



**ASSESSMENT OF DEVELOPMENT RESULTS** **CHILE**  
**EVALUATION OF UNDP CONTRIBUTION**

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#### ASSESSMENT OF DEVELOPMENT RESULTS: THE REPUBLIC OF THE PHILIPPINES

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# FOREWORD

The Evaluation Office of the United Nations Development Programme (UNDP) conducts independent country evaluations called Assessment of Development Results (ADR) to review the relevance and strategic positioning of UNDP and its contribution to development results. The goal of the ADR is to enhance the Organization's accountability and learning, as well as the effectiveness of its programmes. This report presents the findings and recommendations of the Chile ADR covering two programming cycles: 2001-2003, extended through 2006, and 2007-2010.

The criteria used in the assessment are the following: effectiveness, efficiency and sustainability to measure the contribution to development results; and relevance, adaptability or responsiveness, and quality of the strategic partnerships to evaluate UNDP's strategic positioning. The assessment was carried out using a multimethod approach and cross-referencing (triangulating) the information garnered from diverse sources.

Over the course of the past 20 years, Chile has progressively consolidated its macroeconomic stability while carrying out a variety of institutional and political reforms in a context of sustained growth. During the period covered by the assessment the Chilean Government has promoted the *Crecer con Igualdad* development strategy, which gives priority to social policies in conjunction with a special concern for economic growth and poverty reduction within a framework of macroeconomic stability.

As a middle-income country, Chile has made significant progress in per capita income and, as a result, is not a major recipient of traditional international cooperation. The technical assistance received has been concentrated in the "third-generation" reform areas such as

science and technology, the strengthening of democratic governance, the improvement of social protection policies and the challenges posed by environmental sustainability.

The assessment found that the UNDP cooperation programme in Chile is in a transition process. The Organization is progressively reducing its role in supporting the implementation of projects (as operations facilitator), which was a high priority during the first cycle covered by this assessment, and raising its profile as dialogue facilitator and advisor on the evaluation and design of public policies.

The country Human Development Report (HDR) is UNDP's most visible product in Chile and chiefly responsible for the Organization's strategic position in the country. The HDR has contributed to knowledge generation and to the interpretation of the national reality from the human development perspective. The human development approach promoted by UNDP transcends the regular publication of the report and is complemented as well through studies and advisory services. Such an approach is taking deep root in Chilean society and being mainstreamed into all public policies.

The evaluation also found that UNDP's cooperation programme is aligned with national priorities, showing a great deal of responsiveness to Chile's development challenges.

In the area of democratic governance the established objectives have been, and continue to be, relevant, but the degree of success in each case has been quite different. Regarding the objective of consolidating democracy, the implemented projects provided a substantive drive towards that goal; and there is evidence, as with the Consortium for Reform initiative, that this effort is indeed sustainable. On the other hand,

the activities centered on the second objective—advancing the decentralization process—are yet to yield significant results, and it remains as a significant “unfinished business.” In addition, by means of different social cohesion projects, UNDP has been instrumental in adding new issues, which are crucial for democratic governance to the agenda, such as the involvement of young people in the political process, democracy audits, increased transparency and access to information, as well as gender equity in political representation.

The ADR found that interventions by UNDP Chile have been, and continue to be, relevant in responding to environment and energy challenges identified by the Government as well as by UNDP, and in line with the country’s energy agenda and sustainable development environmental policy. Those interventions generated sustainable results within the established strategic frameworks. It must be noted that UNDP Chile’s operational role as process facilitator in this area leaves very little room for maneuver.

In the equity area, UNDP has developed activities in collaboration with public officials from the Ministries of Planning, Education and Labor, especially in the design and evaluation of social policies. UNDP involvement in education, social and labor policy has been relevant, effective, efficient and sustainable. In addition it is very likely that in the near and medium term these issues will remain a development challenge.

Regarding the human development area, the Human Development Report has become the “brand” of UNDP Chile. Experience in this area, producing and disseminating the Chile HDR since 1996, can be considered as one of UNDP Chile’s best practices.

South-South Cooperation is another area where the United Nations country team has been a critical partner to Chile’s Government, helping to achieve Goal 8 of the Millennium Development Goals. This was done through horizontal cooperation and capitalizing on UNDP’s neutrality, global presence and

the knowledge and expertise accumulated through international cooperation, particularly South-South.

In order to ensure that the strategic position of UNDP remains relevant, it is important to be aware of the possibility that demand for support from highly-skilled, national consultants will progressively diminish as the Chilean State becomes further modernized. In the future this would require a redefinition of UNDP activities in Chile, emphasizing other roles for the Organization.

The ADR detected an unfulfilled demand for the role of facilitator of knowledge and experiences from other countries, both regional and extra-regional. Given UNDP’s global presence, the ADR recommendation is to strengthen this role.

This evaluation has benefitted from the collaboration provided by UNDP Chile’s Office, led by Enrique Ganuza, the UNDP Regional Bureau for Latin American and the Caribbean, Chilean Government officials, civil society organizations and the United Nations system in Chile.

I wish to express my gratitude to the Evaluation Team, including its leader, Osvaldo Feinstein; consultants Alicia Leiva, Nuria Cunill and Hernán Torres; and Oscar García as evaluation task manager. My appreciation as well to Cecilia Corpus, Thuy Hang To and Anish Pradham for their administrative support.

I hope that the results and recommendations provided by the ADR will help support UNDP’s response to the development challenges Chile faces, and that its lessons will prove relevant for UNDP and its national and international partners.



Saraswathi Menon  
Director, UNDP Evaluation Office

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# ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
AGCI	Chilean Agency for International Cooperation
APP	Private Protected Areas
AUGE	Universal Access with Explicit Guarantees
CAF	Corporación Andina de Fomento
CASEN	National Socioeconomic Characterization
CBD	Convention on Biological Diversity
CCA	Common Country Assessment
CEAM-UACH	Transdisciplinary Centre on Environmental Studies and Sustainable Human Development, Austral University of Chile
CFC	Chlorofluorocarbon
CGR	Office of the Comptroller General
CNE	National Energy Commission
CODEFF	Wildlife Defense Committee
CODELCO	Corporación Nacional del Cobre
CONAF	National Forestry Corporation
CONAMA	National Environment Commission
CONASIDA	National AIDS Commission
CONEVAL	National Council for the Evaluation of Social Development Policies
CPD	Country Programme Document
CTPD	Technical Cooperation Programme between Developing Countries
ECLAC	Economic Commission for Latin America and the Caribbean
EECP	Energy Efficiency Country Programme
EO	Evaluation Office
FAO	Food and Agriculture Organization of the United Nations
FTA	Free Trade Agreement
GDP	Gross Domestic Product
GEF	Global Environment Facility
GTZ	German Cooperation Agency
GWh	Gigawatt hour
HD	Human development
HDR	Human Development Report
IDB	Inter-American Development Bank
ICT	Information and communication technologies
ILO	International Labour Organization
LBGMA	General Framework Act for the Environment
MDG	Millennium Development Goals

MERCOSUR	Southern Common Market
MIDEPLAN	Ministry of Planning and Cooperation
MINTRAB	Ministry of Labor
MW	Megawatts
NCRE	Non-conventional renewable Energies
NCSA	National Capacity Self-Assessment
OECD	Organization for Economic Co-operation and Development
ODS	Ozone depleting substances
PAHO	Pan-American Health Organization
PMG	Management Improvement Programme
POPs	Persistent organic pollutants
PPS	Small Subsidies Programme
PSE	Energy security plan
SEC	Energy Oversight Agency
SEGPRES	Secretariat-General of the Presidency
SNASPE	National Wilderness State Preservation System
SNI	National Innovation System
SSP	Small Subsidies Programme
TRAC	Target for Resource Assignment from the Core
UNCCD	United Nations Convention to Combat Desertification
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDEF	United Nations Democracy Fund
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank
WWF	World Wildlife Fund



# EXECUTIVE SUMMARY

Pursuant to the Executive Board decision 2008/17, an assessment of UNDP's contribution to development results in Chile was performed during 2009 to help design a new country programme, which will follow the 2007-2010 plan and will be elaborated by UNDP's office in Santiago in cooperation with its national counterparts. The assessment covers the 2001-2009 period, including the 2001-2003 programming cycle that extended through 2006, and the 2007-2010 cycle.

The objectives of the Assessment of Development Results (ADR) were:

- i) To perform an independent evaluation of the kind of progress made towards achieving the results envisaged in UNDP programming documents. Also, the assessment tried to identify unexpected results (both negative and positive) and determine the extent to which the Programme has capitalized on opportunities to generate development results.
- ii) To offer an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- iii) To present the findings and lessons gathered from the assessment and offer relevant recommendations for UNDP's next country programme in Chile.

The assessment has two main components or dimensions: the evaluation of UNDP's contribution to development results in Chile and the Agency's strategic positioning. The criteria used in the assessment are the following: effectiveness, efficiency and sustainability to measure the contribution to development results; and relevance, adaptability or responsiveness, and quality of the strategic partnerships to evaluate UNDP's strategic positioning. The assessment was carried out using a multimethod approach and

cross-referencing (triangulating) the information garnered from diverse sources. Until 2007 the assessment of UNDP's programme in Chile was constrained due to the lack of evaluative information. On the other hand, the activities initiated during the past two years are still in their beginning stages, which limits their assessment to the application of the relevance criterion. Another limitation is that practically no outcome evaluations were performed during the period covered by the ADR. Therefore, in order to bridge these information gaps, the evaluation mission has tried, as much as possible, to complement the information available at UNDP Chile with other sources and with interviews of multiple actors and researchers.

Chapter 2 of the assessment offers a synthesis of the context in its multiple dimensions: political, socioeconomic, human development, environmental and energy. This synthesis provides a framework for the treatment in Chapter 3 of the role of the United Nations system and of UNDP Chile during the period examined. Chapter 4 deals with the contributions of UNDP to development results, and Chapter 5 reviews UNDP's strategic positioning. The findings, lessons and recommendations of the assessment are presented in Chapter 6.

## GENERAL CONCLUSIONS

The development outcomes expected for the first cycle of the evaluated period were formulated without establishing a clear connection between the expected changes and the actual results. On the other hand, the activities of UNDP Chile in the areas of human development (HD) and equity contributed to the promotion of effective and efficient public policies geared towards achieving equity. Also progress was made in generating the conditions (by supporting the development of new

methodologies and capacities) that will ensure even more effective and efficient public policies in the future with a sustainable development focus, and the consolidation of Chile's democracy and the country's position in the field of international cooperation.

The UNDP Chile programme for 2001-2009 has become very visible particularly as a result of the 'Human Development Report', which has been published by the Country Office since 1996. The Report's quality, continuity and timeliness is a remarkable achievement that has brought UNDP widespread recognition in Chile from the highest level of the Administration, all across Government and civil society.

During the first years of the period under evaluation, UNDP anticipated a reduction in available funds. Given the strong demand by Government, including bilateral and multilateral cooperation agencies for support with streamlining administrative procedures involved in the management of development projects, UNDP Chile expanded its role as operations facilitator, while maintaining its regular, substantive and widely appreciated work on human development. The improvement of management systems by the Chilean Government, UNDP's new orientation in Latin America, and the need on the part of UNDP Chile to introduce additional quality-control mechanisms for its administrative procedures led UNDP to upgrade its substantive role and, in particular, to add a new dimension as provider of high-level advisory services with a focus on human development.

In 2006 the UN system agencies in Chile developed their first common strategic programme, the United Nations Development Assistance Framework (UNDAF) for 2007-2010, which also offered a blueprint for the individual programmes of each participating agency. This strategy took into account the fact that Chile is a middle-income country with sustained economic growth and effective public policies, and has achieved most of the Millennium Development Goals (MDGs). Yet, despite these successes Chile faces important

challenges, such as the need to overcome income, gender, regional, and ethnic inequalities and inequities in opportunity; to move forward in its decentralization process; and to develop South-South cooperation initiatives.

During the first cycle (2001-2003), the financial resources disbursed by the Chile UNDP Office increased and so did the risks. During this period, UNDP showed a high degree of responsiveness to the Chilean Government's requests to implement projects in several areas. At the same time, the Government kept improving its management processes, especially in the public procurement area, through the implementation of the *Chile Compra* programme. As a result, the margin for operational projects was reduced.

During 2006-2009 the Country Office kept producing the 'Human Development Report', which started in 1996. This period also brought a shift in focus with an increased emphasis on the provision of top-level technical advisory services, particularly in the areas of equity and social policy, and on facilitating a multiparty political dialogue. To that end, UNDP Chile underwent a restructuring process that resulted in the renovation of almost the entire staff and the hiring of a significant number of highly-qualified experts.

From a financial perspective, UNDP activities in Chile were marked by an increase in resources up until 2005 (US \$42.8 million) followed by a sharp decline, which forced a change in strategy. At the end of 2008, resources were estimated at US \$18.5 million.

The activities of UNDP in Chile are mainly financed by the central Government, with scant participation by the regional governments. During the period under assessment, the use of Government resources declined in relative terms. At the same time other financing avenues, such as those coming from United Nations global thematic funds (i.e. the United Nations Democracy Fund, UNDEF), became more prominent. This strategy was made possible by the new hiring of highly skilled human resources.

UNDP's financial management of its technical cooperation showed deficiencies due to the limited or inappropriate use of the corporate management systems designed by the Organization. The need to strengthen the capacities of the Country Office in order to achieve an optimal utilization of UNDP's corporate administrative systems has been acknowledged and progress has been made in that direction.

In the **environment and energy area**, the interventions by UNDP Chile have been, and continue to be, relevant in responding to challenges identified by the Government as well as by UNDP, and in line with the country's energy agenda and sustainable development environmental policy. Those interventions generated sustainable results within the established strategic frameworks. UNDP Chile's operational role (facilitating processes) stands out among those performed in this area; for reasons detailed in this report, this is a role that offers little room for maneuver at the moment. Another significant role played by UNDP was that of technical advisor, an activity that can be substantially enhanced with the new personnel recently hired.

In the **equity area**, UNDP has developed activities in collaboration with public officials from the Ministries of planning, education and labor, especially in the design and evaluation of social policies. UNDP involvement in education, social and labor policy has been relevant, effective, efficient and sustainable. In addition it is very likely that in the near and medium term these issues will remain a development challenge.

Most of the equity issues in which UNDP was involved saw changes inspired by a human development approach, both in focus and in specific policies. UNDP has helped to improve their design even though, in some cases, there is no direct evidence that the studies and recommendations issued were in fact applied.

UNDP's professional counterparts in different ministries have been reinforced by the Programme's support and have adopted new

UNDP-sponsored practices and methodologies, although no special emphasis was put into enhancing institutional capabilities. The participation of UNDP experts in presidential advisory commissions proved valuable in facilitating technical discussions of complex issues within a consultative and participatory framework that brought together technicians from across the political spectrum, fostering dialogue and expediting the formation of political consensus. The visibility of this valuable work is very limited.

The contribution of UNDP in the **human development area** has been highly relevant. UNDP promotes a human development approach that transcends the regular publication of the HDR, and is complemented as well through studies and advisory services. Such an approach is taking deep root in Chilean society and being mainstreamed into all public policies. Moreover, HD has become UNDP Chile's "brand," which is especially recognized through the HDR. Despite the limited use of low-cost, high-credibility, and widely-accessible media resources in Chile such as radio, the experience producing and disseminating the Chile HDR can be considered as one of the best practices in this area. On the other hand, brief notes were elaborated to facilitate the distribution of the report both in Chile and other countries in the region.

In the area of **democratic governance** both of the objectives established for the last programming cycle have been, and still are, relevant, but the degree of success in each case has been quite different. As for the first objective (consolidation of democracy), the projects that were implemented provided a substantive drive towards that goal, and there is evidence—as with the Consortium for Political Reform initiative—that this effort is indeed sustainable. Furthermore, it provides a valuable example of a "good practice" that can be transferred to other countries all around the world, not only in Latin America. On the other hand, the activities centered on the second objective, that is, advancing the decentralization process, are yet to yield significant results, remaining as "unfinished business." However, by means of

different social cohesion projects, UNDP has been instrumental in adding new issues, which are crucial for democratic governance, to the agenda such as the involvement of the young in the political process, democracy audits, increased transparency and access to information, as well as gender equity in political representation.

**South-South Cooperation** is another area where the United Nations country team has been a critical partner to Chile's Government, helping to achieve Goal 8 of the MDGs. This was done through horizontal cooperation and capitalizing on UNDP's neutrality, global presence, and the knowledge and expertise accumulated through international cooperation, particularly South-South. Despite the valuable contribution that such cooperation could offer to Chile in addressing some of the challenges the country faces (i.e. decentralization), the established objective for this programme area has had limited relevance since it left out the potential benefits of South-South Cooperation for Chile. The objectives were only partially achieved, although there was some important progress. To make it sustainable, however, it will be necessary to launch additional efforts to consolidate capacities and systems.

Finally, the assessment came to the following conclusions in terms of the **strategic positioning of UNDP Chile**:

The 'Human Development Report' is UNDP's most visible product in Chile and chiefly responsible for the Organization's strategic position in the country. It has contributed to knowledge generation, identifying the demands of Chilean society from the human development perspective.

UNDP Chile is undergoing a transition. In response to changes introduced by UNDP's Regional Bureau for Latin America, it is progressively reducing its role of supporting the implementation of projects, thus shrinking its role as operations facilitator (a high priority during the first cycle covered by this assessment),

and raising its profile as dialogue facilitator and advisor on the evaluation and formulation of public policies. This expanded role as dialogue facilitator in complex issues has produced some positive (Consortium for Political Reform) and mixed (municipal reform) results.

UNDP Chile has established new and positive partnerships with civil society and broadened the spectrum of actors beyond the Government, underscoring its political neutrality. However, there is still room for a better relationship with other stakeholders, for example in the environment and energy area and, eventually, with the Chilean Congress. These partnerships can be crucial in strengthening the role UNDP plays in promoting social dialogue.

The strategic repositioning of UNDP was critically aided by its capacity to provide high-level technical advice, which made it possible to increase its responsiveness to the Government's requests for support. Yet, despite being crucially important for middle-income countries, this role is not well known by most stakeholders.

## **LESSONS AND RECOMMENDATIONS**

### **i) Facilitating access to the knowledge generated by UNDP**

UNDP Chile could make better use of the knowledge accumulated by the programme in Latin America and other regions, placing it at the disposal of the Government and Chilean society. This could be done in the context of projects already being implemented and in the design of new projects. The active search for, and the use and dissemination of, UNDP's global knowledge should be an integral part of the responsibilities of UNDP Chile staff.

### **ii) Complementarities between thematic areas**

Focusing the work on thematic or practice areas improves specialization and helps programming and implementation. Yet, due to reasons both of efficiency and effectiveness,

it is recommended to seek synergies and complementarities among those thematic areas. Furthermore, it may be difficult to address issues like decentralization head on, so a more indirect approach may be required to carve out a different “point of entry.” (For example, in addition to the work on decentralization supported by UNDP Chile as part of the governance area, that issue could also be addressed laterally through environmental or indigenous people projects, which will require capacity development at the local government level.)

### iii) Closing information gaps

Going forward it would be important for UNDP Chile’s Office to develop a simple information system capable of providing access to project data, including costs and final outcomes (explicitly including among them capacity development). The information gap on the activities sponsored by UNDP must be closed. Therefore it is necessary to ensure that every project generates a final report, which would provide information on costs and results achieved, as well as on capacities developed. In addition, the Office should make outcome evaluations an integral part of its annual programming activities.

## RECOMMENDATIONS ON THE STRATEGIC POSITIONING OF UNDP

In order to ensure that UNDP’s strategic position remains relevant, it is important to be aware of the possibility that demand for support from highly-skilled, national consultants will progressively diminish as the Chilean State becomes further modernized. In the future this would require a redefinition of UNDP activities in Chile, emphasizing other roles the Programme could play, such as facilitator of knowledge and experiences from other countries, both regional and extra-regional (in the natural disaster, climate change and decentralization areas).

## RECOMMENDATIONS FOR EACH THEMATIC AREA

This section reviews the recommendations by thematic areas based on the analysis in Chapter 4 and the summary provided at the end of Chapter 6.

### Environment and Energy

As knowledge facilitator UNDP Chile could make significant contributions in this area in a relatively short time and at low cost by embracing the knowledge and expertise gained from UNDP’s global experience in the environment and energy areas. For instance, actively utilizing all the body of work accumulated during the preparation of the ‘Human Development Report’ on climate change.

More specifically, according to the analysis and the evidence provided in Chapter 4, the ADR recommends:

- i) To promote the active participation of interested parties and beneficiaries at each step of project development in order to achieve a consensus on priorities and objectives, enhancing project ownership.
- ii) To take into account that the processes of change and the correction of certain environmental problems usually take longer than the duration of projects, especially in the case of local communities. Therefore, it is advisable that projects be developed in stages, helping to develop the management capabilities of the communities and their ability to administer their projects, both technically and financially.
- iii) Strengthening those weaknesses identified in the national capacity self-assessment for biological diversity, climate change and desertification and drought areas.
- iv) Supporting an expansion of the scope of those projects that have demonstrated positive results—as was the case with the

non-conventional renewable energies (NCRE)—generating synergies between the Global Environment Facility (GEF), UNDP and other cooperation agencies working in Chile.

- v) To consider the need to develop projects aimed at offering incentives for the private protection of ecosystems of global importance, including the possibility of replicating other success stories such as the biodiversity conservation and sustainable management Salar del Huasco project.
- vi) To back the development of the country's energy security plan (PSE) in order to diversify the energy matrix, to achieve greater independence/autonomy and to promote efficient and intelligent energy use. This support can be provided in synergy with the Energy Efficiency Country Programme (EECP) and the NCRE programme.
- vii) To emphasize UNDP's role as "knowledge facilitator," bringing to Chile the knowledge and expertise acquired globally by UNDP and the GEF, including "good practices" and lessons learned through the promotion of non-conventional renewable energies and the protection of biologically rich and diverse ecosystems.

### **Equity**

Based on the assessment presented in Chapter 4, the ADR recommends:

- i) To link the issue of jobs with those that affect the young population, further developing the work already performed in partnership with the Ministry of Labor.
- ii) To take advantage of South-South Cooperation initiatives and enable Chile to profit from the successful and relevant experiences carried out in other countries; for instance, the institutional mechanisms for the assessment of social policies in Mexico set up through its National Council for the Evaluation of Social Policy (CONEVAL).

This kind of activity would be useful in helping develop institutional capacities in the assessment area that could complement those of the Ministry of Finance.

- iii) To prepare brief notes describing the advisory experiences on equity for their dissemination in Chile and other countries, thus increasing their visibility, expanding their scope and contributing to UNDP's global knowledge. During a workshop organized at the end of the ADR, a clear link was highlighted between such visibility and a greater impact of the actions implemented in this area, a visibility which eventually could also contribute to fund raising.

### **Human Development**

Given the remarkable results achieved in this area, any recommendations might seem redundant. However, there is still room to broaden the HDR's reach, especially among the low-income population. This can be done at a low cost and through a high-credibility mass medium such as radio.

### **Democratic Governance**

Despite the limited progress made in the decentralization area, there are several new themes that can be included in the future agenda for this area:

- i) Supporting the reform of central Government structures and management on pace with the decentralization process.
- ii) The design of decentralization policies from a diversity perspective with regard to the institutional framework, financial resources and the types of relationships between regional and municipal authorities—between them but also vis à vis the central government and social actors—aimed at formulating and implementing local development policies.
- iii) The creation of new institutional and organizational structures that take into account the interconnected and cross-sectional or transversal nature of sectoral

- policies. (For instance, policy planning methods requiring the participation of diverse government actors in order to offer a comprehensive and valid response; or the development of viable schemes capable of creating synergies among all agencies implementing similar programmes.)
- iv) Chile could profit from other decentralization experiences at the international level by adapting good practices already developed and evaluated in other countries. In fact this could be one of the pillars of future South-South Cooperation between Chile and other nations.
- ii) **From other countries towards Chile:** to facilitate knowledge sharing of grassroots mechanisms for the monitoring and evaluation of policies, programmes and public services (Colombian, Brazilian and Mexican experiences); to spread the knowledge of successful experiences, such as the development of an evaluation system for social policies (CONEVAL) in Mexico; and to encourage information exchanges, transparency and accountability from NGOs devoted to providing public services (for example, the cases of Mexico and Peru).
- iii) **Conversations and exchanges between Chile and other countries:** to facilitate a policy debate (decentralization policies with a gender or indigenous peoples perspective); and to promote the exchange of experiences among social networks on issues that are key for democratic and social governance (for instance, social networks specialized in social audits or in social networks geared towards the participation of women in politics, among others).

### **South-South Cooperation**

The following three recommendations would enhance the value of South-South Cooperation :

- i) **From Chile towards other countries:** to promote solidarity through youth initiatives (for example, A Roof for My Country and *America Solidaria*), to facilitate the social co-production of public services and social programmes, and to promote an intercultural approach in social policies.





