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EVALUATION OF CLIMATE RISK MANAGEMENT AT USAID

October 2020

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Prepared by:

Nora Nelson, Team Leader and Evaluation Specialist

Dr. Keith Bettinger, Subject Matter Expert

Irene Velez, Evaluation Manager

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Cover photo: Two members of a community protected area committee supported by the Greening Prey Lang activity in Cambodia describe their activities to the evaluation team and other community members.

Credit: Nora Nelson, MSI.

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ABSTRACT

This evaluation examines how climate risks to USAID activities are managed during activity implementation, how managing climate risks affects development results, the strengths and weaknesses of the Agency's climate risk management (CRM) policy in supporting climate-resilient development, and how to strengthen support for the CRM policy. The evaluation employed a mixed-methods approach including a document review, an online survey of USAID staff, key informant interviews with USAID staff and implementing partners, group interviews with activity beneficiaries, and four country case studies. The evaluation found that CRM integration into the program cycle should be viewed as a longer-term process of institutional change. From this perspective, the CRM policy has made significant progress in raising awareness among USAID staff and implementing partners about potential threats from climate change to Agency operations and about the need for CRM. There is widespread support for the notion that USAID should take proactive measures to address climate change risks. Although some activities with moderate to high climate risks are implementing measures to address climate risks, the evaluation found limited evidence that CRM is actively contributing to avoided or mitigated climate risks. On one hand, it may be too soon to assess if CRM is contributing to the longer-term climate resilience of USAID investments. On the other hand, in most cases CRM is not effectively integrated into the entire program cycle, with the process generally stalling after the design phase. While the Agency has made significant progress in mainstreaming climate change considerations into certain sectors, more attention is needed during activity design to ensure adequate identification of CRM measures that can be implemented and adaptively managed to avoid and mitigate climate risks during activity implementation. Respondents considered the lack of monitoring and accountability to be major challenges that make it difficult to track CRM through the program cycle. Bureau and mission climate integration leads (CILs) play a critical role for effective CRM implementation but have limited bandwidth, which hinders their ability to support implementation of the policy. Steps are needed to more fully integrate CRM into mission and bureau operations beyond the CILs. USAID should consider options for improving CRM integration at the activity level, including: developing a longer-term organizational change plan; formalizing the CIL position; improving communication from leadership that makes it clear CRM is a priority; encouraging A/CORs to take responsibility for CRM, in part by incorporating CRM into solicitations and agreements; improving CRM knowledge management and virtual training; and revising the Climate Risk Management and Screening Tool to streamline the CRM process.

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ACRONYMS

ACCESS	Accessible Continuum of Care and Essential Services Sustained
ADS	Automated Directives System
AMELP	Activity Monitoring, Evaluation, and Learning Plan
AOI	Area of Interest
AOR	Agreement Officer's Representative
CDCS	Country Development Cooperation Strategy
CDD	Community Driven Development
CFR	Community Fish Refuge
COR	Contracting Officer's Representative
CIL	Climate Integration Lead
COP	Chief of Party
CRM	Climate Risk Management
CTIPE+	Countering Trafficking in Persons through Economic Empowerment
E3	Bureau for Economic Growth, Education, and Environment (USAID)
EMMP	Environmental Mitigation and Management Plan
EMMR	Environmental Mitigation and Monitoring Report
EQ	Evaluation Question
ESF	Environmental Screening Form
FFP	Food for Peace
GPL	Greening Prey Lang
G2R	Graduation to Resilience
GCC	Office of Global Climate Change (USAID/E3)
ICAN	Integrated Community Agriculture and Nutrition
IEE	Initial Environmental Examination
IMPACT	Improving Market Partnerships and Access to Commodities Together
IP	Implementing Partner
KII	Key Informant Interview
MSI	Management Systems International
MEL	Monitoring, Evaluation, and Learning
MEO	Mission Environmental Officer
MBWG	Multi-Bureau Working Group
OAS	Organization of American States
PAD	Project Appraisal Document
RFF II	Rice Field Fisheries II
SANTE	Health Service Delivery to the Haitian Population
SOW	Statement of Work
USAID	United States Agency for International Development
WatSun	Haiti Water, Sanitation, and Hygiene
WSS	Wildlife Sanctuary Support

EXECUTIVE SUMMARY

This report presents results from the performance evaluation of climate risk management (CRM) at the United States Agency for International Development (USAID). The Agency's CRM policy includes requirements from Automated Directives System (ADS) mandatory references 201mat, [Climate Change in USAID Country/Regional Strategies](#); and 201mal, [Climate Risk Management for USAID Projects and Activities](#). The Office of Global Climate Change in USAID's Bureau for Economic Growth, Education, and Environment commissioned the E3 Analytics and Evaluation Project to conduct the evaluation.

CRM Policy Background

CRM is the process of assessing, addressing, and adaptively managing climate risks – potential negative consequences of changing climatic conditions – that may impact USAID programs' ability to achieve their objectives. CRM aims to render the Agency's work more climate-resilient (i.e., better able to anticipate, prepare for, and adapt to changing climate conditions and withstand, respond to, and recover rapidly from disruptions) and avoid maladaptation (i.e., development efforts that inadvertently increase climate risks). Since October 2015, CRM is required for all new country and regional USAID strategies, including country development cooperation strategies (CDCSs), regional development cooperation strategies, mission strategies, and country strategies (ADS 201mat). Since October 2016, CRM is required for USAID projects and activities (ADS 201mal).

CRM flows through all program cycle steps in an iterative process that allows teams to design and implement for uncertainty through informed decision making. It also enables teams to build in flexibility to adjust and adapt to a changing climate during the timeframe over which an activity is expected to confer benefits. USAID operating units are required to implement CRM in Agency-level policy documents; regional and country strategies; and projects and activities, including project appraisal documents (PADs) and activity solicitations. In addition, monitoring, evaluation, and learning (MEL) can support CRM throughout the program cycle. At each step of the program cycle, CRM is conducted in four phases: (1) plan for screening/assessment; (2) conduct screening/assessment; (3) incorporate results into design of strategies, projects, and activities; and (4) implement and adaptively manage CRM measures by integrating it into implementation plans and MEL processes.

To carry out CRM at the project and activity levels, design teams are required to identify relevant climate risks and then qualitatively assess the risks as low, moderate, or high. If moderate or high climate risks are present, project teams must address them by (1) integrating risk management measures into the current phase of the program cycle, and/or (2) identifying risk management measures appropriate for future program cycle stages. In some cases, design teams may accept some risk(s) upon consideration of tradeoffs and strategies to best achieve USAID development objectives. The CRM processes and results – including identified climate risks, risk ratings, how risks are addressed, opportunities, and any further analysis needed – must be documented in PADs and environmental compliance analyses (e.g. an initial environmental examination [IEE]). The results should also be integrated into USAID solicitations and awards and MEL processes as appropriate.

Although ADS 201mat includes three requirements at the strategy level (CRM, climate change mitigation, and additional requirements for missions with GCC funding), this evaluation addressed only the CRM requirement. The evaluation focused on ADS 201mal (projects and activities) in its entirety but assessed only projects or activities that had been classified to have at least one moderate or high risk.

Evaluation Purpose and Methods

This evaluation aims to (1) gain a better understanding of how climate risks to USAID activities are being managed as part of activity implementation, (2) examine how CRM may affect development results, (3) identify the CRM policy's strengths and weaknesses in supporting climate-resilient development, and (4) determine how support for the CRM policy can be strengthened. Although USAID has collected Agency-wide data on compliance with climate risk assessment procedures and the application of assessment findings to project design, there is limited understanding of how climate risks are managed during activity implementation. The results for this evaluation expand on that knowledge base and address gaps. USAID staff will use the evaluation to improve the CRM policy and the support it provides for the policy. The evaluation answered four evaluation questions (EQs) that are listed in the Findings and Conclusions section below.

The evaluation employed a mixed-methods approach, conducting 81 key informant interviews, an online survey of 168 USAID staff, six group interviews with activity beneficiaries, and a document review of relevant CRM policy documents, the suite of CRM tools and resources, and 175 documents relevant to integrating climate change along the program cycle for 18 activities assessed with medium to high climate risks. In addition, the evaluation conducted four country case studies: Cambodia, Haiti, Madagascar, and Uganda. Due to COVID-19 travel restrictions, the team was only able to collect in-person data in Cambodia and conducted all other interviews remotely.

Findings and Conclusions

EQ1: How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?

The evaluation team examined activity documents from the four case study missions to determine how activities assessed with moderate to high climate risks implement measures to address climate risks. There were 146 CRM measures listed in 17 different IEEs. The evaluation concluded that 34 of these CRM measures (24 percent) prescribed in the climate risk assessments of the reviewed activities could be linked to the CRM policy. The remaining 111 measures (76 percent) were either noncommittal responses to climate risks that did not list any specific CRM measures, passive CRM that indirectly address the risks identified, or measures that are part of standard good design and best practice that most likely would have been included in the activity even in the absence of the CRM policy. These findings suggest that although activity design teams utilize the CRM matrix during the design process, in most cases design teams are not identifying additional measures or procedures to address the medium to high risks. Moreover, most activities were not actively monitoring context indicators to track climate risks (e.g., rainfall totals, temperature trends). Instead, they responded *ad hoc* to extreme conditions as they happened.¹ In most cases, the management response to addressing climate risks was conflated with normal crisis management. Thus, there is limited anecdotal evidence that CRM is actively contributing to avoided or mitigated climate risks. While CRM is an investment in the future, it may be too soon to assess whether CRM is contributing to USAID investments' longer-term climate resilience.

CRM stakeholders identified several common factors that enable effective CRM implementation and adaptive management of moderate and high risks, such as incorporating CRM language into activity design and procurement processes, early timing of the CRM assessment in the design phase, and incorporating CRM into monitoring plans and reporting processes (e.g., activity MEL plans,

¹ The exceptions are the Food for Peace (FFP) and ICAN activities in Uganda.

environmental mitigation and management plans, quarterly and annual reports). Other important enabling factors include:

- Signals from leadership indicating CRM is a priority;
- Adequate training and competency with tools;
- A common understanding of the policy's relevance and importance and the roles and responsibilities for its implementation;
- The presence of an effective climate integration lead (CIL) and empowered agreement/contracting officer's representatives (A/CORs); and
- Adequate staffing within USAID and among implementing partners (IPs).

However, CRM is not universally present in project/activity design and monitoring documents, supported by Agency leadership or owned by those responsible (e.g., A/CORs), and is often driven by individual initiative and commitment to CRM on the part of CILs and A/CORs.

Respondents also identified common barriers to implementing and adaptively managing CRM measures, including:

- Limited USAID staff time;
- Lack of appropriate data and information;
- Perceived lack of prioritization of CRM among USAID staff; and
- Lack of in-house IP expertise.

However, respondents did not view these barriers as insurmountable. In general, respondents did not see CRM as an additional or unwelcome burden on their time or compromising their ability to perform other job functions.

EQ2: In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?

If understood as part of a longer-term process of institutional behavior change, the CRM policy has made significant progress in raising awareness among USAID staff and IPs about the potential threats from climate change to Agency operations. However, data are insufficient to assess CRM's effects on development outcomes. In most cases, it is simply too soon to determine the CRM policy's impact on beneficiaries vis-à-vis resilient development, and benefits are largely anticipated rather than verifiable. In addition, there have been few if any notable unintended negative or positive consequences as a result of the CRM policy.

EQ3: What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?

Most survey respondents agreed that CRM is an effective means of supporting climate-resilient development – 40 percent strongly agreed and 30 percent somewhat agreed. Some interviewees thought the CRM policy was being implemented effectively in terms of people following the requirements. Others thought the policy was generally effective in managing risks, although this depends on the specific sector (e.g., health, agriculture) and human capacity. These two aspects of the CRM policy are understood to be starting points toward supporting climate-resilient development but there is more work to be done to achieve that goal.

A key strength of the CRM policy is the support that E3/GCC provides, including capacity development support; support for integrating CRM into CDCSs, PADs, and activities; and disseminating the policy requirements. Having CRM as a formal requirement also encourages people to take it seriously.

CRM is meant to flow through the program cycle. In most cases, CRM is not effectively integrated into the entire program cycle, and the process generally stalls after the design phase. Around 55 percent of survey respondents perceived that CRM integration for project/activity design and implementation was “excellent” or “good.” However, as discussed under EQ1, while the Agency has made significant progress in mainstreaming climate change considerations into certain sectors, more attention is needed during activity design to ensure adequate identification of CRM measures that can be implemented and adaptively managed to avoid and mitigate climate risks during implementation. Moreover, the perceived effectiveness of CRM integration declines for MEL and collaborating, learning, and adapting.

The lack of CRM integration into monitoring is widely perceived to be an area for improvement. Three-quarters of survey respondents thought the process for integrating the CRM policy in MEL was not clearly defined and/or needed additional guidance. In most cases, respondents described the monitoring of climate risks and measures as poor to nonexistent and not standardized within (or across) missions. This finding is supported by the review of activity documents for the case studies, which revealed that in most cases, there was no mention of climate risks or CRM measures in quarterly and annual reports. In many cases, CRM measures identified in IEEs to be incorporated into activity design were not reflected in environmental mitigation and management plans (EMMPs) or activity MEL plans (AMELPs), and there appeared to be no documentation of why. Seven of the 16 AMELPs reviewed (44 percent) referenced climate change, 2 (13 percent) explicitly mentioned the CRM measures from EMMPs, and 6 (38 percent) included a performance indicator that mentioned some aspect of climate change.

Respondents reported weaknesses associated with incorporating CRM into monitoring including a lack of standard procedures and guidance for monitoring CRM measures and a general lack of accountability. Fifteen percent of survey respondents have used and found useful the guide on CRM MEL and knowledge management. However, more than 50 percent of respondents were not even aware of this guide. ADS 201mal indicates that CRM should be integrated into MEL, so these findings suggest that greater effort is needed to raise awareness about the requirements and to disseminate supporting resources. Inadequate integration of CRM monitoring into activity implementation hinders institutional knowledge management and consolidation of best practices that could be shared, replicated, or scaled.

Overall ownership of the CRM policy by project/activity design teams is mixed. CRM is not effectively mainstreamed into A/COR workflows so CILs are often left to do work that is the responsibility of A/CORs. Staff felt they have the knowledge to implement CRM, but there is still a widespread lack of clarity about how to move CRM from the design phase into implementation.

Most key informants discussing the relevance of climate change to USAID’s operations and objectives acknowledged that it is having or will soon have a significant impact on the Agency. There is widespread support for the notion that USAID should take proactive measures to address climate change risks. USAID staff and IPs have many ideas for improving, streamlining, and clarifying the CRM policy to strengthen climate-resilient development. This indicates there are opportunities to update existing resources and add new ones. Some stakeholders suggested additional materials and improving the visibility of existing materials. The Recommendations section proposes specific actions based on these findings.

EQ4: What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?

Bureau and mission CILs are critical for effective CRM implementation, but their limited time and bandwidth hinder the extent to which they can support, facilitate, and promote CRM. Fifty-three percent of survey respondents (excluding CILs) strongly or somewhat agreed that the assignment of a

CIL at their mission or bureau had improved CRM policy implementation. However, the CILs' limited time and bandwidth hinder the extent to which they can support, facilitate, and promote implementation of the CRM policy. As noted above, more effectively mainstreaming CRM into A/COR workflows would likely allow CILs to more effectively function in their intended support role.

According to E3/GCC, the CIL position was established to create a resource person and point of contact to facilitate CRM in missions and bureaus. CILs are not supposed to assume total responsibility for implementing CRM. Given that the CRM policy is relatively new, it is to be expected that the CIL would have an outsized role in raising awareness, securing buy-in, conducting trainings, and providing technical support, especially in the early years after the rollout. Stakeholders agreed that integrating CRM at the mission level is a gradual but progressive process. However, the evaluation data indicate that this gradual process may be stalled in the aforementioned instances in which the CIL handles all CRM tasks. In the longer term, this may lead to "siloeing" CRM in the environmental office and could impede the overall goal of integration, as A/CORs will be discouraged from developing knowledge and skills about CRM.

USAID staff acknowledged the usefulness of most tools and resources provided to CRM stakeholders. Respondents also praised the support provided by the E3/GCC climate integration team, but indicated a need for more training opportunities. Respondents requested specific trainings for mission environmental officers, A/CORs, CILs, IPs, and beneficiaries. Suggested training modalities included webinars and online courses, with fewer respondents requesting classroom/in-person trainings. Online courses and a virtual coaching program are available, but uptake has been low. Several respondents suggested that trainings be iterative, with mandatory refresher courses every one or two years.

Recommendations

Based on the evaluation's findings and conclusions, the evaluation team recommends the following:

- USAID should recognize CRM integration as a longer-term process of organizational change and therefore consider developing an organizational change plan to provide clarity on realistic expectations for each stage in the process of change.
- USAID should explore mechanisms to incentivize and compel stakeholders to improve effective integration of CRM in activity design and implementation. Agency, mission and office leadership should communicate the importance of CRM and emphasize that CRM is the responsibility of design teams and A/CORs, not CILs.
- USAID should strengthen the CIL role by formalizing the position and empowering non-CIL staff, particularly A/CORs, to carry out more CRM processes.
- E3/GCC should guide and support missions to adopt standard procedures for integrating CRM into project/activity monitoring by building on emerging best practices. CILs should provide more support for incorporating CRM in MEL. Monitoring indicators should be incorporated into AMELPs and/or work plans.
- Missions, E3/GCC, and USAID in general should carefully consider and address CRM linkages into strategic planning, budgeting, and project/activity design processes.
- Project/activity design teams should incorporate the results of the climate risk assessment into solicitations and agreements.
- E3/GCC should modify CRM trainings based on the suggested improvements and develop new CRM training to generate and promote a shared understanding.
- E3/GCC should consider options to improve CRM knowledge management and the availability of data and information to CRM stakeholders.

- E3/GCC should provide more sector-specific information by creating a sector-based mechanism, such as sectoral technical working groups. Such a mechanism would change the way that knowledge is produced to develop cross-cutting, multi-sectoral information.
- E3/GCC should revise the Climate Risk Management and Screening Tool to make it easier to use and to remove subjectivity when it is used.
- E3/GCC, in conjunction with the above recommendations, should strive to clearly articulate what “effective” CRM policy implementation looks like for CRM stakeholders.

