evaluation process itself, including the design, data collection, and dissemination of the evaluation report, will be carried out in alignment with these principles⁶.

24. The evaluation will also include an assessment of the project's contribution to the achievement of the Sustainable Development Goals (SDGs).

25. Evaluators are also expected to respect UNEG's ethical principles as per its "Ethical Guidelines for Evaluation"⁷:

- **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.

³ Norms and Standards for Evaluation, UNEG, June 2016, <http://www.unevaluation.org/document/detail/1914>. UNEG Ethical Guidelines for Evaluation, UNEG, March 2008, <http://www.unevaluation.org/document/detail/102>.

⁴ See ECLAC, "Preparing and Conducting Evaluations: ECLAC Guidelines" (2009) and ECLAC, "Evaluation Policy and Strategy" (2014) for a full description of its guiding principles.

⁵ For further reference see UNEG "Integrating Human Rights and Gender Equality in Evaluations" (2014), <http://www.unevaluation.org/document/detail/1616>.

⁶ *Human rights and gender perspective*.

⁷ UNEG Ethical Guidelines for Evaluation, UNEG, March 2008 (<http://www.unevaluation.org/document/detail/102>).

- 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.
- 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. Scope of the evaluation

26. In line with the evaluation objective, the scope of the evaluation will more specifically cover all the activities implemented by the project. The evaluation will review the benefits accrued by the various stakeholders in the region, as well as the sustainability of the project interventions. The evaluation will also assess and review the interaction and coordination modalities used in its implementation within ECLAC and between/among other co-operating agencies, especially with the other Regional Commission participating in the implementation of the project.

27. In summary, the elements to be covered in the assessment include:

- Actual progress made towards project objectives

- The extent to which the project has contributed to outcomes in the identified countries whether intended or unintended. More specifically, its contribution to the promotion of inter-regional and inter-sectoral dialogue towards a better understanding of infrastructure role and natural resource related public policies in the region.
- The efficiency with which outputs were delivered.
- The strengths and weaknesses of project implementation on the basis of the available elements of the logical framework (objectives, results, etc) contained in the project document.
- The validity of the strategy and partnership arrangements. Coordination among the Regional Commissions, and other co-operating agencies.
- The extent to which the project was designed and implemented to facilitate the attainment of the goals.
- Relevance of the project's activities and outputs towards the needs of Member States, the needs of the region and the mandates and programme of work of ECLAC.

28. It will also assess various aspects related to the way the project met the following Development Account criteria:

- 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.

VII. Methodology

29. The evaluation will use the following data collection methods to assess the impact of the work of the project:

- a) **Desk review and secondary data collection analysis:** of programmes of work of ECLAC, DA project criteria, the project document, annual reports of advance, workshops and meetings reports and evaluation surveys, other project documentation such as project methodology, country reports, consolidated report, webpage, etc.
- b) **Self-administered surveys:** Surveys to beneficiaries in the different participating countries covered by the project should be considered as part of the methodology. Surveys to co-operating agencies and stakeholders within the United Nations and the countries participating in the project should be considered if applicable and **relevant**. PPEU can provide support to manage the online surveys through SurveyMonkey. In the case, this procedure is agreed upon with the evaluator, PPEU will distribute the surveys among project beneficiaries to the revised lists facilitated by the consultant. PPEU will finally provide the evaluator with the consolidated responses.
- c) **Semi-structured interviews and focus groups** to validate and triangulate information and findings from the surveys and the document reviews, a limited number of interviews (structured, semi-structured, in-depth, key informant, focus group, etc.) may be carried out via tele- or video-conference with project partners to capture the perspectives of managers, beneficiaries, participating ministries, departments and agencies, etc. PPEU will provide assistance to coordinate the interviews, including initial contact with beneficiaries to present the assessment and the evaluator. Following this presentation, the evaluator will directly arrange the interviews with available beneficiaries, project managers and co-operating agencies.

- d) **Field visits:** In addition to undertaking data collection efforts in Santiago at ECLAC's headquarters, the consultant in charge of the evaluation will participate in the closing event of the project with a view to gauge the opinion of High level officials and authorities with regards to the impact, relevance and efficiency of the project.

30. Methodological triangulation is an underlying principle of the approach chosen. Suitable frameworks for analysis and evaluation are to be elaborated —based on the questions to be answered. The experts will identify and set out the methods and frameworks as part of the *inception report*.

VIII. Evaluation Issues/ Questions

31. 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 analysis⁸. The responses to these questions are intended to explain “the extent to which,” “why,” and “how” specific outcomes were attained.

32. The questions included hereafter are intended to serve as a basis for the final set of evaluation questions, to be adapted by the evaluator and presented in the inception report.

Efficiency

- a) Collaboration and coordination mechanisms between and within the two Regional Commissions that ensure efficiencies and coherence of response;
- b) Provision of services and support in a timely and reliable manner, according to the priorities established by the project document;

Effectiveness

- a) How satisfied are the project's main beneficiaries with the services they received?
- b) How much more knowledgeable are the participants in workshops and seminars?
- c) What are the results identified by the beneficiaries?
- d) Has the project made any difference in the behavior/attitude/skills/ performance of the clients?
- e) How effective were the project activities in enabling capacities and influencing policy making?
- f) Are there any tangible policies that have considered the contributions provided by the Regional Commissions in relation to the project under evaluation?

Relevance:

- a) How in line were the activities and outputs delivered with the priorities of the targeted countries?
- b) How aligned was the proposed project with the activities and programme of work of the RCs, specifically those of the subprogrammes in charge of the implementation of the project?
- c) Were there any complementarities and synergies with the other work being developed in the two RCs?

⁸ 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.

Sustainability

With beneficiaries:

- a) How did the project utilize the technical, human and other resources available in developing countries?
- b) How have the programme's main results and recommendations been used or incorporated in the work and practices of beneficiary institutions after completion of the project's activities? What were the multiplier effects generated by the programme?
- c) What mechanisms were set up to ensure the follow-up of networks created under the project?

Within the Regional Commissions:

- a) How has the programme contributed to shaping / enhancing the implementing RCs programmes of work / priorities and activities? The work modalities and the type of activities carried out? How has RCs built on the findings of the project?
- b) Have the project managers effectively taken into consideration human rights and gender issues in the design and implementation of the project and its activities?
- c) Has and how has the project contributed to the achievement of the Sustainable Development Goals (SDGs)?

IX. Deliverables

33. The evaluation will include the following outputs:

- a) **Work Plan.** No later than five days after the signature of the contract, the consultant must deliver to PPOD a detailed Work Plan of all the activities to be carried out related to the evaluation of project ROA/292-9, schedule of activities and outputs detailing the methodology to be used, etc.
- b) **Inception Report.** No later than 4 weeks after the signature of the contract, the consultant should **deliver** the inception report, which should include the background of the project, an analysis of the Project profile and implementation and a full review of all related documentation as well as project implementation reports. Additionally, the inception report should include a detailed evaluation methodology including the description of the types of data collection instruments that will be used and a full analysis of the stakeholders and partners that will be contacted to obtain the evaluation information. First drafts of the instruments to be used for the survey, focus groups and interviews should also be included in this first report.
- c) **Draft final evaluation Report.** No later than 12 weeks after the signature of the contract, the consultant should deliver the preliminary report for revision and comments by PPOD which should include the main draft results and findings, conclusions of the evaluation, lessons learned and recommendations derived from it, including its sustainability, and potential improvements in project management and coordination of similar DA projects.
- d) **Final Evaluation Report.** No later than 16 weeks after the signature of the contract, the consultant should deliver the final evaluation report which should include the revised version of the preliminary version after making sure all the comments and observations from PPOD and the ERG, which includes representatives of the implementing substantive Divisions of each Regional Commission have been included. Before submitting the final report, the consultant must have received the clearance on this final version from PPOD, assuring the satisfaction of ECLAC with the final evaluation report.
- e) **Presentation of the results of the evaluation.** A final presentation of the main results of the **evaluation** to ECLAC and other Regional Commissions staff involved in the project will be delivered at the same time of the delivery of the final evaluation report.

X. Payment schedule and conditions

34. The duration of the consultancy will be initially for 16 weeks during the months of September–December 2017. The consultant will be reporting to and be managed by the Programme Planning and Evaluation Unit (PPEU) of the Programme Planning and Operations Division (PPOD) of ECLAC. Support to the evaluation activities will be provided by the Natural Resources and Infrastructure Division of ECLAC in Santiago.
35. The contract will include the payment for the services of the consultant as well as all the related expenses of the evaluation. Payments will be done according to the following schedule and conditions:
- a) 30% of the total value of the contract will be paid against the satisfactory delivery of the inception report which should be delivered as per the above deadlines.
 - b) 30% of the total value of the contract will be paid against the satisfactory delivery of the draft final evaluation report which should be delivered as per the above deadlines.
 - c) 40% of the total value of the contract will be paid against the satisfactory delivery and presentation of the Final Evaluation Report which should be delivered as per the above deadlines.
36. All payments will be done only after the approval of each progress report and the final report from the Programme Planning and Evaluation Unit (PPEU) of the Programme Planning and Operations Division (PPOD) of ECLAC.

XI. Profile of the Evaluator

37. The evaluator will have the following characteristics:

Education

- MA in economics, public policy, development studies, business administration, or a related economic science.