## CHAPTER 1

# INTRODUCTION

Having an appropriate planning, monitoring and evaluation cycle enhances UNDP's contribution to its partner countries by establishing a clear connection between past, present and future initiatives and the achievement of development objectives. The Evaluation Office (EO) at UNDP performs regular country-level assessments in order to determine the Organization's contribution to development results. UNDP's evaluation policy sets forth guidelines for these assessments known by their acronym, ADR (Assessment of Development Results).<sup>1</sup> The assessments fulfill two objectives: they operate as a learning tool both for UNDP and the country, and as an accountability mechanism for UNDP before its Executive Board and its national counterparts.

Pursuant to Executive Board decision 2008/17, an assessment of UNDP's contribution to development results in Chile was performed during 2009 to help design a new country programme, which will follow the 2007-2010 plan and will be elaborated by UNDP's office in Chile in cooperation with its national counterparts. The assessment covers the 2001-2010 period, including the 2001-2003 programme cycle that extended through 2006, and the 2007-2010 cycle.

### 1.1 OBJECTIVES

The objectives of the Chile ADR were:

- i) To perform an independent evaluation of the progress made towards achieving the results envisaged in UNDP's programme document. Also, the assessment tries to

identify unexpected results (both negative and positive) and determine the extent to which the Programme has capitalized on opportunities to generate development results.

- ii) To offer an analysis of how UNDP has positioned itself to add value in response to national needs and changes in Chile's development context.
- iii) To present the findings and lessons gathered from the assessment and offer relevant recommendations for UNDP's future programming in Chile.

The assessment has two key components or dimensions: the evaluation of UNDP's contribution to development results in Chile and the Organization's strategic positioning. This distinction serves as the starting point for the next section, which reviews the evaluative criteria applied to each dimension. The section also covers the key questions guiding the assessment and its methodology.

### 1.2 METHODOLOGY

This section reviews the evaluative criteria used in the assessment, the key questions and the methodological approach applied by the evaluation team.

The central point of the ADR consisted in evaluating the contribution made by UNDP to Chile's national development. With that in mind, the assessment focused on identifying the changes to expected development outcomes. In this context, results will be the "outcomes" generated by one or more changes in development

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<sup>1</sup> See <http://www.undp.org/eo/documents/Evaluation-Policy.pdf>.

processes or situations within a given sector or thematic area. Thus the assessment does not evaluate projects, neither is it an evaluation of Chile or of its policy management. Rather it exclusively examines UNDP’s contribution to the development objectives (see Terms of Reference in Annex 1).

### 1.2.1 EVALUATIVE CRITERIA FOR EACH KEY DIMENSION OF THE ASSESSMENT

The criteria used in the assessment are as follows: effectiveness, efficiency and sustainability were applied to measure the contribution to development results, relevance or pertinence, adaptability or responsiveness, and quality of strategic partnerships were used to gauge the strategic positioning, as seen in Table 1.

Table 1: Evaluation Criteria	
I. Contribution to development results	II. Strategic positioning
Effectiveness	Relevance or Pertinence <sup>2</sup>
Efficiency	Adaptability
Sustainability <sup>3</sup>	Partnerships

Source: UNDP, *Guidelines for an Assessment of Development Results (ADR)*, UNDP, Evaluation Office, 2009

### 1.2.2 PROCEDURES

The assessment used a multimethod approach, cross referencing the information obtained from diverse sources. These were the procedures applied:

- i) Analysis of UNDP documents.
- ii) Analysis of documents generated by stakeholders.
- iii) Semi-structured interviews of key informants, including Government representatives, donors, funding institutions, civil society, think tanks, foundations, political parties and beneficiaries (for a list of people interviewed, see Annex 2). The goal of the interviews was to obtain as much information as possible from people and institutions with different perspectives on UNDP’s accomplishments, promises, possibilities (in the past—identifying what could have been done but wasn’t—and in the future), and what’s necessary (or relevant). (See the interview guide in Annex 3.)

As mentioned above, the evaluation team validated the data cross referencing diverse information and information interpretation sources, both in terms of interviews (see Annex 2) and publications (see Annex 4). The mission has reviewed the existing documentation (which, as noted above, is more limited than expected, particularly concerning final reports and project assessments) and/or interviewed the key stakeholders in 70 of 125 projects implemented by UNDP Chile. The methodology covered 56 percent of total projects (Annex 5 offers a complete list of projects, those whose available documentation was examined and/or over which interviews were carried out are identified with an asterik). In addition, the analysis in Chapter 3 covers the entire universe of projects.

<sup>2</sup> Even when relevance is a key determinant of UNDP’s strategic positioning, it is also important—and considered a “good practice” that distinguishes auditors from evaluators—to consider the projects’ contributions to development results. There are two different levels; while assessing the relevance of projects is a key factor, it is not the only one used to determine the relevance of the strategic positioning. In addition, as stated in 1.2.4, considering that some interventions are very recent, the only aspect that can be evaluated is relevance (it is important to note that “pertinence” and “relevance” can be used interchangeably; however, “relevance” is the term used in the Latin American discussion on development and, for that reason, it is the term adopted in this report).

<sup>3</sup> Even though the assessment guide refers explicitly to the sustainability of UNDP programmes, what is important is the sustainability of the results.

The evaluation team tried to identify how the development results were achieved. To detect pure coincidences, whenever possible, we have reconstructed the rationale for the interventions explicitly making reference to the implicit premises. Considering all the “possible causes,” we have applied the “General Elimination Model” (GEM).<sup>4</sup> The “elimination” of causes (to identify UNDP’s contribution) was done with the information obtained following the data collection techniques/procedures described in the previous paragraph.

**The UNDP programme as one of the possible causes of development results**

The entire spectrum of possible causes can be summarized as follows:

1. Public policies
2. External factors
3. Private sector
4. International cooperation
  - a. United Nations agencies
    - UNDP
    - Other UN agencies
  - b. Bilateral cooperation
  - c. International financial institutions (IDB, World Bank, CAF)
  - d. European Commission
5. Initial conditions (microeconomic variables, macroeconomic context, political system, etc.)

The “development results” depend on the interaction among 1, 2, 3, 4 and 5.

Schematically,



The UNDP programme is just one of the possible causes affecting development results. It is not possible to perfectly attribute the development results to UNDP’s programme, but the assessment has sought to determine its exact contribution by applying the approach and method described in this section. For example, UNDP is credited with the incorporation of the human development perspective into the debate and design of public policies in Chile because UNDP—not other UN agencies, other bilateral or multilateral cooperation agencies, nor the private sector—promoted and furthered that perspective before such an approach was ever considered in that context.

**1.2.3 KEY QUESTIONS, CRITICAL ISSUES AND MATRICES**

The assessment has used a set of key questions (see Annex 3) that are based on UNDP guidelines for performing ADRs.<sup>5</sup> The evaluation team was able to identify several roles simultaneously played by UNDP, among them:

- i) operations facilitator through project management;
- ii) dialogue facilitator in those occasions when the organization acts as a mediator in sensitive matters;
- iii) knowledge facilitator and/or generator when it produces frameworks to interpret the situation on the ground or enables the exchange of knowledge generated by other institutions. This role encompasses the accumulation of experiences from small pilot projects with the expectation that they will be replicated and reproduced at a large scale; among these

<sup>4</sup> The GEM was conceived by Michael Scriven, former president of the American Assessment Association. Scriven, along with the late Donald Campbell. See Scriven, M., ‘A Summative Evaluation of RCT Methodology and Alternative Approach to Causal Research,’ *Journal of Multidisciplinary Evaluation*, Vol. 5, No. 9, March 2008. It is worthwhile to point out that Scriven’s approach corresponds to the “contrast explanation” discussed by Tony Lawson in Lawson, T., ‘Applied economics, contrast explanation and asymmetric information,’ *Cambridge Journal of Economics*, Vol. 33, No. 3, May 2009.

<sup>5</sup> UNDP, ‘Guidelines for an Assessment for Development Results,’ UNDP Evaluation Office, 2009.

projects are those promoted by UNDP as well as other institutions, as long as they have been deemed to be “good practices”;

iv) technical advisor, offering expert advice to deal with development challenges;

v) and capacity builder, cooperating to enhance local capacities at a regional, institutional or personal level.

The team created the first matrix to graphically visualize the connection between roles and thematic areas:

<b>Table 2. Area and Role Matrix</b>					
<b>AREA</b>	<b>Democratic Governance</b>	<b>Sustainable Development, Environment and Energy</b>	<b>Equity</b>	<b>Human Development</b>	<b>South-South Cooperation</b>
<b>ROLE</b>					
Technical Advisor					
Operations Facilitator					
Knowledge Facilitator / Generator					
Dialogue Facilitator					
Capacity Development					

And a second matrix as a reference guide for the application of the evaluation criteria to each thematic area:

<b>Table 3. Area and Evaluation Criteria Matrix</b>					
<b>AREA</b>	<b>Democratic Governance</b>	<b>Sustainable Development, Environment and Energy</b>	<b>Equity</b>	<b>Human Development</b>	<b>South-South Cooperation</b>
<b>EV.CR.</b>					
Relevance					
Effectiveness					
Efficiency					
Sustainability					

The Area and Role Matrix serves as a guiding instrument both for evaluators and their overseers within their scope of work. In this sense the matrix works like a map. The Area and Evaluation Criteria Matrix is also designed to help guide the work of the evaluators. The second matrix highlights the criteria to be used when evaluators assess the intervention areas.

During the scoping mission, it was noted that UNDP Chile's project portfolio during the evaluation period focused on two thematic areas: environment/energy, and the MDGs and poverty reduction. These two areas comprised 75 percent of the projects and 90 percent of the funds budgeted or disbursed. The third sector (governance) practically absorbs all the remaining resources.<sup>6</sup> In addition, it appears that a few projects received a significant share of the funding. Also there are very few projects for which external or independent assessments and self-assessments exist. As a result, and given the evaluation mission's time and budgetary constraints, the decision was made to take a purposeful sample based on the following criteria: i) including projects representative of the different roles played by UNDP; ii) including a larger share of projects from the MDG/poverty reduction/equity areas; and iii) considering all projects for which external or independent assessments and self-assessments exist.<sup>7</sup>

#### 1.2.4 EVALUABILITY AND INFORMATION GAPS

Similarly to other assessments performed by the EO, the amount of evaluative information available was very limited. Until 2007 the ability to assess the UNDP programme was heavily

constrained due to the lack of useful data,<sup>8</sup> except in a few cases mentioned in the references and in other appropriate sections of this report. On the other hand, the activities initiated during the past two years are still in the beginning stages, which essentially limits their assessment to the application of the relevance criterion. During the period covered by the ADR practically no outcome evaluations were performed. Therefore, in addition to applying the criterion of relevance to the most recent interventions, the assessment tried to bridge the information gaps by complementing the information available at UNDP Chile, as much as possible, with other sources (see Annex 4) and with interviews of multiple actors and researchers (see Annex 2),

#### 1.2.5 EVALUATION TEAM

According to the ADR guidelines<sup>9</sup> these assessments must be performed by a team composed of two international consultants and one from the country, in conjunction with the Assessment Officer from the EO. Yet, in Chile's case, it was decided during the scoping mission that it would be appropriate to substitute one of the international consultant with two nationals. In addition, the mission commissioned a paper on democratic governance whose analysis and recommendations have been added to the present report.

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<sup>6</sup> The funds allocated to HIV/AIDS are excluded because the activities in this sector received financing only for one of the years under assessment. For a complete list of projects, see Annex 5.

<sup>7</sup> On the use of these kinds of purposeful samples in ADR-like assessments, see Bamberger, M., Rugh, Jim, and Mabry, L., *Real World Evaluation*, Sage, London, 2006, and Morra Imas, L. and Rist, Ray, *The Road to Results*, World Bank, Washington DC, 2009.

<sup>8</sup> The assessment of the International Development Bank's (IDB) programme in Chile underscored the low evaluability of the programme; see IDB, *Evaluación del programa de país: Chile 1995-2005*, Office of Evaluation and Oversight, IDB, Washington D.C., 2006.

<sup>9</sup> UNDP, 'Guidelines for an Assessment for Development Results,' UNDP Evaluation Office, 2009.



## CHAPTER 2

# NATIONAL DEVELOPMENT CONTEXT

Chile is a middle-income country that has progressively consolidated its macroeconomic stability while carrying out a variety of institutional and political reforms in a context of sustained growth. This section includes a brief presentation of the national development context in which UNDP Chile designed and implemented its cooperation programme during the period under evaluation. (The subjects discussed examine the relevance of the interventions and offer a reference framework for the recommendations in Chapter 6).

### 2.1 POLITICAL CONTEXT

The Republic of Chile is a unitary, democratic State based on a presidential system, integrated by different autonomous institutions and organized under a constitutional scheme, which differs from the traditional doctrine of separation of powers based on the attribution and distribution of certain functions and competencies among the state institutions.

The country's basic law is the Political Constitution of the Republic of Chile, approved on 11 September 1980 and coming into effect on 11 March 1981. The Executive Branch, or more exactly the Government and the Public Administration, is led by the President of the Republic, whom is also the Head of the State and of the Government. According to the Constitution, the President's term lasts four years and she or he cannot be reelected for another consecutive term. The President selects the Ministers, direct and immediate collaborators in the task of governing the country. The Ministers,

as well as the Intendants who run the country's regions, are the President's personal appointees. The Intendants and the regional councils, which are indirectly elected, lead the regional governments, while the provincial governments are run by Governors also elected by the President. At the local level, the administration falls to the municipalities, which include a mayor and a community council elected by popular vote.<sup>10</sup>

Pursuant to the 1980 Constitution, the legislative elections are held under a "binominal" electoral system. The system has stimulated the development of political alliances, which have led to the creation of two big political coalitions: Alianza por Chile, a right-wing alliance between Renovación Nacional and Unión Demócrata Independiente, and Concertación de Partidos por la Democracia, formed by center-left parties. Concertación has been in power since 1990, when it won the first presidential election. Originally integrated by 17 parties, that number has now dropped to four: Partido Demócrata Cristiano de Chile, Partido por la Democracia, Partido Socialista de Chile and Partido Radical Social Demócrata.

The process for a return to democratic rule in Chile began in the late 1980s, culminating with the 5 October 1988 plebiscite in which General Augusto Pinochet was defeated. After more than 16 years in power, and as result of elections held in December of the following year, Pinochet abandoned his position on 11 March 1990. Patricio Aylwin, a Christian-Democratic candidate who led the Concertación de Partidos, became head of state and the first democratic president during the Transition. This was a period characterized by

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<sup>10</sup> See Mardones, Rodrigo, 'Descentralización y Transición en Chile,' *Revista de Ciencia Política*, Vol.26, No.1, 2006.

the foundation of a new national political framework, the preservation of the economic structure set up in the previous period, a significant reduction in poverty levels and the acknowledgement of the human rights violations committed during the Pinochet dictatorship.

President Ailwyn's successor, Eduardo Frei Ruiz-Tagle, took office in 1994. His administration oversaw a period of economic growth, especially during the first four years of his term,<sup>11</sup> including advances in infrastructure stemming from public-private sector collaboration and the initial steps of a criminal process system reform. After a hard fought campaign, and in the midst of uncertain economic times, Ricardo Lagos assumed the presidency in 2000 as the third Concertación president (and the first Socialist). He was also the first democratic president elected in a runoff election, after failing to secure enough votes in the first round, when he received 48 percent of the vote versus 58 percent obtained by his predecessor.<sup>12</sup> His mandate was marred by accusations of corruption, which weakened the governing party. However, economic recovery and other factors contributed to an increase in his popularity as President. At the international level, his presidency was marked by Chile's participation in the UN Security Council; his rejection of Iraq's invasion; and the signing of free trade agreements with the European Union, the United States and South Korea, among others. Two months before the end of his term, a survey put him at a 75 percent approval rating. On 15 January 2006 Michelle Bachelet, a member of the Partido Socialista (Socialist Party) and the Concertación de Partidos por la Democracia, was elected in a runoff with 53.5 percent of the vote. She took office on 11 March 2006, becoming the first female President in Chile.

In 1979 Chile was divided into 13 regions, and two more were added by a political-administrative reform that took place in 2007. The regions are divided into provinces (53) and communes or local districts (346). The political system is strongly centralized. In 2008 there was a vote to elect mayors and councilpersons, which was crucial for the December 2009 presidential elections.

A recent document published by the OECD (2009) noted that regional resources are substantially underutilized, which restricts growth both in the periphery and in the country as a whole.<sup>13</sup> In fact the Human Development Reports in Chile already had raised attention on the significance of the regional dimension. For example, the 2004 HDR 'Power: for what and for whom?' states on page 273 that: "a detailed analysis of the dimensions and variables of the HDI offers the very important conclusion that the regions have separate profiles when it comes to Human Development." In addition, the Common Country Assessment (CCA) carried out by the UN system in Chile has noticed the strong territorial component of social inequality, which means that, even though there has been relative progress towards achieving the MDGs nationwide, a disaggregated analysis by region shows significant lags.

The CCA underscores several important challenges faced by Chile in the areas of decentralization and local development: inequality in capacities, resources and opportunities among the different territories; insufficient management capacities by local and regional governments (this is relevant because all municipalities, regardless of their actual capacities, have been transferred important powers in areas like health, education and other public policies); and the challenge presented by local governance (the capacity to

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<sup>11</sup> In 1994 the Constitution established a six-year term. The four-year term was introduced in 2005.

<sup>12</sup> See Paramio, Ludolfo, 'La polémica herencia de la transición chilena,' FRIDE, Madrid 2002.

<sup>13</sup> OECD, 'Territorial Reviews: Chile 2009,' OECD, Paris, 2009. It is significant to note that, according to the 2008 Latinobarómetro survey, the main discriminatory factor facing young Chileans is their place of residence.



create alliances, spaces and processes that allow local stakeholders to bring forth those situations that are integral to their development, and to promote concrete future actions.) A fourth challenge noted by the CCA would be the economic dimension at the local level.<sup>14</sup>

Recent data published in the 2008 report by Latinobarómetro Corporation offers useful evaluative and contextual evidence for part of UNDP's work in Chile and the present assessment. A sample of the data is shown in the table below.

Of particular interest is the positive opinion of the Executive's performance in comparison to Parliament's and the extremely low level of political participation (the lowest in Latin America). In this context, the issues of political system reform and democracy building appear as very important in civil society's perception. The same applies to transparency and the fight against corruption.

<b>Table 2: Civil Society Evaluation on Key Political Issues</b>		
	<b>Chile (%)</b>	<b>Average for Latin America (%)</b>
<b>Evaluation of Parliament/Congress</b> What's your assessment of the performance of the national Parliament/Congress? (Very Good + Good)	33	41
<b>Evaluation of Political Parties</b> What's your assessment of the performance of the political parties? (Very Good + Good)	20	30
<b>Evaluation of Government's Performance</b> Do you approve its performance?	59	52
<b>Support Democracy</b>		
2007	46	54
2008	51	57
<b>Satisfied with Democracy</b>		
2007	36	37
2008	39	37
<b>Political Participation</b>	3	11

Source: 2008 Latinobarómetro Report. Prepared internally

<sup>14</sup> It is worth noting that even though the CCA has correctly identified the importance of the decentralization and local development challenges Chile faces with regards to technical cooperation, it practically leaves aside the potential contributions that cooperation can have in those areas, given the significant international initiatives in which UNDP and other UN agencies have been involved. (See, for example, OECD/DAC, 'Synthesis study on supporting decentralization and local governance: lessons learned, good practices and emerging issues,' Report for "Working Party on Aid Evaluation", DAC Network on Development Evaluation, OECD/DAC, Paris, 2003). Perhaps one of the reasons for this is that in the last few years, Chile is often mentioned as a provider of technical assistance rather than as a beneficiary, thus depriving the country from the benefits of international experiences in areas in which it still faces challenges.

## 2.2 SOCIOECONOMIC AND HUMAN DEVELOPMENT CONTEXT

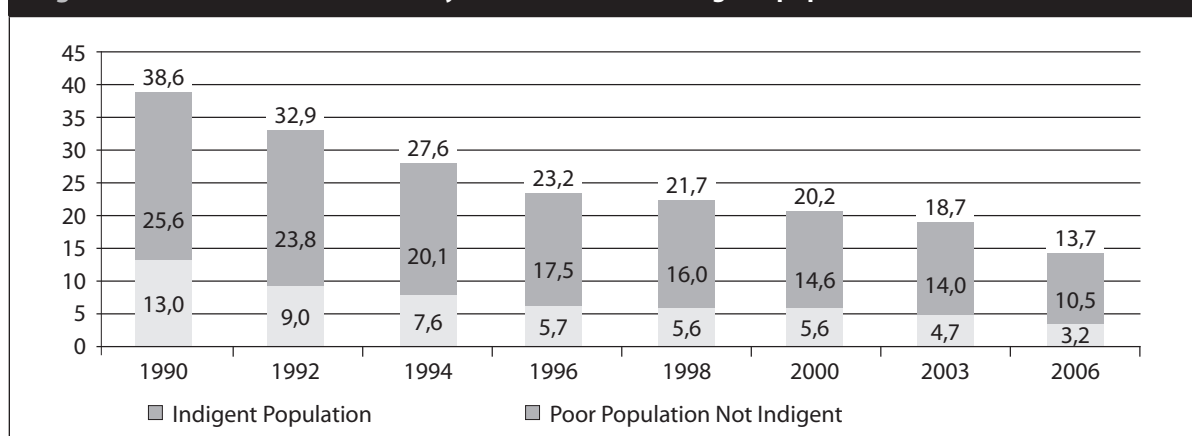
During the period under assessment, the Chilean economy evolved on solid footing, characterized by significant fiscal surpluses, low public debt levels (both domestic and foreign), conservative macroeconomic management, and the continued dynamism and diversification of its main export markets.<sup>15</sup>

Currently Chile's population stands at 16.6 million and growing, albeit at a slower rate. During the 1980-1985 period, the population growth rate was 1.6 percent, and it is estimated that it will be 0.99 percent for the five years ending in 2010.<sup>16</sup> Life expectancy at birth has gone from 57 years in 1960 to 78 in 2003. On the other hand, the fertility rate has been decreasing systematically, from an average of 5.5 children per woman (1955-1960) to 2 children per woman (2000-2005). As a result, Chilean society is undergoing an unprecedented aging process. In 1990 there were 13.17 million Chileans, of whom almost 1.2 million (or 8.95 percent of the total) were adults older than 60. Ten years

later, that figure had increased to 10.2 percent of the total, and the projections for 2020 put the percentage of seniors at approximately 17 percent. The opposite happens with children and young people age 0 to 19. In 1990 this segment comprised 39 percent of the population, while in 2005, despite a slight growth, it had declined to 33 percent; by 2020 it is estimated that children and youth will make up only 27 percent of the population. The combination of these two phenomena and the changing demands they pose on the State has important implications for social policy.

Chile's economy grew at a fast clip, almost doubling its GDP in 10 years and dramatically reducing poverty levels. At the end of the 1990s, the declining poverty levels began to stall. After the strong reduction registered since 1990, when the poverty rate stood at 38.6 percent, the 1998 and 2000 CASEN surveys showed very slow declines, leaving at 21.7 percent and 20.2 percent, respectively, the percentage of people living under the poverty line. Between 2000 and 2006, there was again significant progress in poverty reduction, dropping that percentage to 13.7 percent.

**Figure 1. Chile: Evolution of Poverty, 1990-2006 (Percentage of population)**



Source: MIDEPLAN, CASEN Survey for Each Year.

<sup>15</sup> See ECLAC, 'Economic Survey of Latin America and the Caribbean 2007-2008', Economic Commission for Latin America and the Caribbean, August 2008.

<sup>16</sup> ECLAC, 'Social Panorama of Latin America 2007,' Social Development and Statistics and Economic Projections Divisions of ECLAC, November 2007, with sources from CELADE (ECLAC's Population Division).