INTRODUCTION

This report presents results from the performance evaluation of climate risk management (CRM) at the United States Agency for International Development (USAID). The Agency's CRM policy includes requirements from Automated Directives System (ADS) mandatory references 201mat, [Climate Change in USAID Country/Regional Strategies](#), and 201mal, [Climate Risk Management for USAID Projects and Activities](#). The Office of Global Climate Change in USAID's Bureau for Economic Growth, Education, and Environment (E3/GCC) commissioned the E3 Analytics and Evaluation Project² to conduct the evaluation. Annex B provides USAID's approved statement of work (SOW) for this evaluation.

CRM POLICY DESCRIPTION

Background

Per [ADS 201mal](#), “The adverse impacts of climate change, including sea-level rise, temperature increases, more frequent extreme precipitation and heat events, more severe droughts, and increased wildfire activity, along with other impacts of greenhouse gas emissions such as ocean acidification, threaten to roll back decades of progress in reducing poverty and improving economic growth in vulnerable countries, compromise the effectiveness and resilience of U.S. development assistance, degrade security, and risk intranational and international conflict over resources. [...] The impacts of climate change can also compound social, political, and economic stresses. At the same time, climate change challenges offer important opportunities and incentives to take actions that contribute to development. By considering climate risks and opportunities at the strategy, project, and activity levels as part of the planning and design process, USAID can increase the sustainability and impact of its investments.”

CRM is the process of assessing, addressing, and adaptively managing climate risks – potential negative consequences of changing climatic conditions – that may impact USAID programs' ability to achieve their objectives. CRM aims to render USAID's work more climate-resilient (i.e., better able to anticipate, prepare for, and adapt to changing climate conditions and withstand, respond to, and recover rapidly from disruptions) and avoid maladaptation (i.e., development efforts that inadvertently increase climate risks).

CRM Policy

As of October 1, 2015, CRM is required for all new country and regional USAID strategies, including country development cooperation strategies (CDCSs), regional development cooperation strategies, mission strategies, and country strategies (ADS 201mat). As of October 1, 2016, CRM is required for USAID projects and activities (ADS 201mal). These ADS mandatory references provide requirements (“must”) as well as suggestions (“should,” “may,” “are encouraged”) for how to undertake CRM.

CRM flows through all program cycle steps in an iterative process that allows teams to design and implement for uncertainty through informed decision making. It also enables teams to build in flexibility to adjust and adapt to a changing climate during the timeframe over which an activity is expected to confer benefits. The USAID program cycle provides key entry points for considering climate change as a cross-cutting issue. USAID operating units are required to implement CRM in Agency-level policy

² Management Systems International (MSI), a Tetra Tech Company, implements the E3 Analytics and Evaluation Project in partnership with Palladium and NORC at the University of Chicago.

documents; regional and country strategies; and projects and activities, including project appraisal documents (PADs) and activity solicitations. In addition, monitoring, evaluation, and learning (MEL) can support CRM throughout the program cycle. At each step of the program cycle, CRM is conducted in four phases:³

1. **Plan for Screening/Assessment:** Planning to screen or assess climate risks and opportunities involves reviewing previous screenings/assessments (if they exist) and determining the screening/assessment approach.
2. **Conduct Screening/Assessment:** Conducting a climate risk screening/assessment entails assessing risks, determining how to address risks, and planning for adaptive management. The assessment also involves consideration of opportunities to build climate resilience.
3. **Incorporate Results:** Incorporating results of the climate risk screening/assessment refers to the integration of CRM into the design of strategies, projects, and activities. This phase enables design and implementation teams to address and adaptively manage risks.
4. **Implement and Adaptively Manage:** This phase entails integration of CRM into implementation plans and MEL processes to ensure climate risks are addressed and adaptively managed.

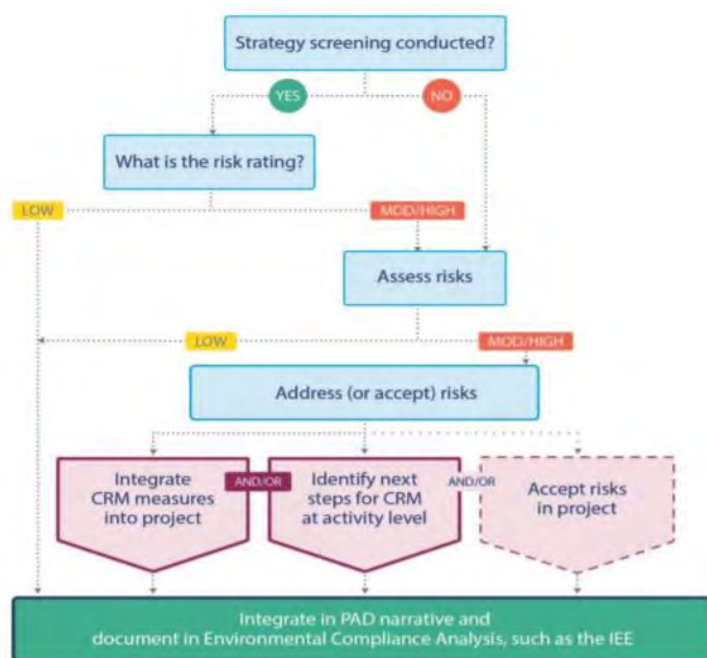
For example, to carry out CRM at the project and activity level, design teams are required to identify relevant climate risks and qualitatively assess them as low, moderate, or high unless the project or activity⁴ falls under a development objective or intermediate result that was rated low risk through a strategy-level climate risk screening. Due to the challenges of quantifying climate risk, activity design teams categorize climate risks qualitatively based on the probability and severity of negative impact(s). Design teams address moderate or high climate risks by (1) integrating risk management measures into the current phase of the program cycle and/or (2) identifying risk management measures appropriate for future program cycle stages (Figure 1). In some cases, design teams may accept some risk(s) upon consideration of tradeoffs and strategies to best achieve USAID development objectives. If climate risk is low, no action is required beyond documentation of low risk. The CRM processes and results – including identified climate risks, risk ratings, how risks are addressed, opportunities, and any further analysis needed – must be documented in PADs and environmental compliance analyses (e.g., an initial environmental examination [IEE]). The results should also be integrated into USAID solicitations and awards and MEL processes as appropriate.

Although ADS 201mat includes three requirements at the strategy level (CRM, climate change mitigation, and additional requirements for missions with GCC funding), this evaluation addressed only the CRM requirement. The evaluation focused on ADS 201mal (projects and activities) in its entirety but assessed only projects or activities that had been classified as moderate or high risk.

³ Additional information on the four phases of CRM and how CRM is connected to the program cycle can be found here: <https://www.climatelinks.org/climate-risk-management/how-to-do-crm>

⁴ According to ADS 201, “an activity carries out an intervention, or set of interventions, typically through a contract, grant, or agreement with another U.S. Government agency or with the partner country government. An activity also may be an intervention undertaken directly by Mission staff that contributes to a project, such as a policy dialogue. In most cases, multiple activities are needed to ensure the synergistic contributions necessary to achieve the project’s desired results.” See https://usaidlearninglab.org/sites/default/files/resource/files/usaid_program_cycle_terms_aug_2017.pdf.

FIGURE 1: CRM FOR PROJECT AND ACTIVITY DESIGN



Source: ADS 201mal

Agency staff responsible for implementing and supporting CRM include:

- **CRM multi-bureau working group.** This group consists of bureau-level climate integration leads (CILs) and a few other interested, mostly Washington-based staff. The group meets monthly to discuss and make decisions on CRM-related topics. The group also supports CRM by, for example, developing resources and providing training and technical assistance.
- **Bureau-level CILs.** These CILs provide support on CRM to missions and to their respective operating units and help disseminate information to and receive input from missions as well as offices within their bureaus. Bureau-level CILs usually have multiple additional responsibilities – for example, they may also be bureau environment officers, deputy bureau environment officers, technical staff, or functional staff. They may also serve on activity design teams or as agreement/contracting officer’s representatives (A/CORs).
- **Mission CILs.** Nearly every USAID mission is assigned at least one CIL. When one is not assigned, the mission environmental officer (MEO) serves as the CIL. The CIL typically has multiple responsibilities at the mission, including:
 - Explain and track CRM processes in accordance with ADS 201mal and 201mat.
 - Help the mission or bureau access climate change information and support.
 - Identify and share opportunities to integrate climate change adaptation and mitigation into mission or bureau strategies, programming, and operations.
 - Communicate with the mission or bureau about integrating climate change into development programming and build support, including from leadership.
 - Serve as a point of contact for communication between USAID/Washington and missions about climate change and mission needs.
- **Agency technical staff.** Activity design teams are often led by a technical staff member who sometimes becomes the A/COR. In accordance with ADS 201mal, design teams are responsible for CRM.
- **Agency functional staff.** These staff include program officers, contracting/assistance officers, legal officers, and non-CIL bureau/regional/MEO/advisors. Although typically these staff are not

responsible for CRM (unless part of a design team), they may play a role in CRM – for example, by making design teams aware of the requirement and where to find resources and by approving or clearing designs and other documents that incorporate CRM.

- **Agency leadership.** The Policy, Planning, and Learning and E3 Bureaus are responsible for ADS 201mat, and the E3 Bureau is responsible for ADS 201mal. Agency leadership from these two bureaus, the Office of the Administrator, and Washington and mission office directors may also influence attitudes toward CRM and the extent to which it is prioritized.

A host of technical resources⁵ also support the various stages of CRM, including 79 climate risk profiles, 72 greenhouse gas emissions fact sheets, and a climate risk screening and management tool with 9 sector annexes, as well as awareness-raising and capacity-building efforts such as in-person and online training courses. Most resources to support CRM are externally available to USAID implementing partners (IPs) and other interested parties.

EVALUATION PURPOSE AND QUESTIONS

Purpose, Audience, and Intended Use

This evaluation aims to (1) gain a better understanding of how climate risks to USAID activities are being managed as part of activity implementation, (2) examine how managing climate risks may affect development results, (3) identify the CRM policy’s strengths and weaknesses in supporting climate-resilient development, and (4) determine how support for the CRM policy can be strengthened. Though USAID has collected Agency-wide data on compliance with climate risk assessment procedures and the application of assessment findings to project design, there is a limited understanding of how climate risks are managed during activity implementation. The results for this evaluation expand on that knowledge base and address gaps. The evaluation will be used by the CRM multi-bureau working group, mission CILs, and other USAID staff to improve the CRM policy and support for it. It also provides examples and results of managing climate risks that can be used by Agency leadership, technical and other relevant USAID staff, and external audiences.

Evaluation Questions

The evaluation answers the four evaluation questions (EQs) listed below, which are identical to those in USAID’s approved SOW (see Annex B). In the SOW, USAID also provided areas of interest (AOIs) to focus each EQ and to inform the development of data collection instruments. This report does not report separately on the AOIs but addresses them in answering the four EQs.

1. How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?
2. In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?
3. What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?
4. What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?

⁵ See [Climate Risk Management: Resources and Training](#)

EVALUATION METHODOLOGY

This evaluation employed a mixed-methods approach that included key informant interviews (KIs), an online survey, group interviews, and a document review. The team triangulated findings across the data sources and assessed the various lines of inquiry to answer each EQ. In addition, the evaluation included case studies on four country missions – Cambodia, Haiti, Madagascar, and Uganda – to illustrate how the CRM policy is being implemented and how managing climate risks may affect development results. Although the initial evaluation SOW included a review of other’s practices, including other cross-cutting or integration issues at USAID (e.g., gender, youth) and other donor and development partner CRM practices, E3/GCC and the evaluation team agreed to eliminate this component upon finalizing the evaluation design. Future work on CRM at USAID may consider such a review, particularly for the “soft” interventions (as opposed to capital projects/infrastructure) that make up much of the Agency’s portfolio. Annex C provides conceptual considerations from the evaluation design proposal that USAID approved, additional details on the analytical approaches for each EQ, and a matrix summarizing the methods the team used to answer each EQ.

Sampling Considerations

Respondent Selection

The evaluation team interviewed representatives from seven stakeholder groups: the CRM multi-bureau working group, mission CILs, Agency technical staff, Agency functional staff, Agency leadership,⁶ IPs, and activity beneficiaries. E3/GCC provided the evaluation team with a list of USAID staff to be interviewed from the five USAID stakeholder groups.⁷ This purposefully sampled list ensured broad representation across USAID’s five regions and five technical bureaus as well as relevance and understanding of the CRM policy. For the mission-specific interviews for the case studies, the evaluation team collaborated with the E3/GCC activity manager for this evaluation and mission CILs to identify the A/CORs of each moderate- to high-risk activity. The evaluation team then coordinated with the mission CILs and A/CORs to identify and contact the IPs for each activity to arrange interviews; request additional documentation; and, for Cambodia, enlist the IPs in helping organize group interviews with beneficiaries. The team also conducted interviews with two beneficiaries in Haiti and Uganda; however, these interviews do not constitute a meaningful sample from which conclusions can be drawn.

To reach respondents for the online survey, the E3/GCC activity manager for this evaluation cross-posted a notice about the survey to several USAID listservs and issued an Agency notice. Despite reaching a wide audience, survey respondents ultimately self-selected, meaning the evaluation team did not have any control over the number and types of people who chose to respond. It is reasonable to assume that individuals with more direct CRM policy experience or for whom the CRM policy is more relevant were more likely to complete the survey, though this is difficult to capture through the data. Of the 165 individuals who responded to a survey question about their knowledge of the CRM policy, 72 percent (119 respondents) agreed they have adequate knowledge to implement the policy. However, 18 percent did not think they had adequate knowledge. Ten individuals said they had not heard of the

⁶ “Agency leadership” for purposes of this evaluation included leadership from relevant bureaus; leadership in USAID/Washington (from the front office to office directors); and mission leadership (from mission directors to office directors).

⁷ If the primary contact was not available to participate or nonresponsive after multiple attempts, the evaluation team then contacted the person identified as the secondary contact. In some cases, particularly at the activity level, there were multiple points of contact; these people may have chosen to interview separately or with their colleague(s). In other cases, the evaluation team scheduled interviews with individuals who chose to invite others to participate in the interview; these new individuals were accommodated on an ad hoc basis.

policy or were not familiar with it, and 19 individuals had heard of the policy but were not familiar with any of its details or its application. Table I shows the sample size by stakeholder group, including the target numbers from the evaluation design proposal and the actual number conducted.

TABLE I: RESPONDENTS BY STAKEHOLDER GROUP

Stakeholder Group	Target KIs	Actual KIs	Target Survey Responses	Actual Survey Responses
CRM Multi-bureau Working Group	13	13	7	--
Mission CILs	10–15	14	25	40
Agency Technical Staff	6–16	17	125	103
Agency Functional Staff	6–8	6	31	17
Agency Leadership	9–16	4	28	8
IPs	6–16	19	--	--
Beneficiaries	12–32	8	--	--
TOTAL	62–116	81	216	168

Country Selection for Case Studies

To select country missions for the case studies, E3/GCC compiled a preliminary list of missions with at least two activities being implemented that were assessed as having moderate to high climate risks. E3/GCC and the evaluation team then refined the list based on factors including visit timing, mission availability to accommodate the evaluation, feasibility of conducting site visits, and geographic diversity. Based on these criteria, E3/GCC and the evaluation team originally selected Cambodia, Pakistan, Uganda, and Haiti. The first three countries were originally planned as in-person field visits and Haiti was planned as a desk study due to security concerns. Due to COVID-19 travel restrictions, the team could collect in-person data only in Cambodia. The Pakistan Mission also could not accommodate a remote case study. E3/GCC and the evaluation team then selected the Philippines as a replacement based on the aforementioned criteria and a shortlist of previously identified countries. However, the Philippines Mission also could not accommodate a remote case study, so E3/GCC and the evaluation team selected Madagascar for the fourth case study. Annex E lists the activities assessed with moderate to high climate risks that each case study examined.

The evaluation team originally intended to conduct site visits to a limited number of activities with moderate to high climate risks for each case study. However, due to COVID-19 travel restrictions, the team could conduct site visits only in Cambodia. Based on a preliminary document review, the team worked with E3/GCC and the Cambodia Mission to select sites for direct observation and group interviews with beneficiaries.

Data Collection Methods

To collect data to answer the four EQs, the evaluation team used four primary data collection methods:⁸

- A review of relevant CRM policy documents, the suite of CRM policy tools and resources, and available key project and activity documents from the four case study countries;

⁸ The evaluation team also conducted direct observation during site visits of selected moderate- to high-risk activities during the Cambodia visit. Because this was conducted only for the Cambodia case study, it is described in more detail under that case study in Annex A.

- An online survey of USAID staff, including the multi-bureau working group, mission CILs, Agency technical and functional staff, and Agency leadership;
- KIIs with USAID staff, IPs, and activity beneficiaries; and
- Group interviews with activity beneficiaries (Cambodia case study only).

Document Review

The evaluation team conducted a desk review of relevant CRM policy documents, the suite of CRM policy tools and resources, and documents relevant to integrating climate change in USAID solicitations, programming, and activities. Due to the nature of the EQs and the fact that most CDCSs have not been updated since the introduction of the CRM policy, the team did not review CDCSs as part of the document review. For the case studies, the team reviewed 175 documents for activities with medium to high climate risks. The document review was conducted for six activities in Cambodia, five activities in Haiti, five activities in Uganda, and two activities in Madagascar. The E3/GCC activity manager facilitated collection of documentation, but the team could not obtain all the documentation for some activities. Annex D lists the key documents reviewed.

Online Survey

The evaluation team administered an online survey through the SoGoSurvey platform to obtain data from a broad sample of USAID staff, including the multi-bureau working group, mission CILs, Agency technical and functional staff, and Agency leadership. The survey used a mix of closed-ended binary and Likert scale questions and open-ended questions that asked the respondents to provide additional details. The survey was designed to preserve respondents' anonymity; however, it included an optional item for respondents to self-identify for follow-up KIIs or clarification of responses by email.

This survey collected data on topics related to all four EQs and their supporting AOs, including how moderate- to high-risk activities are identifying and adaptively managing climate risks; factors that help or hinder CRM stakeholders' ability to effectively carry out CRM processes; the extent to which CRM is affecting USAID programming, development outcomes, and beneficiaries; perceived strengths and weaknesses in how the CRM policy is understood and implemented; support that improves or promotes effective implementation of the CRM policy; and ways USAID can better support CRM implementation. The survey also collected data on respondents' roles and responsibilities, their baseline knowledge of climate change and CRM, and their perceptions of CRM integration into activity implementation. Annex F includes the survey instrument.

The evaluation team collaborated with E3/GCC to develop the survey and E3/GCC circulated it across the Agency on May 4 through an Agency notice and to targeted listservs. The survey remained open until May 22. One hundred sixty-eight USAID staff completed the survey. Table 1 provides the breakdown of survey respondents by stakeholder group.