Experience

- At least seven years of progressively responsible relevant experience in programme/project evaluation are required.
- At least two years of experience in areas related to logistics, infrastructure and/or natural resources management and exploitation is highly desirable.
- Experience in at least three evaluations with international (development) organizations is required. Experience in Regional Commissions and United Nations projects, especially Development Account projects is highly desirable.
- Proven competency in quantitative and qualitative research methods, particularly self-administered surveys, document analysis, and informal and semi-structured interviews are required.
- Working experience in Latin America and the Caribbean is desirable.

Language Requirements

- Proficiency in English and Spanish is required.

XII. Roles and responsibilities in the evaluation process

38. Commissioner of the evaluation

- ➔ (ECLAC Executive Secretary and PPOD Director)
 - Mandates the evaluation
 - Provides the funds to undertake the evaluation
 - Safeguards the independence of the evaluation process

39. Task manager

- ➔ (PPEU Evaluation Team)
 - Drafts evaluation TORs
 - Recruits the evaluator/evaluation team
 - Shares relevant information and documentation and provides strategic guidance to the evaluator/evaluation team
 - Provides overall management of the evaluation and its budget, including administrative and logistical support in the methodological process and organization of evaluation missions
 - Coordinates communication between the evaluator/evaluation team, implementing partners and the ERG, and convenes meetings
 - Supports the evaluator/evaluation team in the data collection process
 - Reviews key evaluation deliverables for quality and robustness and facilitates the overall quality assurance process for the evaluation
 - Manages the editing, dissemination and communication of the evaluation report
 - Implements the evaluation follow-up process

40. Evaluator/Evaluation team

- ➔ (External consultant)
 - Undertakes the desk review, designs the evaluation methodology and prepares the inception report
 - Conducts the data collection process, including the design of the electronic survey and semi-structured interviews
 - Carries out the data analysis
 - Drafts the evaluation report and undertakes revisions

41. Evaluation Reference Group (ERG)

- ➔ (Composed of representatives of each of the implementing partners)
 - Provides feedback to the evaluator/evaluation team on preliminary evaluation findings and final conclusions and recommendations
 - Reviews draft evaluation report for robustness of evidence and factual accuracy

XIII. Other Issues

42. Intellectual property rights. The consultant is obliged to cede to ECLAC all authors rights, patents and any other intellectual property rights for all the work, reports, final products and materials resulting from the design and implementation of this consultancy, in the cases where these rights are applicable. The consultant will not be allowed to use, nor provide or disseminate part of these products and reports or its total to third parties without previously obtaining a written permission from ECLAC.

43. Coordination arrangements. The team in charge of the evaluation comprised of the staff of the Programme Planning and Evaluation Unit of ECLAC and the consultant will confer and coordinate activities on an on-going basis, ensuring at least a monthly coordination meeting/teleconference to ensure the project is on track and that immediate urgencies and problems are dealt with in a timely manner. If any difficulty or problem develops in the interim the evaluation team member will raise it immediately with the rest of the team so that immediate solutions can be explored and decisions taken.

XIV. Assessment use and dissemination

44. This assessment seeks to identify best practices and lessons learned in the implementation of development account projects and specifically the capacity for the design and development of physical integration initiatives on the pivotal role of logistics for a more diversified use and sustainable exploitation of natural resources. The evaluation findings will be presented and discussed to ECLAC and if possible, with the participation of the co-operating Divisions of ESCAP participating in the implementation of the project. An Action Plan will be developed to implement recommendations when appropriate in future development account projects. The evaluation report will also be circulated through ECLAC's internet and intranet webpages (and other knowledge management tools), including circulating a final copy to DESA, as the programme manager for the Development Account, so as to constitute a learning tool in the organization.

ANNEX 2

DOCUMENTS REVIEWED

- Project Document
- Progress report 2016
- Actividades y Publicaciones del Proyecto
- Draft Programme of Work of the ECLAC System 2014-2015
- Draft Programme of Work of the ECLAC System 2016-2017
- Strategy For Mainstreaming Gender at ECLAC 2013-2017, ECLAC, October 2013
- Economic and Social Panorama of the Community of Latin American and Caribbean States, ECLAC, January 2017
- La irrupción de China y su impacto sobre la estructura productiva y comercial en América Latina y el Caribe, ECLAC, February 2017
- Trade Logistic and Regional Integration in Latin America & the Caribbean, IADB, December 2009
- Standards for Evaluation in the UN System, UNEG, April 2005
- Norms for Evaluation in the UN System, UNEG, April 2005
- UNEG Ethical Guidelines for Evaluation, UNEG, March 2008

ANNEX 3

EVALUATION MATRIX

RELEVANCE		
<i>The extent to which the project and its activities were suited to the priorities and policies of the region and countries at the time of formulation and to what extent they were linked or related to ECLAC's mandate and programme of work.</i>		
(EQ1) How in line were the activities and outputs delivered with the priorities of the targeted countries?		
Indicators	Collection Methods	Sources
The capacity development needs (and existing provision) have been defined, specially in the prioritised countries	Document review	Project Document
Quality of the problem and objective analysis	Interviews	Annual Progress Report 2016
Level of alignment of the problem analysis with major problem conditions (including the cause and effect links between the problem conditions)	Survey	Other documents if available (e.g. Progress Reports, Meeting Reports, etc.)
Evidence of alignment of objectives and EA with the region and countries' needs and priorities		ECLAC Project Managers
Project implementation is adequate to effectively address the three dimensions of CD, i.e. individuals, organisations and enabling environment		Beneficiaries
Level of satisfaction of relevant stakeholders with the design and content of the Project		
Degree of relevance of the project objectives throughout implementation		
Logic and plausibility of the means-end or cause effect relationship. i.e. the logframe provided rational linkage between inputs, outputs, outcome and objectives		

(EQ2) How aligned was the project with the activities and programme of work of the RCs, specifically those of the subprogrammes in charge of the implementation of the project?		
Indicators	Collection Methods	Sources
Evidence of coherence against main ECLAC mandate and policies	Document review	Project Document
Contribution and consistency with ECLAC's Programme of Work	Interviews	Annual Progress Report 2016
Degree of alignment with the overall DA mandate		Other documents if available (e.g. Progress Reports, Meeting Reports, etc.)
Evidence of coherence against main ESCAP mandate and policies		Programmes of Work of the ECLAC System 2014-2015 and 2016-2017
Contribution and consistency with ESCAP's Programme of Work		Strategy for Mainstreaming Gender at ECLAC 2013-2017
Evidence that the project design took into consideration human rights and gender issues		ESCAP's Programmes of Work for the biennia 2014-2015 and 2016-2017
Evidence of complementarities and synergies with other initiatives in the two RCs		ECLAC Project Managers
		(ESCAP Project Managers)

EFFICIENCY

Measurement of the outputs (qualitative and quantitative) in relation to the inputs, including complementarity (the extent to which the activities and the outcomes of the project have been able to establish and/or exploit synergies with other actions implemented by ECLAC, other UN bodies or local organizations) and value added (the extent to which the project's activities and outcomes have confirmed the advantages of ECLAC's involvement, specially by promoting human rights and gender equality).

(EQ3) Did the collaboration and coordination mechanisms put in place between and within the two Regional Commissions ensure efficiencies and coherence of response?

Indicators	Collection Methods	Sources
Extent to which the governance and management structures of the project facilitated the implementation	Document review Interviews	Project Document Annual Progress Report 2016 Other documents if available (e.g. Progress Reports, Meeting Reports, etc.) ECLAC Project Managers (ESCAP Project Managers)
Number and type of processes and/or procedures that were enacted to improve the implementation		
Evidence of clarity in definition of roles and responsibilities with regard to ECLAC's procedures and reporting requirements		
Extent to which the management of the project was based on results, including the existence of a RBM policy		

(EQ4) Were services and support provided in a timely and reliable manner according to the priorities established in the project document?

Indicators	Collection Methods	Sources
Planned versus actual work plan	Document review Interviews Survey	Project Document Annual Progress Report 2016
Planned vs. actual allocation of expenses		
Implementation delays due to lack of resource allocation timeliness		

Responses and actions taken to expedite processes		Other documents if available (e.g. Progress Reports, Meeting Reports, etc.) ECLAC Project Managers Beneficiaries
Nature of delays that affected the implementation		
Degree to which the project beneficiaries feel that project activities were delivered in a timely manner		
Evidence that the project put in place an M&E system that fulfilled both accountability and learning requirements		
Evidence that the log frame was used as an effective management tool		

EFFECTIVENES

The extent to which the project attained its objectives and expected accomplishments.

(EQ5) How effective were the project activities in enabling capacities at individual level?

Indicators	Collection Methods	Sources
Degree of satisfaction of the project's main beneficiaries with the provided services (in at least four LAC countries)	Document review Interviews	Annual Progress Report 2016
Evidence that the participants in workshops and seminars increased their knowledge and understanding to implement logistics strategies and policy (in at least four LAC countries)	Survey	Other documents if available (e.g. Progress Reports, Meeting Reports, etc.) ECLAC Project Managers Beneficiaries
Evidence that he project made a difference in the beneficiaries' behaviour, attitude, skills or performance to implement logistics strategies and policy (in at least four LAC countries)		
Level of involvement in the activities of interested constituencies outside the national government (business associations, farm and labour organizations, professional societies, etc.)		