*Crecer con Igualdad* is a development strategy eagerly promoted by the Ricardo Lagos Administration (2000–2005) that has translated into every Concertación government’s<sup>17</sup> giving priority to social policies in conjunction with a special concern for economic growth and poverty reduction within a framework of macroeconomic stability. Indeed, the annual inflation rate during 2001–2008 was lower than 8 percent. (Table 3)

**Table 3: Chile: Inflation Rate, 2001-2008 -Evolution of the Consumer Price Index (annual percentage change in December compared to December of the previous year).**

Year with which the rate is compared	Inflation Rate
2001	2.6
2002	2.8
2003	1.1
2004	2.4
2005	3.7
2006	2.6
2007	7.8
2008	7.1

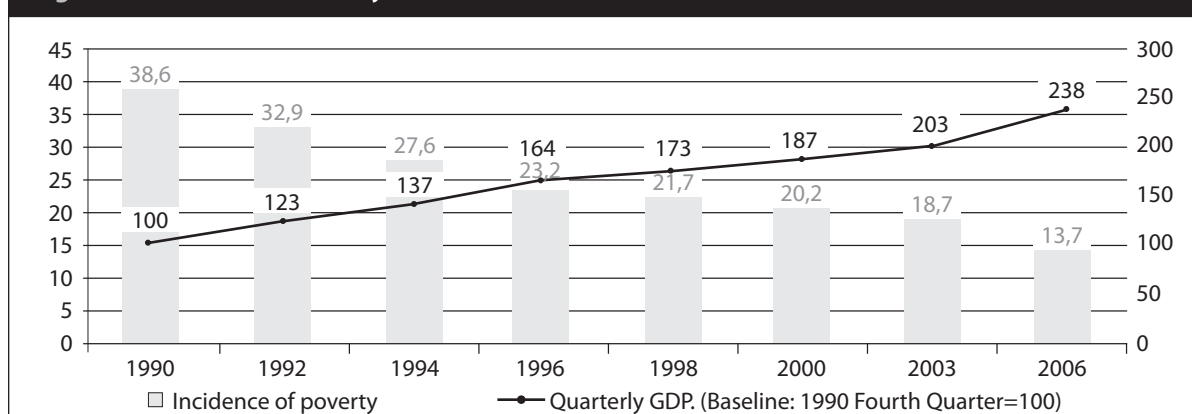
Source: Central Bank of Chile

As shown in Figure 2, there is a positive correlation between gross domestic product (GDP) growth and poverty reduction.

It is in this 1990–2006 period, therefore, when the first steps towards a new social policy with a rights-based approach are taken. The main milestones of this policy are the creation of the social protection system component *Chile Solidario* (2002), the adoption of the 12-year mandatory schooling law (2003), health reform (2004 onwards) and, later, social security reform (2000). Health reform is a key milestone for public policy because for the first time it guarantees universal coverage for certain contingencies. The reform includes a system of explicit guarantees—such as access, quality, financial protection and opportunity—that must be provided when caring for a number of prioritized illnesses or health conditions.

Social well being has improved as a result of the reforms. However, income distribution among the five quintiles of the population remains almost unchanged for the past 16 years, although the share of income corresponding to the richest 20 percent has declined slightly (from 57.8 percent in 2000 to 54.6 percent in 2006).

**Figure 2. Evolution of Poverty and GDP, 1990-2006**



Source: MIDEPLAN, CASEN Survey for Each Year, Central Bank

<sup>17</sup> Even though extreme poverty has declined throughout the Concertación government period, inequality, which had been reduced at the beginning of the 1990s, rose again in the second half of the decade. Only after 2001—with the arrival of the Partido Socialista to the Presidency—do we observe a declining trend. See Lustig, Nora, ‘La pobreza y la desigualdad en América Latina y los gobiernos de izquierda,’ Consejo Mexicano de Asuntos Internacionales, Mexico, 2009.

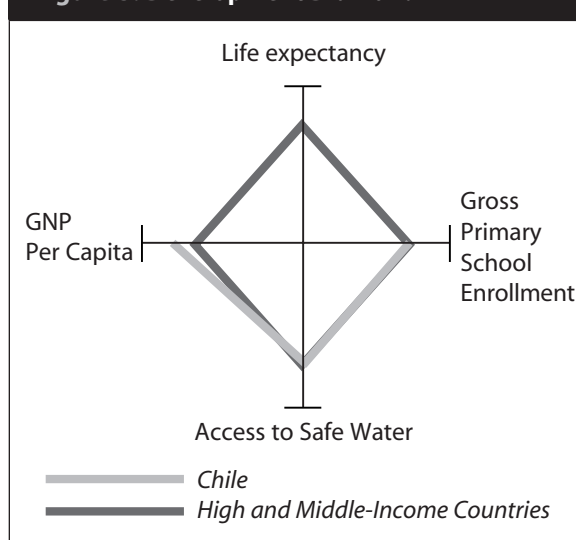
**Table 4: Chile: Evolution of Autonomous Income Distribution, 1990-2006  
(by quintiles of home autonomous per capita income)**

Quintile	Years							
	1990	1992	1994	1996	1998	2000	2003	2006
I	4.1	4.3	4.1	3.9	3.7	4	3.9	4,2
II	8.1	8.3	8.1	8.0	8.0	8.1	8.3	8.7
III	12.3	12.2	11.9	11.7	11.7	11.9	12.0	12.6
IV	18.1	18.6	18.7	19.2	19.2	18.2	18.9	19.8
V	57.4	56.6	57.2	57.2	57.4	57.8	56.8	54.6
Total	100,00	100,00	100,00	100,00	100,00	100,00	100,00	100,00

Source: MIDEPLAN, CASEN 2006 and previous years.

This drop practically mirrors the rise in the fourth quintile, while the poorest quintiles see a much lower increment. This inequality can be expressed as well by the Gini coefficient, which has been fluctuating between 0.57 and 0.58; in 2006 it reached 0.52.<sup>18</sup> Social policies have allowed for a partial alleviation of inequality measures helping, for example, to narrow the gap between the share of income obtained by the richest 20 percent of the population and the poorest 20 percent from 14.3 times to 7.6 times (IDB, 2006). In 2007 the extreme poverty indicator across national lines for target No. 1 of the MDGs had fallen to 3.2 percent, the lowest figure in Latin America after Uruguay, with 3.1 percent. (In 1990 Uruguay's number was 3.4 percent, while Chile's was 12.9 percent).<sup>19</sup> Since 2000 per capita income has doubled in real terms, and in 2007 GDP in dollars per capita, at US\$9,876, was one of the highest in the region. Chile's comparative situation versus the rest of Latin America is visualized in the "development diamond."

**Figure 3. Development Diamond**



Source: World Bank, 'World Development Report'

<sup>18</sup> Between 2002 and 2006 the Gini coefficient dropped in 11 of the 14 countries for which information is available. See Lustig, Nora, Op. Cit. y López, Ramón y Millar, S., 'Chile: The Unbearable Burden of Inequality,' paper published in *World Development*, Vol. 36, No. 12, 2008

<sup>19</sup> See ECLAC, 'Social Panorama of Latin America 2007,' Social Development and Statistics and Economic Projections Divisions of ECLAC, November 2007.

It must be noted that Chile ranks 40th out of 177 countries in the latest HDR (2007-2008), with a Human Development Index (HDI) of 0.867 (15 places higher than in the GDP ranking). This puts the country in the “high human development” category. In the statistical update for 2008, Chile maintains its 40th position (out of 179 countries), with a slightly higher HDI (0.874), the highest in Latin America.<sup>20</sup> As for the evolution of the HDI, after starting off at a level close to the Latin America and Caribbean average, the index has risen in Chile at a faster pace than the regional average.<sup>21</sup>

The data available for Chile and its HDI are shown below:

Year	HDI Value
1980	0.746
1985	0.760
1990	0.792
1995	0.821
2000	0.848
2003	0.859
2004	0.865
2005	0.871
2006	0.874

Source: Data obtained from [http://hdr.undp.org/en/media/HDI\\_2008\\_EN\\_Tables.pdf](http://hdr.undp.org/en/media/HDI_2008_EN_Tables.pdf) Prepared internally

As for the gender empowerment measure (GEM)<sup>22</sup>, Chile presents a value of 0.521, for a ranking of 75th among 108 countries.<sup>23</sup>

The review of the data shows that the inequity in Chile’s development also has an important regional dimension. This is due to the high concentration of production and economic resources in a few regions, cities and municipalities (*comunas*) and the inadequate institutional development of governments at the sub-national level. As a result, during the last 20 years the economic results have skewed development towards certain areas, such as the country’s northern and Santiago’s metropolitan regions, while leaving other regions structurally behind.

Finally, we should point out that upon discussing alternative scenarios for the achievement of the MDGs, and considering the results obtained from the application of a general equilibrium model, an economic growth of close to 1 percent per annum would impede the achievement of the target of reducing mortality rate for children under 5. Fortunately “that rate appears to be excessively pessimistic for Chile,”<sup>24</sup> something that seemed reasonable when the country’s GDP was growing at around 5 percent a year. However, in the current context of the global economic crisis that began in 2008, the 1 percent growth rate may not seem “pessimistic” anymore, and it might require a bigger effort to achieve the MDGs.<sup>25</sup>

<sup>20</sup> See [http://hdrstats.undp.org/en/2008/countries/country\\_fact\\_sheets/cty\\_fs\\_CHL.html](http://hdrstats.undp.org/en/2008/countries/country_fact_sheets/cty_fs_CHL.html)

<sup>21</sup> <http://hdr.undp.org/en/statistics/data/trends/>

<sup>22</sup> The GEM measures whether women have an active role in economic and political life, and takes into account the proportion of women among legislators, managers, high officials and in technical positions, as well as the gender disparity in income.

<sup>23</sup> <http://data.un.org/DocumentData.aspx?id=118>

<sup>24</sup> See O’Ryan, Raúl, de Miguel, Carlos and Lagos, Camilo (2008) “Chile”. In Vos, Rob, Ganuza, Enrique, Lofgren, Hans, Sánchez, Marco V., and Carolina Díaz-Bonilla (editors), *Políticas Públicas para el Desarrollo Humano: ¿Cómo lograr los Objetivos de Desarrollo del Milenio en América Latina y El Caribe?*, Uqbar Editores for the United Nations Development Programme (UNDP), page 278, Santiago de Chile, 2008.

<sup>25</sup> See [http://www.wider.unu.edu/publications/newsletter/articles/en\\_GB/03-08-2009-1/](http://www.wider.unu.edu/publications/newsletter/articles/en_GB/03-08-2009-1/) for an analysis of the impact of the global economic crisis on the MDGs in Latin America.

## 2.3 ENVIRONMENTAL CONTEXT

The environmental situation in Chile must be examined within the context of an accelerated economic growth. There is growing evidence that environmental degradation is getting worse (in the air quality of Santiago's metropolitan region and near the copper mills in northern Chile, among other areas). This has led to a stronger emphasis on environmental protection.<sup>26</sup> In 1990 Supreme Decree No. 240 created the National Environment Commission (CONAMA), which was later restructured by the 1994 General Framework Act for the Environment (LBGMA), which introduced new environmental management tools. Under the LBGMA, several new regulations have been established in more than 20 areas including the atmosphere, water, noise, light pollution and combating desertification. In 1998 CONAMA approved the Environmental Policy for Sustainable Development, which was actively promoted by President Frei's Administration.

President Lagos' Government adopted the 2002-2006 Environmental Agenda for Clean and Sustainable Development in response to the need to implement concrete environmental protection measures, to improve management and to complement the country's development efforts.

During this time, the indicator for the percentage of continental land preserved rose 18.66 percent thanks to the 2004 addition of the Corcovado National Park—and its 209,624 hectares—to the National Wilderness State Preservation System (SNASPE), which is managed by the National Forest Corporation (CONAF). The inclusion of Corcovado in SNASPE, the first of its kind in several years, increased the protected land to 14,334,854 hectares (Government of Chile and United Nations, 2008).

The government agenda of incumbent President Michelle Bachelet also stresses environmental issues. In June 2008 the President sent to

Congress a bill to amend the LBGMA (*Ley 19.300 de 1994*). The bill provided for the creation of a Ministry of the Environment, an Environmental Evaluation Service, an Environmental Oversight Agency and a Biodiversity and Preserved Areas Service, as well as other instruments aimed at modernizing Chile's environmental legal framework. Currently, the SNASPE includes 32 national parks, 48 national reserves and 15 natural monuments. In addition, the process to develop the regulatory system for the creation of Private Protected Areas (APP) is underway.

To this date, Chile has not prioritized nature protection or assigned enough resources in order to tackle the long-term challenges faced by the country's rich biological diversity. There is no single, specific law addressing nature conservation, and the institutional and management structures in place subordinate the conservation objectives to the broader goals of the respective institutions. Despite the improvement shown during the assessment period, not enough funds are being allocated to nature and biodiversity protection or to ensure compliance with existing regulations. There is still insufficient knowledge about the country's species, their state of conservation and the functioning of the ecosystems they inhabit.

Government policies do not adequately recognize the value of nature as a vital asset for the tourism industry, failing to take full advantage of their financial potential as a funding source for environmental management. Despite a generally high level of protection, many important ecosystems and habitats are underrepresented. At the current pace, the goal of preserving 10 percent of all significant ecosystems by the year 2010 will not be met. Protected areas lack funding and investments. The absence of an effective land-planning scheme, with the exception of the sectoral-planning mechanisms, leaves the unprotected habitats extremely vulnerable and open to destruction.

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<sup>26</sup> ECLAC/OECD, 'Evaluaciones de Desempeño Ambiental: Chile,' Joint Publication by OECD and ECLAC, page 15, Chile, May 2005.

The native forests that lay outside the protected areas are regularly exposed to man-made fires and to the illegal logging of valuable species. Up to now, the only area that has seen moderate progress in integrating biodiversity considerations has been water management.<sup>27</sup>

## 2.4 ENERGY CONTEXT

“The current sources of energy in Chile are oil (39 percent), natural gas (25 percent), wood biomass (17 percent), coal (11 percent), and hydroelectric (8 percent). Aside from hydroelectric energy and biomass, the country has limited energy resources and non-conventional renewable energies, such as geothermal, solar or wind are little used”.<sup>28</sup> The National Energy Commission (CNE) and the Energy Oversight Agency (SEC) are the institutions responsible for regulating, supervising and establishing the guidelines for investments in energy generation and transmission, which are left to private companies. During 2008 two important programmes were strengthened: a) the Energy Efficiency Country Programme (EECP), whose aim is to consolidate the efficient use of energy and contribute to Chile’s sustainable development in this area; and b) the Non-Conventional Renewable Energies Development Programme, set up to support the elimination of development barriers and the promotion of renewable energy projects. In March 2008 the bill establishing the Ministry of Energy was sent to the Congress.

In this context, two initiatives should be operative starting in 2009: i) the Chilean Agency for Energy Efficiency, a joint public sector-private sector agency focused on the implementation of projects and on offering advice for the formulation of experience-based energy efficiency policies; and

ii) the Renewable Energies Center, inaugurated in August 2009. The Center’s main purpose is to serve as a technological “beacon” and take advantage of international technical innovations—identifying the prospects for new clean technologies and the best practices on renewable energies all around the world—as well as organizing and distributing that information in Chile and to contribute to its development and promotion.<sup>29</sup>

In 2006, 99 percent of Chile had access to electricity, with rates of electrification of 99.7 percent (urban) and 94.3 percent (rural). Hydrocarbons make up more than 70 percent of national energy consumption, most of it imported. The remaining 30 percent comes from local water resources (hydroelectric generation). Chile has four independent electric systems. Installed capacity nears 13,000 MWs and gross total electricity generation exceeds 55,000 GWhs (for 2008). The highest energy consumption sectors in Chile, measured in teracalories<sup>30</sup>, are: i) transportation, ii) industry, iii) residential, iv) mining, v) commerce and public, vi) the energy sector proper.

The importation of energy sources leaves the country exposed to considerable value fluctuation and supply risks. Between 2004 and 2007, the consumption of natural gas originating in Argentina substituted the primary consumption of coal, biomass and crude oil. This situation was reversed after 2005 as a result of restrictions imposed by the neighboring country on gas supply.<sup>31</sup> In 2006 the Chilean Government put in place its own energy security plan (PSE) through a set of short and medium-term initiatives designed to: i) diversify the matrix (in terms of inputs and suppliers), ii) achieve higher independence/autonomy and iii) promote efficient and intelligent use of energy.

<sup>27</sup> ECLAC/OECD, ‘Evaluaciones de Desempeño Ambiental: Chile,’ Joint Publication by OECD and ECLAC, page 22, Chile, May 2005.

<sup>28</sup> *Ibid.*, page 62

<sup>29</sup> National Energy Commission, ‘Política Energética: Nuevos Lineamientos, transformando la crisis energética en una oportunidad política,’ CNE, Chile, 2008.

<sup>30</sup> Measured in trillions of calories.

<sup>31</sup> CNE, *Op. Cit.*

The national regulatory framework generates the necessary incentives for private companies to invest in electrical projects.

## 2.5 INTERNATIONAL COOPERATION IN CHILE

The Chilean Agency for International Cooperation (AGCI) was created in 1990, originally as an organization integrated in the Ministry of Planning and Cooperation (MIDEPLAN). In 1993 the AGCI created the Horizontal Cooperation Programme (Technical Cooperation between Developing Countries—TCDP— or South-South Cooperation). In an effort to strengthen Chile’s presence in the region, the AGCI was transferred in 2005 to the Ministry of Foreign Affairs. The modus operandi in this field has relied on forming bilateral agreements (with Mexico, for instance) and, particularly, Triangular Technical Assistance projects. This type of cooperation involves assisting third countries, with the participation of a traditional donor, in sectors where Chile has developed nodes of excellence.

On the other hand, official development aid to Chile represents less than one thousandth of its GDP (see Table 6). In 2005 it was US\$9 per capita, three times more than the average in middle-income countries like Chile.<sup>32</sup> In 2007 that figure dropped to US\$7 per capita.

Year	Official Foreign Aid	Gross Domestic Product
2000	49	75,210
2005	152	118,250
2006	83	146,440
2007	120	163,910

Source: World Development Indicators database, April 2009

International financial institutions have formulated programmes in collaboration with the national government that are operated within a framework of country strategies. A significant portion of the cooperation offered by the World Bank, for example, is paid for by the Government (“fee for service”). This practice has also been used by UNDP in the case of advisory services provided by the human development team.

Bilateral cooperation takes place with Germany, Spain and France, and it is concentrated in areas such as scientific research, judicial and state reform, decentralization, small and medium business sector, and information technology.<sup>33</sup> The following paragraphs offer examples of international cooperation with Chile. Interestingly approximately 80 percent of that cooperation occurred in the fields of environment and energy.

Regarding bilateral cooperation, the main donors were: i) Germany, in renewable energies and energy efficiency, conservation and sustainable management of native forests, and environmental remediation; ii) France, in the fields of state modernization, public health and the environment; iii) Spain (both through the Spanish Cooperation Agency and several autonomous communities), in employment, culture, business cooperation through networks, training, culture, environment, health, universities and municipalities; iv) Belgium, in science and technology, education, culture, youth and well being (with the Flemish Community), and in the areas of education, equal opportunities, environment, local and regional development and culture (with the Wallonia region); v) Japan, with projects on correcting social inequality, the environment, creating the conditions for investment and trade, and supporting South-South Cooperation; and vi) Switzerland, in the areas of air quality and pollution.

<sup>32</sup> See World Bank, ‘World Development Report 2008,’ Washington D.C., 2008.

<sup>33</sup> Section 3.1 in the next chapter covers the United Nations system agencies operating in Chile.



International organizations are present in several significant environmental initiatives: for example, the country strategy of the Inter-American Development Bank (IDB) focuses on strengthening the institutional framework and environmental regulations. The World Bank (International Bank for Reconstruction and Development) supports Chile's efforts on biodiversity conservation, climate change issues, sustainable transportation, renewable energies and ozone depleting substances (ODS) reduction. Its country strategy is based on helping Chile fulfill the requirements to join the Organization for Economic Co-operation and Development (OECD); finally, the European Union has supported the Environmental Remediation and Socio-Productive Development Programme for Rural and Indigenous Areas in the IX Region (*Araucanía Tierra Viva* initiative), among other initiatives.

On the other hand, as mentioned in the first paragraph of this section, "triangular assistance" has been progressively gaining traction. The CCA for 2007-2009 highlights the increased participation of developed countries and other developed world actors in AGCI's activities in recent years. As a result, Triangular Technical Assistance projects have been put in place to support third countries, with the participation of a traditional donor, in areas where Chile has developed nodes of excellence. Between 1993 and 2005, Chile provided official aid for an amount of US\$21.3 million through AGCI's Technical Cooperation Programme between Developing Countries (CTPD). Among the priority areas of this initiative were: state modernization, decentralization and regional development, natural resource management and the environment, productive development, science and technology, and social development. Section 4.5 offers a more detailed discussion of South-South Cooperation in Chile.



## CHAPTER 3

# THE UNITED NATIONS AND UNDP IN CHILE

### 3.1 STRATEGIC FRAMEWORK AND THE UN SYSTEM IN CHILE

Latin America in general and Chile in particular are not large recipients of Official Development Assistance (ODA). As a middle-income country, Chile has made significant progress in per capita income and, as a result, it is not a major recipient of traditional international cooperation. The technical assistance received has been concentrated in the third generation reform areas such as science and technology, the strengthening of democratic governance, the improvement of social protection policies and the challenge posed by environmental sustainability.

Chile is host to several regional and subregional offices within the United Nations system, which facilitates the sharing of South-South development experiences. Among those is the Economic Commission for Latin America and the Caribbean (ECLAC), one of five regional UN commissions whose mandate is to contribute to the economic and social development of Latin America as a region.<sup>34</sup> In addition, there are 14 other agencies represented in the UN country team (UNCT): FAO, ILO, IOM, ITU, OHCHR, PAHO/WHO, UNAIDS, UNDP, UNESCO, UNFPA, UNHCR, UNICEF UNIFEM and WFP.<sup>35</sup>

In 2006 the UN system agencies in Chile developed their first common strategic programme, the United Nations Development Assistance Framework (UNDAF) for 2007-2010, which also offered a blueprint for the individual programmes of each participating agency. The strategy took into account the fact that Chile is a middle-income country with sustained economic growth and effective public policies, and has achieved most of the Millennium Development Goals (MDGs). Section 5.3 offers additional information on UNCT activities in Chile.

Despite these successes, Chile must address important challenges, such as the need to overcome income, gender, regional, and ethnic inequalities, and inequities in the levels of opportunity; to move forward in its decentralization process; and to develop South-South Cooperation initiatives. The regional and subregional offices of the UN agencies operating in Chile have agreed to assist the country with the transfer of technologies, services and pioneering experiences in several areas.

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<sup>34</sup> For a discussion on ECLAC's relevance and its leadership role, see Culpeper Roy, 'Approaches to Globalization and Inequality within the International System,' United Nations Research Institute for Social Development (UNRISD), Geneva, 2005.

<sup>35</sup> UNHCR: United Nations High Commissioner for Refugees, FAO: Food and Agriculture Organization, OHCHR: Office of the High Commissioner for Human Rights, IOM: International Organization for Migration, ILO: International Labor Organization, PAHO/WHO: Pan American Health Organization/World Health Organization, UNDP: United Nations Development Programme, WFP: World Food Programme, ITU: International Telecommunications Union, UNESCO: United Nations Educational, Scientific and Cultural Organization; UNFPA: United Nations Population Fund, UNICEF: United Nations Children Fund, UNIFEM: United Nations Development Fund for Women.

### 3.2 UNDP: STRUCTURE AND ORGANIZATION

UNDP has been a development agent in Chile since 1965. The international pact signed between Chile and UNDP lays down the foundation for the organization's presence in the country, which is governed by multi-year cooperation agreements with the Government defining the activity areas. The current assessment covers two such cooperation programmes: 2001-2003, extended until 2006, and 2007-2010.

UNDP conceives its cooperation activities as a collaborative effort with the Government of Chile. Consequently, the last programme was guided by the UNDAF provisions and President Michelle Bachelet's "Government Programme for 2007-2009", as well as by the Millennium Development Goals, the human development mandate, and other international treaties and conventions ratified by Chile.

When the assessment was performed, the UNDP office in Chile had a staff of 27, including two international civil servants. The team is organized into two groups: the programme unit and the operations unit (see Annex 6 for UNDP's organizational chart). Chile's office is led by a Resident Representative and a Deputy Resident Representative. The internal reviews performed during the past two years reveal the need to strengthen the capacities of the Country Office (CO) in order to enable the use of corporate administration systems. During this time, corrective measures have been installed and the monitoring and evaluation responsibilities have been reinforced with a new employee. In addition, the CO has elaborated a project in cooperation with the Government Secretariat-General of the Presidency for the monitoring and evaluation of the 2007-2010 country programme.

### 3.3 UNDP: COOPERATION PROGRAMMES IN CHILE, 2001-2010

The cooperation programme contemplated in the Country Programme Document (CPD) for the 2001-2003 period was later extended through 2006. The second cooperation programme, scheduled to start in 2007, was extended until 2010 to coincide with the new government cycle in Chile. The first programme was heavy in "development support services," which filled a role as operations facilitator. During that period, UNDP Chile adopted a "finance-to-influence" strategy, with most activities concentrated in the following activities:

- Management of third-party funds destined to a wide variety of projects.
- Procurement of goods and equipment.
- Hiring of local and international advisors.
- Administration of fiscal transfers.

In the first period, the programme team was divided into three groups:

- a) Operations team.
- b) Human development team, responsible for the production of biennial national reports.
- c) Public policy group, in charge of environmental issues, particularly biodiversity conservation programmes, combating desertification and ozone layer protection. Other areas covered by the group with less continuity were: corporate social responsibility, micro-credit, information technologies and communication for development, indigenous peoples, decentralization, and regional development.