Key Informant Interviews

The evaluation team conducted semi-structured interviews with 81 key informants, primarily through web-based conference platforms. The KIIs gave the evaluation team deeper insight into the EQs and AOs by enabling in-depth conversations with individuals representing a variety of disciplines, sectors, and operating units. The KIIs also helped identify examples of innovation and thought leadership on CRM within the Agency and its IPs. Annex F includes the interview guides.

The evaluation team recorded⁹ all but six KIIs and then had a professional service transcribe all recorded interviews for coding and analysis.

Group Interviews

The evaluation team conducted six group interviews with a total of 79 activity beneficiaries. In most cases, beneficiaries were community members participating directly in activities. A small number corresponded to government officials working in agencies that were points of contact for the activities. These group interviews provided an important means of triangulating what was learned from other CRM stakeholders and determining the extent to which activities have (explicitly or implicitly) sensitized beneficiaries to the concept of CRM and whether CRM is contributing to and/or enhancing resilient development outcomes. The group interviews thus helped the team better understand how the CRM policy is being understood and applied at the activity level – one of the main AOIs for this evaluation. Unfortunately, due to the inability to conduct in-person site visits, the evaluation team could not interview activity beneficiaries as planned, except for the Cambodia case study. Individual country restrictions related to COVID-19 also prohibited the remote convening of beneficiaries.

Data Analysis

The evaluation team used the following methods to analyze the data and develop the findings and conclusions to answer the EQs.

Analytical Review of Activity Documentation

For the case studies, the evaluation team reviewed documentation for activities with moderate or high climate risk ratings. The team reviewed the same types of documents for each activity and tracked CRM incorporation from activity design documents to implementation documents. This enabled the team to qualitatively evaluate CRM integration and describe the process for each activity. For example, where solicitations and awards were available, the team noted whether and how CRM was described in these documents, including applicants' expectations.

The team also used a tracking matrix for each case study country to trace CRM implementation from activity/project IEEs through implementation. The tracking matrix lists all moderate and high risks listed in IEEs along with the activity elements affected by the risks and recommended CRM measures. The team then carefully reviewed environmental mitigation and management plans (EMMPs) to determine the degree of alignment between IEEs and EMMPs. Next, the team reviewed activity monitoring, evaluation, and learning plans (AMELPS); work plans; and reporting documents to find mentions of CRM and descriptions of how CRM measures were implemented. In many cases, EMMP CRM measures do not explicitly mention climate change or climate risks, so the team rigorously scrutinized the documentation for indications that the CRM measures were planned and implemented. This analysis resulted in qualitative findings and conclusions about CRM integration that are most fully described in the case studies found in Annex A.

Pattern/Content Analysis

The team employed a content analysis approach to KIIs and open-ended survey questions. Using the Dedoose analytical platform, the team developed a coding framework consisting of 25 “parent codes” referencing the relevant EQs and AOIs. These parent codes were further divided into 61 “child codes”

⁹ Before the start of each interview, respondents were advised on their rights to privacy. The team requested oral permission to record the KIIs, and in one case the interviewee asked not to be recorded. The other five instances that were not recorded were interviews conducted in missions where the use of recording devices was not permitted.

and 52 “grandchild codes” to identify patterns in the interview transcripts. This yielded a total of 2,377 code applications on 1,514 relevant excerpts. The team then reviewed the coded data to identify themes. The team also applied tally counts for specific points (e.g., mentions of recommendations, useful tools) where appropriate. For the open-ended survey responses, the team adapted the coding framework and collectively applied it to the survey responses. This adapted framework consisted of 17 “parent codes” and 87 “child codes.” The team then used a spreadsheet to collate the coded passages and summarized the responses (findings) to identify key themes (conclusions). The team also extracted illustrative quotations from the open-ended responses. The coded transcripts and surveys together provided hundreds of pages of data, analysis of which greatly enriched the evaluation.

Descriptive Statistics

For the closed-ended survey data, the evaluation team used STATA 16 to generate descriptive statistics to complement the qualitative findings and to assess relationships among the data (e.g., whether responses differed by gender, tenure at USAID, and region or whether responses correlated with an initial positive/negative view of the CRM policy or with knowledge about the policy). The evaluation team also disaggregated survey data on the basis of CIL versus non-CIL.

Data Synthesis

The evaluation team drew together data on each EQ from the methods described above. The team compared findings across data sources and stakeholder groups to determine whether they converged or diverged. Where they converged, the team reported findings based on a high level of confidence. Where they diverged, the team examined the strength of the evidence and, in the absence of a strong preponderance of credible evidence, presented both as findings.

Evaluation Team Composition

The evaluation consisted of team leader Nora Nelson, who has extensive evaluation experience in the environmental sector, and Dr. Keith Bettinger, a CRM specialist. An evaluation manager (Irene Velez) and research associate (Sara Krautbauer) supported the team’s progress assisted with data collection and analysis. Annex G provides summary information about each team member. Each team member signed USAID’s conflict of interest disclosure statement; the statements are retained by the MSI home office and available upon request. The E3 Analytics and Evaluation Project home office also supported the evaluation team through technical coordination, quality control assurance, administrative oversight, and logistical support.

Evaluation Limitations

The evaluation design and implementation faced several limitations and potential biases. Although the evaluation team sought to mitigate these limitations to the best of its ability, the reality of conducting the evaluation diverged significantly from the original plan due to COVID-19.

- **Response bias:** The evaluation relied heavily on self-reported information to gain insights into stakeholder perspectives and institutional behavior at USAID. However, this information is subject to personal and cognitive biases among KII, group interview, and online survey participants. Although the team triangulated as much data as possible, this limitation cannot be fully mitigated.
- **Selection bias:** Though the survey was distributed to all USAID personnel, recipients participated at their own discretion. Therefore, people with stronger opinions and more direct experience with CRM may have been more likely to take the survey. To control selection bias, the survey

included self-classification questions so the results could be disaggregated by role at USAID (e.g., CIL/non-CIL) and by familiarity with the CRM policy. In addition, the evaluation team selected KII participants through purposive sampling to help ensure the team obtained data from the most relevant sources available. However, those selected or willing to share their views may not have been fully representative of USAID staff or IPs. Another challenge in evaluating this Agency-wide policy is that the individuals with the best understanding of CRM are those who implement it, and these individuals may have little incentive to provide criticism. The team therefore corroborated statements provided by USAID staff against information provided by IPs and available documentation. The team noted where these responses diverged and attempted to use responses on overlapping topics to inform the analysis.

- **Limited data collection due to COVID-19 travel restrictions:** The evaluation team could not conduct in-person data collection as originally intended for the Uganda and Madagascar case studies. Though the Haiti case study was always intended to be done remotely, it was expected that IPs would help arrange some remote interaction with beneficiaries for the evaluation team. In all three countries, shelter-in-place orders and other movement restrictions prevented the convening of beneficiaries, with connectivity issues in often rural areas presenting an additional challenge. It was simply not possible to fully transition this component of the evaluation to a remote working context, though the evaluation team conducted a small number of interviews with individual government and community beneficiaries. This somewhat limits the granularity of findings on CRM in activity implementation and on CRM's contribution to resilient development. In addition, the COVID-19 restrictions limited the team's interaction with AORs to remote interviews, which did not provide the same opportunity to build rapport and to discuss CRM and activity implementation in more detail as the team did for the Cambodia case study. In some cases, technical and connectivity issues affected interviews by reducing clarity of communication and interrupting the discussions.

FINDINGS AND CONCLUSIONS

Some findings and conclusions presented in this section by EQ are also cross-cutting, with aspects applicable to multiple EQs and AOs. Many of the findings and conclusions are further developed and exemplified through the four case studies (see Annex A).

EQ1: How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?

Conclusion 1.1: Although activities with moderate to high climate risks are implementing measures to address climate risks, in many cases these measures cannot be clearly linked to the CRM policy. There is limited, anecdotal evidence that CRM is actively contributing to avoided or mitigated climate risks. However, it may be too soon to assess whether CRM is contributing to USAID investments' longer-term climate resilience.

The fourth phase in the CRM process across the program cycle is to implement and adaptively manage measures to address climate risks. This phase entails integration of CRM into implementation plans and MEL processes to ensure climate risks are addressed and adaptively managed. A persistent challenge in determining whether CRM implementation (i.e., appropriate implementation and adaptive management of risk management measures) is mitigating risks is that many key informants did not clearly differentiate

between climate mainstreaming built into activity interventions (e.g., the promotion of climate-smart agriculture) and the CRM process and rationale. The evaluation team understands that the E3/GCC climate integration team’s ultimate goal is to advance mainstreaming in programming in all sectors. The increased prevalence of approaches such as climate-smart agriculture and climate-proofed infrastructure suggest that an organizational shift is occurring. This shift will ultimately improve USAID’s ability to help countries adapt to climate change. At the same time, another important function of CRM is to identify climate risks to the activities themselves to ensure that USAID’s investments are resilient to climate change impacts and variability.

Whereas there is clear evidence that climate change measures are being incorporated into activity design and implementation in all four case study countries, there is less evidence that CRM is contributing significantly to enhancing USAID activities’ resilience. To assess this question further, the evaluation team examined activity documents from the four case study missions to determine the extent to which the CRM policy has contributed to managing and avoiding climate risks in activity implementation (Table 2). There were 146 CRM measures listed in 17 different IEEs. The team concluded that 35 of these measures (24 percent) may be tied to the CRM policy.

Of the remaining 111 measures, the team first identified 15 cases of noncommittal responses to climate risks (e.g., “work with implementing partner and community to fully assess risks in the target communities”), where the IEEs identified risks but did not list any specific CRM measures.¹⁰ Second, the evaluation team made a conceptual distinction between active and passive CRM. The team defined active CRM as identifiable actions taken to address specific climate-related hazards or impacts identified in IEEs (e.g., “ensure that local leaders are equipped with information on climate change and its variability and that climate change is factored into village development plans”). Passive CRM refers to broader processes that increase resilience and adaptive capacity and therefore indirectly address the risks identified in the IEEs. Examples of passive CRM include “promote livelihood diversification to hedge against climate risks” and “support forest conservation activities to maintain carbon stocks and ecological function in the face of climate change.” The team concluded that the nine cases with passive CRM are not attributable to the CRM policy. Third, the team identified prescribed actions that would likely have been included in the activity even in the absence of the CRM policy. Many of the activities clearly address aspects of climate change, but in some cases climate change considerations were included because the activity was supported partially by GCC funding. In 86 cases, the evaluation team judged the prescribed CRM measure to be part of standard good design and best practice (e.g., “promote perma-gardens and energy-efficient cooking stoves;” “storage logistics and disposal of public health commodities/equipment should avoid landslide-exposed location”).

TABLE 2: CRM MEASURES DESCRIBED IN ACTIVITY IEEs, BY MISSION

Mission	Total CRM Measures	Noncommittal Responses	Passive CRM	Due to Good Design	Potentially Traceable to CRM Policy
Cambodia	27	15	1	7	4
Haiti	29	0	0	12	17
Madagascar	21	0	0	18	3
Uganda	69	0	8	49	11
TOTAL	146	15	9	86	35

¹⁰ As discussed in the Cambodia case study (Annex A), 6 of 15 noncommittal responses translated into a total of 4 discrete actions in the EMMPs.

Thus, the remaining 35 cases (24 percent) of all CRM measures prescribed in IEEs may be tied to the CRM policy. These findings suggest that although activity design teams are applying the CRM matrix during the design process, in most cases design teams are not identifying additional measures or procedures to address the medium or high risks. In addition, KIIs indicated a clear tendency among technical specialists (e.g., engineers, agronomists) to view integration of climate change considerations and climate risks into activity design as part of best practice, indicating that this would happen regardless of the CRM policy. Examples included using drought-resilient seeds and incorporating projections for rainfall into water and sewerage infrastructure design. Box I provides examples of CRM actions included in IEEs and EMMPs from activities examined for the evaluation's four case studies. Each action is somewhat ambiguous about the specific CRM measures to be applied. In each case, there are relatively simple opportunities to improve the recommended actions.

Box I: Case Study Insights – Examples of CRM Actions and Opportunities for Improvement

Use drip irrigation systems and water management plans to minimize water use for watering. The use of drip irrigation is an effective best practice for conserving water resources. Drip irrigation is a common feature of agriculture activities, and the evaluation team was not able to identify any instances in which drip irrigation was introduced as a response to specific climate risks. Drip irrigation is a good first step, but CRM could also involve active monitoring of precipitation and water availability, especially in areas where these are variable and/or subject to extremes. In this case, there is an opportunity to explicitly mention the incorporation of climate information and context indicators into the water management plans.

Work with line government agencies to fully assess the risks in target provinces. Assisting host-government agencies and other stakeholders is an excellent way to transfer knowledge and best practices for effectively managing climate risks and to improve the sustainability of USAID's investments. However, details could be included about coordination efforts with government partners, thus providing structure for the implementation of CRM and making it easier to track results. This could include agreeing on specific assessment techniques, identifying data sources, and assigning lead agencies for conducting assessments for the activity in question. This approach could establish standard operating procedures within the host government that would persist even after the end of the activity.

Building local adaptive capacity so communities can respond to climate change. Increasing adaptive capacity is one of the most effective ways to reduce climate vulnerabilities and risks. However, there are many aspects of adaptive capacity, so general references to adaptive capacity are not helpful in developing focused CRM measures. This measure could be improved by linking specific aspects of adaptive capacity to the climate risks that were identified for the activity, and then identifying specific actions to improve it.

Minimize risks of bank erosion from increased flooding on fishponds. This CRM management action identifies a potential impact from flooding, but does not describe specific actions to be taken. There is an opportunity to incorporate best practices for minimizing erosion, which would likely improve the outcomes of the activity while providing a demonstration effect for local communities. There is also an opportunity to develop a contingency plan to address the impacts if an extreme flooding event results in erosion and contamination of the fishpond. This would also provide a demonstration effect to communities as to how to respond to emerging climate risks.

Conclusion 1.2: It is difficult to determine how activities with moderate to high climate risks are adaptively managing measures to address climate risks because CRM stakeholders conflate adaptive management with normal crisis management.

The evaluation team relied primarily on KIs from the four case study missions to determine whether climate risks are being adaptively managed and to what extent this could be attributed to the CRM policy. Twelve of the 17 IPs interviewed (71 percent) mentioned observed and expected climate impacts relevant to their activities. These impacts ranged from increased human-wildlife conflict to extreme events (e.g., flooding, droughts) to an increased prevalence of vector-borne diseases due to changing temperature and precipitation conditions. When asked to describe examples of adaptive management in the context of CRM, mission staff from Cambodia, Haiti, and Uganda all described instances in which heavy rainfall, flooding, temperature extremes, and droughts had affected activity implementation and explained how USAID personnel and IPs responded to these events.¹¹

However, it is difficult to link these examples to the CRM policy because activities were not actively monitoring context indicators to track climate risks (e.g., rainfall totals or temperature trends); rather, they responded to extreme conditions in an ad hoc manner as they happened.¹² Thus, in most cases, the management response to hydrometeorological shocks and stresses could be characterized as normal crisis management.

The team therefore attempted to determine whether activity management approaches are improving their capacity to deal with emerging climate risks. From this perspective, CRM stakeholders are clearly recognizing that floods, droughts, and other extreme events are important factors that can influence activity effectiveness. With few exceptions,¹³ survey respondents and interviewees indicated that climate change poses a significant threat to USAID operations in general and to their sectors and activities more specifically. These findings are more fully explored in the discussion of EQ4.

Conclusion 1.3: CRM stakeholders identified several common factors that enable effective CRM implementation and adaptive management of moderate and high risks. The presence of these factors in activity design, procurement, and monitoring is particularly important for effective CRM. However, CRM is not universally present in design and monitoring documents, supported by Agency leadership or owned by those responsible (e.g., A/CORs), and is often driven by individual initiative and commitment to CRM on the part of CILs and A/CORs.

Several factors may enable CRM stakeholders' ability to manage climate risks, such as approaches used for undertaking climate risk assessments; processes, tools, or documents used to facilitate implementation and adaptive management; defined roles and responsibilities within USAID and with IPs; resources and training; and leadership.¹⁴ The evaluation team assessed these factors to better understand how they help or hinder CRM stakeholders' ability to do CRM across the program cycle.

Incorporating CRM Language into Activity Design and Procurement Processes

All data sources indicated that CRM stakeholders have broadly similar perceptions about the factors that enable managing climate risks. Ninety percent of survey respondents (n=162) said that incorporating CRM into EMMPs is an "important" or "very important" factor contributing to effectively integrating CRM measures into activity implementation (Figure 2). This finding was confirmed through the KIs with USAID staff. Most A/CORs and CILs also commented on the importance of incorporating

¹¹ Specific responses are described in the case studies (Annex A).

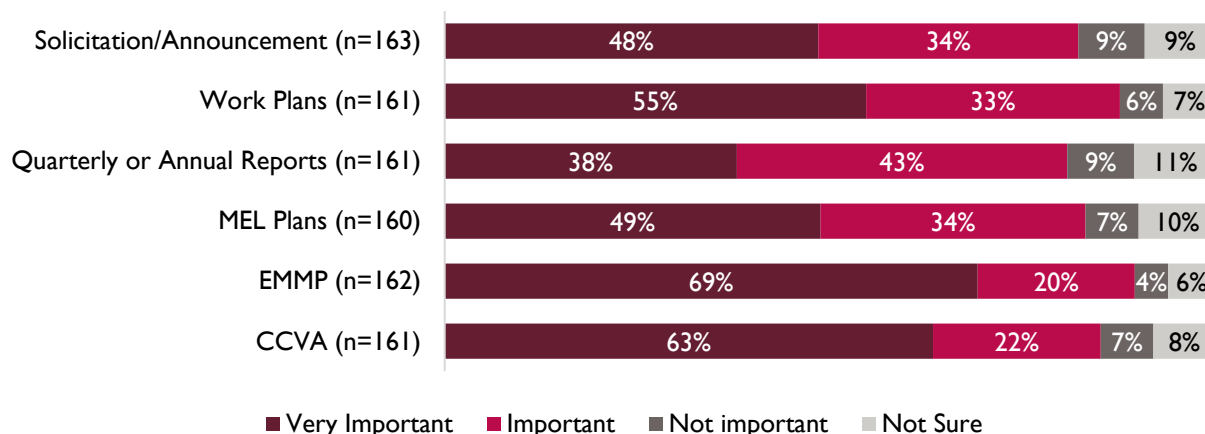
¹² The exceptions to this statement are the Food for Peace (FFP) and ICAN activities in Uganda.