(EQ6) How effective were the project activities in influencing policy making?		
Indicators	Collection Methods	Sources
Evidence that information has flowed both ways (ECLAC-policymakers)	Document review Interviews Survey	Annual Progress Report 2016 Other documents if available (e.g. Progress Reports, Meeting Reports, etc.) ECLAC Project Managers Beneficiaries
Evidence that the contributions provided by the RCs in relation to the project have been considered by policy makers		
Evidence of the project contribution towards integrating the pivotal role of logistics into (tangible) policies (including draft strategies and policy elements) for a more diversified use and sustainable exploitation of natural resources (in at least four LAC countries)		
Evidence of the project contribution to incorporate the pivotal role of logistics for a more diversified use and sustainable exploitation of natural resources into the discussions of the physical integration initiatives in the region		
Evidence of the project contribution to expanding policymaking capacities in government by broadening policy horizons with new questions and new answers		
Other effects (results) identified by the beneficiaries		
Evidence of the project contribution to reach a greater complementarity of policy approaches in the region		

SUSTAINABILITY		
<i>The extent to which the benefits of the project are likely to continue after funding has been withdrawn, including long-term impact, dissemination and replication.</i>		
(EQ7) How was sustainability embedded into the theory of change?		
Indicators	Collection Methods	Sources
Evidence of the project's explicit intent to influence policy and its clarity	Document review	Project Document
Evidence that the knowledge generated was specifically directed to those in the policy process who are best placed to adopt and apply that knowledge	Interviews	Annual Progress Report 2016
Evidence of an exit strategy being considered during the design	Survey	Other documents if available (e.g. Progress Reports, Meeting Reports, etc.)
Level of satisfaction of beneficiaries with their involvement during implementation		ECLAC Project Managers
Extent to which project design factored in strengthening local ownership and commitment among key stakeholders		UN / International Partners
Quality of partnerships with new donors or partners to improve after-project financial capacity		Beneficiaries
Evidence that the project sought for political support both at global and country level		
Evidence of a scaling or replication plan		
Budget for scaling out to other locations		
(EQ8) To what extent has the project implemented measures to enhance the results sustainability?		
Indicators	Collection Methods	Sources
Extent to which the project responded to the policy setting changes	Document review	Annual Progress Report 2016
Extent to which the project utilized the technical, human and other resources available in the beneficiary countries	Interviews Survey	Other documents if available (e.g. Progress

Evidence of the project's main results and recommendations being used by beneficiary institutions after project end		Reports, Meeting Reports, etc.)
Evidence that the project has catalyzed or identified opportunities (bottlenecks and weaknesses in fundamental capacities) that if acted on will improve likelihood of impact (a more diversified use and sustainable exploitation of natural resources)		ECLAC Project Managers
Evidence of multiplier effects generated by the project		UN / International Partners
The project has contributed to develop a shared vision within the region		Beneficiaries
Mechanisms set up to ensure the follow-up of the networks created by the project		
Perception of an enabling environment to carry on by government officials after the project ends		

CROSS-CUTTING ISSUES

The extent to which and how the project and its activities considered human rights, gender issues and other overarching strategies, including the achievement of the SDGs.

(EQ9) To what extent and how were human rights and gender issues considered in the design and implementation of the project and its activities?

Indicators	Collection Methods	Sources
Evidence of a gender analysis being conducted during the design (or at least a gender sensitive context analysis)	Document review	Project Document
Evidence of human rights consideration during the design and implementation	Interviews	Annual Progress Report 2016
The project design includes gender sensitive objectives or EAs	Survey	Other documents if available (e.g. Progress Reports, Meeting Reports, etc.)
The project design includes gender sensitive indicators, activities or outputs		

Evidence of a project's effort to ensure equal and active participation of women in the activities (intentional)		ECLAC Project Managers
Evidence of transformative elements in the project and/or its activities		
Evidence of the project contribution towards an enabling environment		
(EQ10) To what extent and how has the project contributed towards other overarching strategies including the achievement of the SDGs?		
Indicators	Collection Methods	Sources
Evidence of the project's contribution to shaping or enhancing ECLAC's programme of work, priorities and activities	Document review Interviews	Annual Progress Report 2016
Work modalities and the type of activities carried out	Survey	Other documents if available (e.g. Progress Reports, Meeting Reports, etc.)
Evidence of ECLAC's use of the findings of the project		ECLAC Project Managers
Evidence of the project's contribution to the achievement of the SDGs		

ANNEX 4

INTERVIEW GUIDELINES

	QUESTIONS	ECLAC Project Managers	National institutions	Regional initiatives	Civil society
EQ1	1) Is it effective or convenient to consider the contribution of logistics strategies and policy elements towards a more diversified use and sustainable exploitation of natural resources?	✓	✓	✓	✓
	2) Do LAC governments need to strengthen their capacity to design and implement logistics strategies and policy elements that contribute towards a more diversified use and sustainable exploitation of natural resource? Are they interested?	✓	✓	✓	✓
	3) Are the region's major physical integration initiatives the right platforms to promote this type of policies? Why?	✓	✓	✓	✓
	4) Do you think that the cause-effect relationships identified at project design are logic and plausible?	✓			
EQ2	5) Do you think that the project has contributed to ECLAC's Programme of Work?	✓			
	6) Are there any synergies and complementarities with other initiatives?	✓			
EQ3	7) Do you think that the governance and management structures of the project facilitated its implementation? Were any specific procedures put in place?	✓	✓		
	8) Were the roles and responsibilities sufficiently clear (e.g. reporting requirements)?	✓	✓		

	QUESTIONS	ECLAC Project Managers	National institutions	Regional initiatives	Civil society
EQ4	9) Were there any delays during implementation? Do you know the cause of the delay? Were there any actions taken to expedite processes?	✓			
	10) Was the Logical Framework used as a management tool? Was it reviewed when necessary? Were the indicators useful? Was information collected as prescribed?	✓			
	11) Did the project put in place an M&E system that fulfilled both accountability and learning requirements?	✓			
	12) Do you think that the products were available and the events organised in line with with the project design? Were they provided in a timely manner?	✓	✓	✓	✓
EQ5	13) To what extent do you think that your knowledge has increased after your participation in the events? Has it been useful to improve your work?		✓	✓	✓
	14) Are you familiar with the project publications? Are they useful to improve your work?	✓	✓	✓	✓
	15) Do you think that interested constituencies outside the national government (business associations, farm and labour organizations, professional societies, etc.) were actively involved in the activities?	✓	✓	✓	✓
EQ6	16) Do you think that information has flowed both ways, i.e. from ECLAC towards the countries but also from the countries towards ECLAC?	✓	✓	✓	✓
	17) Do you think that the project helped raise awareness on the need to integrate/ coordinate logistics and natural resources exploitation policies?	✓	✓	✓	✓

QUESTIONS		ECLAC Project Managers	National institutions	Regional initiatives	Civil society
	18) Have the project contributions been considered by policy makers? Has the project contributed towards integrating the pivotal role of logistics into (tangible) policies (including draft strategies and policy elements) for a more diversified use and sustainable exploitation of natural resources?	✓	✓	✓	✓
	19) Has the project contributed towards a common vision in the region?	✓	✓	✓	✓
EQ7	20) Do you think that the project has an explicit intent to influence policy? Was it sufficiently clear?	✓	✓	✓	✓
	21) Was the knowledge generated specifically directed to those in the policy process who are best placed to adopt and apply that knowledge?	✓	✓	✓	✓
	22) Did the project implement an exit strategy? To what extent did the project factored in strengthening local ownership and commitment among key stakeholders?	✓	✓	✓	✓
	23) Are you aware of any partnerships to improve after-project financial capacity? Are you aware of any scaling or replication plan? Is there any budget available?	✓	✓	✓	✓
EQ8	24) Did the project respond to the policy setting changes?	✓	✓	✓	
	25) Do you consider that the project used regionally-generated knowledge (e.g. to identify good practices, to establish indicators, to generate policies, etc.)? And technical, human and other resources available in the beneficiary countries?	✓	✓	✓	✓
	26) Are you aware of the project's main results and recommendations being used by beneficiary institutions?	✓	✓	✓	✓

QUESTIONS		ECLAC Project Managers	National institutions	Regional initiatives	Civil society
	27) Are you aware of any opportunities (bottlenecks and weaknesses in fundamental capacities) that if acted on will improve the likelihood of impact (a more diversified use and sustainable exploitation of natural resources)?	✓	✓	✓	✓
	28) Do you think that the project has generated multiplier effects? Which ones?	✓	✓	✓	✓
	29) Has the project contributed towards a shared vision within the region??	✓	✓	✓	✓
EQ9	30) Do you think that human rights and gender issues were sufficiently considered during project design?	✓			
	31) Do you think that human rights and gender issues were sufficiently considered during project implementation, including in the activities and products? How?	✓	✓	✓	✓
EQ10	32) Has the project contributed to the achievement of the SDGs? How?	✓	✓	✓	✓
	33) Has ECLAC used the findings of the project?	✓			
	34) Has it contributed to shaping/enhancing ECLAC's programme of work/priorities and activities?	✓			
	35) Has ECLAC implemented measures to continue the same line of work?	✓			