During 2001-2003, in response to an anticipated decline in available funds, UNDP maximized its operational projects. During the first cycle, the financial resources utilized by the Office increased, and so did the risks. In this period, UNDP showed a high degree of responsiveness to requests by the Chilean Government to carry out projects in several areas. At the same time, the Government kept improving its management processes, especially in the public procurement area, through the implementation of the *Chile Compra*<sup>36</sup> programme. As a result, there was less room for operational projects.

As has been the case since 1996, during 2006-2010 the UNDP Chile office kept producing the highly regarded 'Human Development Report.' This period also saw a shift in focus on the provision of high-level technical advisory services, particularly in the areas of equity and social

policy, and on facilitating multi-party political dialogue. To that end, UNDP Chile underwent a restructuring process that brought about the renovation of almost the entire staff and a significant increase in their qualification.<sup>37</sup>

The activities of UNDP Chile during the first period show a more traditional profile, similar to those implemented in other countries. Later on, the programme becomes more focused, going from 26 expected outcomes in the 2001-2003 cycle to 14 effects in 2004-2006, and to nine in 2007-2010.

The cooperation programme for the 2007-2010 period focused on five thematic areas: i) equity; ii) fostering democratic governance; iii) energy, environment and transportation; v) human development; and v) South-South Cooperation. The expected outcomes for each area are shown in tables 7 and 8.

**Table 7: UNDP Chile: Expected Outcomes, 2001-2003**

Area	Expected Outcome
Poverty Reduction and Achievement of MDGs	1. Government and UNDP employees are trained in Dev. Info.
	2. The 2002 and 2004 'Human Development Reports,' on culture and power, respectively, are published and contribute to society's empowerment.
	3. Access of low-income population to public health services increases significantly.
	4. Improving and strengthening extension programmes.
	5. Implementation of a national comparative study of the nonprofit sector.
	6. Proposals for mainstreaming gender in public policies.
	7. The Government improves its support of gender equality through public policies.
	8. Complementary study on gender and democracy in Latin America, with special emphasis on Chile.
	9. Training of public employees in gender issues.
	10. The capacities of civil society organizations for monitoring and lobbying on poverty reduction policies are improved. Local organizations are empowered to affect local decision-making processes from a rights perspective.
	11. Support for national programme on drug prevention.
	12. Completion of the <i>Desarrollo de Chile</i> website.

(cont'd) ►

<sup>36</sup> The *Chile Compra* Office was created under the public procurement act, and began its operations in August 2003. <http://www.chilecompra.cl/institucional.html>

<sup>37</sup> In 2009 only two employees remained from the 2001-2003 period.

◀ (cont'd)

Area	Expected Outcome
Democratic Governance	13. The implementation of public development policies within the framework of the 2001-2005 Government action plan is more efficient.
	14. Supporting the defense of indigenous rights and defining concrete actions on indigenous issues.
	15. Institutional strengthening of the urban planning division, Ministry of Housing.
	16. Improvement of the legal framework and regulatory processes to fight tax evasion.
Environmental and Energy Sustainability	17. There is support for NGO and community initiatives for biodiversity conservation and in the area of climate change.
	18. Local, sectoral, and private sector officials in the area of environment and forest management improve their capacities.
	19. International environmental commitments are incorporated into national development planning and its policies.
	20. Development of local, community and private sector capacities for environmental management and sustainable development of energy.
	21. Adoption of renewable sources of energy for electricity generation in small rural and isolated communities.
	22. International environmental commitments are incorporated into national development planning and its policies.
	23. Local, community and private sector officials in the environment management area improve their capacities.
Response to HIV/AIDS	24. Design of a United Nations System Integrated Action Plan for 2004-2005.
	25. Institutional capacities are built to design and implement multi-sector initiatives aimed at limiting the spread of HIV/AIDS and alleviating its socioeconomic impact.
	26. Promotion of universal access to retroviral therapies.

**Table 8: UNDP Chile: Expected Outcomes, 2007-2010**

Area	Expected Outcomes
Equity	1. Equity increases thanks to national and local public policies aimed at promoting quality access to education, health and justice services, and at fostering progress in gender parity.
	2. Generation of impact scenarios for public policies aimed at reducing inequality.
Human Development	3. The Chilean Government incorporates human development and human rights into its country strategies.
	4. Chilean society has a discussion on the challenges to human development.
Environmental and Energy Sustainability	5. Progress in environmental sustainability.
	6. Long-term strategy on energy sustainability.
Democratic Governance	7. Consolidation of democratic institutions.
	8. Reinforcement of decentralization process and transfer of power and resources to local communities.
South-South Cooperation	9. Chile consolidates its position as provider of technical cooperation for middle-income countries.

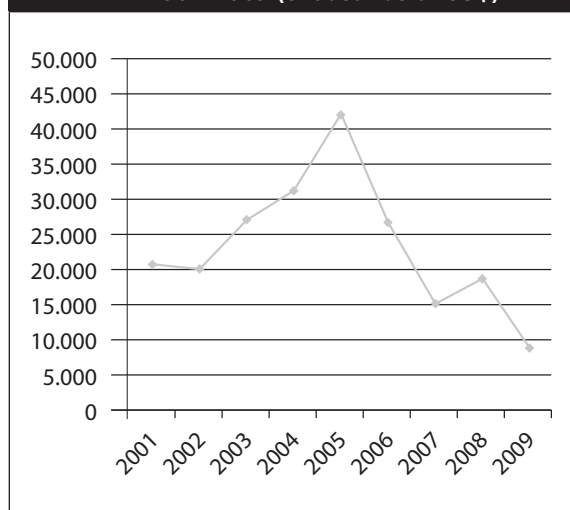
Most of the expected outcomes for the 2001-2003 period were linked to projects and were not changes in development situations that were expected to occur as a consequence of UNDP's participation; that is, they were more concrete than the outcomes described in later periods.

### 3.4 UNDP: FINANCIAL MANAGEMENT

Between 2001 and 2009 UNDP implemented 125 projects. The number of projects is higher than the actual initiatives executed because, in some cases, the same initiative was carried out through three consecutive projects. At the time of the assessment, UNDP Chile had 54 financially active projects, of which six (8 percent) were being implemented directly (DEX) and 48 (92 percent), by the country (NEX).

The evolution of UNDP's financial execution in Chile has been marked by an increase in resources until 2005, when they peaked at US\$42.8 million, followed by a sharp decline in 2007 to a low of US\$14.8 million. At the end of 2008, resources were estimated at US\$ 18.5 million. (See Figure 4).

This decline in resources for UNDP operations in Chile stems from a strategy adopted in 2006 to focus the portfolio on high-level advisory

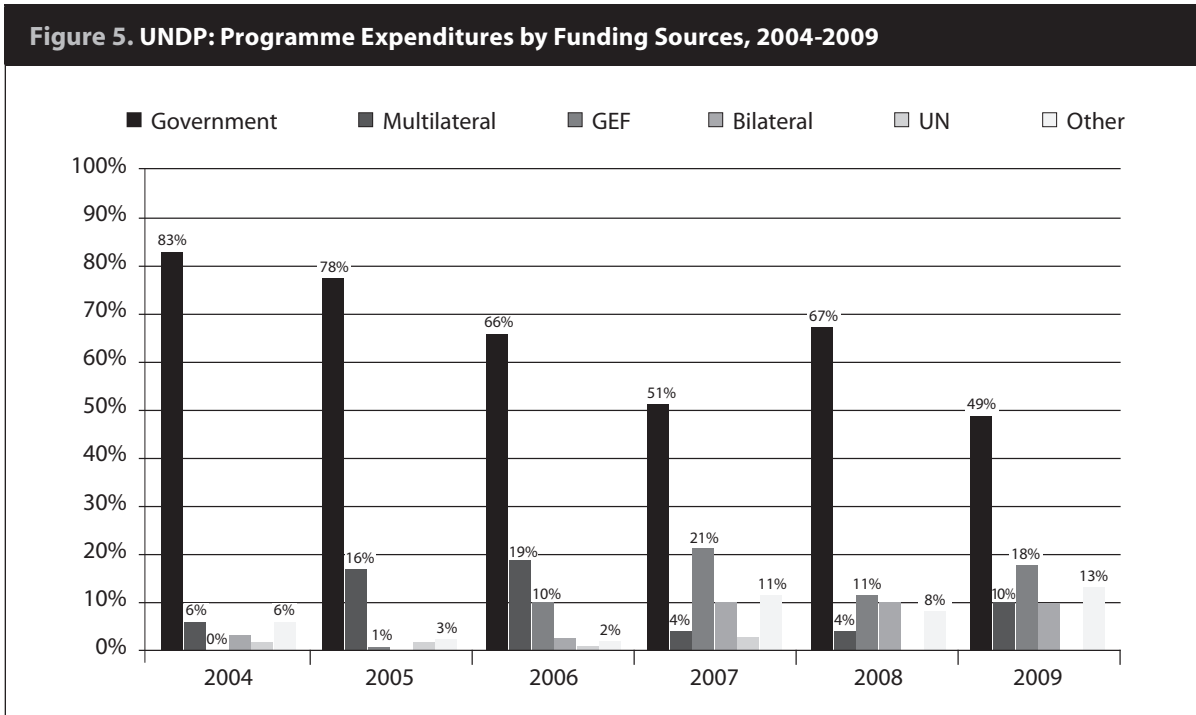
**Figure 4. UNDP: Programme Expenditures, 2004-2009 (thousands of US\$)**

Source: UNDP ATLAS-Executive Snapshot

projects capable of resolving specific challenges faced by the State, thus reducing the share of operational support projects. These projects were not renewed. The decision has had implications on the size and type of activities performed by Chile's UNDP Office. With less resources coming from operational support to implement projects, it became necessary either to downsize the Office or to find alternative financing. UNDP Chile sought both.

Public funds come mainly from the central Government, with scant participation from regional governments. Figure 5 shows how government resources declined, in relative terms, in favor of an increase in funds from other sources, such as United Nations global thematic funds.

The new project financing strategy was structured by UNDP Chile around resources from global funds—i.e. the United Nations Democracy Fund (UNDEF)—obtained through competitive processes. This strategy has been made possible by the new hiring of qualified experts.

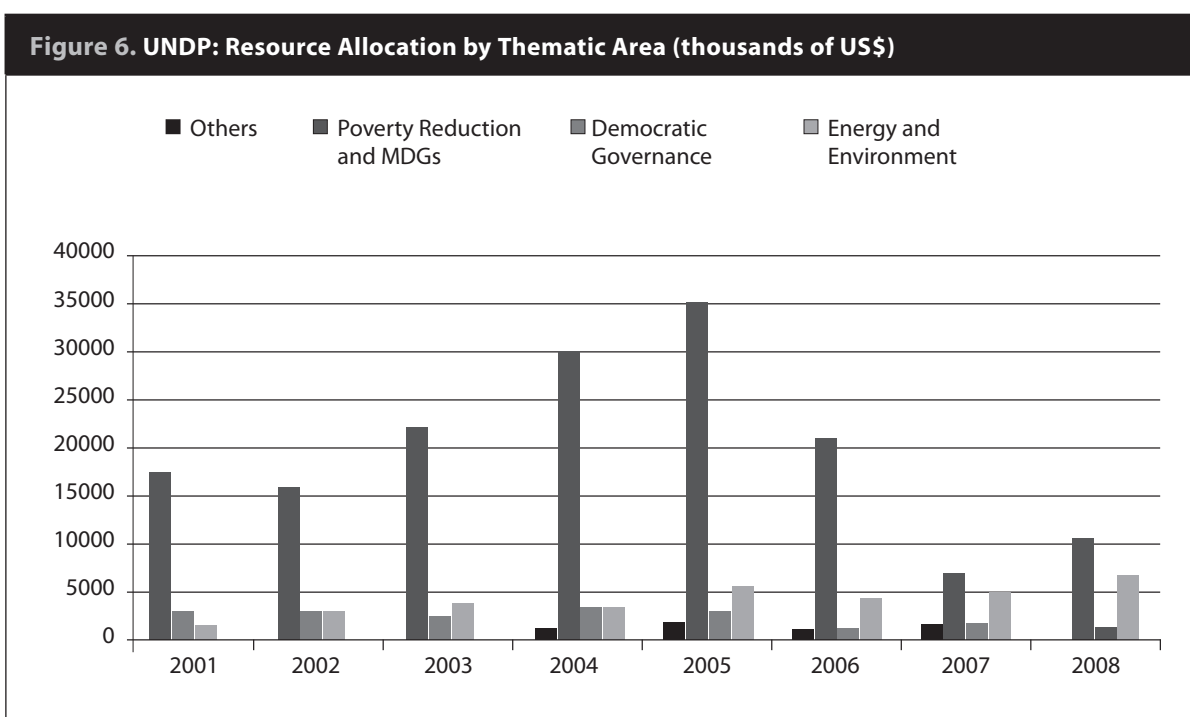


Source: UNDP ATLAS-Executive Snapshot



The portfolio resources are distributed without significant differences by thematic area, although poverty reduction and MDG achievement attract the majority of the projects. In the latest period, there is an explicit focus on inequality reduction, reflecting the general tendency towards elimination of operational support projects. (See Figure 6).

UNDP's target for resource assignment from the core (TRAC) is less than 3 percent of the total spent, as Table 9 shows. This limited proportion of core resources follows the resource allocation pattern of high-income countries.



Source: UNDP ATLAS Executive Snapshot

**Table 9: UNDP: Percentage of Core Resources Spent (thousands of US\$)**

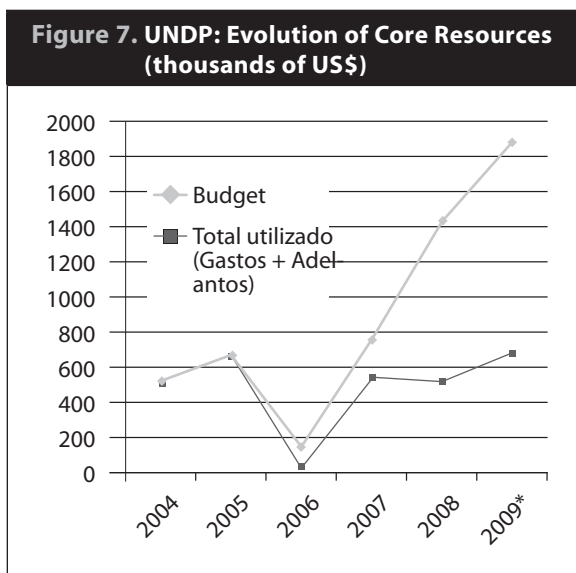
Core Resources (TRAC)	TRAC Budget Approved*	Total TRAC Spent*	Budget or Programme	Programme Execution	TRAC Percentage/Budget	TRAC Percentage/Execution
2004	510	517	82.729	31.521	0.6%	1.6%
2005	669	660	46.501	42.872	1.4%	1.5%
2006	135	26	34.017	26.796	0.4%	0.1%
2007	765	547	21.625	14.785	3.5%	3.7%
2008	1,421	529	72.395	18.498	2.0%	2.9%

Source: UNDP ATLAS Executive Snapshot

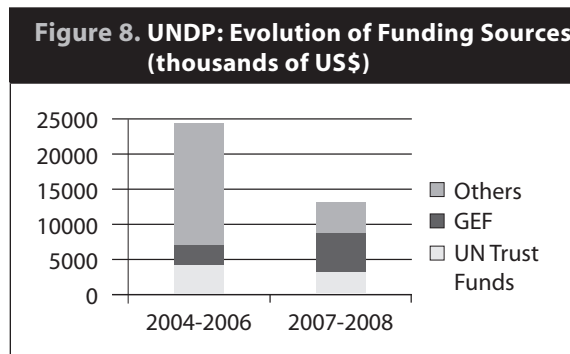
Aside from UNDP's core and Government resources, expenditures from other donors declined sharply. On the other hand, funds from the GEF and other UN sources rose, as shown in Figure 8.

The financial management of UNDP's technical cooperation showed deficiencies due to the limited or inadequate use of the corporate management systems designed by the Organization.

As described in Section 3.2, we have identified the need to strengthen the Country Office capacities for a more effective application of corporate administrative systems, and progress is being made in this area. Furthermore, it is important to close the information gap mentioned in Section 1.2. Therefore, it is necessary to ensure that every project generates an appropriate final report and, whenever possible, an external evaluation.



Source: UNDP ATLAS Executive Snapshot



Source: UNDP ATLAS Executive Snapshot

## CHAPTER 4

# UNDP'S CONTRIBUTION TO DEVELOPMENT RESULTS

This chapter reviews the relevance, effectiveness, efficiency and sustainability of each programme area in developing the second matrix presented in Section 1.2. The selection of themes and the findings derived from the evidence obtained are based on the methodological approach described in Chapter 1.

### 4.1 ENVIRONMENT AND ENERGY

#### RELEVANCE

During the Second Cooperation Framework between UNDP and Chile (2001-2006), there was an emphasis on selecting and promoting initiatives in the areas of conservation and sustainable use of natural resources, fighting against climate change and desertification, biodiversity preservation, protection of the ozone layer, and promotion of non-renewable energy sources. Currently, UNDP has six open activity areas on environment and energy. The Country Office has focused mainly on reinforcing five of them: i) frameworks and strategies for sustainable development; ii) access to sustainable energy services; iii) sustainable land management to combat desertification and land degradation; iv) preservation and sustainable use of biodiversity; and v) national and sectoral policies, and planning for the control of ODS and persistent organic pollutants (POPs).

The interventions by UNDP Chile have been relevant in that they have responded to the environment and energy challenges identified by the Government, as well as by UNDP, especially when it pertains to institution building. UNDP has developed strategies, plans and legal frameworks in the areas of biodiversity, POPs, ODS

and climate change. The interventions are in line with the country's environmental policy of sustainable development and with its energy agenda.

The last two programmes implemented by UNDP in Chile have focused on MDG No. 7: ensuring environmental sustainability, and particularly on target 7A: integrating the principles of sustainable development into country policies and programmes and reversing the loss of environmental resources, which fully mirrors the Government's policy on sustainable development.

The relevance of UNDP's country programme for Chile is underscored by taking into account the 2002-2006 Environmental Agenda for Clean and Sustainable Development, which was drafted by the Government in response to the need to take concrete measures to protect the environment and improve its management while complementing the country's development efforts. The Agenda focused on four lines of action:

- i) Urban remediation, aimed at improving sewage treatment, waste disposal and treatment, and air quality control methods in the largest cities.
- ii) Nature conservation and protection. The objective was to draft a national strategy and action plan for biodiversity in order to give proper official protection to every single relevant ecosystem in the country.
- iii) Modernizing the environmental management system and making it more flexible in order to add new, more demanding standards of efficiency and effectiveness, with special emphasis on transparency and access to information.

iv) Environmental culture and human environment, promoting environmental education across the country and fostering public-sector and private-sector cooperation for conflict resolution and alliance building, as well as integrating a human dimension in environmental decision making by reinforcing grassroots participation in the management schemes (CONAMA, 2001).

Regarding Chile's environmental policy, it is important to note that it promotes economic growth in combination with the protection of the environment. It is based on the concept of sustainable development, defined as "the process of improving the quality of people's lives in a sustained and equitable manner, using appropriate environmental conservation and protection measures without endangering the expectations of future generations."<sup>38</sup>

UNDP's country program for Chile is also aligned with the national energy agenda, and especially with the Energy Efficiency Country Programme (EECP)—established in 2005 by Chile's Government "to consolidate the efficient use of energy and contribute to Chile's sustainable development"—and the Non-Conventional Renewable Energies Development Programme, set up in 2008 "to support the elimination of development barriers and the promotion of projects based on this kind of technologies."

With the financial contribution of the GEF, UNDP has been supporting a CONAMA project for the removal of barriers to rural electrification using renewable energies (*Remoción de Barreras para la Electrificación Rural con Energías Renovables en Chile*) in the Coquimbo region, which is suffering the effects of desertification. The initiative is receiving additional funds from the regional government and aims at providing solar energy-based lighting to rural areas with scarce resources and no access to the

conventional electric grid—nor likely to have it in the future due to their isolation. Even though these are small-scale interventions, they open the door for replication in other regions facing similar situations of social isolation and lack of resources derived, mainly, from the effects of desertification.

In the area of POPs, Chile was one of 12 nations to develop a national POP management plan, paving the way for significant research in the field and producing and publishing studies and investigations of national importance.

The main environmental and energy challenges identified by UNDP and the Government of Chile can be clustered around four groups: i) the need for stronger institutions in both sectors; ii) the need to increase and improve the system of preserved areas to include private and marine lands; iii) the fight against desertification and drought; and iv) the need to develop sustainable and environmentally friendly means of transportation.

In this context, the actions implemented by the Government, with the support of UNDP, have been aimed at reducing the gap and addressing these four challenges. To tackle the first challenge, national guidelines with strategies, action and implementation plans have been established; for the second, there are efforts in place to promote the protection of private and marine areas; in the third case, the initiatives have been mainly geared towards reforestation, irrigation and remediation of degraded lands; and finally, different actions have been implemented to support the sustainable development of the transportation system in Santiago's metropolitan area, Transantiago.

On the other hand, during these last periods both the Small Grants Subsidies Programme (PPS) and UNDP (through its energy projects)

<sup>38</sup> National Environment Commission, 'CHILE, ejemplos de desarrollo sostenible,' CONAMA, Chile, 2002, and paper by Gianni López, presented at the 7th Scientific Convention on the Environment sponsored by the Environmental Research and Planning Centre. Published as an article in the journal *Ambiente y Desarrollo*, Vol. 18, Nos. 2, 3, 4, Chile, 2002.

have made efforts—mostly small in scope—at the community and local levels to bring solar energy-based electricity to small and isolated rural communities, mostly governed by women with little resources. The interventions were unquestionably relevant, but their reduced scale by design may raise doubts about their feasibility and, eventually, the advisability of replicating them at a large scale unless they are first tested in mid-size projects and other diverse contexts.

### **Effectiveness**

UNDP's country programme in Chile for the environment and energy area has two main and specific goals: environmental sustainability and long-term energy sustainability.

Regarding the first objective, the support given by the Country Office through the implementation of projects to develop national strategies and action and execution plans in areas such as biodiversity, climate change and POPs has contributed to create a significantly stronger environmental institutional framework. These activities have strengthened a national agenda already focused on sustainable development.

In 2008 UNDP and the Transdisciplinary Centre on Environmental Studies and Sustainable Human Development at Austral University of Chile (CEAM-UACH) performed a self-assessment of the capacities currently in place in Chile (that is, it identified the country's needs, limitations and opportunities) in connection with the international commitments assumed by Chile on biodiversity, land degradation and climate change. The final report offers 79 recommendations for action concerning environmental problems related to biodiversity, climate change, desertification and drought.<sup>39</sup>

UNDP is joining efforts with the GEF to preserve new ecosystems, emphasizing the protection of those located in regions of higher ecological importance, as identified by the Global 200 list, thus increasing the territories being preserved under private initiatives. We expect that once the Regulations on Private Protected Areas come through—they are in the final approval stages—it will be possible to address new initiatives.

The GEF is currently implementing an initiative called Creation of a Comprehensive National System of Preserved Areas (*Creación de un Sistema Nacional Integral de Areas Protegidas*) to improve SNASPE.

In 2006 this project, along with the Technical Assistance for the Progressive Elimination of ODS in Chile initiative (*Asistencia Técnica para Eliminar Progresivamente los Solventes Agotadores de la Capa de Ozono en Chile*) and other interventions by UNDP, helped to consolidate Law No. 20.096, which allows for monitoring the import, production and utilization of controlled substances under the Montreal Protocol. Chile's Government has also made a commitment to start up a plan for the gradual elimination, and the eventual eradication, of chlorofluorocarbon (CFC)-112,113 and 114, and methyl chloroform use.

One of UNDP's significant achievements in Chile has been the 2006 National Biodiversity Strategy, Action Plan and Communication to the CBD (*Estrategia Nacional de Biodiversidad, Plan de Acción y Comunicación al CDB*) project. The initiative has resulted in several actions such as: the National Biodiversity Conservation Strategy, the Country Action Plan for the Implementation of the National Strategy on Biodiversity for 2004-2015, and the First National Report to the Conference of the Parties to the Convention on Biological Diversity (2003).

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<sup>39</sup> Transdisciplinary Centre on Environmental Studies and Sustainable Human Development at Austral University of Chile (CEAM-UACH), 'Autoevaluación de las Capacidades del País - biodiversidad, cambio climático y lucha contra la desertificación y sequía,' NCSA, Chile, 2008.

In the area of climate change, and in collaboration with the GEF, UNDP has developed a project called Helping Chile Fulfill its Commitments under the UN Framework Convention on Climate Change (UNFCCC) (*Ayudando a Chile a cumplir con sus obligaciones frente a la Convención Marco de las Naciones Unidas Sobre Cambio Climático*). As a result, Chile was able to prepare the First Report to the Conference of the Parties to UNFCCC (1999) and the National Strategy on Climate Change (2006).