¹³ A total of four respondents (two survey responses and two KIs) indicated that CRM is not relevant to their sector/activity.

¹⁴ See Annex C for an explanation of how this evaluation defined "enabling conditions."

CRM language into solicitations; IPs agreed, explaining that if CRM language and requirements are incorporated clearly into solicitations, applicants will build CRM into their proposals. This finding is supported by the survey: 82 percent of respondents (n=163) rated the inclusion of CRM language in solicitations as “important” or “very important.” Four IPs referred explicitly to the importance of including CRM staffing details in solicitations.

FIGURE 2: THE IMPORTANCE OF VARIOUS DOCUMENTS IN SUPPORTING EFFECTIVE CRM POLICY IMPLEMENTATION FOR ACTIVITIES



Case study interviewees also emphasized the importance of including specific CRM language and requirements in agreements, explaining that this provides leverage for A/CORs to require that IPs incorporate specific CRM measures in activity implementation. IPs confirmed this finding, stating that if specific CRM measures are included in the agreement they will carry them out.

Six USAID staff indicated in an open-ended survey question that procurement teams need to be able to anticipate and incorporate costs associated with CRM into contracts. In addition, one interviewee explained that procurement teams sometimes do not understand the importance of including budget space for CRM for projects/activities that are less explicitly linked to climate change and that this is a stumbling block to providing adequate budgetary resources for CRM in implementation.

“We are contractors and USAID is the client. We do what the client wants us to do; if it is in the agreement, we know they want us to do it.”
- IP

Early Timing of CRM Assessment

Survey responses and KIIs with USAID staff revealed that the timing of CRM analysis is another important enabling factor. These respondents emphasized the importance of conducting risk analyses at an early stage so recommendations can be effectively incorporated into the design process, particularly during the development of the logic model. Respondents explicitly indicated that CRM analysis is far less effective when conducted after the activity design process because it is then more difficult to ensure that CRM considerations are included in the procurement process and that budget requirements for CRM implementation are included in the overall activity budget.

The Importance of Monitoring

Survey results also indicated the importance of incorporating CRM into MEL plans and reporting. Interviews with mission CILs and A/CORs from the four case study countries confirmed that effective

monitoring procedures are important, but several of these informants explained that separate indicators and monitoring procedures external to AMELPs and more aligned with environmental compliance procedures would be more effective. The environmental mitigation and monitoring reports (EMMRs)¹⁵ requested by some activities are a potentially useful tool for monitoring climate risks. However, each A/COR has discretion as to whether EMMRs are requested, and A/CORs need to be explicit about incorporating CRM into these EMMRs.

Though evidence is limited to anecdotal examples, a significant factor contributing to current CRM monitoring appears to be innovation and initiative at the mission level. For example, some missions have created CRM monitoring templates (e.g., Madagascar) or have integrated CRM into their established systems for monitoring environmental compliance (e.g., Colombia). Notably, three A/COR interviewees in different missions told the team they planned on making a more concerted effort to monitor CRM as a result of the interview.

Signaling Prioritization by Mission Leadership

Twenty-six survey respondents and eight KIs indicated that a common enabling factor is signaling from mission leadership that CRM is a priority. When CRM is not prioritized by mission leadership, the CIL and A/CORs may not be empowered and CRM can easily be neglected due to the many other tasks and requirements that need to be completed. Signaling that CRM is a priority can be done through formal CRM procedures established at the bureau and mission levels, including mission orders; formalized MEL procedures and templates; and mandatory reporting for A/CORs and IPs. Mission leadership can also emphasize the importance of incorporating CRM into activity design and implementation. In addition, mission leadership can ensure that A/CORs and other staff are aware of the intended function of CILs to provide support and serve as information resources, rather than as designees to conduct all CRM-related tasks.

Other Enabling Factors

Other common enabling factors gleaned from the KIs and open-ended questions in the survey included adequate training and competency with tools; a common understanding of the policy's relevance and importance and the roles and responsibilities for its implementation; the presence of an effective CIL and empowered A/CORs; and adequate staffing, both within USAID and among IPs. These enabling factors are also fully explored in the discussion for EQ3 and EQ4.

The evaluation also identified external enabling factors related more directly to the host country's context and conditions. These factors included the host country's overall vulnerability to climate change and commitment to address climate change.

Conclusion 1.4: Stakeholders identified limited USAID staff time and bandwidth, lack of appropriate data and information, perceived lack of prioritization of CRM, and lack of in-house expertise among IPs as common barriers to effective CRM. However, stakeholders do not view these barriers as insurmountable.

Limited USAID Staff Time and Bandwidth

The most common barrier USAID staff cited to carrying out CRM is a lack of time or bandwidth due to other responsibilities. Forty percent of survey respondents indicated that staff do not have adequate time to implement the CRM policy due to other responsibilities. Some respondents noted they have not

¹⁵ EMMRs are required for USAID-funded activities when conditions are imposed on at least one activity component. EMMRs ensure that ADS 204.3.3 requirements for reporting on environmental compliance are met and are used to report on the status of mitigation and monitoring in accordance with IEE requirements over the preceding activity implementation period.

even had time to read the CRM policy itself. Respondents seemed to refer to a lack of time or bandwidth with respect to learning about CRM and familiarizing themselves with the tools and resources. Forty percent of non-CIL staff indicated that there was not sufficient understanding or awareness of the CRM policy in their mission or bureau. Furthermore, many A/CORs described feeling overworked and overwhelmed so it was difficult for them to find the time to better understand the different aspects of the CRM policy.

Lack of Data and Information

The second most commonly identified barrier among USAID staff and IPs is the lack of relevant and/or appropriate data and information. Many stakeholders stated they do not have the appropriate evidence base to inform CRM processes and to identify climate risks to an activity. For example, they cited a lack of subnational data, outdated or nonexistent sector-specific CRM guidance, and lack of climate forecasts. In some cases, there may simply be a lack of awareness of what resources and data are available, but in general stakeholders would like more empirical and localized data to aid in evidence-based approaches to CRM. Forty-one of 168 survey respondents (25 percent) indicated that their mission or bureau could implement the CRM policy more effectively if there were better access to data and information on climate risks and effective risk management measures. Thirty-one percent of survey respondents (n=168) felt they could implement the CRM policy more effectively if there were better tools, resources, and technical support. These findings are more fully explored under EQ4.

Perceived Lack of Prioritization of CRM among USAID Staff

Other commonly identified barriers among USAID interviewees included the perception of CRM as just another box to check rather than something that adds value to projects and activities (25 responses) and general lack of commitment to CRM among USAID staff (8 responses). Some stakeholders felt that a lack of clarity about the process and requirements (e.g., specific reporting requirements and how to monitor CRM) and a general lack of guidance on specific procedures signal that CRM is not an Agency priority. Seventy percent of USAID interviewees believed that the current policy and its related processes are at best a work in progress, which may be undermining perceptions of CRM as an Agency priority.

Lack of In-House Expertise Among IPs

In addition to a lack of data to inform the CRM process, IP interviewees cited a lack of in-house expertise to enable effective CRM implementation. Some IPs have worked with USAID to establish in-house expertise to support individual activities, and IPs feel empowered once they have someone who can focus on monitoring and documentation of CRM and environmental compliance specifically. In addition, 32 percent of USAID survey respondents (n=168) indicated that their mission or bureau staff (e.g., AOR/CORs) find that the IPs for their activities lack the knowledge and capacity to properly implement the CRM provisions incorporated in the activity design.

Conclusion 1.5: In general, USAID staff and IPs do not see CRM as an additional or unwelcome burden on their time, and it does not compromise their ability to perform other job functions. However, some IPs reported difficulties with staffing and reporting requirements that may affect activity implementation.

The vast majority of USAID interviewees (22 of 24 KIIs) understood the reasoning behind the CRM policy and did not see it as an additional burden or undue use of their time.¹⁶ These respondents

¹⁶ This may seem to conflict with the earlier finding that many USAID staff reported not having the time to address CRM as a primary barrier. The evaluation team speculates that the time/bandwidth issue refers primarily to learning about CRM and

acknowledged some growing pains that would be inherent to any new requirement but indicated that these growing pains have eased over time as staff learn by doing and become more adept at managing and supporting the CRM process. One respondent indicated that CRM is not a burden because it simply is not done, and another indicated that overcoming the perception of some Agency staff that CRM is a burden will be a perennial challenge.

Of the 6 (out of 17) IP interviewees who expressed views on whether CRM is a burden on them or their organizations, 4 indicated that it is not a burden. Each of these respondents had prior knowledge of the CRM process and indicated in their interviews that they are reporting on climate risks for their activities. Although all IPs understood the CRM policy's relevance and importance, several described difficulties in recruiting professionals with a background or expertise in climate change and managing climate risks, and all IPs wanted additional training for staff on CRM and environmental compliance in general. In two cases, IPs reported delays to activities because of CRM documentation requirements (though they seemed to be referring to environmental compliance and CRM interchangeably). A thorough discussion of IP perceptions can be found in the case studies in Annex A.

EQ2: In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?

Conclusion 2.1: If understood as part of a longer-term process of institutional behavior change, the CRM policy has made significant progress in raising awareness among USAID staff and IPs about the potential threats from climate change to Agency operations. However, data are insufficient to assess CRM's effects on development outcomes.

Due to COVID-19-related cancellations of field visits to two of the case study countries and movement restrictions that prohibited the convening of beneficiaries remotely, the evaluation team could not fully answer this EQ through direct interviews with beneficiaries and host-country officials. Instead, the team relied on USAID staff and IP perceptions of behavior change and institutional learning among beneficiaries.

Box 2: Case Study Insights – Examples of Perceived Impacts on Beneficiaries

- Domestic contractors learning through doing to incorporate climate change into small-scale infrastructure projects (Haiti)
- Counterpart government officials seeing tangible examples of integration of climate change analyses into the design of infrastructure (Haiti)
- Domestic NGOs learning to incorporate climate change considerations into the design and implementation of transition awards and institutionalizing best-practices (Haiti, Cambodia)
- Climate-smart agriculture increasing the resilience of rural livelihoods (Uganda)

In most cases, it is simply too soon to determine the CRM policy's impact on beneficiaries vis-à-vis resilient development, and benefits are largely anticipated rather than verifiable. Long-term horizons on certain interventions or sectors, such as community development plans or forestry projects, make it challenging to gauge the policy's efficacy or the extent to which it is truly increasing resilience to shocks and stresses. Respondents across data sources also observed that because the policy has not yet been

familiarizing oneself with the tools and resources. Furthermore, most A/CORs described feeling overworked and overwhelmed. Thus, the evaluation team further speculates that a general lack of oversight with respect to CRM compliance creates space for some A/CORs to lessen their focus on CRM. Therefore, the evaluation team reasons that with greater accountability, A/CORs would dedicate more of their time to complying with the CRM policy, perhaps at the expense of some other aspect of their job. The findings suggest that A/CORs would not resent this refocusing on CRM.

implemented such that the application of the policy flows consistently and uniformly across and between program cycle stages, impacts on development results have been limited thus far.

The survey also generated several open-ended responses detailing the CRM policy's impacts on activity beneficiaries. Four USAID respondents perceived that the policy has raised awareness and gotten climate risks on the radar as part of long-term behavior change processes. Six USAID respondents indicated that the policy has facilitated the transfer of CRM practices to IPs, beneficiaries, and host-country governments. Four respondents stated that the CRM policy has contributed to community resilience, citing examples related to natural resource management, climate-proofing construction, and climate-smart agriculture. Box 2 highlights examples from the case studies. The case studies in Annex A provide further details on the perceived impacts on beneficiaries.

“Small positive impacts, aggregate, lead to large positive impact [sic]. Beneficiaries have a multiplying factor in their communities. Just discussing the topic and increasing awareness creates [sic] steps to move forward and increase resilience.”

- A/COR in Latin America

Conclusion 2.2: There have been few notable unintended consequences as a result of the CRM policy.

Five of 14 interviewees indicated outright that the CRM policy has had no unanticipated consequences. Nine respondents across all KII who did cite unanticipated consequences indicated that these were largely positive. Some noted that the CRM policy has revealed champions for climate change integration across USAID bureaus and has enabled them to form an informal professional network. Other respondents observed that CRM grew in importance as a conduit for mainstreaming climate change considerations into USAID operations and for building resilience in the face of changing programming and funding priorities that have deemphasized explicit support for stand-alone/dedicated climate change adaptation.

Interviews and survey responses suggest that the CRM policy rollout provided an opportunity for USAID's foreign service nationals to demonstrate ownership over the policy, take a lead role in innovation, and take a role in implementation. One regional bureau CIL summarized some of these unexpected results of the CRM policy as follows:

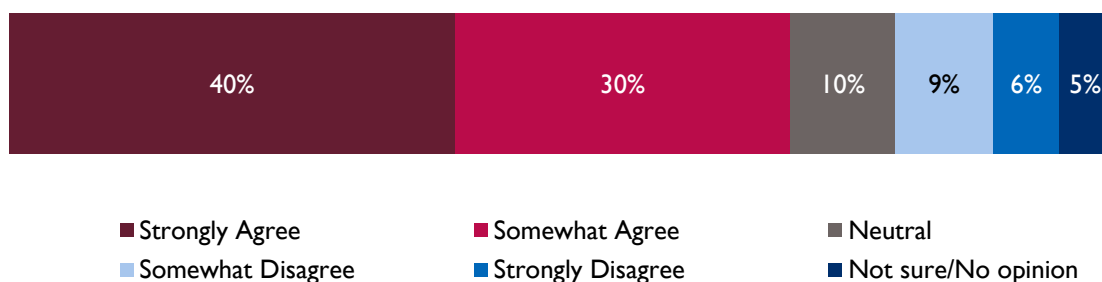
“I think a lot of the [foreign service national] staff, that I tend to work with closely, recognize that the problem [of climate change] did not go away. Whatever is happening [to funding priorities] in Washington is not as relevant to their desire to achieve development outcomes in their country. So they found innovative ways to really incorporate addressing some of the climate risks into their activity designs. I think that has been a positive outcome over the loss of funds. It has not filled all the gap. There are still some very necessary parts of addressing climate risks that cannot be done without come dedicated funds. But I have been pleasantly surprised by the ability of activity design teams to find ways of achieving some adaptive co-benefits in addressing climate risks as part of their designs for the different activities.”

EQ3: What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?

Conclusion 3.1: Most respondents were optimistic or positive about the CRM policy’s current and/or potential effectiveness as a means to support climate-resilient development.

Most survey respondents agreed that CRM was an effective means of supporting climate-resilient development – 40 percent strongly agreed and 30 percent somewhat agreed (Figure 3).

FIGURE 3: CRM IS AN EFFECTIVE MEANS OF SUPPORTING CLIMATE RESILIENT DEVELOPMENT (N=168)



All respondents (n=22) were generally positive about this statement as well, but 64 percent expressed some ambivalence, either because they say it is still too early to tell, they just do not know whether CRM will result in climate-resilient development, or they doubted it would have an impact. Some interviewees thought that the CRM policy was being implemented effectively in terms of people following the requirements. Other interviewees thought that the policy was generally effective in managing risks, although this depends on the specific sectors (e.g., health, agriculture) and human capacity. These two aspects of the CRM policy are understood to be starting points toward supporting climate-resilient development but that there is more work to be done to achieve that goal.

Conclusion 3.2: A key strength of the CRM policy is the support provided by E3/GCC. Having CRM as a formal requirement encourages people to take it seriously.

Forty-four percent of interviewees (n=81) identified some CRM policy strengths. The most commonly cited strength was the support E3/GCC’s climate integration team provides, including capacity development support; support for integrating CRM into CDCSs, PADs, and activities; and disseminating the policy requirements. Other interviewees cited the training and guidance that has accompanied the policy’s rollout. Seven interviewees indicated that elevating CRM to a policy emphasizes its importance and that its formalization in the ADS is a strength. Five interviewees said the CRM process has high demonstration value for IPs and host governments.¹⁷

¹⁷ “Demonstration value” refers to instances in which government officials or other in-country stakeholders are more likely to adopt CRM-related practices as a result of seeing them demonstrated in USAID activities.

Conclusion 3.3: In most cases, CRM is not effectively integrated into the entire program cycle, and the process generally stalls after the design phase.

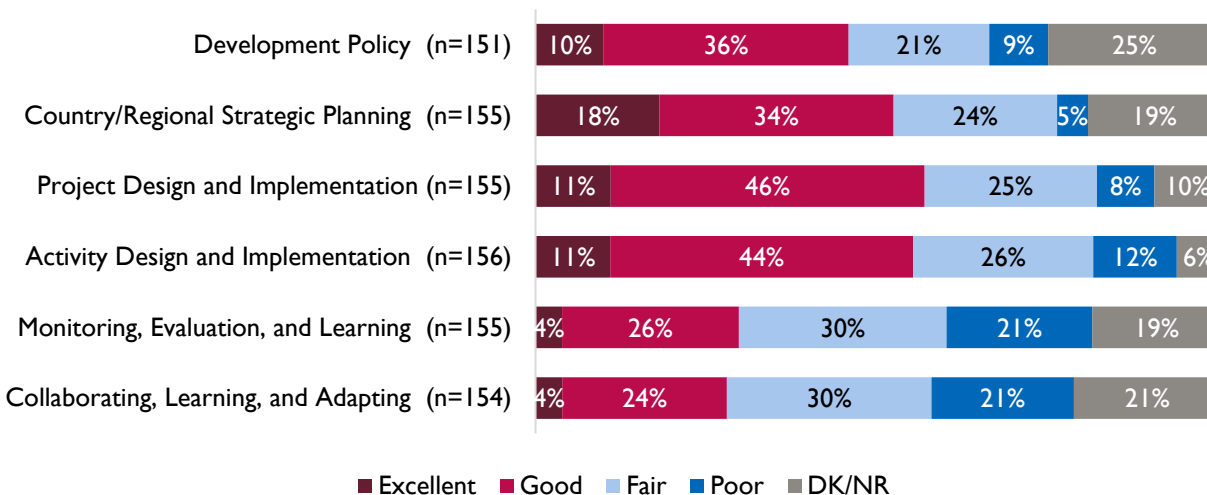
The document review; KIs with CILs, mission staff, and IPs; and survey results enabled the evaluation team to determine the extent to which CRM flows through the program cycle, as intended by the CRM policy, and how the program cycle, in turn, supports CRM.