ANNEX 5

SURVEY QUESTIONNAIRE

Section A (general)

1) **Indique su sexo**

- Hombre
- Mujer
- Otro / No quiere contestar

2) **¿En qué país trabaja? (elija una opción)**

- To be completed on the basis of the final list of participants

3) **¿Cuál es su cargo actual? (elija una opción)**

- Gerente / Director
- Oficial técnico
- Oficial administrativo
- Investigador
- Otro (por favor especificar) _____

4) **¿En qué tipo de institución trabaja? (elija una opción)**

- Institución gubernamental
- Agencia regional intergubernamental
- Organización de la sociedad civil (ONG, Fundación, etc.)
- Academia
- Otro (por favor especificar) _____

5) **¿Los objetivos del proyecto responden a las necesidades y prioridades del/de los país/es y la región?**

- Sí
- No
- Sin conocimiento suficiente para responder

Comentarios: _____

Section B (events)

6) ¿En qué evento(s) organizado(s) por el proyecto ha participado? (elijá tantas opciones como sean necesarias)

- Taller Nacional sobre políticas nacionales integradas y sostenibles de logística y movilidad celebrado en San Jose (Costa Rica) entre el 21 y 22 de abril de 2015
- Taller Nacional sobre políticas nacionales integradas y sostenibles de logística y movilidad celebrado en (Perú) entre el 15 y 16 de junio de 2016
- Taller Nacional sobre integración de infraestructuras logísticas y recursos naturales celebrado en Santa Cruz de la Sierra (Bolivia) entre el 10 y 11 de agosto de 2017
- Taller sub-regional “Transport terrestre en Haïti : Enjeux et Défis de la Modernisation” celebrado en Port-au-Prince (Haiti) entre el 3 y 4 de septiembre de 2015
- Taller sub-regional “Sobre Políticas nacionales integradas y sostenibles de logística y movilidad” celebrado en Bogota (Colombia) entre el 4 y 5 de noviembre de 2015
- Taller sub-regional “Gobernanza de los Recursos Mineros e Infraestructura: el caso de la industria del carbón mineral en Colombia” celebrado en Cartagena de Indias (Colombia) entre el 5 y 6 de abril de 2016
- Taller sub-regional “Políticas de logística, recursos naturales y su vínculo con los Objetivos de Desarrollo Sostenible” celebrado en Santiago (Chile) entre el 16 y 18 de agosto de 2016
- Taller sub-regional “Políticas integradas y sostenibles de logística” celebrado en Qetaro (México) entre el 13 y 14 de junio de 2017
- La Semana de la Gobernanza de los Recursos Naturales y la Infraestructura celebrada en Santiago (Chile) entre el 7 y 11 de noviembre de 2016

7) ¿Hasta qué punto le parece que el/los evento(s) del proyecto en los que usted participó fue/fueron relevante(s), teniendo en cuenta el contexto de su país?

- Muy relevante(s)
- Relevante(s)
- Algo relevante
- No relevante
- Sin conocimiento suficiente para poder responder

Comentarios: _____

8) ¿Cuál es su nivel de satisfacción respecto a los temas tratados en el/los evento(s)?

- Muy satisfecho
- Satisfecho
- Algo satisfecho
- No satisfecho
- Sin conocimiento suficiente para poder responder

Comentarios: _____

9) ¿Cuán eficientes considera que fue/fueron el/los evento(s)?

- Muy eficiente(s)
- Eficiente(s)
- Algo eficiente(s)
- Nada eficiente(s)
- Sin conocimiento suficiente para poder responder

Comentarios: _____

10) ¿Participaron activamente los distintos grupos interesados de la sociedad civil en el/los evento(s) (asociaciones empresariales, organizaciones agrícolas y laborales, sociedades profesionales, etc.)?

- Sí
- No
- Sin conocimiento suficiente para responder

Comentarios: _____

11) Indique en qué medida cree que en el futuro se organizarán eventos similares sin el apoyo de la CEPAL

- Seguramente
- Probablemente
- Probablemente no
- Seguramente no

Comentarios: _____

12) ¿Utiliza los conocimientos adquiridos a través de su participación en el/los evento(s) organizado(s) en el marco de este proyecto, en el desarrollo de su trabajo habitual?

- Si
- No
- Sin conocimiento suficiente para poder responder

Favor especificar de qué manera ha aplicado los conocimientos adquiridos en el desarrollo de su trabajo habitual: _____

13) ¿En su opinión hubo igualdad en la participación de mujeres y hombres en el/los evento(s)?

- Sí
- No
- Sin conocimiento suficiente para responder

Comentarios: _____

14) **¿Considera que en los temas tratados en el/los evento(s) incorporaron un enfoque de derechos humanos?**

- En profundidad
- Someramente
- Nada
- Sin conocimiento suficiente para responder

Comentarios: _____

15) **¿Considera que en los temas tratados en el/los evento(s) incorporaron un enfoque de igualdad de género?**

- En profundidad
- Someramente
- Nada
- Sin conocimiento suficiente para responder

Comentarios: _____

Section C (publications)

16) **¿Cual(es) de las siguientes publicaciones elaboradas en el marco del proyecto conoce usted? (puede marcar más de una opción)**

- Boletín FAL: Logística de recursos naturales en los países sin litoral de América Latina y el Caribe, 2016
- Joint paper on inland waterways classification for South America, Azhar Jaimurzina, Gordon Wilmsmeier, Otto Koedijk, Philippe Rigo, marzo 2017
- Recolección y tratamiento de datos sobre inversiones en infraestructura a partir de las finanzas públicas en América Latina y el Caribe, Jeannette Lardé, Salvador Marconi, abril 2017
- Aspectos metodológicos en el vínculo entre recursos naturales y logística regional, Lorena García Alonso, abril 2017
- Infraestructura logística para una mejor gobernanza de la cadena del carbón en Colombia, Diego Duque, Oscar Medina, Miryam Saade Hazin, julio 2017
- Las cadenas logísticas mineras en el Perú Oportunidades para una explotación más sostenible de los recursos naturales, René Cornejo Díaz, septiembre 2017
- La gobernanza de los recursos naturales y los conflictos en las industrias extractivas - El caso de Colombia, Eduardo Ramos Suárez, Cristina Muñoz Fernández, Gabriel Pérez, septiembre 2017
- Ninguna de las anteriores ⇒ **To question 23 (section D)**

17) **¿Considera que esta(s) publicación(es) son relevantes y responden a las necesidades y prioridades del/de los país/es y la región?**

- Muy relevante(s)
- Relevante(s)
- Algo relevante
- No relevante
- Sin conocimiento suficiente para poder responder

Comentarios: _____

18) ¿Ha utilizado esta(s) publicación(es) en el desarrollo de su trabajo habitual?

- Mucho
- Bastante
- Poco
- Nada
- Sin conocimiento suficiente para poder responder

Favor brindarnos ejemplos de cómo las ha utilizado: _____

19) ¿Considera que esta(s) publicación(es) es/son de buena calidad?

- Sí
- No
- Sin conocimiento suficiente para poder responder

Comentarios: _____

20) ¿Considera que esta(s) publicación(es) tiene(n) un enfoque de derechos humanos?

- Sí, aborda el tema adecuadamente (en profundidad)
- Probablemente sí pero aborda el tema someramente
- No se trató adecuadamente
- No, pero este tema no era relevante
- Sin conocimiento suficiente para responder

Comentarios: _____

21) ¿Considera que esta(s) publicación(es) tiene(n) un enfoque de igualdad de género?

- Sí, aborda el tema adecuadamente (en profundidad)
- Probablemente sí pero aborda el tema someramente
- No se trató adecuadamente
- No, pero este tema no era relevante
- Sin conocimiento suficiente para responder

Comentarios: _____

22) ¿Considera que esta(s) publicación(es) incorporan suficientemente el punto de vista de la sociedad civil (asociaciones empresariales, organizaciones agrícolas y laborales, sociedades profesionales, etc.)?

- Sí
- No
- No, pero no era necesario/relevante
- Sin conocimiento suficiente para responder

Comentarios: _____

Section D (technical assistance)

23) ¿Ha participado de alguna forma en la asistencia técnica brindada por el proyecto?

- Sí
- No ⇒ **To question 28 (section E)**

24) ¿Cuál es su nivel de satisfacción con la calidad de la asistencia?

- Muy satisfecho
- Satisfecho
- Algo satisfecho
- No satisfecho
- Sin conocimiento suficiente para poder responder

Comentarios: _____

25) ¿Considera que la asistencia se brindó de forma eficiente?

- Si
- No
- Sin conocimiento suficiente para poder responder

¿Por qué? _____

26) Por favor, indique en qué medida cree que en el futuro se organizarán acciones similares sin el apoyo de la CEPAL

- Seguramente
- Probablemente
- Probablemente no
- Seguramente no

Comentarios: _____

27) ¿Considera que la asistencia técnica benefició igualmente a hombres y mujeres?

- Si
- No
- Sin conocimiento suficiente para poder responder

Comentarios: _____

Section E (all activities)

28) ¿En qué medida ha/han contribuido el/los evento(s), las publicaciones y/o la asistencia técnica a aumentar su...?