The second goal, long-term energy sustainability, is being addressed with the support of the Government of Chile through the EECF, whose mission is to instill a permanent social focus on the efficient use of the country's energy resources.<sup>40</sup>

UNDP has contributed to different projects on the environmental sustainability of public transportation in urban areas with projects such as: Support to the Implementation and Improvement of the Santiago de Chile Transantiago New Public Transportation System (*Apoyo a la Implementación y Mejoramiento del Nuevo Sistema de Transporte Público de Santiago de Chile Transantiago*) and Support to the Santiago Transantiago Transportation Framework Programme (*Apoyo al Programa Directorio de Transporte de Santiago Transantiago*). In addition, it has helped manage the GEF's Sustainable Transportation and Air Quality for Santiago project (*Transporte Sostenible y Calidad del Aire para Santiago*).

Also support has been given to research and to the transfer of technologies associated with non-conventional renewable energies (NCRE), resulting in the adoption of important standards and regulations. For example, the GEF-financed project for the Elimination of Barriers to Rural Electrification with NCREs (*Remoción de Barreras para la Electrificación Rural con Energías Renovables No Convencionales*) achieved

substantial results in this area, generating 44 new official standards regarding NCREs (seven on wind power, 18 on hydroelectric, four on hybrid systems and 15 on photovoltaic) that are now in force and under the supervision of the National Standards Institute. In March 2008 a bill to establish the Ministry of Energy was submitted to Congress. Once created, the Ministry can help to consolidate a sustainable energy policy, with these norms and standards playing an important role in the process. Moreover, the Ministry may be instrumental for the effective enforcement of the legal framework.

It is important to mention UNDP's role in promoting meetings among the energy ministers and deputy ministers of Bolivia, Colombia, Chile, Ecuador and Peru in order to evaluate the benefits and costs of an initiative to create a (sub) regional electric grid, and to open an international bidding process for the project's technical and economic feasibility assessment.

UNDP has showed a satisfactory capacity to implement projects in Chile in terms of supporting, and garnering support for, the execution of Government plans. In addition, it has been effective in reaching a balance between the country's sustainable development and MDG No. 7, particularly target 7A, which speaks of integrating sustainable development principles into national programmes and policies and reversing the loss of environmental resources, and target number 7B, aimed at reducing biodiversity loss.

### **Efficiency**

The general view among the main people interviewed for the ADR is that UNDP's administrative structure for the implementation of projects is appropriate to maximize results.

Some UNDP allies in Chile have identified liquidity problems, particularly in projects funded by the GEF. Initially, moneys were disbursed expediently but eventually, as UNDP put in

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<sup>40</sup> <http://www.ppee.cl/>

place measures to diminish the risk of a quick allocation of resources, efficiency has declined and transaction costs have increased. This is underscored by the progress made in the *Chile Compra* national system, which is operating under the Management Improvement Programme (PMG). As a result, UNDP's procurement system has been losing "agility" compared to the country system.

On the other hand, high personnel turnover, both at UNDP and in Chile's Government, has had a negative impact on this evaluation criterion, as the "efficiency gains" derived from the learning process of the staff involved were lost.

### **Sustainability**

A substantial amount of the environmental and energy projects included in UNDP's Chile programme have produced results that are sustainable in the medium term. For example, the national strategies and national action plans formulated in the areas of biological diversity and climate change. Important progress has been made in the energy field as far as regulating the development of NCREs. Every one of these strategic frameworks is being developed by the Government without relying on additional UNDP support.

### **Summary**

The interventions by UNDP Chile have been, and continue to be, relevant because they respond to environmental and energy challenges identified by both UNDP and the Government, and are in line with the country's energy agenda and sustainable development environmental policy. The results of such interventions, especially within the scope of the strategic frameworks, are sustainable. Regarding the roles performed by UNDP Chile in this area, the operational one (as process facilitator) comes to mind, a role that offers little room for maneuver for reasons detailed in this report. UNDP has also played a role as technical advisor, which can be substantially strengthened with the recently added human resources.

## **4.2 EQUITY**

### **RELEVANCE**

The two expected outcomes in the equity area are "equity increases thanks to national and local public policies aimed at promoting quality access to education, health and justice services, and at fostering progress in gender parity" and "generation of impact scenarios for public policies aimed at reducing inequality." Both are relevant objectives, since they address key challenges faced by Chile (see Chapter 2) and are a high priority for both the Government's public policies and UNDP's mandate. In particular, the goal of fostering gender parity occupies a prominent role in President Bachelet's agenda.<sup>41</sup> It includes actions to enhance gender balance in the labor market and social security fields, and in the justice, health, education and family areas.

### **Effectiveness**

Notwithstanding the fact that most interventions are still in process and, therefore, their effectiveness cannot be fully assessed yet, the following paragraphs will attempt to apply this evaluation criterion whenever possible.

The issue of gender had a higher profile in the 2001-2006 working plans than in the current 2007-2010 programme. Between 2003 and 2005 three studies were performed in collaboration with the ILO under the auspices of a joint gender, poverty and employment project. One essential goal was to elaborate studies focused on expanding the knowledge base on these issues. Yet, the main objective was to offer support in the design and implementation of policies for poverty eradication and the promotion of employment and gender equality in Chile. The studies were: 'Women, Equity Gaps and the Labor Market' (2004) and 'The Killing of Women in Chile' (2005), which was funded by several UN agencies, including UNDP. The current period 2007-2010 shows a regional study published in conjunction with the ILO: 'Work and Family:

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<sup>41</sup> Michelle Bachelet's 'Government Programme,' page 88, October 2005.

Towards New Forms of Reconciliation with Social Co-Responsibility' (2009). In addition, an 'Analysis on Wage Disparities by Gender' is expected before the end of 2009.

Regarding education services (and the first objective for this programme area), UNDP and the Ministry of Education (MINEDUC) designed a project on education and human development for the 2003-2007 period. UNDP's human development team offered advice in support of the educational reform processes, and MINEDUC requested support to streamline the administrative procedures (particularly for public contracts and procurement) in order to facilitate the implementation of innovative schemes within the Ministry's timetable. UNDP played a role as operations facilitator by:<sup>42</sup>

- Giving substantive and administrative support for the Critical Schools Programme.
- Performing studies and evaluations, and collaborating in the substantive and administrative aspects of their implementation.
- Helping with textbooks and the Reading, Writing and Math Programme Assessment, and the Reading, Writing and Math Campaign. The support was basically administrative and focused on hiring universities and printing educational materials and parent guides.
- Supporting the Volunteer English Programme (teacher training), mainly by facilitating its operation. In addition, UNDP's participation also lent it "organizational prestige."

During this period, and in cooperation with MINEDUC, UNDP played an intermediary role between the universities, consulting

agencies and the Ministry. UNDP helped in the bidding process and providing technical expertise to evaluate the studies. This implied an active involvement as the technical counterpart in drafting the terms of reference, providing support in workshops, and engaging the human development team to directly elaborate studies and evaluations. One of UNDP's most significant contributions was converting the technical recommendations into inputs for the formulation of policies. On the other hand, working within its operational role, UNDP provided MINEDUC with a wide range of services for tasks that otherwise the Ministry would not have been able to perform in a timely manner. Moreover, UNDP enabled the preparation of beyond-the-fiscal year programmes, thus facilitating multi-year budgetary planning. This gave the studies continuity and allowed, to apply the results of the projects the following year. Quality and expediency were guaranteed, which made it possible to tackle emerging, politically sensitive issues and to disburse new resources for studies not planned in the year programme, thus allowing UNDP to respond efficiently and appropriately.

Improving educational and work performance by the most vulnerable among Chile's young was an important objective for 2001-2006. To that effect, educational achievement measurement tools were developed for the affected population. The strategy has been active since the first year of implementation of the Critical Schools Programme.<sup>43</sup> UNDP designed the study and subcontracted its elaboration. The results and lessons learned were used in the ensuing Priority Primary and Secondary School Strategy programme—the recommendations had been to pay more attention to the strategy's implementation processes and to change the name of the programme (to avoid the stigma from the expression "Critical School").

<sup>42</sup> See Ramos, Jimena, 'Evaluación final de proyecto de educación y desarrollo humano.' Final report, Chile, December 2007.

<sup>43</sup> UNDP/Asesorías para el Desarrollo/MINEDUC, 'Evaluación del Plan de Asistencia Técnica para las Escuelas Críticas de la Región Metropolitana,' Chile 2004.



In addition, the terms of reference governing the strategy were fleshed out and improved. All were adopted by the Ministry in the design of the new programme.

UNDP continues playing two types of roles, with a larger emphasis on its substantive or knowledge-generator facet. On one side, the Agency acts in a consulting capacity supporting the design and evaluation of studies and offering the necessary advisory services to the Ministry. On the other hand, it supports operational management activities by helping to administer the resources used in the Volunteer English Programme and in certain important procurement decisions, such as the hiring of the international educational companies entrusted with performing the evaluation of the PISA and TIMSS tests and some of the studies. The Teacher Training (*Formación Docente*) Programme has a starting budget of US\$3 million for three years, and it seeks to promote the training of English language teachers in the public-education system through a support network of English-speaking volunteers spread across the country. UNDP's contribution has been made effective through the hiring of personnel, the procurement of goods and services, the administration of internships and seminars offered by international experts, and the financing of the work of the volunteers and of internships abroad for Ministry staff. It is important to mention that even though UNDP was backing the Ministry's efforts in the volunteer programme,<sup>44</sup> the presence of a UN agency in the project was also a source of strength and support for the volunteers themselves. The programme has been very successful for the Ministry and has experienced systematic growth. For example, it is now being extended to other languages, such as Chinese and German, without the involvement of UNDP.

The Ministry of Education developed a new strategy, Technical Assistance for Priority Establishments, which was evaluated with

the help of UNDP. After testing different methodologies to improve the quality of education, the strategy assessment revealed important deficiencies in its implementation: the quality of the consultative bodies and their insufficient experience in these types of advisory activities, the reluctant involvement of educational institutions, which felt that were being "intervened", and the lack of depth in the diagnostics meant that the plans did not address the individual needs of each institution. The plans were seldom discussed with all the stakeholders in the education system. In addition, the evaluation detected the main management, pedagogical, curricular and coexistence bottlenecks in secondary education. The review unearthed lessons for all—including universities, which participated in an advisory capacity—and has become a key tool for providing technical assistance to educational institutions in decision making as the Ministry's strategy is deployed, and for any future reformulation of the support strategy for priority primary and secondary schools.

The provision of high-level advisory services by UNDP experts was instrumental for the drafting of a significant part of the new General Education Act during a heightened political time for the country. Indeed, after the student revolt of 2006, which stopped activity in secondary schools for over a month, President Bachelet promised to pass a new education law before the end of her term. The debate became increasingly polarized due to conflicting, seemingly irreconcilable ideological perspectives. The intervention of UNDP's team of education experts, renowned and respected by their peers and the political parties, made it possible for the dialogue to continue. The contribution materialized into direct strategic advice to the group of negotiators and the reaching of a consensus on the written content for the law.

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<sup>44</sup> The design and the methodology were done by the Ministry of Education personnel in charge of the programme.

UNDP also contributed to the examination and design of the Social Protection System with the following studies:

1. Impact assessment of the *Chile Solidario*<sup>45</sup> programme. It began to be distributed among political “decision makers,” academia and civil society actors during the first quarter of 2009.
2. Evaluation strategy for the early childhood programme *Chile Crece Contigo*.
3. Second report on the Millennium Development Goals.
4. Evaluation report on the Social Protection Card, the main instrument for targeting social policies in Chile. Work on optimizing this identification tool began during the last quarter of 2008.
5. Three impact assessments of emblematic social policies: increase in public nurseries, the preferential subsidy and social security reform.

UNDP also contributed expertise to other presidential advisory commissions: social security reform, employment and equity, childhood, and higher education. In addition, UNDP helped to implement a conceptual change in the instruments employed to select the social policy beneficiaries, moving from a focus on deficiencies towards an approach based on income-generating capacities consistent with the human-development concept. As a result of this intervention, the Government now has a new methodology to select the beneficiaries of its social policies called Social Protection Card (FPS, for its Spanish acronym). By detecting the families with the

highest needs and the least income-generating capacity, this tool facilitates better coverage for pregnant women and households headed by women, as well as for the most vulnerable sectors of the population in general. Despite its importance, the work done by UNDP has had very limited visibility.

The second objective for this programme area—to generate impact scenarios for public policy—was addressed in these three areas: preferential subsidy, nurseries and social security reform. The three studies will be published by UNDP before the end of 2009 in a volume on “Social Protection in Chile”, which will cast light on the actual impact these policies have on inequality, opportunities and poverty.

The assessment of the *Chile Solidario* programme using an administrative database from the programme itself has released important findings, and has allowed the programme to focus on the role played by family support—a key factor in order to maximize the benefits for programme recipients. Only recently has the assessment began to be distributed, but it is expected to have an impact on the decision over the continuation of the policy or its modification during the 2010 budget. The Ministry of Planning (MIDEPLAN) has made a commitment to present it before the Chilean Congress. Lastly, during this period, UNDP played a key role in designing the assessment methodology for the *Chile Crece Contigo* programme for early childhood. The contribution included conducting workshops with national and international experts. UNDP has also joined MIDEPLAN in establishing the assessment baseline and promoting capacity building with a learning-by-doing approach.

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<sup>45</sup> *Chile Solidario* is the social protection system component covering vulnerable families, persons and territories. It was established in 2002 as a public strategy aimed at overcoming extreme poverty; <http://www.chilesolidario.gov.cl/>

A similar approach to strengthening technical capacities is being implemented along with the Ministry of Labor (MINTRAB) in three closely interconnected areas: i) structural and situation analysis of the Chilean labor market, ii) enhancing the design of public policies intended to improve the employability of traditionally vulnerable sectors of the population from a labor market perspective, and iii) impact assessment of the labor programmes implemented by the institution. Along these lines, the *Jóvenes al Bicentenario* (Youth for the Bicentennial) project is currently undergoing a complete review, which includes a qualitative and quantitative process evaluation aimed at enhancing the design of

programmes promoted by the institution to improve labor market access, while accounting for the need to tackle the structural economic conditions at the root of existing inequalities. Steps have also been taken towards the elaboration of labor vulnerability and employability/employment quality indices, which will allow for a more focused action by MINTRAB. Moreover, it will help to formulate labor legislation by gathering information on the situation and location of the most vulnerable groups vis à vis the labor market. From a broader perspective, these two indices will help to reinforce the place labor issues occupy in Chile's modernization agenda.

#### BOX 1: Technical Advice by UNDP Chile on Evaluations

UNDP Chile has initiated a line of work in the area of social programme evaluations with the following projects:

- Three policy impact evaluations: on the basis of the probit methodology and using the 2006 CASEN Survey, there was an assessment of the impact of nurseries, the preferential subsidy and social security reform on poverty and inequality levels in Chile.
- Assessment of the *Chile Solidario* project using the project's administrative database. The impact of this programme on the first participating group was examined. The "matching" technique was applied to obtain a control sample—a number of cases with similar characteristics to the families included in the social protection (CAS Card)<sup>46</sup> database—for comparison purposes.
- The team assumed the main responsibility in designing the assessment methodology with longitudinal analysis of the *Chile Crece Contigo* initiative. (The evaluation is still in progress).

##### Evaluation Features:

- Assessments are quantitative.
- Policy impact assessments use the CASEN Survey.
- Ministry teams are involved in building their own capacities.
- The assessment of *Chile Solidario* and the assessment design of *Chile Crece Contigo* use their own databases to introduce innovative methodologies that also serve to bring new methodologies to the Government.

<sup>46</sup> Card that preceded the current Social Protection card.

## Efficiency

There were seemingly two elements in this period that favored efficiency and one that ran against it. On one side, UNDP helped to improve efficiency in the support offered to public services experiencing a high turnover ratio in government posts, and provided continuity on the jointly addressed issues. That is, both the Ministry of Education and the Ministry of Planning experienced personnel turnover, and UNDP teams acted as liaisons between the exiting teams (or persons) and those who took over. Along the same lines, efficiency was enhanced by indentifying synergies between several projects: 2009 HDR, Priority Secondary Schools, teacher survey, support to civic dialogues and the education chapter of the 2004 HDR. On the other hand, in order to fully comply with its own rules and ensure the quality of its administrative procedures, UNDP introduced changes to its internal processes. This caused an increase in waiting times and operational steps, which was perceived as diminishing the efficiency of the logistic support UNDP provides the ministries.

## Sustainability

Several of the results of those interventions became instruments adopted by the Chilean Government, thus proving their sustainability. For example, the Social Protection Card is currently operative; the assessment of *Chile Solidario*, using the project's administrative database, was performed by Ministry professionals trained and supervised by the UNDP team; and the integration of the methodology used for the *Chile Crece Contigo* assessment will offer guidelines for a new programme design to improve its administration. In summary, the cooperation between Ministry employees and UNDP staff served to build the capacities of those employees and to improve the methodologies, setting the ground for future Ministry action without UNDP's additional support.

## Summary

UNDP's scope of work in the equity area has centered mostly on the assessment and formulation of social policies, and has been carried out in

cooperation with employees from the Planning, Education and Labor Ministries.

UNDP's implication in education, labor and social protection policies has been relevant, effective, efficient and sustainable. In addition, it is very likely that these issues will remain a challenge to development, both in the medium and long term. Despite not always having direct evidence of the use given to the studies and recommendations, most of the equity area issues where UNDP has played a role have seen changes, both in focus and in concrete policies, which have been applied with a human-development perspective and with a collaborative approach towards improving their design. Human resources in the ministries have benefitted from these collaborative processes and new practices, and methodologies have been introduced with UNDP's help. The participation of UNDP experts in presidential advisory commissions served to facilitate a technical approach to complex issues within the framework of participatory consultations, including with experts from different political perspectives. This opened up the debate and expedited political consensus.

## 4.3 HUMAN DEVELOPMENT

### RELEVANCE

The expected outcomes in this area were formulated as follows: "The Chilean Government incorporates human development and human rights into its country strategies" and "the Chilean society has a discussion on the challenges to human development." Looking at the Government's agenda for the two periods under evaluation, both outcomes appear as very relevant because they offer an interpretative framework for the national development context described in Chapter 2 from UNDP's perspective and mandate. Considering the prevalence in Chilean society and academia of a traditional economic discourse driven by a sort of "group thinking" that narrowly (in both senses of the term) equates modernization with economic growth, the human development perspective widened the horizons for social actors in the private and public sphere. The theme for

the ‘Human Development Report 2010’ is gender equity, a highly relevant issue for the Chilean Government, UNDP and all the United Nations agencies.

### Effectiveness

The evidence provided in the interviews and the documentation reviewed, as well as the information included in the HDR external assessment report (and the updated cybermetric data), unequivocally reveal that the objectives for this area have been reached. The HDRs have become an indispensable reference point in the debate over the human-development challenges faced by Chilean society. Since its inception, the HDR has been providing a benchmark-based perspective—from the subjectivity of the actors—complementing the traditional economic view on modernization that used to dominate the development debate in Chile.

#### BOX 2: Human Development Reports in Chile

1996	<i>Human Development in Chile</i>
1998	<i>Paradoxes of Modernity</i>
2000	<i>Towards a Stronger Society to Govern the Future</i>
2002	<i>We the Chileans: A Cultural Challenge</i>
2004	<i>Power: For What and for Whom?</i>
2006	<i>New Technologies: A Leap into the Future?</i>
2008	<i>Six Million on New Paths (Rural Chile)</i>
2009	<i>La manera de hacer las cosas</i> (The Way Things are Done)

The succession of HDRs has contributed to the integration of poverty-reduction schemes in policy formulations, pushing politicians with different points of view to incorporate elements of the HD approach into their political platforms.

Several examples show the integration of the human development (HD) approach in the political agenda. For example, the redefinition of what is “rural,” an alternative look at power and enterprising, or the revision of how things are done in the public and private spheres. In addition, it is worth noting the publication of ‘*Las trayectorias del Desarrollo Humano en las comunas de Chile (1994-2003)*’ (‘The Paths of Human Development in Chile’s Districts, 1994-2003’), which includes updated information on the HD index for Chile’s local districts. In addition, UNDP Chile produced another report calculating the HD index for the Mapuche population and examining equity relations from inter-ethnic and intra-ethnic perspectives. By generating important diagnostic and planning information at the regional and social levels, these studies have made remarkable contributions to a deeper knowledge of the sub-national reality, particularly concerning the indigenous population.

The reports have been intensively and widely disseminated through presentations, and governmental departments have also received technical assistance from the HD perspective, which has helped to reach the set goals.

Every HDR has been introduced to the President of the Republic before its public presentation and he or she has been present at every launch. In addition, the reports that have come out right before or during presidential campaigns have been drafted in collaboration with the technical teams of every political party presenting candidates. President Bachelet mentions the Report in her government programme.

Recognizing its high quality and the continuity of the work performed since 1996, many public and academic actors look at the HDRs as an indispensable reference tool. Some of the reports are more theoretical, while others display a more practical, public policy focus. For instance, for years the Social Solidarity and Investment Fund (FOSIS), a subsidiary agency of MIDEPLAN,

has been using a multi-variable Social Investment Prioritization Index (IPIF) to guide its programmes; one of those variables is the Communal (Local) Human Development Index. Several academic programmes also include the HDR as one of their major bibliographical references.

### **Efficiency**

Appropriate benchmarks for this area have not been identified, but it is important to mention the synergy between the HDR and other UNDP projects, which has helped increase their efficiency (a sort of cross efficiency). Despite the low cost and high credibility of radio in Chile, there is no evidence that this medium was significantly used to spread knowledge about the report. The elaboration of brief notes has offered a low cost alternative for the dissemination of the report's main themes.

### **Sustainability**

The widespread recognition garnered by the HDR and its influence in the national development debate and in public policy indicate that the human development approach will remain influential in Chile. What is essential from the human development perspective is that the HD approach has become an integral part of the analysis, formulation and evaluation of government policies.<sup>47</sup>

### **Summary**

The human development perspective, promoted also by UNDP through studies and cooperation, transcends the regular publication of the HDR. This approach has taken deep root in Chilean society and is regularly applied and incorporated into the design and formulation of public policies. In addition, aided by the recognition earned through the HDR, it has become UNDP's "brand" in Chile.

## **4.4 DEMOCRATIC GOVERNANCE**

### **RELEVANCE**

The two expected outcomes in this area were the consolidation of democratic institutions and the reinforcement of the decentralization process. As shown in Section 2.1 in reference to the political context, Chilean society has a very negative perception of the work of Congress and the political parties. On the other hand, the CCA and the HDRs have shown how important it is to consolidate the decentralization process. This is why both outcomes are relevant, as they remain key challenges to Chile's governance and central to UNDP's mandate. To address the credibility crisis of those institutions it is necessary to work on the political "regulatory framework" (election regime, party system and electoral system). Decentralization, however, has not been at the forefront of the Government priorities during the assessment period.

### **Effectiveness**

During the first assessment period there were several efforts connected to the decentralization objective that were not sustainable.

In the second phase, significant contributions were made in connection with the objective of consolidating democratic institutions, particularly through the effective support provided to a consortium of think tanks closely affiliated with different political parties. This produced valuable results and established an ideologically diverse network.

For example, the Chilean Initiative towards Election Regime Modernization, financed by UNDP with resources from the United Nations Democracy Fund (UNDEF), has managed to achieve substantial results in connection with this

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<sup>47</sup> In 2002 the Regional Human Development Observatory (ORDHUM) opened in Antofagasta, the result of an agreement between the Catholic University of the North, UNDP and the Minera Escondida Foundation. The Observatory is based at the Regional Applied Economics Institute (IDEAR) and was considered a "good practice" by *Revista de Desarrollo Humano*, although there is no evidence of its sustainability.

area's first expected outcome: that is, the consolidation of democratic institutions during the 2007-2008 period:

- a) Creation of the Consortium of Research Centers for Political Party Reform in Chile, integrated by the Center for Public Studies (CEP), the Corporation for Latin American Studies (CIEPLAN), the Liberty and Development Institute and Proyectamérica, all think tanks associated with different political orientations in the country.
- b) The Consortium carried out seminars and studies that were published and whose messages were spread through Chilean mass media<sup>48</sup> (with reports that never fail to mention UNDP), reaching diverse segments of the political population.
- c) The project has contributed to the electoral system reform process by creating a platform for reflection, discussion and debate of the potential changes being considered by all stakeholders (Government, political parties, Congress and civil society). By availing itself of the best regional and international practices, consultations at every level and the distribution activities for the publications produced—which crystallize the consensus reached—the project has supported development of a more inclusive and representative electoral system, one which is invested with a stronger legitimacy and that improves the political participation of marginalized groups.
- d) The publication of a book on party system reform in Chile was aimed at opening up public debate on the issue (as the data included in Chapter 2 shows, it is a particularly problematic area) from a technical, academic and pluralistic view. The book was presented in an international seminary on political parties that facilitated the discussion

on the situation of political parties in Chile and the reforms needed for their adaptation to the new times.