Regional/Country Strategic Planning: The requirement to incorporate CRM into R/CDCSs took effect in 2015, and because of the normal cycle of revising and updating these documents, not all missions have had the opportunity to integrate CRM into their strategies. Of the four case study countries, only Uganda has updated its CDCS since 2015, so it is the one of the four that has incorporated CRM into its CDCS. Slightly more than half of survey respondents (n=155) indicated that CRM integration into the CDCS in their mission is excellent or good (Figure 4). Of the seven survey respondents who elaborated on the integration of CRM into the CDCS for their missions, four explicitly mentioned that the CIL was instrumental in the process. Regional CILs provided technical expertise to identify entry points for CRM in CDCSs, while mission CILs helped highlight the importance of CRM integration into the CDCS. Mission CILs also gathered and analyzed relevant information, including host government policies and strategies related to climate change, as well as analyses, vulnerability assessments, and other relevant documents that were used to inform the CDCS.

Project/Activity Design and Implementation: Fifty-five to 57 percent of survey respondents perceive that CRM integration for project/activity design and implementation was “excellent” or “good” (Figure 4). USAID’s overall compliance figures also indicate that CRM is being addressed in design processes, particularly that new projects and activities comply with the requirement to conduct a climate risk assessment and that solicitations are increasingly integrating climate change. However, as discussed in detail under EQI, while the Agency has made significant progress in mainstreaming climate change considerations into certain sectors, more attention is needed during activity design to ensure adequate identification of CRM measures that can be implemented and adaptively managed to avoid and mitigate climate risks during activity implementation. Thus, the integration of CRM stalls after the design process. Annex A provides further information about CRM implementation at the activity level.

MEL: The perceived effectiveness of CRM integration declines for MEL (only 30 percent of survey respondents rated it as excellent or good) and for collaborating, learning, and adapting (only 28 percent of survey respondents rated it as excellent or good). As discussed further in the following section and the case studies (Annex A), interviewees widely perceived the lack of CRM integration into monitoring to be one of the most significant shortcomings of CRM implementation.

FIGURE 4: CRM POLICY INTEGRATION INTO EACH PHASE OF THE PROGRAM CYCLE IN YOUR MISSION/BUREAU



According to USAID’s CRM MEL and knowledge management guide for USAID staff and IPs,¹⁸ “monitoring, evaluation, and learning processes should reflect CRM as appropriate to ensure climate risks are adaptively managed and that learning is captured or shared.” This guide further describes how performance indicators, context indicators, and other monitoring approaches can be used to incorporate CRM into MEL processes. Through the document review of activities with moderate to high risks in the four case study countries, the evaluation team assessed the extent to which CRM measures identified in IEEs and EMMPs have been incorporated into AMELPs. The team searched the 16 AMELPs for a basket of keywords related to CRM.¹⁹ The team then reviewed indicators and learning sections to identify specific elements that could be tied to CRM. Table 3 provides the results of this analysis.

TABLE 3: TRACKING CRM INTEGRATION INTO ACTIVITY MEL PLANS (N=16)

Number of AMELPs that include:	N	%
Reference(s) to climate change	7	44%
Specific hazards from IEEs and EMMPs	3	19%
CRM measures from EMMPs	2	13%
Performance indicators related to climate change	6	38%
Context indicators related to climate change	2	13%
Other indicator(s) related to climate change	3	19%
Climate change-related question/logic in learning section	3	19%

The evaluation team found that 7 of the 16 AMELPs (44 percent) made any reference to climate change. Three AMELPs (19 percent) referenced specific hazards (e.g., drought, flooding, storms) that appeared in IEEs and EMMPs. Two AMELPs (13 percent) explicitly mentioned CRM measures from the EMMPs. Six AMELPs (38 percent) included a performance indicator that mentioned some aspect of climate change.

¹⁸ Available at [ClimateLinks](#).

¹⁹ Keywords used were “climate”; “weather”; “temperature”; “EMMP”; “IEE”; “environmental”; “drought”; “flood”; “cyclone”; “hurricane”; “storm”; “extreme”; “precipitation”; “landslide”; “season”; “risk”; “rain”; and “timing”.

Three of these six AMELPs used indicators from the GCC Standard Indicator Handbook;²⁰ the remaining three used standard indicators from other references. In most cases, CRM measures listed in EMMPs were not linked to specific performance indicators in the AMELPs. Two AMELPs (13 percent) included context indicators, while three AMELPs (19 percent) used some other type of indicator. Lastly, three AMELPs (19 percent) included some climate change-related question or topic in the learning section. Box 3 highlights examples of CRM in AMELPs from the case studies.

Box 3: Case Study Insights – Examples of CRM in AMELPs

Performance indicators are used to measure progress against intended results. CRM-relevant performance indicators tend to be drawn from USAID indicator handbooks (e.g., Feed the Future; Global Climate Change). Performance indicators can be used to track CRM measures that appear in EMMPs. Examples included:

- Number of hectares subject to improved management practices or technologies with the assistance of the USG (EG.3.2-25): This indicator tracks climate-smart agriculture uptake.
- Number of individuals in the farming system who have implemented improved management practices or technologies with assistance of the USG (EG.3.2-24): This indicator is also used to track climate-smart agriculture.
- Number of people using climate information or implementing risk reducing actions to improve resilience to climate change as supported by USG assistance (EG.11-6): This indicator is used to track dissemination of weather and climate information to beneficiaries.
- Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance (EG.10.2-2): This indicator is used to track the incorporation of climate information into conservation area management plans.

Context indicators are used to monitor factors outside USAID’s control that can affect the achievement of expected results. Context indicators can be particularly useful for CRM to track climate hazards that could affect the activity and/or its benefit stream. Examples of context indicators included:

- Seasonal cyclone forecasts used to monitor the number of anticipated cyclones that may cause damage to warehouses where activity supplies were stored.
- Rainy season precipitation outlooks used to monitor rainfall conditions that could cause flooding, which would hinder the transport of health supplies to beneficiaries. This information was used to develop contingency plans for isolated areas.

Other monitoring approaches include informal monitoring, interviews, surveys, and other often ad hoc techniques. For example, a MEL document indicated that the activity team would gather information from beneficiaries about seasonal agricultural outcomes, while another noted that beneficiary-based surveys would be used to determine the number of people using climate information.

Learning questions can be particularly useful when rolling out new policies and procedures. Examples included:

- What are the roles community fish reserves can play in increasing community resilience to climate change impacts by promoting climate-/smart agriculture practices?

²⁰ The most recent version can be found at [ClimateLinks](#); MEL documents for activities designed prior to 2019 include indicators from the 2016 edition.

The evaluation team noted that in a large number of cases there were opportunities to develop performance monitoring indicators in the AMELPs for CRM actions prescribed by EMMPs. For example, in cases where hazards were connected to the siting of facilities built by the activities (e.g., landslides threatening new clinics), the implementation team could have utilized a screening checklist for new construction and then monitored the use of the checklist. In many other cases, “sentinel” context indicators could have been utilized.²¹

The document review also revealed one case in which the climate risk assessment could have better reflected the risks. The first outcome of the Rice Fields Fisheries II activity in Cambodia (see Annex A for details) included the assumption that “abnormal season rainfall patterns and natural disasters do not skew the patterns of fisheries and agriculture yields too much during the project period.” However, during the field visit, the evaluation team learned that abnormal rainfall patterns had negatively impacted a number of activity sites. At the time of the visit, the A/COR and the IP were working to address the issue.

Conclusion 3.4: USAID staff and IPs considered the inadequate incorporation of CRM into monitoring process and lack of accountability to be major challenges. These challenges make it difficult to track CRM through the program cycle.

Key informants and survey respondents identified inadequate incorporation of CRM into monitoring processes as a major weakness in integrating CRM into activity implementation and an area where improvements are needed. Three-quarters of survey respondents thought the process for integrating the CRM policy in MEL was not clearly defined and/or needed additional guidance. In most cases, respondents described the monitoring of climate risks and measures as poor to nonexistent and not standardized within (or across) missions. This finding is supported by the review of activity documents for the case studies, which revealed that in most cases, there was no mention of climate risks or CRM measures in quarterly and annual reports. In many cases, CRM measures identified in IEEs were not incorporated into EMMPs or AMELPs, and there appeared to be no documentation of why.

Respondents reported that weaknesses associated with incorporating CRM into monitoring include a lack of standard procedures and guidance for monitoring CRM measures and a general lack of accountability. Fifteen percent of survey respondents used and found useful the guide on CRM MEL and knowledge management. However, more than 50 percent of respondents were not even aware of this guide. ADS 201mal indicates that CRM should be integrated into MEL, so these findings suggest that greater effort is needed to raise awareness about the requirements and to disseminate supporting resources. KILs with MEOs and mission CILs indicated some exceptions in which missions have set up standardized procedures and developed forms, templates, and systems for monitoring and reporting. For example, the Madagascar Mission has developed a specialized template for IPs to use for CRM reporting that tracks measures identified in the EMMP (see the case study in Annex A for details). Though these instances represent the exception rather than the rule, they create the potential for learning and sharing of emerging best practices across missions.

Inadequate integration of CRM monitoring into activity implementation is significant for several reasons. It hinders institutional knowledge management because there is no documentation of what worked and what did not. It also hinders consolidation of best practices that could be shared, replicated, or scaled up. Without CRM monitoring, it is difficult to track long-term results in reducing climate change impacts and ensuring the resilience of investments. Similarly, it is difficult to track behavior change among key stakeholders, especially A/CORs, IPs, and beneficiaries. A lack of monitoring also prevents the creation

²¹ Sentinel indicators are a type of proxy indicator used to measure complex aspects of an activity and its context. In contrast to performance indicators used to measure intended results, sentinel indicators are used to signal changes in the system in which an activity operates, alerting managers of the need for follow-up investigation and analysis.

of an evidence base to demonstrate that climate risks are being considered in activity implementation, which has implications for accountability.

A lack of accountability also emerged as a significant issue across the KIs and survey responses. The evaluation team consistently heard that CRM is not mandatory for IPs if it is not included in the contract between USAID and IPs, and that there is no effective mechanism to enforce CRM policy implementation. Twenty-five USAID staff who responded to the survey also wrote open-ended responses that referred to a general lack of accountability, observing that the absence of mechanisms to compel or enforce meaningful CRM compliance results in some respondents viewing CRM as a “check the box” exercise, as noted elsewhere. Most survey respondents who identified a lack of specific procedures and reporting requirements for CRM policy implementation also stated that this absence leads A/CORs to treat CRM as a formality and contributes to an overall lack of meaningful CRM integration into activity implementation. The case studies in Annex A provide more information on activity-level CRM monitoring.

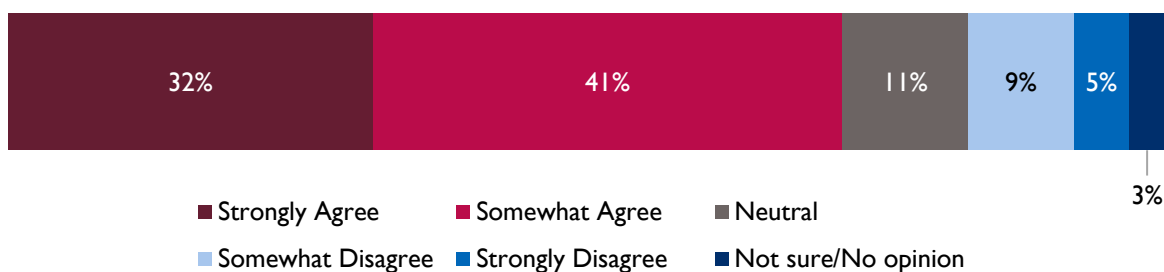
It is important to note that this analysis does not cast blame on A/CORs, but must be understood in the broader context of A/COR duties. By all accounts, A/CORs are frequently overworked and face demanding and complex administrative requirements for advancing an activity from design to procurement and then to implementation. A/CORs typically manage multiple activities and reported that they often do not have adequate time for rigorous monitoring. Some A/CORs described their workloads as being so full that any additional duties require them to spend less time on other tasks. In this context and given the lack of accountability, it is easy to understand how CRM might slip through the cracks. However, it is also clear that there is an initial learning curve associated with CRM, and it can be assumed that once A/CORs and other mission staff are familiar with and can routinize CRM, it becomes more manageable. The time required to learn about CRM and incorporate it into routines could be considered a “barrier to entry” for some stakeholders, and the lack of accountability means there is no incentive to overcome the barrier.

Conclusion 3.5: Overall ownership of the CRM policy by project/activity design teams is mixed; CRM is not effectively mainstreamed into A/CORs workflows so CILs are often left to do work that is the responsibility of A/CORs. Staff felt they have the knowledge to implement CRM, but there is still a widespread lack of clarity about how to move CRM from the design phase into implementation.

Thirteen of the USAID staff surveyed who serve on project or activity design teams indicated that CRM ownership is mixed among those most central to the process. In some cases, missions have fostered CRM champions to give a voice to the topic where none existed. Others expressed a desire for more widespread CRM ownership within the mission, indicating that overreliance on CILs and compartmentalization of CRM tasks results in a lack of knowledge transfer and institutional memory among other staff. One respondent indicated that a lack of CRM ownership is hindering innovation. In general, there is a sense that ownership (and the resulting success of CRM implementation) depends largely on individual A/CORs, as well as the given mission’s portfolio.

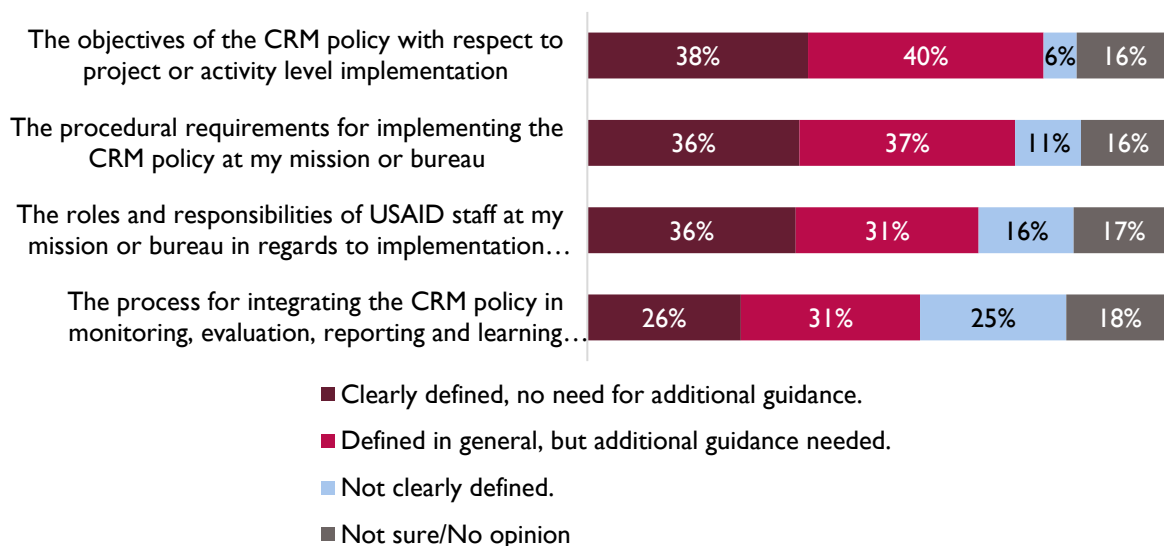
Three-quarters of survey respondents agreed or somewhat agreed with the statement “I have adequate knowledge and resources to implement the CRM policy at the project/activity level” (Figure 5). Seventy percent of survey respondents also agreed or strongly agreed that CRM is an effective way to support climate-resilient development (Figure 3), suggesting relatively high levels of ownership and perceptions of relevance. However, there is still work to be done. Thirty-nine percent of survey respondents also indicated a general lack of understanding or awareness of the CRM policy at their mission or bureau, which poses a barrier to its effective implementation.

FIGURE 5: ADEQUATE KNOWLEDGE TO IMPLEMENT CRM EFFECTIVELY (N=165)



At the same time, although 78 percent of survey respondents reported that the CRM policy on project- or activity-level implementation was clearly defined, more than half of those respondents stated that additional guidance is needed (Figure 6). Similarly, although 74 percent of survey respondents reported that procedural requirements for implementing the CRM policy at missions or bureaus were clearly defined, half of those respondents stated that more guidance is needed. Another area lacking clarity or adequate guidance is that of USAID staff roles and responsibilities for implementing the policy (47 percent).

FIGURE 6: LACK OF CLARITY AND GUIDANCE ON CRM IMPLEMENTATION (N=160)



Conclusion 3.6: Most key informants discussing the relevance of climate change to USAID’s operations and objectives acknowledged that it is having or will soon have a significant impact on the Agency. There is widespread support for the notion that USAID should take proactive measures to address climate change risks.

More than two-thirds of the 27 key informants who discussed the relevance of climate change to USAID programming acknowledged it as directly relevant. The key informants who indicated they do not think CRM is directly relevant generally represented sectors or activities where the linkages with climate change are more tenuous (e.g., nutrition messaging, health) or where interventions are softer (e.g., governance). Interviewees identified benefits of considering climate risks in programming, including improving sustainability of outcomes, adding value and improving overall design, avoiding reputational damage to USAID, and raising awareness of climate change and its impacts.

According to one interviewee,

“The significance is that it has to make us rethink business as usual. None of this work in climate change brings us into truly, in my mind, truly new sectors, but it absolutely forces us to rethink how we do all of our sectors. And that is in part why it’s so challenging, because it touches upon everything... So yeah, to me, that’s the single most important contribution is that it can make our programs more resilient and force us to rethink our assumptions.”

Conclusion 3.7: USAID staff and IPs have many ideas for improving, streamlining, and clarifying the CRM policy to strengthen climate-resilient development. This indicates that there are opportunities to update existing resources and add new ones. Some stakeholders suggested additional materials and improving the visibility of existing materials.

Fifty-five USAID interviewees contributed suggestions for improving the CRM policy to increase understanding, uptake, and effectiveness. The evaluation team presents specific actions based on these findings in the Recommendations section. The most common suggestions respondents identified to improve the CRM policy include:

- Improve/provide more training and knowledge management (18 responses);
- Provide better access to more sector-specific information (13 responses);
- Improve quality and availability of subnational data and information (11 responses);
- Incorporate CRM into monitoring and improve accountability (9 responses);
- Strengthen the CIL’s role (8 responses); and
- Incorporate CRM into solicitations (8 responses)

In addition, some interviewees indicated they were unaware of the resources on ClimateLinks, or that additional outreach could help ensure staff are aware of the existence and application of the CRM tools. These findings are more fully explored in the discussion of EQ4.