	Mucho	Bastante	Poco	Nada	Sin conocimiento suficiente para responder
Conocimiento sobre distintas opciones de estrategias y políticas logísticas					
Capacidad para diseñar e implementar estrategias y políticas logísticas eficaces					
Convencimiento de la necesidad de establecer estrategias y políticas logísticas eficaces para un mejor uso de los recursos naturales					
Capacidad para establecer vínculos entre las estrategias logísticas y el uso sostenible de los recursos naturales					

29) Por favor indique su grado de acuerdo o desacuerdo con las siguientes afirmaciones

	Mucho	Bastante	Poco	Nada	Sin conocimiento suficiente para responder
Las políticas y estrategias logísticas juegan o pueden jugar un papel primordial en la mejora del uso y sostenibilidad de los recursos naturales					
Los responsables políticos de la región están interesados en elaborar políticas y estrategias logísticas eficaces que promuevan un mejor uso de los recursos naturales					
La falta de capacidades y/o de información de los responsables políticos de la región es la principal limitación para la elaboración de políticas y estrategias logísticas eficaces que promuevan un mejor uso de los recursos naturales					
Las iniciativas de integración regional ofrecen un foro adecuado para promover este tipo de políticas y estrategias					

30) ¿Ha contribuido el proyecto a un intercambio bidireccional de información entre la CEPAL y los países?

- Sí, en las dos direcciones
- No, la información solo ha sido transmitida desde la CEPAL a los países
- No, la información no ha fluido en ninguna dirección
- Sin conocimiento suficiente para responder

Comentarios: _____

31) ¿En qué medida cree que han contribuido las actividades del proyecto a mejorar las capacidades de los gobiernos de la región para promover y diseñar políticas de infraestructura y logística más eficaces?

- Mucho
- Bastante
- Poco
- Nada
- Sin conocimiento suficiente para responder

Comentarios: _____

32) ¿Sabe si existen nuevas iniciativas políticas o programas que hayan resultado de la implementación o contado con insumos de este proyecto?

- Si
- No
- Sin conocimiento suficiente para poder responder

Comente cuales son: _____

33) ¿Existe apoyo político y/o un ambiente favorable para continuar con acciones similares a las implementadas por este proyecto?

- Si
- No
- Sin conocimiento suficiente para poder responder

Comentarios: _____

34) Por favor indique su grado de acuerdo o desacuerdo con las siguientes afirmaciones

	Mucho	Bastante	Poco	Nada	Sin conocimiento suficiente para responder
El proyecto tiene la intención explícita de influir las políticas en la región					
La influencia política perseguida por el proyecto estaba suficientemente clara					
El conocimiento generado se ha dirigido específicamente a aquellos responsables del proceso político que están en mejor disposición para adoptar y aplicar ese conocimiento					
El proyecto ha respondido a los cambios políticos que se han producido durante su implementación					
Existe apropiación del proyecto por parte de los beneficiarios					
Existe apoyo político para continuar con acciones similares					
Se han establecido alianzas que aseguran la sostenibilidad de los resultados					
El proyecto o alguna de sus actividades tienen potencial para ser replicados					
El proyecto ha contribuido a una visión común en la región					
El proyecto ha contribuido a una mayor complementariedad en las políticas de la región					
El proyecto o alguna de sus actividades han tenido o tendrán un efecto multiplicador					
Su institución (y/o país) ha puesto en marcha mecanismos o iniciativas para seguir avanzando en las áreas trabajadas por el proyecto proyecto					
La CEPAL ha puesto en marcha mecanismos adecuados para asegurar la sostenibilidad del proyecto					

35) ¿El proyecto ha contribuido de alguna forma a los ODS?

- Sí
- No
- Sin conocimiento suficiente para responder

Comentarios (p.ej. cual fue la contribución, como podría haber contribuido en mayor medida, alineamiento con UNDAF Action Plans o UN Common Country Assessments, etc.):

36) ¿Cuales considera que fueron los principales resultados del proyecto?

37) ¿Tiene algún otro comentario o recomendación para futuras actividades?

ANNEX 6

LIST OF INTERVIEWEES

(Remote)

- Gabriel Pérez, Oficial de Asuntos Económicos, ECLAC
- Sooyeob Kim, Economic Affairs Officer, ESCAP
- Juan Carlos Paz, Director General de Transporte Acuático / Ministerio de Transportes y Comunicaciones, Peru
- René Cornejo Ex-primer ministro, actual docente universitario y consultor del proyecto, Peru
- Guillermo Bouroncle Calixto, Gerente General - Autoridad Portuaria Nacional, Peru
- Pedro Silva Barros, Director de Asuntos Económicos, UNASUR
- David Suarez, Actual docente universitario y consultor del proyecto, Bolivia
- Rafael Riva Arana, Gerente técnico y de operaciones, Cámara de exportadores, logística y promoción de inversiones de Santa Cruz, Bolivia
- Vikash Supersad, Consultor del proyecto, Trinidad and Tobago
- Diego Duque, Consultor del proyecto, Colombia
- Edgar Higuera, Director Ejecutivo-Cámara de Grandes Usuarios de Servicios Logísticos-ANDI, Colombia
- Gloria Lopez, Directora Maestría en Logística Integral, Facultad de Ingeniería-Dpto OyS, Colombia
- Mauricio Fernández, Director de Planificación Sectorial, Ministerio de Obras Públicas y Transportes, Costa Rica
- Joyce Arguedas, Sub-Directora, Secretaría de Planificación Sectorial, Ministerio de Obras Públicas y Transportes, Costa Rica
- Jesús Zamora, Jefe, Proceso de Gestión Ambiental y Social, Secretaría de Planificación Sectorial, Ministerio de Obras Públicas y Transportes, Costa Rica
- Ibis San Lee, Ministerio de Obras Públicas y Transportes, Costa Rica

(Mission to Costa Rica)

- Lander Roman, Analista Logístico, Promotora del Comercio Exterior de Costa Rica (PROCOMER)

(Mission to El Salvador)

- José Rodrigo Rendón, Coordinador de Asocios Público-Privados, FOMILENIO II
- Carolina Olivares, Gerente del Eje Económico, Proyecto Mesoamérica
- Bessy Guzmán, Gerencia de Desarrollo Institucional, Ministerio de Obras Públicas, Transporte, Vivienda y Desarrollo Urbano

ANNEX 7

EVALUATOR'S REVISION MATRIX

Evaluation of the Development Account Project:

“Logistics integration for a more sustainable exploitation of natural resources in Latin America and the Caribbean” 14/15AJ

Evaluation Report Feedback Form: PPOD/PPEU

GENERAL COMMENTS		
REPORT SECTION (if applicable)	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
	Please make sure to include an executive summary in the final version of the report. The executive summary must be able to function as a stand-alone document summarizing all the main sections of the evaluation report, with emphasis in the findings, conclusions, lessons learned and recommendations.	Done
	Please include a list of acronyms at the beginning of the report.	Done
	Please edit the text to correct various typos and grammatical errors.	Done
Main Findings	Please re-structure this section by: highlighting each specific finding as a subtitle and by numbering them, immediately after, include the explanation and supporting evidence related to each finding. Furthermore, we consider that this section would benefit from a more in-depth analysis and presentation of project specific related information. Currently there is a lot of very useful academic-type of explanations but little project specific information or analysis. Finally, we would appreciate a better inclusion of findings and analysis related to the specific substantive issues addressed by the project.	Done
Sustainability	We consider this section needs a more in-depth analysis.	Done
Conclusions	Conclusions need to be more clearly linked to the findings presented in the previous section, as currently this seem to be detached from the information and analysis presented in the findings section, therefore lacking consistency with the findings section or proper support for the conclusions presented. Please see more specific related comments in the section below. Please make sure to complete the information on the findings to which each conclusion is linked (currently linked to paragraphs, but missing the information).	Done

GENERAL COMMENTS		
REPORT SECTION (if applicable)	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Effectiveness	In the effectiveness section we are missing an assessment of the project results vis-à-vis the established EAs and IOAs, or their not achievement and the reasons behind achieving or not achieving them.	This was not deemed necessary by the evaluator. Although the achievement of the indicators is not explicitly discussed, it is clearly implicit in section §3.3.1 (IA1.1) and §3.3.2 (IA2.1). The weaknesses of the indicators (and therefore why they are not directly used to measure the project's achievements) is explained in section §3.1.3.
Lessons Learned	The lesson learned section needs to be strengthened and more clearly linked to identified best practices and lessons learnt of this particular project. Many of them are too generic and not clearly linked to the findings of the evaluation, nor providing clear details or explanations on why they constitute lessons learned and/or how they can be more widely applied to the work of ECLAC.	Done
Recommendations	The recommendations included so far in this report are too generic and not clearly linked to the findings and conclusions of the evaluation. Even though, many recommendations might be applicable and useful for the improvement of project management at ECLAC, they do not derive from weaknesses or strengths of the particular project being evaluated. We would therefore request the evaluator to rethink this section, to include recommendations that respond to actual findings and conclusions from the implementation of the project being evaluated, and that can be implemented by ECLAC in general and very importantly by the implementing division in particular as well. Preferably, recommendations should not only be linked to the management of the project but should also cover at least partially the substantive issues under the project's purview.	Done
SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Paragraph 12 and 13.	Please revise, as the information presented in the last two sentences of both paragraphs is almost exactly the same (repetitive).	Done