- e) In addition, with the support of UNDP, the Consortium organized an International Seminar on the Modernization of Chile's Election Regime, which produced the book *Modernización del Régimen Electoral Chileno*. A third book on electoral reform was published that took into account comparative experiences and their effects on the quality of democracy, touching on potential reforms and the necessary conditions for their implementation.

On the other hand, it is worth mentioning the work done on social cohesion and economic polarization with the support of UNDP Chile's Office. Given the high degree of inequality in Latin America in general, and in Chile in particular, these issues are very significant and have been addressed empirically and conceptually in the New Agenda for Social Cohesion in Latin America project, a two-year combined effort by several Chilean and Brazilian think tanks (CIEPLAN, the Institute of Sociology of Catholic University of Chile and the Henrique Cardoso Institute), with the support of the European Union and UNDP Chile. Among the outcomes of the project are the elaboration of a database that includes a Latin American survey on social cohesion and the development of polarization indicators from the existing household surveys. In addition, the work carried out has been summarized in three books, which have been distributed at international seminars. The results of these initiatives are more visible in terms of products (five books were published: four in Chile and one in Brazil). It is still early, however, to determine how much these products have contributed to the achievement of the most ambitious and long awaited goals, such as the consolidation of democratic institutions.

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<sup>48</sup> See, for example, <http://www.pnud.cl/prensa/pnud-en-prensa/2008/mayo/16%20Gobernabilidad%20Encuesta%20Repostaje%20Segunda.pdf>  
<http://www.pnud.cl/prensa/pnud-en-prensa/2008/junio/9%20Gobernabilidad%20encuesta%20columna%20Tercera.pdf>  
<http://www.pnud.cl/prensa/pnud-en-prensa/2008/junio/20%20Gobernabilidad%20encuesta%20Columna%20Mercurio.pdf>

UNDP has also contributed to the drafting of the Transparency Act, to its dissemination and, currently, to its implementation. In this sub-area, UNDP operates under the provisions of the United Nations Convention against Corruption and in cooperation with the German Agency for Technical Cooperation (GTZ) and Chile's Office of the Comptroller General. One of the activities performed was a forum, attended by President Bachelet, to discuss the obstacles for the implementation of the Convention in Chile.

Relevant and promising actions have been taken regarding the second expected outcome in this area, the reinforcement of the decentralization process. However, it still remains “unfinished business,” as highlighted by the CCA (noted in Section 2.1). That is, decentralization occupies a central role in the Country Programme 2007-2010 and in the UNDAF 2007-2010 for Chile. In the first case, decentralization is included not only in the area of democratic governance<sup>49</sup>, but also in the equity<sup>50</sup> and environmental sustainability areas.<sup>51</sup> The UNDAF for 2007-2010, taking into account the growing importance of the local sphere as a space for public action, highlights among its three focus areas the need to “strengthen MDG-based decentralization and local development” (page 7). A first step in that direction has been the development of a regional strategy in, and for, Tarapacá, with groundbreaking work on public policies at the local level, and the disaggregation by region of the report on

the millennium targets. Lastly, the importance for Chile to make strides in the decentralization process has been recently underscored by a recent OECD report (mentioned in Section 2.1).

### **Efficiency**

UNDP's management has been considered efficient by its project partners, but there is insufficient information available to assess that efficiency.

### **Sustainability**

Regarding the first expected outcome,<sup>52</sup> the creation of a Consortium for State Reform—even without the presence of UNDP—including 12 institutions (four of which are integrated in the UNDP-sponsored Consortium of Research Centers for Political Party Reform), is a remarkable example of the amplified and sustainable replication effect of UNDP's intervention as dialogue facilitator.

### **Summary**

The following table provides a synthesis of the key aspects of the democratic governance area developed in the preceding paragraphs. The first column depicts the relevance (or pertinence) of the different activities examined under this area with respect to the two expected outcomes; the second shows UNDP Chile's potential to make a substantive contribution to those activities; while the third column covers the implementation of the activities.

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<sup>49</sup> “Supporting the design and implementation of national decentralization policies and organizing negotiation tables to reach consensus on the reforms necessary to reinforce decentralization and local democracy. And, at the municipal level, supporting solid institutional development, capacity building, results-based local administration in the area of equity and the promotion of public participation in the management of public affairs, as well as in management oversight” (pages 3 and 4).

<sup>50</sup> “It will support policies directed at reducing existing imbalances and the analysis of the impact of public affairs management on equity. At the same time, it will encourage the creation of local equity networks and will promote pilot experiences on equitable local management capable of being replicated at a larger scale. These actions will reinforce the activities undertaken by social ministries, local governments and multiple grassroots organizations” (page 2).

<sup>51</sup> “...Strengthening of national and local institutions linked to biodiversity conservation, sustainable use of natural resources and ecosystem management” (page 3).

<sup>52</sup> There is no analysis on the sustainability of the second expected outcome because, as pointed out at the end of the section on effectiveness, it is still “unfinished business.”



**Table 10: UNDP: Relevance and Implementation of the Democratic Governance Agenda**

Activities Examined	Agenda/ National Priorities Relationship	Agenda/UNDP Strengths Relationship	Areas Tackled (Real Agenda)
<b>1. Consolidation of Democratic Institutions</b>			
■ Supporting the new election framework and reinforcing the system competitiveness, representation and governance (*)	Yes	Yes	Yes
■ Accountability and public oversight systems (*)	Yes	Yes	No
■ Facilitating State reform priority processes (*)	Yes	Yes	Yes
■ Conceptual framework and criteria to improve public safety strategies (*)	Yes	Yes	No
■ <i>Political involvement of the young population</i> (added)	Yes	Yes	Yes
■ <i>Democracy audit</i> (added)	Yes	Yes	Yes
■ <i>Transparency and access to information</i> (added)	Yes	Yes	Yes
■ <i>Gender and representation</i> (added)	Yes	Yes	Yes
<b>2. Reinforcing decentralization and the transfer of power and resources to local communities</b>			
■ Local capacity building in the finance and administration areas (*)	Yes	No	No
■ Supporting public participation in local management (*)	Yes	Yes	Partially
■ Integration of MDGs and HD in local management and planning (*)	Yes	Yes	Partially
■ Supporting national decentralization policies (*)	Yes	Yes	No

(\*) Included in the Country Programme for 2007-2010.

Despite their continued relevance, there are substantial differences in the degree of success achieved in reaching both objectives. For example, in the case of democratic consolidation several projects played a key role in moving it forward, and efforts like the creation of the Consortium for Reform attest to their sustainability. This achievement is considered a valuable good practice with potential to be transferred to other countries, and not only in Latin America. On the other hand, despite its utmost importance, the objective of decentralization has not seen significant results and is still lagging considerably.

By way of its social cohesion projects, UNDP has also played an instrumental role in adding to the agenda new and critical issues for democratic governance, such as: political involvement of the young, democracy audits, greater transparency and access to information, and gender equity in political representation.<sup>53</sup>

## 4.5 SOUTH-SOUTH COOPERATION

### RELEVANCE

Interventions in this area are relevant because they contribute to achieving the MDGs and

<sup>53</sup> The Chile country programme inserts the “humanitarian demining” project in the democratic governance area. However, given the lack of appropriate justification and the significance this issue has for South-South Cooperation, the present report addresses it in this section.

connect with a high-priority area for the Chilean Government. The expected outcome for these interventions was stated as: “Chile consolidates its position as provider of technical cooperation for middle-income countries.” Note that the statement does not include the consideration for Chile to benefit from other experiences. In other words, when setting the goal for these interventions, only the role of Chile as provider of cooperation was taken into account.

For example, the assessment report for the humanitarian demining project in Chile<sup>54</sup> points out that good practices in the area of education and risk awareness developed in a series of UNDP-coordinated programmes in other countries were not taken into consideration, even though they would have been more useful than the techniques actually applied in said project. Similarly, Chile would benefit from looking at the experience of Mexico’s National Council for Evaluation of Social Development Policy (CONEVAL).<sup>55</sup> It is interesting to note that an AGCI-sponsored international seminar held to identify cooperation demands likely to benefit from Chilean technical assistance also served to identify cooperation offers from other countries. In principle, some of these offers were indeed deemed helpful for Chile, showing the need to view cooperation with a wider focus, as a two-way street.

### **Effectiveness**

Even though UNDP has helped to advance Chile’s role as provider of cooperation to middle-income countries by identifying cooperation supply and demand sources in Latin America, the consolidation of that role will require more systematic interventions.

The project Supporting Reform of the Mexican Criminal Justice System offers an interesting example of South-South Cooperation results. Travel exchanges between Mexican and Chilean experts have helped increase awareness, both at the government and the public-opinion levels, and the capacities of Mexican operatives. The experts have had access to all the documentation produced through the different phases of the criminal procedure reform implemented by Chile, such as budget reports and management and infrastructure models, among others, which may be useful for Mexico. Thus by involving Mexican authorities, operatives and academia members, Chile enhanced its role as provider of cooperation to middle-income countries (the expected outcome in this activity area for UNDP Chile) in a way that can be replicated in other countries and/or action areas. Another important initiative was the Child Malnutrition project implemented with the WFP. This project included an international seminar that served to gather valuable information on cooperation supply and demand for Chile and other countries in the region.

### **Efficiency**

With the available information it is impossible to apply this evaluation criterion, but the perception is that operations now function more slowly than before. This is due to the current application of all the necessary procedures to ensure the appropriate use of resources transferred through UNDP.

### **Sustainability**

The interventions have made contributions whenever applied, but they have not generated sustainable mechanisms for South-South Cooperation with other countries.

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<sup>54</sup> Gasser, Russell, ‘Desminado humanitario en Chile, Proyecto No. 00048186,’ November 2008.

<sup>55</sup> Interestingly, CONEVAL operates mostly subcontracting the evaluations, which requires developing capacities to contract out those assessments. This is one of the areas where CONEVAL has introduced changes, making it a respected interlocutor for the Ministry of Finance.

## **Summary**

The UN team in Chile has been a key partner to the Government in the promotion of South-South Cooperation and in moving towards target No. 8 of the MDGs through horizontal cooperation, as well as in capitalizing on UNDP's neutrality, global presence, knowledge and experiences in the field of international cooperation, particularly South-South Cooperation. The proposed objective for this programme area has not taken into consideration the potential benefits for Chile from such horizontal cooperation. In this sense, its relevance is limited since this kind of cooperation could provide Chile with valuable knowledge and experiences to draw from, which could help address the significant challenges faced by the country (in the decentralization area, for instance). Despite making significant strides, the objectives were only partially achieved. For progress to be sustainable, new efforts will be necessary to consolidate capacities and systems.



## CHAPTER 5

# STRATEGIC POSITIONING OF UNDP

### 5.1 RELEVANCE

The area and role matrix proposed for UNDP in Section 1.2 describes the five main roles UNDP plays in the country: technical advisor, operations facilitator, knowledge facilitator/generator, dialogue facilitator and capacity development. Even though in principle these roles are all connected, in practice one of them may assume a more prevalent position, while others may be absent in certain cases.

In both periods under assessment, the ADR found that the HDRs fulfilled the role of knowledge generator with a high degree of satisfaction. The reports not only paved the way towards reaching the expected outcomes in that area; they also significantly enhanced UNDP's visibility, strengthening its role in offering an alternative and enlightening perspective ("outlook") on Chile's development process. The relevance of this perspective was underscored by its alignment with the Government's strategy and its direct link to the "substantive core" of UNDP's global strategy.

As mentioned in Section 3.3, UNDP also played an important role as "operations facilitator" during the first evaluation period, except in the human development area, where the other roles took precedence, as previously described. But changes in the context, including problems arising from UNDP's alleged "comparative advantage" in expediting operations, dramatically reduced the Organization's margin to exercise a role whose pertinence had been eroded. Given the new framework, UNDP's new position as provider of high-level, technical advice proved to be an appropriate strategy, strengthening

the Programme's role as dialogue facilitator (particularly in the governance area) and provider of technical advice. The latter is related to capacity development as a byproduct of those advisory services. It is important to mention that this strategic change responds to the "back to development" approach UNDP has taken in Latin America since 2006, which is described in the Regional Bureau Document for 2008-2011.

### 5.2 ADAPTABILITY OR RESPONSIVENESS

As discussed in the preceding paragraph and in Chapter 3, UNDP's repositioning substantially increased the Programme's responsiveness to Government demands (and, potentially, also to civil society's). On one hand, during 2001-2005 UNDP's "facilitator role" allowed it to respond to the requests made by government and international agencies for more fluid processes, streamlined operations and lower transaction costs. On the other hand, that role presented the Chile Office with the opportunity to supplement its budget and overcome an expected and significant depletion of resources. However, as noted in the previous section and in Section 3.3, "the operational projects" connected to that facilitator role lost some of their appeal. At the same time, the UNDP CO kept receiving calls for support that, while still relevant, required the intervention of highly qualified professionals. As a result, the office experienced a repositioning process, expanding its responsiveness—this was explained in detail in Chapters 3 and 4—while continuing to produce the HDR (which is highly anticipated both at the highest levels of Government and civil society). It is important to note that UNDP's ability to offer quality and

expedient advice on public policies is regarded as one of the key components of the Programme's activities in middle-income countries.<sup>56</sup>

When assessing the adaptability of UNDP's strategic position in Chile, it is useful to take into account the recent discussion on the Programme's practices and policies towards strengthening State capacities and partnerships with middle-income countries in the context of development cooperation. Within this framework, it was recognized that UNDP is well positioned to respond to the requests made by foreign affairs ministries to support their capacities to develop cooperation policies.<sup>57</sup> As discussed in Section 4.5, UNDP Chile has effectively fulfilled these kinds of demands and has established a strategic alliance with Chile's Ministry of Foreign Affairs.

### 5.3 PARTNERSHIPS

As expected, Chile's Administration has been the main partner for UNDP's country office. The Secretariat-General of the Presidency has also been an important partner, facilitating the collaboration with other government institutions, especially the Executive branch. Furthermore, UNDP works in partnership with the GTZ and the Office of the Comptroller General (the main supervisory body in charge of overseeing the public administration; it is independent from the Executive branch and other government institutions). UNDP Chile has also formed partnerships with a wide range of think tanks and civil society groups from across the political spectrum, preserving and consolidating the Programme's image of political neutrality. Very importantly, these partnerships constitute an operational model for other Latin American countries (even for other regions).

Moreover, UNDP has established a close working relationship with Government departments such

as the Ministries of Planning, Education, Health and Labor. However, the projects developed through these bilateral partnerships were not necessarily integrated in an effective manner. This changed when the Secretariat-General of the Presidency (SEGPRES) assumed the role of sole government counterpart in representation of the Republic of Chile, drafting in conjunction with UNDP a project to monitor and assess the country programme. Such an effort demonstrates a strong interest in developing a strategic partnership with UNDP capable of harnessing the Programme's potential and contributing to Chile's progress with a comprehensive approach to human development.

On the other hand, as noted in Chapter 3, the United Nations country team in Chile is represented by 14 UN agencies (UNHCR, FAO, UNHCHR, ILO, IOM, WHO/OPS, UNAIDS, UNDP, LDC, ITU, UNESCO, UNFPA, UNICEF, UNIFEM). UNDP has also established partnerships with these agencies, ECLAC and the European Union to implement projects in Chile. The publication in 2005 and 2008, respectively, of the first and second monitoring reports for the Millennium Development Goals underscores the high degree of coordination between the Chilean Administration and the UN agencies operating in the country. According to the perception held by these actors, UNDP's effective use of technical tools has helped to raise awareness over the inequality problems Chile faces, a challenging and overlooked aspect of development. On the other hand, cooperation on the areas of decentralization and regional development was slower than expected, although progress has been made in applying a more collaborative approach to indigenous issues.

Other examples of strategic partnerships fostered by the Resident Coordinator are the recent creation of working groups on indigenous issues and

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<sup>56</sup> See, for example, Lemaesquier (s.f.)

<sup>57</sup> UNDP, 'Internal Consultation: Reinforcing State Capacities and partnerships with MICs for Development Cooperation – UNDP Policies and practice,' UNDP Regional Centre in Bratislava, 14-15 April 2009.

HIV/AIDS. Despite the progress achieved in developing partnerships, it is important for UNDP to forge more direct ties with civil society organizations, especially the environment and energy area and on local development issues, as well as on creating job opportunities for the young.

#### **5.4 SUMMARY OF UNDP'S STRATEGIC POSITION AND CHALLENGES**

The regular publication and appropriate distribution of high quality HDRs allowed UNDP to gain a strategic position as generator of knowledge. Indeed, the Programme has helped to develop an alternative point of view on Chile's growth process from a human development perspective. In addition, by offering technical advice UNDP has helped to mainstream human development into public policy. And UNDP has been quick to adapt to the changing environment, de-emphasizing its role as operations facilitator while raising its profile as provider of technical

advice. By changing the make up of the country team, UNDP has placed itself in an optimal position to provide high-level advisory services (it has already done so), including on-the-job capacity development. This undertaking has been very well received by those aware of it, but it is not yet well known.

Chile has made headway in several human development indicators. Yet, there are bottlenecks that compromise future progress. Among those are inequity, social fragmentation and democratic deficits in the political system and government institutions, as well as in Chilean society. In addition to these issues, there are increasing demands for a deeper understanding of development's ethical dimension, particularly with regards to a better knowledge of the institutional incentives for solidarity, social responsibility and civic engagement. Considering its neutrality, mandate and accumulated experience, UNDP Chile could contribute to create progress in these areas.





## CHAPTER 6

# CONCLUSIONS, LESSONS AND RECOMMENDATIONS

This chapter begins with a series of general and specific conclusions about UNDP operations in Chile during 2001-2008, following with a review of the lessons learned and the recommendations for the next UNDP programme in Chile. It is expected that, with the appropriate changes, some of the lessons will also be applicable to other countries.

### 6.1 GENERAL CONCLUSIONS

Chapter 4 has offered an analysis of UNDP Chile's contribution to development results, assessing the effectiveness, efficiency and sustainability of those outcomes for each thematic area in the period 2001-2009.

During the first cycle of the period, the development outcomes were formulated without establishing a clear connection between the expected changes and the actual results. On the other hand, the activities of UNDP Chile in the areas of human development and equity<sup>58</sup> contributed to the promotion of effective and efficient public policies oriented towards achieving equity. Also, progress was made in generating the conditions (by supporting the development of new methodologies and capacities) that will ensure even more effective and efficient public policies in the future—with the goal of sustainable development—and the consolidation of Chile's democracy and the country's position in the field of international cooperation.

UNDP's programme for Chile during 2001-2009 became very visible, especially as a result of the HDR, which has become an Organization staple since it was first published in 1996. The Report's quality, continuity and timeliness is a remarkable achievement that has brought UNDP widespread recognition in Chile from the highest level of the Administration, all across Government and civil society.

During the first years of the period under evaluation, UNDP anticipated a reduction in available funds. As a result, and given the strong demand by government and bilateral cooperation agencies for support to streamline the administrative procedures involved in the management of development projects, UNDP Chile expanded its role as operations facilitator while maintaining its regular, substantive and widely appreciated work on human development. The improvement of the Government management systems at a time when UNDP was shifting its approach across Latin America and the need by the CO to introduce additional quality control mechanisms for its administrative procedures, led UNDP to upgrade its substantive role and add a new dimension as a provider of high-level advisory services with a focus on human development.<sup>59</sup>

In 2006 the UN system agencies in Chile developed their first common strategic programme, the UNDAF for 2007-2010, which also offered a blueprint for the individual programmes

<sup>58</sup> It must be noted that during the first part of the period covered by this ADR, human development and equity were included under the "Poverty Reduction and Achievement of the Millennium Development Goals" area. There was no explicit link to the objective (and key issue) of equity nor to human development as a pivotal mean towards that goal.

<sup>59</sup> This strategic transformation responds to the new "back to development" approach encouraged by UNDP in Latin America after 2006 and fleshed out in the 'Regional Programme Document' for 2008-2011.

of each participating agency. The strategy took into account the fact that Chile is a middle-income country with sustained economic growth and effective public policies, and has achieved most of the MDGs. Despite these successes, Chile faces important challenges, such as the need to overcome income, gender, regional, and ethnic inequalities, and inequities in opportunity; to move forward in its decentralization process; and to develop South-South Cooperation initiatives.

During the first cycle (2001-2003), the financial resources disbursed by the Chile UNDP Office increased, and so did the risks. In this period, UNDP showed a high degree of responsiveness to the requests by the Chilean Government to operate projects in several areas. At the same time, the Government kept improving its management processes, especially in the public procurement area, through the implementation of the *Chile Compra*<sup>60</sup> programme. As a result, there was less margin to carry forward operational projects.

During 2006-2009 the Country Office kept producing the widely praised HDR. On the other hand, this period also saw a shift in focus with an increased emphasis on the provision of top-level technical advisory services, particularly in the areas of equity and social policy, and on facilitating a multi-party political dialogue. To that end, UNDP Chile underwent a restructuring process that brought about the renovation of almost the entire staff and the hiring of a significant number of highly qualified professionals.

UNDP's financial performance in Chile was marked by an increase in resources up until 2005 (US\$42.8 million), followed by a sharp decline that forced a change in strategy. At the end of 2008 resources were estimated at US\$18.5 million.

The activities of UNDP in Chile are mainly financed by the Central Government, with

scant participation by the regional governments. During the period under assessment, the use of Government resources declined, in relative terms, in favor of an increase in funds from other sources. The project financing strategy was structured by UNDP Chile around resources from global funds—i.e. the United Nations Democracy Fund, UNDEF—obtained through competitive processes. This strategy was made possible by the new hiring of highly qualified human resources.

UNDP's financial management of its technical cooperation showed deficiencies due to the limited or inadequate use of the corporate management systems designed by the Organization. The need to build the Country Office's capacities in order to achieve an optimal utilization of UNDP's corporate administrative systems has been acknowledged and progress is being made in this area.

In the **environment and energy** area, the interventions by UNDP Chile have been, and continue to be, relevant. In responding to environmental and energy challenges identified by the Government, as well as by UNDP, these interventions are in line with the country's energy agenda and sustainable development environmental policy. The results of such interventions, especially in the context of the strategic frameworks in place, are sustainable. Regarding the roles performed by UNDP Chile in this area, the operational one (facilitating processes) stands out, a role that offers little room for maneuver for the reasons detailed in this report. UNDP has also played a significant role as technical advisor, a role that can be substantially reinforced with the new human resources recently added.

In the **equity area**, UNDP and officials from the Ministries of Planning, Education, and Health have worked to develop joint initiatives, especially in the design and evaluation of social policies. UNDP's involvement in education, social

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<sup>60</sup> The *Chile Compra* office was created under the public procurement act, beginning its activities in August 2003. <http://www.chilecompra.cl/institucional.html>

and labor policy has been relevant, effective, efficient and sustainable. Furthermore, it is quite likely that these issues will remain a development challenge during the near and medium term.

Most of the equity issues in which UNDP was involved saw changes inspired by a human-development approach, both in focus and specific policies. UNDP has helped to improve their design even though, in some cases, there is no direct evidence that the studies and recommendations issued were in fact applied.

UNDP counterparts in the different ministries have been strengthened by the Programme's support and the adoption of new UNDP-sponsored practices and methodologies, even though the capacity building has occurred more at the personal-professional than at the institutional level. The participation of UNDP experts in presidential advisory commissions proved valuable in facilitating technical discussions of complex issues within a consultative and participatory framework that brought together technicians from across the political spectrum, fostering dialogue and expediting political consensus.

The Organization's contribution in the **human development area** has been highly relevant. UNDP promotes a human development approach that transcends the regular publication of the HDR and is complemented as well through studies and advisory services. Such an approach has taken deep root in Chilean society and is being integrated into the design of all public policies. Moreover, HD has become the brand of UNDP Chile, which is especially recognized through the HDR. Despite the limited use of low-cost, high-credibility, and widely accessible media for low-income households, such as radio, the experience producing and distributing the Chile HDR can be considered as one of the best practices in this area. On the other hand, brief notes were elaborated to facilitate the distribution of the report both in Chile and other countries in the region.

In the area of **democratic governance**, both of the objectives established for the last programming cycle have been, and still are, relevant, but the degree of success in each case has been quite different. Regarding the first objective (consolidation of democracy), the projects that were implemented provided a substantive drive towards that goal, and there is evidence, as with the Consortium for Reform initiative, that this effort is indeed sustainable. In addition, it offers a valuable example of "good practice" that can be transferred to other countries all around the world, not only in Latin America. On the other hand, the activities centered on the second objective, that is, advancing the decentralization process, are yet to yield significant results, and it remains "unfinished business" (although the Government itself assigned a low priority to the objective of decentralization during the period under assessment). In addition, by means of different social cohesion projects, UNDP has been instrumental in adding to the agenda new issues that are crucial for democratic governance, such as the involvement of the young population in the political process, democracy audits, increased transparency and access to information, as well as gender equity in political representation.