On strengthening the CIL’s role, a USAID interviewee noted:

“[The] CIL should be a full-time position in my perspective....If we take this policy seriously, then we have to put necessary staffing against it to give it a better chance of surviving, frankly. I think everybody agree[s] that it’s important. So you’ve won the hearts and minds, which is fabulous. But everybody’s super busy.”

Another USAID interviewee discussed achieving a common understanding and standardization of CRM processes:

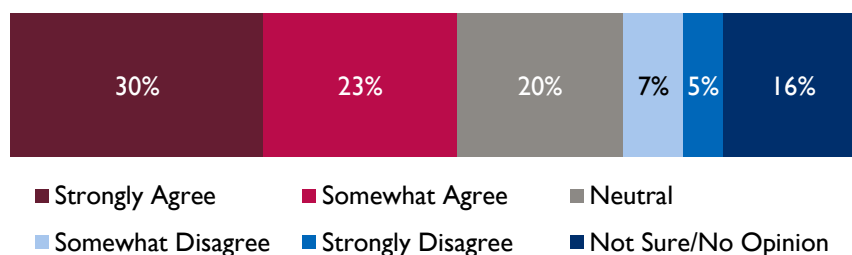
“I would say the issue is enforcement from USAID’s side. I think they are really not doing a good job enforcing the requirements of climate risk management for partners, and I think that’s maybe something that can be emphasized in a uniform way. What kind of message would USAID be passing on to the implementing partners, and what kind of documentation process or resources should we expect from partners? I think that is really not happening uniformly.”

EQ4: What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?

Conclusion 4.1: Bureau and mission CILs are critical for effective CRM implementation, but their limited time and bandwidth hinder the extent to which they can support, facilitate, and promote CRM.

Fifty-three percent of survey respondents (excluding CILs) strongly or somewhat agreed that the assignment of a CIL at their mission or bureau had improved CRM policy implementation (Figure 7).

FIGURE 7: APPOINTMENT OF CIL HAS IMPROVED CRM IMPLEMENTATION (N=128)



The evaluation team interviewed 21 CILs, including 7 from Washington-based regional bureaus, 2 from Washington-based pillar bureaus, and 12 from country missions. The survey captured responses from an additional 40 individuals who self-identified as CILs. CILs are very active in their roles at both the mission and bureau levels, and CILs who participated in interviews and completed the survey expressed widespread confidence and buy-in to CRM. Survey and interview data indicated that CILs are enthusiastic and confident about their capacities to manage climate risks, but most CILs acknowledged other variables influencing success, including support from mission leadership and the perception of CRM as a leadership priority, A/COR commitment to CRM, and IPs' technical capacity. Mission CILs identified their primary functions as participating on design teams (84 percent of interviewees), supporting IPs in implementing CRM (50 percent of interviewees), providing information to the mission more broadly on CRM (50 percent of interviewees), and providing CRM-related document review (42 percent of interviewees).

The one area where mission CILs expressed some concern was in their ability to contribute to updating the CDCS, but findings indicated that one of the bureau CILs' main tasks is to backstop the mission CDCS process. Several interviewees from missions that have updated or are updating their CDCSs to include CRM considerations said they received substantial support from bureau CILs and the E3/GCC climate integration team. Three regional CIL interviewees also said that one of their primary responsibilities is to support country missions in updating their CDCSs, so it is reasonable to conclude there is support available for mission CILs and that the "CIL network" is functioning and adding value.

All A/CORs interviewed for the case studies highly valued the CIL ("he is our go-to guy for everything climate") and indicated that the CIL is a driving force for CRM. All reported having good working relations with the CIL, and all but one said they interacted with the CIL in the activity design and/or implementation phases.²²

²² Some A/CORs were not involved in the design phase of their activities. One A/COR cited their own strong background in climate change as a reason for having fewer interactions with the CIL.

Six of nine Washington-based bureau CILs indicated that supporting missions – by, for example, providing support for strategies and PADs, support for mission CILs, and some activity-level support – is their primary role. Bureau CILs also indicated that they work with IPs, raise awareness on CRM with team leads and other mid- to high-level staff (e.g., mission directors, deputy directors), help missions integrate CRM into their standard operating procedures, and provide trainings to mission staff. Bureau CILs also reported running regional trainings and participating in broader trainings on topics such as environmental compliance where they also discuss CRM. A/CORs have less direct interaction with bureau and regional CILs, but three A/CORs interviewed for the case studies found regional trainings facilitated by regional/bureau CILs useful. Three higher-level mission staff also said that support from regional and bureau CILs was particularly valuable in updating the mission CDCS.

CILs viewed themselves and are viewed by their colleagues as holding others accountable for CRM. As one CIL noted,

“You hold them accountable and responsible and hold yourself accountable and responsible. I mean, just to be perfectly honest, it comes back to what you just asked me. This is our job and I think that many AORs and CORs are just not doing it. The IG [Inspector General] just released this report about activity management. And it was insane. It was talking about the huge percentage of people who don’t even read their quarterly reports of who’ve never done a site visit in the entire lifetime of the activity.”

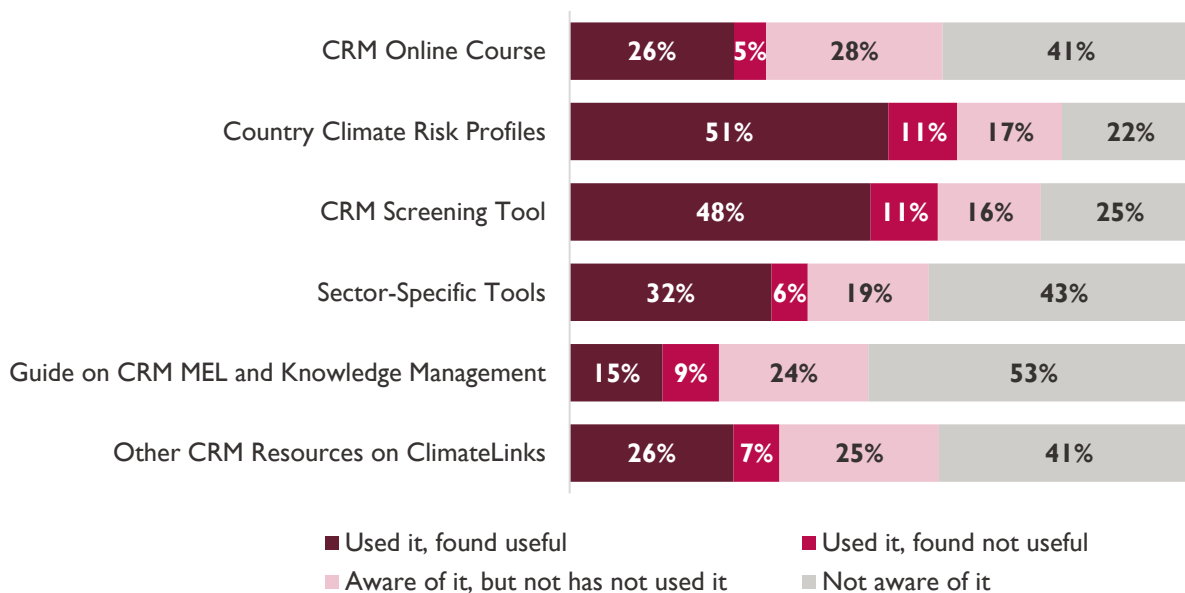
CILs and other respondents mentioned some factors that limit CILs’ ability to support, facilitate, and promote CRM implementation. The most frequently cited limiting factor identified through the KIIs and survey is time, as CILs often serve as A/CORs and/or MEOs. This appears to create a situation in which the individual’s personal drive or commitment to addressing climate change significantly influences their support of CRM implementation. This in turn likely leads to variability in CRM implementation from mission to mission or bureau to bureau, as personal drive and commitment may vary from person to person. Another related issue that emerged from KIIs and that stems from the somewhat informal designation of CIL is that in some cases CILs are selected based on their willingness to take on the responsibility rather than a professional or academic background in climate change and CRM. Therefore, although CILs may be commended for their enthusiasm, some may lack technical skills and background – there is no certification for CILs. Moreover, the lack of formalization in some places leads to a confusion over the CIL’s roles and responsibilities.

Conclusion 4.2: Stakeholders found available CRM tools and resources useful but indicated that a stronger knowledge base is needed.

The evaluation team explored the extent to which current tools and guidance (e.g., CRM MEL guide, ClimateLinks resources) meet stakeholder needs, as well as the extent to which stakeholders feel there is an adequate knowledge base to manage climate risks. Survey and KII respondents acknowledged the usefulness of the tools and resources that have been provided to CRM stakeholders. They especially praised the support provided by the E3/GCC climate integration team.

Around half of survey respondents have used and found useful the country climate risk profiles and CRM screening tool (Figure 8). However, only one-quarter and one-third of survey respondents have used and found useful the CRM online course and the sector-specific tools, respectively. Fifteen percent of survey respondents have used and found useful the guide on CRM MEL and knowledge management. However, more than 50 percent of respondents were not even aware of this guide.

FIGURE 8: SURVEY RESPONDENTS' AWARENESS AND USE OF VARIOUS CRM TOOLS AND RESOURCES (N=157)



Comments from 65 survey responses revealed an overwhelming need for more training opportunities. Respondents requested specific trainings for MEOs, A/CORs, CILs, IPs, and beneficiaries. Suggested training modalities included webinars and online courses, with fewer respondents requesting classroom/in-person trainings. Online courses and a virtual coaching program are available, but uptake has been low.²³ Several respondents suggested that trainings be iterative, with mandatory refresher courses every one or two years. KII data supported this finding.

The evaluation team asked USAID staff, IPs, and beneficiaries what additional data and information would be helpful in incorporating CRM into activity design and implementation. Box 4 includes the main suggestions.

Box 4: Case Study Insights – Suggestions for Additional Data and Information for CRM

Where to find relevant information on climate risks and management measures. IPs were especially keen on having information on specific climate change impacts on their sectors and geographies, as well as information on best-practice CRM approaches. Stakeholders also wanted access to current research on climate change and subnational analyses.

Downscaled climate projections and scenarios. Stakeholders wanted access to downscaled future projections for temperature, precipitation, sea level rise, and other physical processes. In at least one case (Cambodia), interviewees were not aware of existing downscaling products. Interviewees indicated that downscaled projections were needed to incorporate climate risks into the design of infrastructure.

Codes and regulations. IPs also asked for information on government regulations and codes relating to climate-proofing standards for new infrastructure.

²³ Based on usage data not collected by the evaluation team.

Conclusion 4.3: CRM implementation is largely driven by individuals rather than institutionalized approaches, so personal initiative is a key variable in implementing the CRM policy. In some cases, there is the potential for “siloeing” that impedes effective integration of CRM into activity design and implementation.

The evaluation team found that in most cases the willingness of individuals was a key factor in the successful implementation of the CRM policy. This may be in part attributable to a perception among many stakeholders that there is little accountability or enforcement of the CRM policy once the climate risk assessment has been completed, and therefore no effective mechanism for ensuring that CRM is actually taking place. Two A/CORs interviewed for the case studies said they were personally committed to ensuring that CRM measures were effectively implemented, but also felt that many of their colleagues were not fulfilling their CRM responsibilities. Other A/CORs said they do not report on CRM because they are not required to do so. These anecdotal responses suggest that the general lack of accountability and oversight results in individual A/CORs deciding how much effort to put into CRM implementation. CIL interviewees noted:

- “I’m going back to my reply on how the policy is implemented in the field. This is purely of willingness of the personnel or staff.”
- “Whereas you ask a program person to be the one to do the climate risk analysis or the environmental compliance, they are completely disincentivized to do it unless they personally believe in it.”

A key element of this dynamic is the CIL’s role. As noted in Conclusion 4.1, there is widespread appreciation for the CILs. The CIL was also the third most widely cited enabling factor in the survey for successful CRM. However, in some cases the CIL is shouldering the entire burden of CRM implementation (according to four open-ended survey responses and three interviewees). One mission respondent said, “I think I’ll just be very honest on this. I think I probably read [the CRM policy] once or twice, but again, I heavily rely on the team that we have in the mission environmental team.” Another interviewee noted, “quite honestly, really frankly, I think that we would not have paid as much attention to it, nearly as much attention to it without [the CIL].” Several CIL respondents confirmed they have become responsible for most, if not all, CRM tasks, as noted in the following exchange:

Interviewer: “Is it fair to say that [the A/CORs] are just coming directly to you and claiming it as your responsibility?”

CIL: “That’s correct.”

According to E3/GCC, the CIL position was established to create a resource person and point of contact to facilitate CRM in missions and bureaus. CILs are not supposed to assume total responsibility for implementing CRM.²⁴ According to interviewees, however, CILs often complete CRM analyses.²⁵ It is potentially problematic that the entire burden for CRM has shifted to CILs in these cases.²⁶ In practice, there appears to be a fine line between the CIL functioning as a key resource and member of a broader team, and the CIL becoming the default designee for CRM.

Given that the CRM policy is relatively new, it is to be expected that the CIL would have an outsized role in raising awareness, securing buy-in, conducting trainings, and providing technical support, especially in the early years after the rollout. Stakeholders agreed that integrating CRM at the mission level is a gradual but progressive process. However, the evaluation data indicate that this gradual

²⁴ According to the CRM training course available on [ClimateLinks](#), the CIL “is NOT responsible for leading CRM for all activities in the mission in which they work”.

²⁵ Also, according to the CRM training course, assessment teams should include at least three people.

²⁶ Most CILs reported playing a supporting role that is more consistent with the original intent of the position.

process may be stalled in the aforementioned instances in which the CIL is handling all CRM tasks. In the longer term, this may lead to “siloing” CRM in the environmental office and could impede the overall goal of integration, as A/CORs will be discouraged from developing knowledge and skills about CRM. If this happens, CRM is likely to remain an after-the-fact, pro forma process that provides little to no benefits for activity design and implementation. As one CIL noted:

“I would like to see design teams have a lot more input into the matrix and the summary that goes into the IEE. Particularly, what the next steps are for project implementation and also deciding what the risk ratings are. I think design teams need to choose that. I don’t think the climate integration lead is well placed to choose that usually.”

The EQ3 findings on ownership and relevance also support this conclusion. Even though USAID and IP stakeholders felt they understand the CRM policy and its relevance and importance, they also reported that systems are not in place to support its full implementation, which limits what even the most committed and driven individuals can accomplish on their own.

RECOMMENDATIONS

Based on the evaluation’s findings and conclusions, the evaluation team suggests that USAID consider the following recommendations to improve, streamline, and clarify CRM policy implementation in key areas and strengthen the Agency’s ability to achieve climate-resilient development. While these are discrete recommendations based on different areas of interests assessed in the evaluation, they holistically address gaps to strengthen implementation of the CRM policy and support for it.

- **USAID should recognize CRM integration as a longer-term process of organizational change and therefore consider developing an organizational change plan to provide clarity on realistic expectations for each stage in the process of change.** Based on KIIIs with USAID stakeholders, the evaluation team observed a general tension between two potentially conflicting perspectives on CRM. The first perspective is an understanding that effective mainstreaming of climate risks into Agency operations is a gradual process of organizational change that consists of several stages and will require some time to demonstrate results. Some interviewees likened this to the integration of gender considerations into USAID operations, with one describing it as a “generational process.” While Agency-wide adoption of CRM should not take decades, this perspective recognizes that CRM is an investment in the future. The second perspective recognizes the realities of funding cycles, shifting priorities, and the sometimes short-term orientation of USAID’s programming, which often establishes an imperative to demonstrate measurable and observable results on a quick turnaround. This perspective recognizes that budgetary and human resources are scarce and the demand for the work that USAID does is overwhelming, so resources must be allocated in a way that will achieve maximum results.

This tension may create unrealistic and unachievable expectations on the part of some USAID stakeholders with respect to CRM’s short-term impacts. One of the evaluation’s conclusions is that in most cases it is simply too soon to tell if CRM is helping to avoid climate risks, as climate change is a longer-term process. At the same time, the existence of these expectations may put undue pressure on the E3/GCC climate integration team to show immediate results. This could distract the E3/GCC team from focusing on the incremental steps that are necessary in any process of organizational change, thereby undermining the potential for CRM to have a lasting positive impact on USAID’s investments. In short, the evaluation team recommends that USAID temper its expectations for short-term impacts and provide support to the E3/GCC climate integration team

and missions to facilitate an effective process of change. To this end, the evaluation team recommends that the E3/GCC climate integration team develop an organizational change plan.

Though it is beyond the scope of this evaluation to provide extensive details about the contents of such a plan, organizational change management is an established field with best practices, frameworks, and theoretical underpinnings. USAID also has its own resources for change management.²⁷ The evaluation team recommends that the E3/GCC climate integration team establish an informal working group to explore these resources and develop the organizational change plan. The plan may include some of the following features:

- **Framework for organizational change.** There is a range of theoretical and empirical models describing stages in organizational change processes. For example, Kurt Lewin’s classic three-stage model (commonly referred to as “unfreeze—change—refreeze”),²⁸ is frequently used to reify a structure for change processes. Such a framework would disaggregate the overall process of CRM into different stages. For example, a simple model may include three stages: making the case, showing how, and full integration.
- **Mapping specific processes (e.g., awareness raising, establishing buy-in, preparation, capacity building, demonstrate and practice, maintenance and follow-up) to each stage of change.** For each specific process, the E3/GCC climate integration team could identify existing useful tools and methodologies.
- **Establish benchmarks, indicators, and targets for each process.** This element of the plan would include trackable and achievable indicators of change corresponding to the plan’s stages of change. This would enable the E3/GCC climate integration team to demonstrate meaningful results and progress while ensuring that offices and missions are on the right track. Benchmarks, indicators, and targets could be integrated into mission CDCSs and aligned with other mission objectives. These elements would also help the E3/GCC climate integration team define the specific characteristics of “effective CRM.”
- **Identify specific focal sectors.** The KIs clearly demonstrated that entry points for CRM are more obvious for certain sectors (e.g., agriculture, food security) than others such as health. The organizational change management plan could “triage” sectors or activity types, focusing first on those sectors with more obvious entry points. The E3/GCC climate integration team as well as regional- and mission-level CILs could provide targeted support to these sectors for CRM integration. This would likely have a demonstration effect for other sectors.

The organizational change plan would serve as a roadmap and tool for measuring progress, but it would also be useful in raising awareness among Agency leadership about the mission of CRM, and could be used to justify additional funding requests.