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Paragraph 17.	We recommend moving the first sentence of the paragraph (that related to the evaluation of gender concerns) to paragraph 12, where the evaluator mentions the incorporation of ECLAC's guiding principles.	Done
Paragraph 18.	Please include a separate section on cross-cutting issues, where EQ9 and 10 should be incorporated, as the issues covered by these question, are not only linked to the sustainability criteria, where they currently are located.	Done
Paragraph 45.	In this paragraph, the evaluator states that the “project has contributed crucial research, by strengthening technical capacities and by encouraging collaboration among different ECLAC Offices ”. Could the evaluator please provide more details on this collaboration (with Divisions, what types of collaboration, etc.).	The statement was not relevant and has been deleted.
Paragraph 50.	Please check the second sentence, it states that the project activities focused in four countries, however, there are five countries mentioned in the parenthesis.	Done
Paragraph 52.	Please check the last sentence, it states that five countries account of approximately half of the participants in the events, however, there are only four countries mentioned afterwards.	Done
Paragraph 56.	In the second sentence of this paragraph, the evaluator mentions the following: “It reflects the issues identified above for the problem tree, including lack of details.....hierarchy”, making reference to something that had supposedly already been mentioned in the analysis of the problem tree. However, the report does not include an assessment of the problem tree detailing these problems, before this section, nor afterwards.	Done
Paragraph 58.	Could the evaluator please explain more in detail why does he consider that the formulation of project's objective and EAs is not clear and the causality chain is not demonstrated.	Paragraphs 57, 58 and 59 have been merged to make the message clearer and avoid repetition.

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Paragraph 60.	In this paragraph the evaluator mentions the need for clear targets as demanded in the new DA guidelines. However, in the project document, targets are clearly stated for each IOA, being at least four countries for each IOA. Please correct accordingly.	<p>The evaluator does not agree with the comment. There are not clear targets or at least they are insufficient. For example, the purpose of IA1.1 seems to be the measurement of the number of policymakers and not the number of countries. "At least four countries" is rather a "qualifier" than a target. It was not clarified in which countries (or type of), how many and what type of policymakers, how many in each country, by when, etc. The text has been modified to make this message clearer.</p> <p>In any case, the main problem is in the indicators themselves as they are not specific. This has also been clarified in the text.</p>
Paragraph 69.	<p>Please explain more in detail what is meant by an efficient division of tasks within ECLAC. Division of labor between who?</p> <p>In this same paragraph, could you please provide more details on the lack of joint reporting from ESCAP and ECLAC mentioned in the third sentence.</p>	<p>The sentence was not relevant and has been deleted.</p> <p>At this stage, the evaluator cannot provide further details on the lack of joint reporting other than acknowledging the fact.</p>
Paragraph 70.	Please rephrase sentence 3 of this paragraph as it is not clear, and also include the percentage in sentence four.	Done
Paragraph 73.	Please explain and provide details on what is meant by the need to strengthen the reliability of ECLAC's technical assistance.	Done
Paragraphs 75 and 79.	Paragraph 75 states that the project did not fully address the enabling environment and organizational dimensions, without providing a proper explanation or evidence. Furthermore, in paragraph 79, respondents actually rated the project very positively in terms of its contribution to a common vision, which constitutes an important part of a enabling environment, as well as enhancing policy complementarity.	Agreed. The flaw in the analysis has been corrected. The enabling environment dimension is fully addressed in section §3.3.2.
Paragraph 80.	<p>Please correct as follows:</p> <p>On the other hand, 26% (18 out of 68) believed that the activities contributed to new initiatives, policies or programmes; 30% (29 out of 68%) thought that it did not and 29% did not know. Most stakeholders highlighted that ECLAC's participation allowed the project to reach and influence at higher decision levels (good reputation).</p>	The comment is not clear. The text is exactly the same both in the comment and the report.

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Paragraph 81.	In this paragraph the evaluator specifically mentions the assistance provided to the COSIPLAN of UNSAUR, which had not been mentioned before. Paragraphs 50, 64 and 71 (A2.1) mention UNASUR but no specifically COSIPLAN.	The previous paragraphs discuss the relationship between the project and UNASUR in “more general terms” (such as participation in the events). In this paragraph, the evaluator tried to emphasize the “specific contribution” of the project towards a concrete area of work, namely the COSIPLAN.
3.4.2 and 3.4.3	Please include as a separate section from sustainability, “Cross-cutting Issues”.	Done
Paragraph 87.	As part of the project a study on women and transportation was produced and presented in an ILO event. This information has not been included in this report.	A reference to the study has been included.
Paragraph 90.	We consider that the assessment of the incorporation of human rights presented in this section, which is only based on survey responses, would benefit from a more in-depth analysis based on documentary revision of project outputs and activities for example. There is also no information on the document on infrastructure and human rights being produced within the framework of the project.	A reference to the document has been included.
Paragraph 97.	Sentence 2 states that: “The relevance of the indicators was dubious and it would have been advisable to also include more specific and measurable indicators to demonstrate the project’s logic and achievements.” This information however had not been mentioned before in the findings sections. Please provide supporting evidence or a proper explanation for this conclusion.	This was explained in section §3.1.3. The text has been refined to make it more clear. It is now explicitly mentioned in F8.
Paragraph 98.	As in the previous two comments, the information presented in the two sentences of this paragraph or their supporting evidence cannot be found in the findings section. Please revise.	Text revisited and linked with F9.
Paragraph 100.	In the first sentence the evaluator mentions the following: “The project contributed to increase the participant’s knowledge and capacity. The contribution at organizational level is less evident and not fully demonstrated.” This assertion has not been sufficiently supported by evidence. We would therefore appreciate if the evaluator provides the evidence and rationale behind these conclusions. In the second part of the paragraph, the evaluator mentions that “there is evidence that the project contributed to address social and environmental aspects linked with logistics together with the more traditional ones related to transport and infrastructure”. However, this evidence has not been found in the main findings section of the report. Please make sure to include it.	This has been re-analyzed. See above.

PARAGRAPH NUMBER	Programme Planning and Operations Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Paragraph 105.	As stated in the findings section, we would appreciate the inclusion of evidence on how human rights were included in the project. Also, see comment on the inclusion of the gender perspective on the publications related to gender and human rights.	A sentence has been added acknowledging that the human rights perspective is for example reflected in the project's approach to the logistics related challenges from a social and environmental point of view.
Paragraph 107.	Please explain better and how the work with regional integration mechanisms contributed to the strengthening the project's results dissemination and sustainability.	Done
Paragraph 108.	Please clearly state what the lesson learned contained in this paragraph is, as it has been drafted it is not clearly identifiable.	Done

Evaluation of the Development Account Project:

**“Logistics integration for a more sustainable exploitation of natural resources
in Latin America and the Caribbean” 14/15AJ**

Evaluation Report Feedback Form: Natural Resources and Infrastructure Division of ECLAC

GENERAL COMMENTS		
REPORT SECTION (if applicable)	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
	<p>The final event was set up in order to the evaluator could participate, have a direct feeling of the results and share information with the politicians, stakeholders and consultants.</p> <p>The event was held in Santiago on October 30th and 31st, but last minute problems, not attributable to the project manager or ECLAC, did not allow for the participation of the evaluator.</p> <p>It would have been highly valuable for the evaluator to be present during this event due to the fact that all the project's consultants presented their research and main results with subsequent comments which allowed drawing cross-sectorial conclusions and common challenges. The event also gathered all the main regional integration initiatives/mechanisms: UNASUR, Mesoamerican Project, CAN, SIECA and Association of Caribbean States, which facilitated sharing best practices and the importance of bridging logistics, regional integration and natural resources that would benefited his knowledge of the project implementation and future potentiality.</p>	<p>No action required.</p> <p>This was discussed during the inception phase and an alternative was agreed upon.</p>
	<p>Almost all the critics made do not include the source of verification or explain how many interviewers stated the same critics. In general, it seems that the online survey had more importance than the ministerial declarations, letters of acknowledgement of ministries or regional institutions.</p> <p>Additionally, some incongruences were observed, for example in one paragraph it is said that the project was successful achieving a certain topic and then over the same topic another paragraph states that the project was not able or did not offer sufficient evidence to prove its success in achieving the same topic.</p>	<p>Confidentiality is ensured throughout the evaluation report by making sure that no statements can be directly attributed to any concrete interviewee.</p> <p>As per the agreed methodology, the online survey was definitely an important tool to gather information. Nevertheless, all the information was triangulated.</p> <p>All the identified inconsistencies have been corrected.</p>