Regarding **South-South Cooperation**, the United Nations country team has been a critical partner to Chile's government, helping to achieve Goal 8 of the MDGs. This was done through horizontal cooperation and capitalizing on UNDP's neutrality, global presence and the knowledge and expertise accumulated through international cooperation, particularly South-South. Despite the valuable contribution in terms of knowledge and experiences that such cooperation could offer Chile in addressing some of the challenges the country faces (i.e. decentralization), the established objective for this programme area has had limited relevance, since it left out the potential benefits of South-South Cooperation for Chile. The objectives were only partially achieved, but there was some important progress. To make it sustainable, however, it will be necessary to launch additional efforts to consolidate capacities and systems.

Finally, the assessment came to the following conclusions in terms of the **strategic positioning of UNDP Chile**:

The HDR is UNDP's most visible product in Chile and chiefly responsible for UNDP's strategic position in the country. It has contributed to the generation of knowledge, identifying the demands of Chilean society from the human development perspective.

UNDP Chile is in transition: It is progressively reducing its role as operations facilitator (a high priority during the first cycle covered by this assessment) and raising its profile as dialogue facilitator and advisor on the evaluation and design of public policies.

The role of dialogue facilitator in dealing with complex issues has been expanded, with some positive (Consortium for Political Reform) and mixed (municipal reform) results.

UNDP Chile has established new and positive partnerships with civil society, broadening the spectrum of stakeholders beyond the Government, underscoring its political neutrality. However, there is still room for a better relationship with other stakeholders, for example in the environment and energy areas and, eventually, with the Congress. These partnerships can be crucial to strengthen UNDP's role in promoting social dialogue.

The strategic repositioning of UNDP was critically aided by its capacity to provide high-level technical advice, which made it possible to enhance its responsiveness to the Government's requests for support. Yet this role, despite being crucially important for middle-income countries, it is not well known by all actors, thus limiting its influence.

## **6.2 LESSONS AND RECOMMENDATIONS FOR THE PROGRAMME AS A WHOLE**

### **6.2.1 FACILITATING ACCESS TO THE KNOWLEDGE GENERATED BY UNDP**

UNDP Chile could make better use of all the knowledge accumulated by the Programme in Latin America and other regions by placing it at the disposal of the Government and Chilean society. This could be done in the context of projects already being implemented and in the design of new projects. The active search for, and distribution of, UNDP's global knowledge should be an integral part of the responsibilities of UNDP Chile staff.

### **6.2.2 COMPLEMENTARITIES BETWEEN THEMATIC AREAS**

Focusing the work on thematic areas improves specialization and helps programming and implementation. Yet, due to reasons both of efficiency and effectiveness, it is recommended to seek synergies and complementarities among them. Furthermore, areas like decentralization may be difficult to address head on, so this may require a more indirect approach to carve out a "point of entry" into an area from a different one. (For example, in addition to the recommendations on decentralization made in Section 6.4 as part of the Governance area, that issue could also be addressed laterally, through environmental or indigenous peoples projects that will require capacity development at the local government level.) The role and area matrix presented in Section 1.2.3 can help identify strategic complementarities.

### **6.2.3 CLOSING INFORMATION GAPS**

Going forward it would be important for UNDP Chile's office to design a simple information system that would provide access to project data, including costs and final outcomes (explicitly including among them capacity development). The information gap on the activities sponsored

by UNDP must be closed. Therefore, it is necessary to ensure that every project generates a final report, which would provide information on costs and results achieved, as well as on capacities developed. In addition, the Country Office should make outcome evaluations an integral part of its annual programming activities.

## **6.3 RECOMMENDATIONS ON THE STRATEGIC POSITIONING OF UNDP**

### **6.3.1**

In order to ensure that UNDP's strategic position remains relevant, it is important to be aware of the possibility that demand for support from highly skilled national consultants will progressively diminish as the Chilean State becomes further modernized. In the future, this would require a redefinition of UNDP activities in Chile, emphasizing other roles for the Programme.

### **6.3.2**

One such role would be that of facilitator of knowledge and experiences from other countries, both regional and extra-regional (for instance, in the natural disasters, climate change and decentralization areas). (See also Sections 6.2.3 and 6.4.)

## **6.4 RECOMMENDATIONS FOR EACH THEMATIC AREA**

This section reviews the recommendations for each thematic area based on the analysis in Chapter 4 and the summary provided at the end of Section 6.1.

### **6.4.1 ENVIRONMENT AND ENERGY**

UNDP Chile could make significant contributions in this area in a relatively short time, and at low cost, through its role as knowledge facilitator by making available in Chile the knowledge and expertise gained from UNDP's global experience in the environmental and energy areas. For instance, a possibility would be to actively utilize all the work developed during the preparation of the HDR on climate change.

More specifically, according to the analysis and the evidence provided in Section 4.1, our recommendations are:

- i) To promote the active participation of interested parties and beneficiaries at each step of project development in order to achieve a consensus on priorities and objectives, thus enhancing project ownership.
- ii) To take into account that the processes of change and the correction of certain environmental problems usually take longer than the duration of projects, especially in the case of local communities. Therefore, it is advisable that projects be developed in stages, helping to develop the management capabilities of the communities and their ability to administer them, both technically and financially.
- iii) To strengthen those weaknesses identified in the national capacity self-assessment for biological diversity, climate change, desertification and drought areas.
- iv) To support an expansion of the scope of those projects with demonstrated positive results—as was the case with the NCREs—generating synergies between the GEF, UNDP and other cooperation agencies working in Chile.
- v) To consider the need to develop projects aimed at offering incentives for the private protection of ecosystems of global importance, including the possibility of replicating other success stories, such as the biodiversity conservation and sustainable management *Salar del Huasco* project
- vi) To back the development of the country's energy security plan in order to diversify the energy matrix, to achieve greater independence/autonomy, and to promote an efficient and intelligent energy use. This support can be provided in synergy with the country programme for energy efficiency and the support programme for the development of NCREs.
- vii) To emphasize UNDP's role as “knowledge facilitator,” bringing to Chile the knowledge and expertise acquired globally by UNDP

and the GEF, including “good practices” and lessons learned, in the promotion of NCREs and the protection of biologically rich and diverse ecosystems.

#### 6.4.2 EQUITY

Based on the assessment presented in Section 4.2, the ADR recommends:

- i) To link the issue of jobs with those that affect the young, expanding the work already performed in partnership with the Ministry of Labor.
- ii) To take advantage of South-South Cooperation initiatives, enabling Chile to profit from the successful and relevant experiences carried out in other countries; for instance, the institutional mechanisms for the assessment of social policies in Mexico, set up through its CONEVAL. This kind of experiences would help to build capacities in the assessment area that complement those of the Ministry of Finance.
- iii) To prepare brief notes describing the advisory experience on equity for their dissemination in Chile and other countries, thus rising the initiative’s profile and expanding its scope and contributing to UNDP’s global knowledge. The final ADR workshop stressed the importance of raising the profile of the advisory services provided by UNDP, highlighting the connection between the visibility of the work and a greater impact of the actions implemented in this area, a visibility which eventually could also contribute to fund raising.

#### 6.4.3 HUMAN DEVELOPMENT

As noted in Section 4.3, we have seen notable results in the human development area. Therefore any recommendations might seem redundant.

However:

- i) There is still margin to broaden the HDRs’ reach, especially among the low-income population. This can be done at a moderate cost and through a high-credibility mass medium in Chile, such as radio.
- ii) Elaborating notes on the content and, particularly, the process followed to prepare the HDR would serve to share Chile’s experience and help to inspire other countries.

#### 6.4.4 DEMOCRATIC GOVERNANCE

Despite the very limited progress made in the decentralization area, several new themes can be included in the agenda for this area going forward:

- i) Supporting the reform of central structures and management on pace with the decentralization process.
- ii) The design of decentralization policies from a diversity perspective with regard to the institutional framework, financial resources and the types of relationships between regional and municipal authorities—between them and vis à vis the central government and social actors—aimed at formulating and implementing local development policies.
- iii) The creation of new institutional and organizational structures that take into account the interconnected and transversal nature of sectoral policies. (For instance, policy planning methods requiring the participation of multiple government actors in order to offer a comprehensive and valid response; or the development of viable schemes capable of creating synergies among all agencies implementing similar programmes).
- iv) Chile could profit from other decentralization experiences at the international level by adapting the good practices developed and already evaluated in other countries. In fact, this could be one of the pillars of future South-South Cooperation between Chile and other countries.

#### 6.4.5 SOUTH-SOUTH COOPERATION

The following three recommendations would enhance the value of South-South Cooperation:

- i) **From Chile towards other countries:** to promote solidarity through youth initiatives (for example, A roof for my country and *América Solidaria*); to facilitate the social coproduction of public services and social programmes; and to promote an intercultural approach in social policies.
- ii) **From other countries towards Chile:** to facilitate knowledge sharing of grass-roots mechanisms for the monitoring and evaluation of policies, programmes and public services (Colombian, Brazilian and Mexican experiences); to spread the

knowledge of successful experiences, such as the development of an evaluation system for social policies (CONEVAL) in Mexico; and to encourage information exchanges, transparency and accountability of NGOs devoted to providing public services (for example, the cases of Mexico and Peru).

- iii) **Conversations and exchanges between Chile and other countries:** to facilitate a policy debate (decentralization policies under a gender and indigenous peoples perspective), and to promote the exchange of experiences among social networks on key issues for democratic and social governance (social networks specialized in social audits or in social networks geared towards the participation of women in politics, among others).





# TERMS OF REFERENCE

## 1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Program (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy<sup>61</sup>. The overall goals of an ADR are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board.
- Support greater UNDP accountability to national stakeholders and partners in the programme country.
- Serve as a means of quality assurance for UNDP interventions at the country level.
- Contribute to learning at corporate, regional and country levels.

In particular, the EO plans to conduct an ADR in Chile during 2009. The ADR will contribute to a new country programme, which will be prepared by the concerned Country Office and national stakeholders.

## 2. BACKGROUND

Chile, a country of more than 16 million inhabitants, is a globally integrated middle-income country committed to both growth and social equity. Since the return of democracy in 1990, the country has been the fastest growing country in Latin America; has consolidated macroeconomic stability; implemented various political and institutional reforms; and introduced proactive social investments, transparent public sector management, and consensual governance.

The Human Development Index for Chile is 0.874, which gives the country a rank of 40<sup>th</sup> out of the 179 countries with data,<sup>62</sup> falling within the group of countries with a high human development index. Per capita incomes doubled in real terms, and GDP per head in dollars reached UD\$9,876 in 2007, among the highest in the region. These substantial improvements in living standards translated in a reduction of the population living in poverty, which fell from 38.6 percent in 1990 to 13.7 percent in 2006, while the proportion of those living in extreme poverty fell from 13 percent in 1990 to 3.2 percent in 2006<sup>63</sup>. Despite these improvements, poverty is still a major problem and annual income for most Chileans remains very low. The distribution of income is highly skewed and remains almost the

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<sup>61</sup> <http://www.undp.org/eo/documents/Evaluation-Policy.pdf>

<sup>62</sup> 'Human Development Report' (2007)

<sup>63</sup> Encuesta Casen (2006): Caracterización Socio-Económica Nacional.

same since measurements began in the 1960s.<sup>64</sup> Chile has invested proactively in social protection programs in the past years, but a large portion of the population remains highly vulnerable to shocks. Thus, poverty reduction and improving equality of opportunities are among the present administration top priorities.

The goal of UNDP Chile for the period 2001-2006 was to support the country in consolidating the gains in human development achieved in the previous decade, while expanding economic growth and democratic governance. The first key area of cooperation, 'democratic governance and competitiveness', encompassed constitutional and political reforms, decentralization, local government institutions building, and modernization of the State to improve management. The second key area of cooperation focused on policies to improve social cohesion and equity, including strategic thinking—by producing human development reports and other studies—capacity building for education reform, fostering of small and medium-sized enterprises, and environment policy. In addition the programme included a special focus on gender equality, social responsibility and regional cooperation.

In the 2007-2009 programme cycle the office of UNDP in Chile was expected to continue providing quality policy advisory services, share best practices and support government efforts to build its capacity to address development challenges related to poverty reduction and equality—regarding income, opportunity (education and health), gender and ethnicity—consolidate democracy and promote sustainable development.

The programme was organized in five key thematic areas: i) equity; ii) sustainable development; iii) democratic governance; iv) human development; v) South-South Cooperation.

Regarding equity, UNDP Chile was expected to support public policies aimed at reducing inequalities as well as to provide analysis on how different public policies impact equity objectives. Also, under this goal, UNDP was to promote local networks and local public initiatives focused on equity, with the goal of replicating them in a broader context. In reference to the democratic governance goal, the main issues included consolidation of democracy, decentralization and local democratic participation. As for energy and the environment, the office of UNDP in Chile was expected to keep promoting the concept of sustainable development. In particular, it was to promote research on clean technologies and compliance with long-term environmental agreements. It was also expected to promote the concept of human development, in public discussions and as part of the vision articulated by the Government. Finally, regarding South-South Cooperation, it was to share its experiences with other middle-income countries, while gaining recognition for this cooperation by the international community.

The near completion of the 2007-2009 Country Programme in Chile presents an opportunity to evaluate the UNDP contributions and shortcomings over the ongoing and previous programme cycles. The findings will be used as inputs to the next Country Programme Document (CPD) within the context of the UNDAF.

### **3. OBJECTIVES, SCOPE AND METHODOLOGY**

The objectives of the Chile ADR include:

- To provide an independent assessment of the progress or lack thereof, towards the expected outcomes envisaged in the UNDP programme documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.

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<sup>64</sup> Casen Survey (2006). In 2006, the richest 20 percent of the population earned 54.6 percent of national income, while the poorest 20 percent earned 4.1 percent, almost the exact same distribution as in 1990 (although since 2006 there has been a slight decline in the proportion of income earned by the highest 20 percent.)

- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- To present key findings, draw key lessons, and provide a set of clear and forward-looking options for the management to make adjustments in the current strategy and next Country Programme.

The ADR will review the UNDP experience in Chile and its contribution to the solution of social, economic and political challenges. The evaluation will cover the ongoing and previous country programmes (2001-2006<sup>65</sup> and 2007-2009). Although it is likely that greater emphasis will be placed on more recent interventions (due to better availability of data, etc.) efforts will be made to examine the development and implementation of UNDP's programmes since the start of the period. The identification of existing evaluative evidence and potential constraints occur during the initial scoping mission (see Section 4 for more details on the process).

The overall methodology will be consistent with the ADR guidelines prepared by the EO (January 2007, updated in 2009). The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review specifically examining UNDP's contribution to national development results across the countries. It will assess key results, specifically outcomes—anticipated and unanticipated, positive and negative, intentional and unintentional—and will cover UNDP assistance funded from both core and non core resources.

The evaluation has two main components, the analysis of development outcomes and the strategic positioning of UNDP.

## DEVELOPMENT RESULTS

The assessment of the development outcomes will entail a comprehensive review of the UNDP programme portfolio over the previous and ongoing programme cycles. This includes an assessment of development results achieved and the contribution of UNDP in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP's positioning and capacities, partnerships, policy support); achievements/progress and contribution of UNDP in practice areas (both in policy and advocacy); and analyzing the crosscutting linkages and their relationship to MDGs and UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using the available information, the evaluation will document and analyze achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP's contribution to outcomes with a reasonable degree of plausibility. A core set of criteria related to the design, management and implementation of its interventions in the country:

- **Effectiveness:** Did UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?
- **Efficiency:** How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country/sub-regional context?

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<sup>65</sup> Programming cycle 2001-2003, which was extended until 2006.

- **Sustainability:** Is UNDP's contribution sustainable? Are the development results achieved through UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

It should be noted that special efforts will be made to examine UNDP's contribution to capacity development, knowledge management and gender equality.

### STRATEGIC POSITIONING

The evaluation will assess the strategic positioning of UNDP both from the perspective of organization and the development priorities in the country. This will entail i) a systematic analysis of UNDP's place and niche within the development and policy space in Chile, ii) the strategies used by UNDP Chile to strengthen UNDP's position in development and create a space for the organization in the core practice areas, and iii) from the perspective of the development results for the country, the assessment will evaluate the policy support and advocacy initiatives of UNDP programme vis-à-vis other stakeholders. In addition, the evaluation will analyze a core set of criteria related to the strategic positioning of UNDP:

- **Relevance of UNDP programmes:** How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were the critical gaps in UNDP's programming?
- **Responsiveness:** How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?

- **Equity:** Did the programmes and interventions of UNDP lead to reduced vulnerabilities in the country? Did UNDP intervention in any way influence the existing inequities (exclusion/inclusion) in the society? Was the selection of geographical areas of intervention guided by need?
- **Partnerships:** How has UNDP leveraged partnerships within the UN system as well as with national civil society and the private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme and specifically UNDP's contribution (including issues related to the relevance and effectiveness of the monitoring and evaluation system). If during initial analysis these are considered important they will be included in the scope of the evaluation. Within the context of partnerships with the UN system and overall UN coordination, the specific issue of the development of joint programmes will be highlighted.

## 4. EVALUATION METHODS AND APPROACHES

### DATA COLLECTION

In terms of data collection, the evaluation will use a multiple-method approach that could include desk reviews, workshops, group and individual interviews (at both HQ and the CO), project/field visits, and surveys. The appropriate set of methods would vary depending on country context and the precise nature would be determined during the scoping mission and detailed in an inception report<sup>66</sup>.

### VALIDATION

The Evaluation Team will use a variety of methods to ensure that the data is valid, including triangulation. Precise methods of validation will be detailed in the inception report.

<sup>66</sup> 'The Scoping Mission and Inception Report' is described in Section 5 (Evaluation process).

## STAKEHOLDER PARTICIPATION

A strong participatory approach, involving a broad range of stakeholders is encouraged. The identification of the stakeholders, including Government representatives of ministries/agencies, civil society organizations, private sector representatives, UN agencies, multilateral organizations, bilateral donors, and beneficiaries will take place. To facilitate this approach all ADRs include a process of stakeholder mapping that would include both UNDP's direct partners as well as stakeholders who do not work directly with UNDP.

## 5. EVALUATION PROCESS

The ADR process will also follow the ADR guidelines, according to which the process can be divided in three phases, each including several steps.

### PHASE 1: PREPARATION

- **Desk review:** Initially carried out by the EO (identification, collection and mapping of relevant documentation and other data) and continued by the evaluation team. This will include general development related documentation related to the specific country as well as a comprehensive overview of UNDP's programme over the period being examined.
- **Stakeholder mapping:** A basic mapping of stakeholders relevant to the evaluation in the country carried out at the country level. These will include state and civil society stakeholders and go beyond UNDP's partners. The mapping exercise will also indicate the relationships between different sets of stakeholders.
- **Inception meetings:** Interviews and discussions in UNDP HQ with the EO (process and methodology), the RBLAC (context and country programme) as well as with other relevant bureaux, including Bureau for Development Policy and the Bureau for Crisis Prevention and Recovery and others as appropriate including UN missions.

- **Scoping mission:** A mission to Chile in order to:
  - Identify and collect further documentation.
  - Validate the mapping of the country programmes.
  - Get key stakeholder perspectives on key issues that should be examined.
  - Address logistical issues related to the main mission, including timing.
  - Identify the appropriate set of data collection and analysis methods.
  - Address management issues related to the rest of the evaluation process, including division of labor among the team members.
  - Ensure the CO and key stakeholders understand the ADR objectives, methodology and process.

The Task Manager will accompany the Team Leader on the mission.

- **Inception report:** The development of a short inception report including the final evaluation design and plan, background to the evaluation, key evaluation questions, detailed methodology, information sources and instruments and plan for data collection, design for data analysis, and format for reporting.

### PHASE 2: CONDUCTING ADR AND DRAFTING EVALUATION REPORT

- **Main ADR mission:** The mission of two weeks will be conducted by the independent Evaluation Team and will focus on data collection and validation. An important part of this process will be an Entry Workshop where the ADR objectives, methods and process will be explained to stakeholders. The team will visit significant project/field sites as identified in the scoping mission.
- **Analysis and reporting:** The information collected will be analyzed in the draft ADR report by the Evaluation Team within three weeks after the departure of the team from the country.

- **Review:** The draft will be subject to (a) factual corrections and views on interpretation by key clients (including the UNDP CO, Regional Bureau for Latin America and the Caribbean and government); (b) a technical review by the EO and (c) a review by external experts. The EO will prepare an audit trail to show how these comments were taken into account. The Team Leader, in close cooperation with the EO Task Manager, shall finalize the ADR report based on these final reviews.
- **Stakeholder meeting:** A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in Chile. The main purpose of the meeting is to facilitate greater buy in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at country level. It may be necessary to incorporate some significant comments into the final evaluation report (by the Evaluation Team Leader.)

### PHASE 3: FOLLOW-UP

- **Management response:** UNDP Associate Administrator will request relevant units (usually the relevant CO and RBLAC) to prepare a management response to the ADR. As a unit exercising oversight, the Regional Bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.
- **Communication:** The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to the UNDP Executive Board by the time of approving a new Country Programme Document. It will be widely distributed in Chile and at UNDP headquarters and copies will be sent to evaluation outfits of other international organizations as well as to evaluation societies and research institutions

in the region. Furthermore, the evaluation report and the management response will be published on the UNDP website<sup>67</sup> and made available to the public. Its availability should be announced on UNDP and external networks.

The timeframe and responsibilities for the evaluation process in 2009 are tentatively as follows:

Activity	Estimated Date
Desk Review by the Evaluation Team	February-March
Scoping Mission to Chile	April
Inception Report	May
Main ADR Mission to Chile	June
Submission of First Draft Report	July
Comments from EO and Advisory Panel	July
Submission of Second Draft Report	August
Factual Corrections from CO, RB, Government	September
Stakeholder Workshop	September
Issuance of Final Report	October

## 6. MANAGEMENT ARRANGEMENTS

### UNDP EO

The UNDP EO Task Manager will manage the evaluation and ensure coordination and liaison with RBLAC of other concerned units at headquarters level and the Chile CO management. The EO will also contract a Research Assistant to facilitate the initial desk review and a Programme Assistant to support logistical and administrative matters. The EO will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the Team Leader, international and national consultants, as well as the preliminary research and the issuance of the final ADR report. EO will also cover costs of any stakeholder workshops as part of the evaluation.

<sup>67</sup> <http://www.undp.org/eo/>

## THE EVALUATION TEAM

The team will be constituted of three members:

- Consultant Team Leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report.
- Consultant Team Specialist, who will provide the expertise in the core subject areas of the evaluation, and be responsible for drafting key parts of the report.
- National Consultant, who will undertake data collection and analyses at the country level, as well as support the work of the missions.

The Team Leader must have a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programmes in the field. All team members should have in-depth knowledge of development issues in the region and in Chile.

The evaluation team will be supported by a Research Assistant based in the Evaluation Office in New York. The Task Manager of the Evaluation Office will support the team in designing the evaluation, will participate in the scoping mission and provide ongoing feedback for quality assurance during the preparation of the inception report and the final report. The EO Task Manager might participate in the main mission too.

The evaluation team will orient its work by United Nations Evaluation Group (UNEG) norms and standards for evaluation and will adhere to the ethical Code of Conduct.<sup>68</sup>

## THE CHILE CO

The CO will take a lead role in organizing dialogue and stakeholder meetings on the findings and recommendations, support the evaluation team in liaison with the key partners, and make available

to the team all necessary information regarding UNDP's activities in the country. The office will also be requested to provide additional logistical support to the evaluation team as required. The CO will contribute support in kind (for example office space for the Evaluation Team), but the EO will cover local transportation costs.

## 7. EXPECTED OUTPUTS

The expected outputs from the Evaluation Team are:

- An inception report (maximum 20 pages).
- A comprehensive final report on the Chile Assessment of Development Results (maximum 50 pages plus annexes).
- A two-page evaluation brief.
- A presentation for the Stakeholder Workshop.

The final report of the ADR to be produced by the Evaluation Team will have the following format:

Chapter 1: Introduction

Chapter 2: Country Context

Chapter 3: The UN and UNDP in the Country

Chapter 4: UNDP's Contribution to National Development Results

Chapter 5: Strategic Positioning of UNDP in Chile

Chapter 6: Conclusions, Lessons and Recommendations

Detailed outlines for the inception report, main ADR report and evaluation brief will be provided to the evaluation team by the Task Manager.

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<sup>68</sup> UN Evaluation Group Guidelines (UNEG) 'Norms for Evaluation in the UN System' and 'Standards for Evaluation in the UN System,' April 2005.