- **USAID should explore mechanisms to incentivize and compel stakeholders to improve effective integration of CRM in activity design and implementation. Agency, mission and office leadership should communicate the importance of CRM and emphasize that CRM is the responsibility of design teams and A/CORs, not CILs.** According to E3/GCC interviewees, the CRM policy was designed to be flexible and to empower missions to apply the policy in a manner most consistent with their priorities and functioning. While this approach has contributed to fostering champions and unleashing local innovation and creativity in some cases, in

²⁷ For example, see USAID’s [Change Management Best Practices Guide](https://www.usaid.gov/sites/default/files/documents/1868/597saj.pdf), available at <https://www.usaid.gov/sites/default/files/documents/1868/597saj.pdf>.

²⁸ Lewin, Kurt. 1947. Frontiers in Group Dynamics: Concept, Method and Reality in Social Science; Social Equilibria, and Social Change. *Human Relations*, 1(1): 5-41.

others it has led to CRM being treated as a pro forma “box checking” endeavor with little impact on activity design or implementation. In the evaluation team’s judgement, this is largely due to a lack of oversight, accountability, and quality control over the CRM process. The lack of accountability is also associated with other issues identified in the evaluation, such as lack of time/bandwidth, lack of training, lack of follow-up and monitoring, and if there was greater accountability, A/CORs would place more emphasis on ensuring the effective integration of CRM in activity design and implementation.

Agency, mission, and office leadership should communicate the importance of CRM as a means for supporting climate-resilient development and of design teams and A/CORs in fulfilling their CRM duties. This will allow CILs time to support A/CORs on integrating CRM into statements of work and monitoring processes, areas in which CRM is often neglected. It will also encourage staff to reach out to CILs early in the design process. Given that the CRM policy is relatively new, it is to be expected that the CIL would have an outsized role in raising awareness, securing buy-in, conducting trainings, and providing technical support, especially in the early years after the rollout. However, now is the time to actively pass that responsibility on to others so staff can develop the needed knowledge and skills. CRM will only be effectively integrated into design, implementation, and monitoring when staff responsible for design and implementation own and understand the process and its results.

E3/GCC should look for ways to improve accountability and incentivize CRM integration. With respect to the former, this may involve CILs regularly checking in with A/CORs with respect to CRM measures and context indicators. Creating reminders for A/CORs or a simple tracking tool for CILs to remind them of these check-in points would likely be useful in encouraging greater coordination between the CILs and A/CORs. The evaluation team found that several A/CORs admitted neglecting CRM considerations but said they would be more attentive to CRM as a result of the interview. This suggests that some A/CORs are attentive to CRM if and when it is brought up. On the other hand, incentivizing CRM could include greater recognition of efforts to incorporate CRM into activity design and implementation, or special funds that would support the integration of CRM into activity design and implementation. Although there are significant challenges in allocating additional funds for CRM, USAID should explore options on a pilot basis. In addition it is clear that if mission leadership prioritizes CRM, all mission personnel are more likely to pay attention to it.

The evaluation team expects that if A/CORs are incentivized and feel accountable for CRM, they will likely be motivated to utilize existing training and guidance resources available on ClimateLinks. They would also likely involve other opportunities to improve their knowledge of CRM and devote more time to design effective management approaches and to ensure these approaches are implemented.

- **USAID should strengthen the CILs’ role by formalizing the CIL position and empowering non-CIL staff, particularly the A/COR, to carry out more CRM processes.** CILs have been essential in the CRM policy’s rollout, and their support will continue to be needed as more activities move CRM from design to implementation. The CIL role can be strengthened by ensuring that the CIL is well integrated into the different phases of the program cycle and that CRM does not become compartmentalized within the CIL’s role. Since the CIL’s role is an informal addition to an individual’s existing title and responsibilities, CILs can end up overextended, especially when mission staff become reliant on the CIL to do some or all of their CRM work. This problem could be alleviated by formalizing the CIL position as its own full-time role, particularly at the mission level. Additional staff, particularly A/CORs, would help reduce the CIL’s project management burden. Securing additional staffing is always challenging, so the E3/GCC climate integration team should focus on making the “business case” why professional CILs are necessary.

In the interim, mission orders can be used to clarify the CIL role. CILs' CRM responsibilities should be integrated into their position descriptions and performance appraisals.

Other innovations could be introduced to assist CILs. For example, developing a guidebook for CILs can promote a common understanding of the policy and advance a more standardized approach to CRM. As with sectoral-based approaches to CRM, a community of practice for mission and bureau CILs can provide a sounding board and a conduit for exchange of best practices. Bureaus should also consider identifying office-level or deputy CILs to help the primary CIL manage the additional workload associated with CRM. Establishing a CIL "team" at the mission, rather than having an individual CIL, would also contribute to innovation with respect to applying CRM.

- **E3/GCC should guide and support missions to adopt standard procedures for integrating CRM into project/activity monitoring by building on emerging best practices. CILs should provide more support for incorporating CRM in MEL. Monitoring indicators should be incorporated into AMELPs and/or work plans.** In its current state, monitoring of climate risks and CRM measures is piecemeal and relies heavily on individual A/COR discretion and initiative. There is little evidence of any monitoring of climate risks and CRM measures in activity implementation, and mission staff almost universally said that monitoring should be improved. IPs working on multiple activities in different countries reported significant discrepancies in the monitoring and reporting of climate risks and CRM measures required from activity to activity. This aspect of CRM requires further attention and support from USAID/Washington and mission CILs, A/CORs, program officers and IPs. Ensuring A/CORs take more responsibility for all aspects of CRM will enable CILs to engage more in this area. To the extent possible, E3/GCC should guide and support missions to adopt standard procedures for integrating CRM in project/activity monitoring by building on emerging best practices.
- There are significant opportunities for E3/GCC to strengthen CRM monitoring across the Agency. E3/GCC should prioritize greater dissemination of the MEL guide²⁹ and identify entry points to incorporate this guidebook and its subject matter into general MEL trainings. In addition, E3/GCC should consider developing a compendium of performance and context indicators and suggestions for learning procedures that design teams and IPs could reference. Such a compendium may include performance indicators for common CRM measures, as well as suggested context indicators corresponding to various climate change physical processes and impacts. The World Meteorological Organization (WMO) is currently working to develop a set of climate change monitoring indicators for project design; these indicators could serve as inspiration for a suite of context indicators for USAID.³⁰ Several A/CORs said that specific examples would make it easier to effectively integrate CRM into activity design and implementation. In addition, some IPs said it is difficult to recruit personnel with specific CRM expertise, so additional reference materials are likely to be of use to professionals who are familiar with standard MEL design but not with CRM.

Since there is clear evidence that best practices for monitoring and reporting are emerging at the mission level,³¹ E3/GCC should facilitate sharing templates and other mission-specific innovations across the Agency. This would give other missions a head start on adapting templates and procedures to their own context and may stimulate further local innovation. For example, the

²⁹ Climate Risk Management: Monitoring, Evaluation, Learning and Knowledge Management, available at: <https://www.climatelinks.org/resources/climate-risk-management-monitoring-evaluation-learning-and-knowledge-management>.

³⁰ A brief introduction to WMO's climate rationale indicators can be found at: <https://unfccc.int/sites/default/files/resource/0.9WMOClimate-Rationale.pdf>. The system of indicators is currently in an advanced draft stage.

³¹ The Madagascar Mission, the most notable example that emerges from this evaluation, has developed its own monitoring templates and procedures. See Annex A.

templates developed by the Madagascar Mission could be disseminated to other missions, which could adapt them for their own use. E3/GCC should also provide specific examples and guidance on how CRM can be included in work plans and quarterly and annual reports. This guidance should be appended to agreements with IPs and covered in post-award briefings between missions and IPs so A/CORs and IPs have an explicit and shared understanding of how CRM will be incorporated into monitoring and reporting. All these innovations should be incorporated into the improved knowledge management system described in the recommendation below.

As an illustration of how monitoring processes could be improved, a USAID interviewee described how an activity is actively monitoring climate parameters (e.g., temperature, precipitation) during implementation. If these parameters cross a certain predetermined threshold, special adaptive management procedures are triggered. The procedures are pre-planned and involve reallocating some activity resources, but they have been preapproved by the A/COR to facilitate adaptive management without requiring administrative delays. E3/GCC could build on this example and encourage other activity design teams to identify climate monitoring parameters and triggers that activate pre-arranged contingency plans. These procedures would also “activate” the CIL, who would provide additional support to the A/COR and IPs. The evaluation team recognizes that this recommendation is elaborate and involves significant attention to the activity design phase to identify indicators, triggers, contingency procedures, and budgetary considerations. Therefore, the team recommends that E3/GCC identify a small number of demonstration activities in different sectors where it could provide targeted support to design teams. These design processes could be documented through a blog and a series of webinars so CILs and other interested stakeholders could follow the process as it unfolds. This may provide a more authentic capacity-building experience for CILs and A/CORs that is directly relevant to their daily tasks.

- **Missions, E3/GCC, and USAID in general should carefully consider and address CRM linkages into strategic planning, budgeting, and project/activity design processes.** Much of the evaluation data indicated that CRM is happening as an afterthought or “check the box” exercise. The evaluation found that having budget and staff to address CRM and implement CRM measures is perceived to be important by mission staff and IPs. The evaluation also found that in many cases more attention to CRM is needed during activity design to ensure adequate identification of CRM measures that can be implemented and adaptively managed to avoid and mitigate climate risks. This entails providing more data and information to design teams, dedicating more time to climate risk analysis, and ensuring that CRM tasks are not simply passed off to the CIL. These issues are largely beyond E3/GCC’s control, but improving CRM integration into the program cycle requires adjustments to strategic planning and budgeting processes.

For example, the recommendation on improving monitoring includes suggestions to use “triggers” connected to weather/climate indicators to activate pre-planned risk management actions. In most cases, this would likely entail reprogramming funds from existing tasks³² or accessing funds kept in reserve in case of emergency. This creates a potential outcome in which the emergency situation does not occur and the reserve funds are unspent. Unutilized funds are not generally consistent with the way that USAID operates, so there would be a need for some mechanism to efficiently apply the funds to some use that is consistent with the activity’s overall objectives. This might include flexible MEL frameworks that include two sets of targets covering both contingencies (i.e., climate

³² Which would likely affect the achievement of some targets and objectives.

emergency occurs versus climate emergency does not occur).³³ However, this would likely require changes to operational procedures that are outside E3/GCC's control.

In addition, conducting rigorous risk analyses at the PAD and activity level may require the commissioning of technical studies or additional research to address uncertainties about climate signals and impacts. These additional steps add time and expense to design processes. Case study interviews with IPs indicated that implementation timelines do not yet adequately account for the time required to conduct CRM analyses to inform IEEs and EMMPs. This is a significant issue that can only be addressed by incorporating CRM into strategic planning and budgeting processes. While incorporation of CRM into CDCSs should help, E3/GCC should work with other operating units to identify and quantify data/information, staffing, and other needs to truly integrate CRM into the program cycle. Subsequently, E3/GCC should work with bureaus and missions to ensure that their budgets are adequately resourced.

- **Project/activity design teams need to incorporate the results of the climate risk assessment into solicitations and agreements.** More work is needed to ensure that CRM is effectively incorporated into activity solicitations and that expectations related to CRM are made clear. Most importantly, statements of work should indicate how risks should be addressed (or that they should be addressed) so the proposals and subsequent work plans, MEL plans, and other documentation effectively address the identified climate risks. Sample language is available, but this is another area that requires more attention by CILs at least until technical and program staff become more familiar and comfortable with CRM.
- **E3/GCC should modify CRM trainings based on the suggested improvements and develop new CRM training to generate and promote a shared understanding.** Evaluation respondents indicated a need for trainings for both USAID staff (particularly A/CORs) and IPs to better implement the CRM policy. Given current CRM stakeholders' varied knowledge base, particularly as indicated in the country case studies, some individuals would benefit from a training on climate change more broadly, focusing on sectoral relevance, basic concepts, and jargon. In addition, evaluation respondents indicated that CRM-oriented topics would be useful and could also include general trainings on climate risks and CRM policy requirements, trainings on the use of tools, and more technical trainings for IPs and sectoral experts. E3/GCC provides short, virtual trainings on basic climate change concepts and on CRM, but uptake has been low. These should be made mandatory to encourage staff in all sectors to build capacity and to communicate USAID's commitment to CRM. Given the country case study findings, bureau-level CILs should organize more formal information exchanges on CRM among missions, supported by the E3/GCC climate integration team. Missions should do the same for IPs operating in-country.
- **E3/GCC should consider options to improve CRM knowledge management and the availability of data and information to CRM stakeholders.** USAID staff and IP interviewees commonly made suggestions about the quality, detail, and accessibility of data and information to support CRM analysis and implementation. Currently there is a tremendous amount of high-quality information available through the ClimateLinks online portal. While these resources have been accessed by a range of users, use by staff and IPs appears to be low. At the same time, USAID interviewees reported that they often do not have time to explore the resources. Therefore, it can be concluded that the sheer volume of information serves as a barrier to entry; potential users with limited time simply do not know where to begin. There are a number of options that E3/GCC, USAID/Washington, and missions may consider to encourage more use of the available resources.

³³ For example, an activity may have a target of 150 farmers trained while maintaining a contingency reserve fund. If the reserve fund is not needed, the training target may increase to 200 farmers. This would enable the IP to scale up existing activities, which is generally more efficient than implementing new ones.

Several options are presented below; some of these could be applied in tandem with other recommendations (e.g., adopting a “due diligence” approach to climate risk analysis).

- **Emphasize the role of CILs in helping A/CORs and IPs identify relevant data and information and use existing resources.** In many cases CILs play an outsized role in conducting climate risk assessments, incorporating CRM into solicitations, and other tasks. These responsibilities lie with the design teams, and overreliance on the CIL for these tasks reduces the CIL’s overall effectiveness. Instead, missions should ensure that CILs are functioning in the support role that was originally intended for them. A/CORs should be advised to reach out to CILs early in the activity design process, and missions should encourage (or require) A/CORs to utilize the “What is the Climate Risk Management Process?” virtual training. Mission CILs should ensure they are familiar with the USAID CRM resources and other country-specific sources of information relevant to CRM. The E3/GCC climate integration team could assist CILs by providing the structure for an electronic file system to house CRM documents (e.g., climate risk assessments, sector-specific information, best practices). To the extent possible, mission CILs should also identify and curate national and subnational data, including data and information developed by other development partners. Mission CILs should also publicize training webinars and e-courses developed by other development partners. For example, the United Nations’ UNCC: e-Learn platform³⁴ has a number of high-quality e-courses that would be useful to USAID staff. Occasional “daily reminders” that appear upon workstation startup may be useful in prompting users to explore tools and resources, and quarterly brown bag events to demonstrate tools and resources may also stimulate interest.
- **Improve the navigation of ClimateLinks.** The evaluation found that some stakeholders have difficulty finding information on ClimateLinks. E3/GCC should consider adopting technologies similar to those used to efficiently route customer services inquiries. This may include adding an online artificial intelligence “navigation assistant” that helps different classes of users quickly and efficiently find relevant information through interactive dialogues. Such a system could use an introductory question to identify a user as “an A/COR who is designing CRM measures for an activity,” or “an organization that is preparing a proposal.” Subsequent dialogues would further refine the user’s search by anticipating queries based on common tasks (e.g., “would you like to see common CRM actions by activity type?”).
- **Enhance opportunities for sharing best practices and innovations.** As noted above, some missions have created innovations with respect to some aspects of CRM. Global and regional CIL gatherings and quarterly conference calls or webinars would enhance support to CILs and provide a platform for information sharing. Adaptations made in response to the COVID-19 pandemic will likely yield numerous advances and innovations in terms of teambuilding and sharing in an online environment. E3/GCC should be attentive to and apply new approaches as they emerge. As mentioned elsewhere, mission-level meetings can also promote sharing of experiences and best practices among both staff and IPs. A second CIL or deputy CIL could assist in planning and implementing these events. An improved knowledge management system would make it easier to access practical innovations from other missions as well as share templates and other resources. The evaluation found that most CILs are eager to share and learn from one another, so additional opportunities to do so would likely bear fruit.
- **Ensure that systems are in place to promote institutional learning and memory.** CRM knowledge management should facilitate archiving CRM-relevant information that activities produce and make it easy for CILs, A/CORs, and other users to find and use this

³⁴ The UNCC e-Learn platform can be accessed at: <https://unccelearn.org/course/index.php>.

information. This might include sectoral and subnational risk/vulnerability assessments conducted at the activity level, past CRM matrices and analyses, and other examples of how CRM has been implemented at the mission level. To the extent possible, indexed materials should include summary sheets and metadata and recommended applications to aid users in quickly identifying the most relevant materials. This database should include procedures for updating and curating information. The knowledge management system may also include an automated tagging system whereby A/CORs could flag information resources or experiences from implementation to be included in the database.

In addition, missions and bureaus should improve access to and the quality of subnational information for their own staff and IPs. Many CILs, A/CORs, and IPs expressed a need for more detailed subnational information to support CRM. In addition, although respondents often found resources such as the country risk profiles useful, many felt that the information contained in these resources is too broad. Stakeholders would benefit from greater visibility and accessibility of subnational vulnerability and risk information (e.g., maps, subnational vulnerability assessments); in many cases, USAID staff may not know this information exists. Other development partners, NGOs, regional organizations, and academic and research institutions have developed subnational information in many cases. Missions should prioritize distilling this information and identifying the relevant parts for mission activities. Related to this, USAID staff should exert all practical effort to ensure that “decision making under uncertainty” is applied only in instances where data and information are truly not available. Making better use of resources developed by other stakeholders will enhance the effectiveness of CRM and will ultimately improve overall outcomes.

- **E3/GCC should provide more sector-specific information by creating a sector-based mechanism, such as sectoral technical working groups. Such a mechanism would change the way that knowledge is produced to develop cross-cutting, multi-sectoral information.** This recommendation is based on respondents’ expressed interest in having access to relevant sector-specific information on CRM and in updating current sector-specific resources. One way forward is to establish a mechanism that would facilitate the identification and development of specific technical guidance for CRM. This might include describing levels of obligation in terms of CRM due diligence procedures;³⁵ providing sector-specific examples, case studies, success stories, and CRM best practices; and developing more technically sophisticated, expert-level resources for incorporating CRM into development programming. This last point may include decision trees for identifying and managing risks under different scenarios (such as situations where inadequate data and information are available). Stakeholders also want information on common challenges in their sector and pitfalls to avoid. Sectoral technical working groups could consist of members from the E3/GCC climate integration team, technical experts from USAID bureaus, consultants, and potentially academics.
- **E3/GCC should revise the Climate Risk Management and Screening Tool to make it easier to use and to remove subjectivity when it is used.** Based on the evaluation findings, a review of USAID’s CRM tools, and suggestions from USAID staff (A/CORs and CILs) that the CRM process be streamlined and simplified, the evaluation team recommends that the E3/GCC climate integration team consider revising the Climate Risk Management and Screening Tool. Suggestions for revising the screening tool fall into two main categories: the presentation of the tool and the approach of the tool.
 - **Presentation of the tool.** The first set of recommendations focuses on changes to the structure and format of the tool to make it easier to use. These include:

³⁵ This may include guidelines standards of evidence and/or level of effort expected to demonstrate that a reasonable rigorous review of climate risks has been conducted.