GENERAL COMMENTS		
REPORT SECTION (if applicable)	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
	Methodologically, there is an over-reliance on the survey carried out for the evaluation. With only a 27% response rate the over reliance on the survey leads to unreliable results. The evaluation could possibly be complemented by other performance indicators such as: news coverage of main events; publication downloads and/or citations; amongst others instruments and sources of verification.	<p>References to the news coverage of the events and the letters of acknowledgement have been added to the report.</p> <p>Nevertheless, the evaluator does not fully agree with the comment. The methodology involved sufficient triangulation. The limitations of the evaluation are clearly stated in section 2.4, including the low response rate of the survey. Nevertheless, it should be highlighted that the response rate is actually not low compared with other DA evaluations. The evaluation methodology was outlined in the terms of reference and agreed at the beginning of the evaluation (inception report). The evaluator agrees though that it might be interesting to explore the use of other indicators in the future if the information is available (such as citations).</p>
	Finally, promoting a new public policy paradigm that implies not only the necessary coordination with other sectors (within the government but also with the private sector and civil society) at the same time that you are trying to do the same with your neighbor countries is an enormous challenge, especially considering the project's limited time and budget. Moreover, the project was not only able to fulfill with the project indicators, was also a key actor to promote dialogue among countries and regional integration initiatives, the advances made in the logistics' national and regional policies are outputs, at least in our understanding, that must be remarked clearly in the evaluation.	The comment is fully aligned with the key findings of the evaluation. In addition, a flaw in the analysis has been corrected (effects at policy level).
SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Section 2.3.1 Inception / paragraph 20	A complete set of surveys carried out at the end of project's workshops was also available for the evaluator. However this tool was not considered.	The evaluator does not recall having received a complete set but only a few surveys. These information was fully considered in the analysis.
Section 2.3.2 Data Collection / paragraph 23	Table 2: Response rate shows a 50% of response in the item ECLAC Staff (Project Managers and other participating in the event). If the project has only one project manager, who are the two staff that did not respond? And why were they included in the survey?	ESCAP's staff was also included (added in the title).

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Section 2.4 Limitations/ paragraph 28, 30, 32	It is important to consider that the evaluator's contract allowing for his participation in the project event held in Santiago on October 30 th and 31 st . It would have been highly valuable for the evaluator to be present during this event due to the fact that all the project's consultants presented their research and main results with subsequent comments which allowed drawing cross-sectorial conclusions and common challenges. The event also gathered all the main regional integration initiatives/mechanisms: UNASUR, Mesoamerican Project, CAN, SIECA and Association of Caribbean States, which facilitated sharing best practices and the importance of bridging logistics, regional integration and natural resources that would benefited his knowledge of the project implementation and future potentiality.	No action required.
Section 2.4 Limitations / paragraph 31	Regarding evaluability and the absence of a baseline and monitoring data. Please consider that before this project, the link between logistics and natural resources did not exist in the region. This being a complete new concept for the LAC policy makers proposed by ECLAC through this UNDA project. Consequently, the baseline for the indicators is zero. This baseline was reported in the first version of the project document, but in the successive versions were omitted.	Paragraph 31 has been modified in line with the comment.
Section 3.1 Relevance / paragraph 35	Even though we share the IADB's diagnosis cited in the paragraph and we worked coordinated in the region in this issue, it's important to be aware of the difference in the development perspective proposed by a multilateral bank, such as the IADB, from an institution like the United Nations. In this sense, if the evaluator needs bibliography to support the importance or the logistics contexts of the region, ECLAC and in particular our team has enough to recommend.	The evaluator understands that the comment acknowledges ECLAC and IADB agreement on this issue and that they even work in coordination in the region. This was exactly the purpose of using an "external" reference (proxy) to demonstrate the relevance of the project (instead of using other UN/ECLAC documents). The IADB is a major stakeholder in the region and, despite the existing differences (or even as a consequence of them), the evaluation considered that it was an adequate reference.
Section 3.1 Relevance / paragraph 37	The sentence "the project further identified that logistics in the region were only based in the extraction and export of some commodities" is not true. Please correct and put "mainly based/ oriented to the extraction and export of some commodities". The reference to IADB in this case is not completely applicable and is an example of the existing differences this institutions has with ECLAC. How the region could transform its productive structure towards a more knowledge-intensive and diversified export structure is a question that this project is trying to solve or at least proposing a path in this direction.	The sentence has been corrected. The evaluator is aware of the differences between ECLAC and IADB. Nevertheless, the paragraph only makes reference to IADB's opinion that "without a renewed focus on trade transaction costs, the region will continue to be left out of self-reinforcing production and trade networks". This is fully aligned with the project's logic. The last sentence has been slightly modified to make more evident the link with the project.

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Section 3.1 Relevance / paragraph 39	Please include the duly citation of the last paragraph, as it directly quotes ECLAC's FAL bulletin number 5 (2017)	Citation included.
Section 3.1 Relevance / paragraph 41	<p>This paragraph states that the most beneficiaries (but does not include the number, or the sector or country involved) stated that the project from the point of view of an inter-sector coordination was weak and a comprehensive approach did not exist, and the following sentence stated that the project made "an effort" to enhance institutional dialogue. However, it is fundamental to check this opinion with other facts made available for the evaluator. In particular, please consider and include in the report all the efforts made in this regard by the project in terms of time but also budget allocation. For example, the Natural Resources and Infrastructure Division of ECLAC carried out the Governance of Natural Resources and Infrastructure Week (November 7-11, 2016) with a series of meetings covering different aspects, giving the space for discussion, considering governments, multilateral organizations, and other stakeholders in civil society, the private sector, and academia in the region to promote a shared vision for better governance of natural resources and infrastructure for LAC. This activity was mainly funded by the project but also with GIZ (German Cooperation), AECID (Spanish Cooperation) and regular funds of ECLAC. The event was attended by Authorities and experts from 20 Latin American and Caribbean countries, including 25 ministers and deputy ministers of energy, infrastructure, transport and natural resources, carrying out a week of meetings devoted to debating the governance of natural resources and infrastructure. The discussions were aimed at moving toward more integrated and sustainable development in the framework of the United Nations' 2030 Agenda. See: https://www.cepal.org/en/pressreleases/countries-region-underline-importance-dialogue-better-governance-natural-resources-and.</p>	<p>This is a misunderstanding. The text actually says the opposite. "The inter-sector coordination was weak and a comprehensive approach to the problem did not exist" IN THE REGION. This is precisely what was addressed by the project. "The project made an effort to enhance institutional dialogue to advance towards a joint understanding of the problem, including at regional level." Therefore, "the project was pertinent from both a technical and a political point of view." The paragraph has been modified to make it more clear in line with the comment.</p>

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
	In particular, the ministerial delegations that attended the High-level Regional Dialogue on the Governance of Natural Resources and Infrastructure explicitly requested ECLAC to design and implement a programme of work for the medium and long term, which includes the following elements: (i) a research programme to facilitate a substantive discussion and to formulate and apply public policy tools that include the government's strategic and political vision, and the comments from non-state stakeholders in the private sector and civil society; (ii) planning and implementing technical cooperation, capacity-building and knowledge sharing initiatives to support member States; and (iii) convening of the High-level Regional Dialogues on the Governance of Natural Resources and the Infrastructure in a regular and systematic manner, that incorporate and address the outcomes and contributions of the research and technical cooperation programmes, assuring through this the future sustainability of the project findings and recommendations.	
Section 3.1.2 ECLAC Mandate/ paragraph 47	Despite this paragraph coming out directly from the project document, it is important to update it. The reference to MDGs instead of SDGs or the reference to the Almaty Programme of Action instead of the new Vienna Programme of Action for landlocked countries needs to be duly referenced.	Done
Section 3.1.3 Project Design/ paragraph 54	Regarding the stated fact that the difference between countries were not acknowledge during the design of the project, the project recognized these differences by proposing working in geographically diverse countries with different characteristics. In this sense, Costa Rica is a mid-income country with a mainly agricultural economy with a relative stable institutionality. Peru is a very dynamic recovering economy and where FDI is crucial for its development mainly in the mining sector. However, its institutional and regulatory framework is weaker. Trinidad and Tobago is a key player in the Caribbean, not only due to its weight at the sub-regional economy but also for being the main oil and gas exporter for the rest of the Caribbean countries. Bolivia (Plurinational State of) is an agricultural economy, with enormous asymmetries that reflect in territorial problems internally (including indigenous people) but also with its neighbors countries due to the fact that it is a landlocked country. This geographical situation makes the logistics a key element	Partly agreed. The paragraph has been modified in line with the comment but the evaluator still believes that the analysis could have been strengthened by a more clear identification of the relationships with other problems and specific country-level problems, needs or constraints.