## ANNEX 2

# PEOPLE CONSULTED

- Alex Rosenfeld, Head of Department of Policy and Planning, International Cooperation Agency
- Elisa Beckdorf, Department of Policy and Planning, International Cooperation Agency
- Marco Fernández, Department of Policy and Planning, International Cooperation Agency
- Gerardo Zúñiga, Advisor, Office of the High Commissioner for Indigenous Affairs
- Sergio Boisier, Executive President, Territorial Development Consultancy
- Marco Becerra, National Coordinator, ASOSIDA
- Dante Contreras, Executive Director for Chile, World Bank
- Ximena Abogabir, President, Casa de la Paz
- Guillermo Espinoza, Executive Director, Centre for Development Studies (CED)
- Lucas Sierra, Researcher, Centre of Public Studies
- Carolina Segovia, Coordinator of Public Opinion Area, Centre of Public Studies
- Harald Beyer, Academic Coordinator, Centre of Public Studies
- Martin Hopenhayn, Head of Social Division, Economic Commission for Latin America and the Caribbean (ECLAC)
- Carlos de Miguel, Sustainable Development Division, Economic Commission for Latin America and the Caribbean (ECLAC)
- Rudolf Buitelaar, Head of Project Management Unit, Economic Commission for Latin America and the Caribbean (ECLAC)
- Daniela Trucco, Social Affairs Officer, Economic Commission for Latin America and the Caribbean (ECLAC)
- Sara Larraín, Executive Director, Chile Sustentable
- Ignacio Walker, Researcher, Former Foreign Affairs Minister, Corporation for Latin American Studies (CIEPLAN)
- Eugenio Tironi, Former President, Corporation for Latin American Studies (CIEPLAN)
- Bernardo Zentilli, President, Wildlife Defense Committee (CODEFF)
- Marcos Lima, Former Director, National Copper Corporation (CODELCO)
- Marcelo Tokman, Minister, National Energy Commission
- Rosa María Argomedo, National Head, Rural Electrification Area, National Energy Commission
- Andrés Romero, Executive Director, Energy Efficiency Country Programme, National Energy Commission
- Carlos Piña, Head of International Area, National Energy Commission
- Ramón Granada Musa, Forest Engineer, National Energy Commission
- Catalina Bau, Director, National Forestry Commission (CONAF)
- Wilfredo Alfaro, PASPUNA Project Point Person, National Forestry Commission (CONAF)
- Ximena George, GEF Projects Point Person, National Environment Commission (CONAMA)
- Alvaro Sapag, Executive Director, National Environment Commission (CONAMA)
- Miguel Stutzin, Head of Natural Resources Area, National Environment Commission (CONAMA)
- Hans Willumsen, Head of Pollution Control Area, National Environment Commission (CONAMA)
- Claudia Paratori, CONAMA UNDP (Ozone), National Environment Commission (CONAMA)

Claudia Ferreiro, Climate Change Point Person, National Environment Commission (CONAMA)

Lilian Veas, Persistent Organic Pollutants Point Person, National Environment Commission (CONAMA)

Alejandro Donoso, Executive Director, CONAMA, Metropolitan Region

Paulina Urtasun la Cruz, Head of Natural Resources and Territorial Planning, CONAMA, Metropolitan Region

Eolo Díaz Tendero, Director of Studies, Transparency Council

Sebastian Hamel, Head of Special Audits Unit, General Comptroller Office

Juan Carvajal, Director of Communications Secretariat, Presidential Staff

Francisco Díaz, Director of Public Policy, Presidential Staff

Iván Escares, Head of Regional Planning and Development Division, Tarapacá Regional Government

María Luisa Brahms, Executive Director, Liberty Institute

Tomás Flores, Liberty and Development Institute

Leopoldo Sánchez, Director, Farming and Livestock Research Institute (INIA), Ministry of Agriculture

Oscar Osorio, Advisor to the Farming and Livestock Development Institute (INDAP), Ministry of Agriculture

Teresa Ferrada: Head of Financial Resources Department, Ministry of Education

Pedro Montt, Head of Curriculum Unit, Ministry of Education

Pilar Romaguera, Former Education Undersecretary, Ministry of Education

María Olivia Recart, Undersecretary, Ministry of Finance

Clarisa Hardy, Former Minister, Ministry of Planning

Iris Salinas, Head of Department of Social Policy Development, Ministry of Planning

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Rodrigo Herrera, Head of Social Information Department, Ministry of Planning

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Macarena Alvarado, Advisor to Labor Undersecretary, Ministry of Labor

Mauricio Jelvez, Labor Undersecretary, Ministry of Labor

Germán Correa, Former Minister, Ministry of Transportation and Telecommunications

Luis Eduardo Bresciani, Head of Urban Development Division, Ministry of Housing

Ana Lya Uriarte, Minister, National Energy Commission

Edgardo Riveros, Undersecretary, Ministry of the Secretariat-General of the Presidency

Paulo Hidalgo, Head of Studies Area, Ministry of the Secretariat-General of the Presidency

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Felipe del Solar, Executive Secretary, Transparency and Accountability Agency, Ministry General Secretariat of the Presidency

Alex Muñoz, Director, Oceana Chile

Annabella Arredondo, Point Person, ONUSIDA

Guillermo Miranda Rojas, Regional Director, International Labor Organization

Juan Manuel Sotelo, Former Director, Pan American Health Organization

Enrique Ganuza, Resident Coordinator and Resident Representative, United Nations Development Programme

Benigno Rodríguez, Deputy Resident Representative, United Nations Development Programme

Pedro Güell, Advisor and Former Human Development Officer, United Nations Development Programme

Pablo González, Human Development Officer, United Nations Development Programme

Soledad Godoy, Human Development Associate Staff, United Nations Development Programme

Oswaldo Larrañaga, Equity Area Officer, United Nations Development Programme

Marcela Ríos, Governance Area Officer, United Nations Development Programme

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Rosario Manríquez, Operations Area, United Nations Development Programme

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Thierry Lemaesquier, Former Resident Representative, United Nations Development Programme

Susana Gatto, RBLAC Oversight and Support Coordinator, United Nations Development Programme

Ana Maria Diaz, Programme Officer, RBLAC, United Nations Development Programme

Gonzalo De la Masa, Director, Programa Ciudadanía y Gestión Pública

Jorge Navarrete, Former Director, Proyectamerica

Jorge Carreño, President, Vivo positivo NGO Network for People Living with HIV

Samuel Garrido, Head of Municipalities Division, Under-Secretariat for Regional Development

Ignacia Fernández, Head of Policy and Studies Division, Under-Secretariat for Regional Development

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Francisco Solís, President, The Nature Conservancy

Oscar Vásquez, Transantiago Coordinator, Transantiago

Jorge Larraín, Researcher, Alberto Hurtado University

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Oscar Landerretche, Economics Department, University of Chile

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Alfredo Joignant, Researcher, Expansiva Public Policies Institute, Diego Portales University

Mónica Luna, Director, Education Management Master's Programme, Central University



## ANNEX 3

# INTERVIEW GUIDE

The following questions refer to the “UNDP programme in Chile” but are also applicable, with the necessary case-specific changes, to every project supported by UNDP.

### 1. Contribution of the UNDP programme to development results:

#### a) *On effectiveness*

1.1 To what extent were the specific goals of UNDP’s programme in Chile reached (or will likely be reached?).

1.2 Were there unexpected results—positive and/or negative—due to the programme?

1.3 What are the external factors that may have affected its implementation? How?

#### b) *On efficiency*

1.4 How were inputs/resources used to achieve the results?

1.5 Is it possible to create benchmarks to compare the results/inputs correlation against other programmes/projects?

#### c) *On sustainability*

1.6 Will the achieved or achievable results be sustainable?

1.7 Have permanent capacities, structures, ownership, procedures and/or mechanisms been developed that will continue after the end of the programme?

#### d) *On the programme’s coherence*

1.8 Were there any UNDP-sponsored or implemented projects during the period under evaluation that complemented each other?

1.9 Were there any UNDP-sponsored or implemented projects during the period under evaluation with inconsistent goals?

## To keep in mind during the interviews

Actions actually PERFORMED: What was done, even if it wasn't programmed.

Actions PROGRAMMED: What was planned, committed.

KEY REASONS (causes) or factors for success and for limited progress or failure.

What is POSSIBLE, important, feasible and was done or could be done.

## 2. In connection with the strategic positioning of UNDP:

### a) *On relevance*

2.1 Have the last two UNDP programmes in Chile been relevant?

2.2 To what extent have the goals of UNDP's last two programmes been aligned with national priorities?

### b) *On adaptability*

2.3 To what extent have UNDP programmes been responsive to the country's changing needs?

2.4 Did the programmes receive all the necessary and possible modifications in order to take into account significant country-specific changes (as well as the opportunities generated by those changes?).

### c) *On equity*

2.5 Did UNDP programmes have an effect on social inequalities?

2.6 Were UNDP programmes effective in reducing the vulnerabilities of the poor and enabling their social integration?

### d) *On partnerships*

2.7 What was UNDP's role in coordinating the UN system agencies in order to improve their effectiveness and efficiency at the country level?

2.8 Did UNDP encourage synergies between the different cooperation agencies operating in Chile and the national Government, civil society and the private sector?

## ANNEX 4

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## ANNEX 5

# PROJECTS IMPLEMENTED, 2001-2009

Financial Information (thousands of US\$)								
Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
47136	BCPR Recovery Earthquake, First Region	2005	2006	NEX	MIDEPLAN	Crisis Prevention	100	53
	<b>SUBTOTAL</b>						<b>100</b>	<b>53</b>
*11787	Climate Change	1996	2004	NEX	CONAMA	Energy and Environment	62	62
11794	Pallaco Electrification	1999	2008	NEX	CNE	Energy and Environment	23	13
*11795	PIMS 1698 Biodiversity	2000	2006	NEX	CONAMA	Energy and Environment	98	79
*11796	CONAF	2000	2009	NEX	CONAF	Energy and Environment	1,362	752
*11799	PIMS 1320-Rural Electrification with Renewable Energies	2001	2009	NEX	CNE	Energy and Environment	6,037	3,953
*11800	PIMS 1505 BD: Chiloé Model Forest	2001	2007	NEX	Patrimonio Natural Foundation	Energy and Environment	621	633
11802	Project to Eliminate Methyl Bromide	2001	2008	NEX	INIA	Energy and Environment	371	313
*11804	PIMS 1319 BD MSP: Salar del Huasco	2002	2007	NGO	CED	Energy and Environment	629	445
11805	Model Forest	2002	2006	DEX	UNDP	Energy and Environment	915	332
*11810	Support for Transantiago Framework Programme	2003	2009	NEX	Transantiago	Energy and Environment	10,053	5,668
*11811	Capacity Building in Environmental Management (Metropolitan Region)	2003	2007	NEX	Transantiago	Energy and Environment	1,943	1,527

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
11814	Capacity Building in Environmental Management (Metropolitan Region)	2003	2006	NEX	CONAMA	Energy and Environment	1,185	1,060
*31583	Preserved Marine Areas in Chile	2005	2010	NEX	CONAMA	Energy and Environment	3,872	-
34263	Development Programme S. PASPUNA	2004	2005	NEX	CONAF	Energy and Environment	63	40
*36534	Ozone Depleting Solvents	2004	2009	NEX	CONAMA	Energy and Environment	618	177
*37370	GEF-Capacity Self-Assessment	2004	2008	NEX	CONAMA	Energy and Environment	446	200
*38041	Temperate Forest, Valdivia Ecoregion	2004	2005	NEX	CONAMA	Energy and Environment	334	-
*40121	Support to the Implementation of Energy Policy	2005	2006	NEX	CNE	Energy and Environment	136	49
*40995	PIMS 1859 BD PDF-B: Temperate Forest, Valdivia	2004	2007	NEX	CONAMA	Energy and Environment	481	335
*41971	Environment Agency Bicentennial	2005	2006	NEX	CONAMA	Energy and Environment	120	57
*43740	GEF-Second National Climate Change Communication	2006	2009	NEX	CONAMA	Energy and Environment	420	190
44529	PIMS 1668 BD: Altos Cantillana	2005	2009	NEX	CONAMA	Energy and Environment	1,084	474
44618	PIMS 3446 CC PDF-A S&L Mercosur	2005	2006	NEX	CNE	Energy and Environment	62	33
*45831	GEF-Marine	2005	2010	NEX	CONAMA	Energy and Environment	4,603	3,624
47230	CHI/REF/42/PRP/155 PRP for Commercial Refrigeration	2005	2006	NEX	CONAMA	Energy and Environment	50	32
*49791	GEF-System of Protected Areas	2006	2008	NEX	CONAMA	Energy and Environment	524	336
50115	PIMS 3568 POP PDF-A: Contaminated Sites	2006	2006	NEX	CONAMA	Energy and Environment	110	23

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
*51310	GEF- Valdivian Forest	2007	2011	NEX	CONAMA	Energy and Environment	276	325
51826	PIMS 3666 PDFA Transportation in Intermediate Cities	2006	2007	NEX	Municipalities	Energy and Environment	74	25
51827	PPPUE Hualpen	2006	2009	NEX	Municipalities	Energy and Environment	165	66
*55036	Community Programme to Combat Desertification	2007	2011	DEX	UNDP	Energy and Environment	1,132	655
55266	Terminal Framework for Polyurethane Foams	2007	2010	NEX	CONAMA	Energy and Environment	701	144
55267	Terminal Framework for Refrigeration	2007	2009	NEX	CONAMA	Energy and Environment	293	146
*56889	Transantiago Support Project	2007	2009	NEX	Transantiago	Energy and Environment	3,652	2,930
*57597	CHI/SEV/51/INS/163 National Ozone Unit-Conama	2007	2009	NEX	CONAMA	Energy and Environment	168	159
*57824	Landfill Remediation	2007	2009	NEX	CONAMA	Energy and Environment	1,711	847
*59602	PIMS 3444 FSP BD: Bldg comprehensive Nat. Protected Areas	2008	2013	NEX	CONAMA	Energy and Environment	35	17
*60315	Strengthening Capacities OZ-recycling CFC	2008	2009	NEX	CONAMA	Energy and Environment	51	47
*60316	Strengthening Capacities, Non-Conventional Renewable Energies	2008	2008	DEX	UNDP	Energy and Environment	60	8
60317	Strengthening Capacities, CNE	2008	2008	NEX	CNE	Energy and Environment	54	47
61469	Energy Efficiency in Public Lighting	2008	2009	NEX	CNE	Energy and Environment	50	-
62726	Electric Grid Study	2008	2009	NEX	CNE	Energy and Environment	-	-

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
63162	Towards Ecosystem of Humboldt Current	2008	2009	DEX	UNDP	Energy and Environment	51	29
	<b>SUBTOTAL</b>						<b>44,695</b>	<b>25,852</b>
*11786	Supporting AGCI	1994	2006	NEX	AGCI	Governance	239	189
*11798	Governance for Human Development	2001	2005	NEX	SEGPRES	Governance	3,532	3,311
*11807	SII-Tax Management Support System	2002	2008	NEX	SII	Governance	1,392	996
*11813	CONADI (National Corporation for Indigenous Development)	2004	2005	NEX	CONADI	Governance	818	713
25084	CONADI (National Corporation for Indigenous Development)	1998	2004	NEX	CONADI	Governance	5	5
*25601	Decentralization	2001	2005	NEX	UNDP	Governance	-	-
*25602	Supporting the Foreign Affairs Ministry	1995	2005	NEX	UNDP	Governance	22	-
*34128	Supporting Decentralization Policy and Processes	2004	2004	NEX	SUBDERE	Governance	54	46
38899	Ministry of Foreign Affairs	2004	2004	NEX	Ministry of Foreign Affairs	Governance	22	-
43521	Latin American Forum on Access to Justice	2005	2006	NEX	Ministry of Defense	Governance	212	183
*47855	ICTs, MiPymes and Local Governments	2006	2009	NEX	SOFOFA	Governance	301	184
48105	Strengthening Local Courts to Facilitate Processing of Traffic Citations	2006	2008	NEX	Chilean Municipalities Association	Governance	162	51
*48186	Humanitarian Demining	2006	2008	NEX	Ministry of Defense	Governance	1,601	1,187
*53153	New Agenda for Social Cohesion	2006	2008	DEX	UNDP	Governance	1,505	1,279
*53507	Electoral System Modernization	2006	2008	DEX	UNDP	Governance	164	95

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Proç	Project Title	Beginning Year	End Year	Implemen- tation Mode	Implemen- tation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
*53673	Election Reform	2007	2008	DEX	UNDP	Governance	528	348
*53954	Gender in Government	2007	2007	NEX	SERNAM	Governance	42	21
*54861	Municipalities, Information Process	2007	2008	NEX	SUBDERE	Governance	212	121
*54862	Equity among Municipalities	2007	2008	NEX	SUBDERE	Governance	61	53
*54863	Municipalities, Information Process	2007	2008	NEX	SUBDERE	Governance	152	17
54864	Municipalities, Economic and Social Development Strategies	2007	2008	NEX	Municipalities	Governance	207	122
*54958	<i>Red para la Democracia</i> (Latin America)	2007	2009	DEX	UNDP	Governance	509	279
55431	Supporting Legislative Change on Amnesty in Chile	2007	2008	DEX	UNDP	Governance	133	62
*57577	Government Agenda	2007	2009	NEX	MINSEGPRES	Governance	342	206
*58765	General Comptroller's Office, Transparency and Accountability in Public Affairs	2008	2009	NEX	General Comptroller's Office	Governance	250	119
63385	Supporting Development of Indigenous Policy	2008	2009	DEX	UNDP	Governance	-	-
69222	Tarapacá Programme 2020: Strategic-Prosperspective Analysis	2008	2009	NEX	Tarapacá Regional Government	Governance	-	-
	<b>SUBTOTAL</b>						<b>12,465</b>	<b>9,588</b>
48399	Big Mining Contract Workers and HIV	2005	2006	DEX	UNDP	MDGs and Poverty	-	-
11781	Austral University	1997	2008	NEX	Austral University, Chile	MDGs and Poverty	2,609	181

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
11782	Rural Emergencies — Small Farming	1997	2004	NEX	INDAP	MDGs and Poverty	35	-
*11783	Support for Concepción University	1995	2006	NEX	Concepción University	MDGs and Poverty	2,502	2,399
*11784	Urban Projects Management	2004	2009	NEX	Ministry of Housing	MDGs and Poverty	2,580	2,304
11785	CONACE	1997	2008	NEX	CONACE	MDGs and Poverty	8,412	8,037
*11788	Human Development	1997	2007	NEX	SEGPRES	MDGs and Poverty	1,390	1,195
11789	University of Valparaíso	1999	2006	NEX	University of Valparaíso	MDGs and Poverty	449	311
11791	Modernization of Health Infrastructure	1999	2005	NEX	Ministry of Health	MDGs and Poverty	69,126	62,456
11792	University of Chile Infrastructure	1999	2005	NEX	University of Chile	MDGs and Poverty	137	36
11793	<i>Centro de Altos Estudios Latinoamericanos</i>	1999	2006	NEX	Ministry of Foreign Affairs	MDGs and Poverty	8	2
*11797	INJ (National Institute for the Young)	2001	2004	NEX	INJ	MDGs and Poverty	806	447
11801	UTFSM	2001	2005	NEX	FSM Technical University	MDGs and Poverty	5,211	53
*11803	Education and Human Development	2002	2008	NEX	MINEDUC	MDGs and Poverty	33,410	6,000
*11806	Mainstreaming Gender	2002	2007	NEX	SERNAM	MDGs and Poverty	159	165
*11808	Gender-Sensitive Employment Policies	2003	2006	Agency Ex	ILO	MDGs and Poverty	78	69
11809	UDP: <i>Universidad Diego Portales</i>	2003	2007	NEX	UDP	MDGs and Poverty	2,221	-
11812	Comparative Study IT Industries	2003	2008	Agency Ex	ECLAC/CEPAL	MDGs and Poverty	347	6
11815	Hopkins	2004	2006	DEX	UNDP	MDGs and Poverty	464	366
*11816	INDAP (Farming and Livestock Development Institute)	2004	2004	NEX	INDAP	MDGs and Poverty	80	164
25083	Aeronautics Management	1997	2004	NEX	DGAC	MDGs and Poverty	6	(7)

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
25603	Strengthening INDAP	1997	2004	NEX	INDAP	MDGs and Poverty	-	-
38900	INDAP	2004	2004	NEX	INDAP	MDGs and Poverty	-	-
41124	Enhancing Official Statistics	2005	2006	NEX	INE	MDGs and Poverty	192	159
41867	Promoting Micro and Small Businesses	2005	2008	NEX	SERCOTEC	MDGs and Poverty	619	428
*42742	Promoting Development of Public Policies for the Young	2005	2009	NEX	INJ	MDGs and Poverty	6,730	6,528
43178	Support for Finis Terrae University	2005	2007	NEX	University of Chile	MDGs and Poverty	482	475
45015	Gender Mainstreaming	2005	2005	DEX	UNDP	MDGs and Poverty	110	74
45199	ADRLA99D76GVT	2005	2008	DEX	UNODC	MDGs and Poverty	115	28
45964	TECHNONET Latin America	2005	2007	DEX	UNDP	MDGs and Poverty	304	242
*53463	Strengthening AGCI Programmes	2006	2008	NEX	AGCI	MDGs and Poverty	111	96
54084	Strengthening Capacities for the Protection and Promotion of Human Rights	2007	2008	DEX	UNDP	MDGs and Poverty	76	50
54596	University of Valparaíso	2007	2008	NEX	University of Valparaíso	MDGs and Poverty	327	323
54685	Foreign Investment Committee CHI	2007	2007	NEX	MINREL	MDGs and Poverty	124	(121)
*56877	Human Development Programme	2006	2009	DEX	UNDP	MDGs and Poverty	1,742	1,096
*56923	CONACE – Institutional Support for a Strategy Against Drugs	2007	2009	NEX	CONACE	MDGs and Poverty	4,077	3,750
*57779	MIDEPLAN – Evaluation, Design and Implementation of a Social Protection System	2007	2010	NEX	MIDEPLAN	MDGs and Poverty	259	128

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
*57801	MINEDUC- Education, Vulnerability and Human Development	2008	2010	NEX	MINEDUC	MDGs and Poverty	270	124
*58189	Assessment of Chile Solidario Programme	2008	2008	DEX	UNDP	MDGs and Poverty	48	38
58829	MINEDUC- Financing of Educational System	2008	2010	NEX	MINEDUC	MDGs and Poverty	-	-
*58830	MINEDUC- Financing of Educational System	2008	2010	NEX	MINEDUC	MDGs and Poverty	180	176
*58831	MINEDUC- Contributions from a Human Development Perspective	2008	2010	NEX	MINEDUC	MDGs and Poverty	53	44
*58832	MINEDUC- Teacher Training	2008	2010	NEX	MINEDUC	MDGs and Poverty	2,050	2,163
*58833	MINEDUC- Complementary Strategic Issues	2008	2010	NEX	MINEDUC	MDGs and Poverty	150	148
60521	Child Malnutrition, AGCI: Experiences in Latin America	2008	2008	NEX	AGCI	MDGs and Poverty	54	56
61129	Public Policies for the Achievement of MDGs in Chile	2008	2009	DEX	UNDP	MDGs and Poverty	54	21
*61406	Supporting Criminal Justice System Reform in Mexico	2008	2009	DEX	AGCI	MDGs and Poverty	129	129
*62187	Monitoring and Evaluation of Country Programme (2007-2010)	2008	2009	NEX	MINSEGPRES	MDGs and Poverty	110	110
*62347	Public Policies Programme for Employment	2008	2009	NEX	MINTRAB	MDGs and Poverty	183	190

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Project Number	Project Title	Beginning Year	End Year	Implementation Mode	Implementation Partner	Thematic Area	SUM 04-08 Approved Budget	SUM 04-08 Total Expenditure
*62728	Supporting South-South Cooperation. Component A: Supporting Capacity	2008	2010	NEX	AGCI	MDGs and Poverty	3	-
62729	Supporting South-South Cooperation. Component B: Plan Execution	2008	2010	NEX	AGCI	MDGs and Poverty	47	-
62730	Supporting South-South Cooperation Component C: Strengthening	2008	2010	NEX	AGCI	MDGs and Poverty	-	-
*62731	Supporting South-South Cooperation Component D: Consolidation	2008	2010	NEX	AGCI	MDGs and Poverty	92	53
*62754	Work and Family Report for Latin America and Caribbean	2008	2009	DEX	UNDP	MDGs and Poverty	72	39
	<b>SUBTOTAL</b>						<b>148,793</b>	<b>100,734</b>

<b>125</b>		<b>125</b>	<b>125</b>	<b>125</b>	<b>125</b>	<b>125</b>	<b>263,243</b>	<b>171,682</b>
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Source: UNDP Atlas



## ANNEX 6

# UNDP IN CHILE: ORGANIZATIONAL CHART