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
	<p>for its development and for its regional integration process. Colombia was included due to its relevance in the region and for the particular importance that logistics and natural resources has in the implemented of the current peace process, carried out with the support of the United Nations. The activities carried out in Paraguay (also a landlocked country) have a similar explanation. Haiti, the poorest country not only in the region but also world-wide, was included specifically to promote its development and the dialogue with its neighbor the Dominican Republic as facilitating transport between them was seeing as almost an imperative for the project. Consequently, the different asymmetries and even conflicts associated to infrastructure and regional transport was fully considered by the project.</p>	
<p>Section 3.1.3 Project Design/ paragraph 55</p>	<p>The project design benefited from the analysis with stakeholders. Our division has a strong and large history of collaboration in the region, including annual meetings with regional ministries of transport and public works. In this sense the design of the project was consulted with the ministries of Central American countries and experts of the Technical Transport Commission of Mesoamerica and COSIPLAN (South America Planning and Infrastructure Counselor).</p>	<p>The comment does not contradict the report. The evaluation does not have any doubt about ECLAC's history of collaboration in the region. There are actually several remarks in this line throughout the report, including paragraph 55 that recognizes that this interaction happened "as part of the implementation (initial consultative meetings)". Nevertheless, most stakeholders (if not all) considered that they had not participated in the initial design. The evaluation concluded that "the design of the project would have probably benefited from additional analysis with specific stakeholders at country level."</p>
<p>Section 3.1.3 Project Design/ paragraph 59</p>	<p>The project design was aware of this risk. Thus, more than 50% of the budget was allotted to capacity building, promotion of the intersectoral dialogue and promoting coherent and sustainable policies of logistics at the national and subregional level to solve the problems of institutional weaknesses or staff turnover. In the case of lack of resources, the proposal of integrate the logistics infrastructures at subregional level could solve the infrastructure gap with less investment than it would be necessary to solve individually. The gains of efficiency or competitiveness could even add additional funds to the countries for social investment.</p>	<p>Partly agreed. It is actually stated in the text that "...potential risks were made explicit" in the Project Document. Paragraphs 57, 58 and 59 have been re-drafted and merged to clarify the message and avoid repetitions. Nevertheless, the causality behind the comment is not fully demonstrated. For example, to what extent dedicating more than 50% of the budget to capacity building minimizes the risks related to the staff turnover. Actually, it may even increase the risk.</p>

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Section 3.1.3 Project Design/ paragraph 60	See comments for Section 2.4 Limitations / paragraph 31	See above and response to PPOD/PPEU's comment.
Section 3.1.3 Project Design/ paragraph 60	See comments for Section 2.3.1 Inception / paragraph 20. These surveys gave us information to evaluate the intermediate results and the quality of the activities implemented allowing to us improving the followings deliveries.	See above
Section 3.2 Efficiency/ paragraph 64	Please explain that the delays at the beginning were related to the UMOJA implementation in ECLAC. Include also the case of Colombia (coal) and the activities with Andean Community (CAN).	Done
Section 3.2 Efficiency/ paragraph 68	ECLAC also actively participate with SIECA and other subregional integration initiatives such as UNASUR, Andean Community and Caribbean Association States.	Included
Paragraph 69	Further emphasis can be placed on the work carried out in Haiti due to its regional importance and the complexity of the country when carrying out such activities. Perhaps the lack of reply from the participants in Haiti hampered being able to size the importance of such events.	Done
Paragraph 70	ECLAC proposal of integrated and sustainable logistics (and mobility) policies include explicitly and encourage the importance of working with public institutions, private sector and civil society (including NGOS, universities and associations).	Comment included in the text.
Paragraph 71	Include the Trinidad and Tobago national workshop, held in ECLAC's Headquarters for the Caribbean (12/12/2017) with the participation also of officials from Barbados, Guyana and Saint Lucia. Additionally a Belize national workshop was implemented (28-29 November 2017).	Done
Paragraph 71 = footnote 19	Please include the following technical studies, that exceed the number of studies agreed upon innitially: <ul style="list-style-type: none"> - Logística y recursos naturales en los países sin litoral: el caso de la soya y la chía en el Paraguay y el Estado Plurinacional de Bolivia, David Suárez - Análisis de la cadena logística de la yuca en Costa Rica, Lander Román - Hydrocarbon logistics chain in Trinidad and Tobago, Vikash Supersad - Enviromental considerations in the provision of economic infrastructure - The Logistics Policy of Korea, lessons for Latin America and the Caribbean 	Done

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
	<ul style="list-style-type: none"> - Human Rights and infrastructure provision in LAC (forthcoming) - In addition, an ECLAC book will be published in 2018 where the main findings of the project will be included in the several thematic chapters. 	
Section 3.3 Effectiveness/ paragraph 73	Please explain how a “welcome pack meeting” could affect the effectiveness of the project. In the case of the regional meetings carried out in Santiago, our Conference Services Unit prepares this kind of “tourist” information. In the case of activities in the field, the participants are local, and therefore this kind of information is unnecessary. At the subregional workshop cases, the host government or institution was in charge of the organization of the event and other social arrangements. According to What standards or knowledge could the project manager “qualify” the security or local transport?. In any case, how many stakeholders and in what context expressed this concern? Based on what criteria?	The reference to a welcome pack meeting has been deleted. Nevertheless, it was not stated anywhere in the report that a welcome pack meeting would affect the effectiveness of the project but rather that “some stakeholders mentioned that it would have been useful”.
Section 3.3 Effectiveness/ paragraph 75	The paragraph states that the project did not fully address the three dimensions (environment-political vision and commitment; organizational dimension and individual level) but rather focused on the individual level. The team does not agree with this sentence. The project not only promoted the political vision and commitment, but was able to promote and move forwards with two subregional logistics policies (SIECA and Mesoamerican) a milestone not seen before in the region. One country launched its logistics policy and the President of the Republic of El Salvador in his speech recognized ECLAC’s support in this efforts; Colombia incorporated ECLAC’s recommendations and Costa Rica and Honduras requested our support to start the process of developing a logistics policy including the consideration of natural resources chains. A similar request was made by the 10 countries that make up the Mesoamerican Project. These are all most definitively, in our experience, achievements not commonly seen for a project with this time and budget limitations. The Final declaration of de Governance Week signed by 25 ministers and deputy ministers of energy, infrastructure, transport and natural resources is another example of the project results that not only address these three dimensions but that they even go beyond if we include the regional level, in relation with different declarations of ministry meetings regarding promoting logistics integration and the support and welcome received by the project for almost all the physical regional integration initiatives of Latin America and the Caribbean.	Agreed. There was a flow in the analysis. The text has been corrected in line with the comment and the enabling environment dimension (political) is fully addressed in section §3.3.2.

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Section 3.3 Contribution at organizational level/ paragraph 79	The text states: "major efforts should be made to ensure the regular participation in all the activities of the selected core of key stakeholders". This statement could be contrasted with other documents submitted. Important efforts were made to have this core of key stakeholder at the national but also at the subregional level (for instance the Technical Committee of Transport at SIECA, a selected educational institutions, private experts, participated in almost all the activities). Including more people to participate in all the activities was not possible due to budgeting allocations and the fact that this approach constrains the opportunity to train other people and institutions, reducing the project's impact.	Agreed. The text has been modified in line with the comment.
Section 3.3 Contribution at organizational level/ paragraph 81	Please include SIECA and its Central American logistics policy of logistics and mobility.	Done
Paragraph 87	While acknowledging the lack of gender mainstreaming in the project due to several limitations highlighted adequately in the evaluation. This is a complex matter generally. However it must be mentioned that ECLAC presented this issue at the Side-event: Decent work for Green and Inclusive Transport, Leipzig, Germany, 18 May, 2016 where the participation of women in mining and logistics services in Latin America was the presentation topic. Additionally, the division carried out a document called: Género y Transporte: experiencias y visiones de política pública en América Latina (Jaimurzina, Muñoz Fernández y Pérez, 2017) that covered the main constrains of the current policies and the effects of the lack of a gender perspective in the poor development of the sector. The document was publishing as a Division Series the most relevance series of document of our division. This reflects the effort carried out within the Division to incorporate a gender perspective in transport and logistics-related issues as well as its commitment to promote the importance of the gender among public authorities and sectoral practitioners.	Additional information included in the report.
Section 4 Conclusions/ paragraph 99	How many stakeholders and in what context express this? See comments Section 3.3 Effectiveness/ paragraph 73. We would like to know why the evaluator considers this issue so important as to include it in the recommendations at the same level as the logic framework or the UN mandates.	Deleted

SPECIFIC COMMENTS		
PARAGRAPH NUMBER	Natural Resources and Infrastructure Division of ECLAC COMMENT	EVALUATOR'S RESPONSE
Section 4 Conclusions/ paragraph 99	Please explain the statement "It was also mentioned that strengthening the reliability of ECLAC's technical assistance compared with ad-hoc implementation would be appreciated." This sentence came up in what context and by how many people? Is technical assistance being ad-hoc technical a bad thing? It is clear that ECLAC's regular funds, as any other UN agency, are very limited and the technical assistance is mainly driven by extra-budgetary funds as well as regional programmes of technical cooperation and activities under UNDA projects. Therefore, planning and offering regular and systematic technical cooperation in one specific area for all the 33 countries of the region is not possible, even when attempting to prioritize activities and efficiency use of funds.	It has been amended in line with the comment.
Section 4 Conclusions/ paragraph 100	The contribution at the organizational level is less evident and not fully demonstrated. Please see the comments made on Section 3.3 Effectiveness/ paragraph 75, consider the interviews carried out, the letters received by the ministries and subregional institutions as well as multiple ministerial declarations about the importance of logistics and the support provided by ECLAC. Further information could be submitted if required.	Agreed
Section 5 Lesson Learnt	The lessons learnt stated are broad and aim at the institution in a general sense. It would be more interesting to make some comments at the project level, for example about the strategy to work at national, subregional at inter-regional level. The inclusion of almost all subregional integration initiatives is not common in the region by the tension and political sensibilities that implies having all these stakeholders in the same table. Was the project able to deal with these issues? Is it replicable in other contexts? We think that this kind of comments could be useful for future projects.	Done
Section 6 Recommendations	Similar to the previous, the recommendations were made to ECLAC and are quite general and do not explore in a deeper manner how to improve the design, promote new concepts and facilitate intra-sectoral coordination.	Done