- Separate informational, pedagogical, and methodological components. The current tool combines three basic tasks as it provides: general procedural information about the CRM policy, didactic information about concepts related to CRM (e.g., differential vulnerabilities) and step-by-step guidance for conducting CRM analysis. This can make using the tool somewhat cumbersome. For example, the material on the elements of adaptive capacity could be distracting. E3/GCC should consider disaggregating these three tasks into separate tools.³⁶ This would include:
 - A resource that explains the CRM policy, including details about the ADS, definitions, and procedural issues. ClimateLinks currently includes a video overview of the CRM policy; a short (e.g., two-page) written resource may be useful as well. This resource would cover the general informational functions of the current tool.
 - A resource explaining concepts and theory supporting CRM, including topics such as differential vulnerability, adaptive capacity, no regrets measures, and resilience. This resource could be a hypothetical case study narration of a team developing an activity. This team would explore and apply these concepts as they move through the process of designing the activity. For example, the walkthrough story could feature the team asking the CIL about marginal groups, and then the team would apply the definition and identify marginal groups in the activity’s target area. Such a resource would allow USAID staff to “walk in the footsteps” of the hypothetical team. This resource would cover the conceptual functions of the current tool.
 - A streamlined tool that focuses specifically on conducting the climate risk assessment. This tool would provide guidance on the steps for conducting a CRM analysis and nothing else. It may be formatted similarly to the current guidance tool, or it might include a video walkthrough that demonstrates how to fill in the spreadsheet (a la Khan Academy).
- Include “before you begin” guidance at the beginning of the tool(s). This would include information on when to use the tool as well as the expected time and resource requirements for completing the CRM analysis. The current tool introduces a number of “subtasks” that require additional research. The way some steps are presented in the current tool (e.g., “assess adaptive capacity”) suggests that this step could be conducted as deskwork or in a brainstorming session. In the evaluation team’s judgement, this approach could undermine the effectiveness of the analysis. A checklist of documents needed and pre-assessment tasks would be useful. “Before you begin” information should also include a simple flow chart of the activity design process to illustrate the entry points for the CRM procedures. Flowcharts could be customized for each mission/office by the CIL.
- Limit the categories in the climate risk assessment to those included in the ADS mandatory reference. The distinction between some of the categories is potentially confusing to non-experts. This includes removing the adaptive capacity category; as noted above, the assessment of adaptive capacity is beyond the scope of the CRM procedure and introduces too much subjectivity into the rating procedure.
- **Approach of the tool.** As noted above, the current tool introduces a high level of subjectivity into the CRM process. This has several drawbacks. First, there is no specific guidance for what should be considered low, medium, and high with respect to severity and

³⁶ The E3/GCC climate integration team may wish to refer to [USAID’s Indigenous Peoples](#) toolkit for ideas.

probability. It is likely that the current tool would yield different risk ratings from different users. Second, the high level of subjectivity means there are multiple opportunities for users to shortcut the intended rigor of the CRM assessment, thereby curtailing its usefulness. If the user is particularly busy or distracted, there may be some temptation to opt out of a rigorous assessment. The procedure should control for this possibility. To address these issues, the evaluation team recommends exploring a “due diligence” approach to CRM screening. This could be modeled after the environmental and social safeguard procedures some organizations use to screen project designs for potential social and environmental impacts and could include elements inspired by climate risk screening procedures that other development partners and private firms use. A major advantage of this approach is that it simplifies and standardizes the process for non-experts and provides relevant information when needed, which limits any additional external research the user has to do. Another key advantage is that it is easy to update based on new information.³⁷ A drawback is that such a system would not be as flexible as the current system. Key system features could include:

- An online platform for conducting climate risk screening. Some agencies (notably the World Bank)³⁸ have developed online screening systems to guide users through assessment procedures. These systems utilize standardized forms and have prompts for users to input specific information about the proposed project and target site. In some cases, users interact with the tool by selecting options from a dropdown menu (e.g., “target region/province for the activity,” “activity sector”). One feature of these systems is that they facilitate a consistent approach to CRM and make documentation easy to access. The E3/GCC climate integration team should consider developing such a platform. A basic shell could be developed centrally and then customized with specific information for each office and mission. Following the previous example, this may include providing country-specific examples on climate change processes and impacts corresponding to the target region and/or sector the user selects. The climate change information could be drawn from the country climate risk profile and other sources, and could be curated by the CIL.
- A diagnostic tool for determining severity. As noted above, the current tool’s determination of severity is subjective. To address this, severity could be determined by applying binary diagnostic questions to each defined or anticipated activity task. The answers to these questions would yield a numerical score, which could correspond to low, medium, or high. Such a system would be more likely to yield consistent results among different users and would increase the transparency of the risk rating process. Sample diagnostic questions are provided below.

Diagnostic Questions		Rating Yes=1; No=0
1.	Is there a risk that climate change might affect the technical feasibility of the activity?	
2.	Could the project increase the vulnerability of communities and ecosystems to climate-change impacts?	
3.	Is the activity dependent on supplies/services that are climate sensitive?	
4.	Is any part of the activity vulnerable to weather disruption (e.g., cyclones, flooding)?	
5.	Are there seasonal patterns of rainfall in the target area?	
6.	Have similar activities been affected by weather or climate change?	
Total Rating		

³⁷ In the evaluation team’s judgement, the current climate risk screening tool and sectoral annexes may be difficult to update and keep current.

³⁸ The World Bank’s online screening system can be seen [here](#). Users must create a free account to use the system.

The above screening matrix could also include country-specific questions based on climate change processes and/or impacts in the country. If this diagnostic was part of the automated system described above, specific questions could be “triggered” by the sector and geography for the proposed activity. Some of these sector-specific questions could be sourced from the sector annexes that have already been developed. For example:

- Could the activity or its benefit stream be adversely impacted (directly or indirectly) by landslides caused by extreme rainfall events?
- Could the activity or its benefit stream be adversely impacted by sea level rise, coastal erosion, nuisance flooding, or saltwater intrusion of land and/or aquifers?
- Could the activity or its benefit stream be adversely impacted by impacts on agriculture and fisheries, including decreases in fish stock, crop productivity, forestry production, in the productivity of livestock breeding activities and fish farming?³⁹

The aggregated scores from these questions would be used to determine the risk classification of each task in a manner consistent with ADS201 mal, as shown in the example below. A major advantage of this type of approach is that it would likely lead to more consistent outputs across users.

Severity of Negative Impact	Probability of Negative Impact		
	Low (1 – 3)	Medium (4 – 6)	High (7 – 9)
Low (1 – 3)	Low Risk	Low Risk	Low Risk
Medium (4 – 6)	Low Risk	Moderate Risk	Moderate Risk
High (7 – 9)	Moderate Risk	High Risk	High Risk

- Provide suggested CRM measures based on the results of the risk screening. After receiving the risk ratings, an automated system could provide examples of CRM measures corresponding to the sector, geography, and responses provided during the diagnostic stage. Many of these measures could be taken from the existing sectoral annexes. In addition, the suggested CRM measures could include performance and context indicators to assist with monitoring.

The evaluation team recognizes that such a system may be costly to establish and would require capacity building to use. However, the design of such a system could draw on best practices from other development partners that have advanced systems (e.g., World Bank, Asian and African Development Banks), and could serve as the basis for knowledge sharing with other agencies. In addition, such a system would improve the effectiveness of CRM in both design and implementation stages by addressing issues that came up throughout the evaluation, including observations from A/CORs and CILs that there is little standardization in the process; it is difficult to know how to complete the CRM analysis and what “good CRM” looks like. Such a system would also help ensure that design teams are considering climate risks to activities and not simply including mainstreaming measures as part of their CRM analysis. In addition, such a system could feed into a standardized monitoring system as suggested above and create a ‘paper trail’ that is easy to track. Lastly, this system would make it easier for the E3/GCC climate integration team to track CRM implementation across the Agency and aggregate results.

³⁹ Source: EU Screening Tool

- **E3/GCC, in conjunction with the above recommendations, should strive to clearly articulate what “effective” CRM policy implementation looks like for CRM stakeholders.** The evaluation revealed confusion and a lack of shared understanding among stakeholders of what effective CRM implementation looks like. This is due in part to the process’s newness and the fact that some key components needed to implement CRM are not frequently done, such as monitoring of CRM measures. Although most participants “get” the concept of CRM and/or what CRM’s hypothetical benefits are, there is a need for a common, evidence-based understanding that does not sensationalize or overly generalize the issue. Part of this understanding could be developed by reviewing other donor and development partner CRM practices to determine how others are defining effective CRM. Other recommendations above related to communities of practice and access to an enhanced evidence base for CRM can help CRM stakeholders better understand what effective CRM should look like when implemented thoroughly and consistently.

ANNEXES

Annex A: Case Studies

Case Study: USAID/Cambodia’s Implementation of the Climate Risk Management Policy

CASE STUDY OVERVIEW

This case study is one of four conducted in conjunction with the performance evaluation of USAID’s climate risk management (CRM) policy. The case studies add nuance and depth to the overall analysis by examining specific USAID mission activities assessed with moderate to high climate risks. The Cambodia case study includes findings and conclusions from seven key informant interviews conducted with Cambodia Mission staff; group interviews with five implementing partners (IPs) and six groups of activity beneficiaries; and a rigorous review of documentation for all six moderate- to high-risk activities included in the evaluation.

Key findings and conclusions from the Cambodia case study include:

- Mission personnel and IPs understand broadly that climate change poses a threat to USAID activities and that climate risks need to be managed. However, challenges with respect to incorporating CRM into activity agreements and monitoring, evaluation, and learning plans (AMELPs) hinder the effective incorporation of CRM into activity implementation.
- Many activity initial environmental examinations (IEEs) and environmental mitigation and monitoring plans (EMMPs) contain overly generalized CRM measures. This presents an opportunity for USAID to provide guidance to IPs and to strengthen coordination between USAID/Cambodia and its IPs to improve CRM at the activity inception phase.
- Activities that receive partial Global Climate Change (GCC) funding have more effectively mainstreamed climate change into the overall formulation of their theory of change and specific interventions and therefore are more attentive to climate risks than activities that do not receive GCC funding. The incorporation of CRM measures in the implementation of non-GCC funded activities could be improved by applying the recommendations in the main report.

I. BACKGROUND ON CLIMATE RISK MANAGEMENT IN CAMBODIA

COUNTRY AND MISSION CONTEXT FOR CLIMATE RISK MANAGEMENT

Cambodia is a least-developed country that regularly ranks among the countries most vulnerable to climate change.⁴⁰ Key observed and projected climate risks include more frequent and intense but less predictable flooding events, more severe droughts, increased temperatures, and changing seasonal precipitation regimes. As USAID’s country risk profile notes, “Changing climatic conditions present an ongoing threat to achievement of the country’s sustainable development goals.”⁴¹

The goal of USAID/Cambodia’s current country development cooperation strategy (CDCS)⁴² is “Cambodia’s transformation to a democratic and prosperous country accelerated.” The three development objectives in the CDCS are “strengthened credible voices to promote fundamental democratic principles and human rights,” “improved health and education for vulnerable populations,” and “strengthened sustainable and resilient pathways out of poverty.” The CDCS was developed in 2013, before the CRM policy for both strategy- and activity-level integration went into effect. However, the CDCS recognizes climate change as a significant issue for Cambodia and includes “adoption [sic] to climate change improved” as a sub-intermediate result. Interviews with Mission staff confirmed that a new CDCS is being prepared and will include CRM.

⁴⁰ Cambodia ranks 13th in the Global Climate Risk Index (1995–2015) and 8th in the World Risk Index (2016). In 2014, Standard & Poor’s ranked its economy as the most vulnerable to the effects of climate change worldwide.

⁴¹ https://www.climatelinks.org/sites/default/files/asset/document/2019_USAID_Cambodia%20CRP.pdf (1).

⁴² <https://www.usaid.gov/cambodia/cdcs>.

USAID/Cambodia's climate integration lead (CIL) and mission environmental officer (MEO) support CRM functions in the Mission. The MEO previously served as CIL and has extensive experience in climate change. The current CIL has been on the job since April 2019⁴³ and demonstrates a high degree of enthusiasm for the position. Prior to volunteering for the position, the CIL had little background in climate change. However, the CIL acted on his own initiative to pursue training and coaching opportunities⁴⁴ and now has high-level understanding of both the CRM policy and climate change processes in Cambodia. The CIL describes his approach as "hands off" and provides ad hoc technical assistance if requested; in other words, the CIL provides support to colleagues that request his assistance, but consciously works not to be overbearing. The Mission's deputy director of food security and environment is also involved in the CRM process and contributes significantly to completing climate risk assessments for activity IEEs.

CASE STUDY METHODOLOGY

The evaluation team examined six USAID/Cambodia activities that had been assessed as having moderate to high climate risks:⁴⁵

- **Countering Trafficking in Persons through Economic Empowerment (CTIPE+) (2018-2021; \$1.5M)** seeks to reduce the vulnerability of people at risk from trafficking in persons.⁴⁶
- **Feed the Future Cambodia Harvest II (Harvest II) (2017-2021; \$17.6M)** aims to increase sustainable economic opportunities through market-based and inclusive horticulture value chains in Cambodia (pre-CRM policy).
- **Eastern Plains Keo Seima Wildlife Sanctuary Conservation (Keo Seima) (2018-2021; \$2M)** seeks to preserve and protect biodiversity and overall ecosystem health in the Keo Seima Wildlife Sanctuary and its extended landscape.
- **Greening Prey Lang (GPL) (2017-2021; \$25M)** promotes resilient, low-emission development and inclusive, sustainable management of the Prey Lang extended landscape.
- **Feed the Future Cambodia Rice Field Fisheries II (RFF II) (2016-2021; \$7M)** aims to improve management practices of rice field fisheries by enhancing community fish refuges (CFRs) and developing a best practice model for multipurpose use and governance of water in CFRs (pre-CRM policy).
- **Wildlife Sanctuary Support (WSS) (2017-2022; \$4M)** aims to conserve forests and biodiversity and promote inclusive, sustainable management of the Srepok and Phnom Prich Wildlife Sanctuaries and their extended landscapes.

For this case study, the evaluation team first reviewed all activity documents that the Mission provided. The document review included IEEs, solicitations, awards, AMELPs, work plans, climate change analysis documents, and quarterly and annual reports.

Following the document review, the evaluation team leader and subject matter expert conducted a two-week field visit to Cambodia in February 2020. The team conducted individual and group interviews, presented to Mission staff in Phnom Penh, made site visits to five activities to observe parts of the activity related to CRM, and conducted group interviews with activity beneficiaries. Overall, the team

⁴³ The current CIL was not involved in the design process for any of the activities this case study examined.

⁴⁴ The current CIL has received virtual mentoring from the Climate Integration Team and has attended climate change-related workshops conducted by other USG agencies (e.g. United States Forest Service)

⁴⁵ The activity purposes described here are from activity solicitations or other activity documents.

⁴⁶ This is the only activity with a local IP; international contractors and nongovernmental organizations implemented all other activities.

interviewed seven Mission staff (A/CORs, the CIL, and the deputy director for food security and environment) and conducted group interviews with five IPs⁴⁷ and six groups of activity beneficiaries.⁴⁸

II. DESCRIPTION OF CRM IMPLEMENTATION

STAKEHOLDER PERCEPTIONS OF CLIMATE CHANGE RISKS

Key informant interviews indicated that virtually all Mission staff and IPs had some familiarity with climate change and climate risk. Some interviewees attributed this to the high level of vulnerability to climate change in Cambodia and efforts by the Cambodian government, other development partners, and local organizations to increase awareness and visibility of the issue. Mission interviewees also indicated that CRM is a Mission priority, and activity documents explicitly drew a link between sustainable development pathways and the incorporation of climate risks.

IP and activity beneficiary respondents revealed the perception that changing climatic conditions are impacting the target geographic area/sector and/or activity implementation in at least four of the six activities examined. These perceived impacts included:

- Increased temperatures and greater temperature variability negatively affecting chick production (CTIPE+)
- Harsher than normal drought conditions reducing productivity of small-scale vegetable gardens (CTIPE+)
- Higher temperatures and drier than normal conditions reducing community forest patrol frequency (GPL)
- High temperatures and lack of water negatively affecting crop growth (Harvest II)
- Increased pest outbreaks and appearance of new pests due to changing temperature and precipitation (Harvest II)
- Drier than normal conditions and extended droughts negatively affecting CFR viability (RFF)

CLIMATE RISK MANAGEMENT IN ACTIVITY DESIGN

The document review revealed that five of the six activities had incorporated CRM into the original design documents (IEEs), which included a section on CRM along with the CRM matrix. The sixth activity (Harvest II) was designed prior to the introduction of the CRM policy, but CRM was retroactively incorporated through an amended IEE in 2019. The activities' IEEs all included boilerplate information on climate change in Cambodia that described general climate information, government policies and priorities, and potential impacts. This information is not specific to the activities, nor is it prescriptive. The standardized language is adapted from the country risk profile and other sources, including government climate change strategies and policies and analyses from other development partners. The standardized language indicates that each activity “will build an evidence base of effective methodologies, practices, and results that contribute to better management of climate risks.” However, Mission staff acknowledged that no formal steps have yet been taken to glean lessons learned or best practices from CRM implementation. These IEEs also included a statement that the IP will “implement a climate risk assessment” to identify measures to integrate into activity design to ensure that the risks identified in the IEE are adequately addressed. However, in all but one case (GPL, discussed below), it is unclear whether formal climate risk assessments have taken place, as interviewees could not specifically describe the assessment process or provide documentation.

⁴⁷ Interviews with IP teams included between two and seven staff members from the respective activities.

⁴⁸ These group interviews included between 6 and 25 participants from communities where the target activities were active. The groups included people benefiting from improved rice field fishery systems (two groups), a bamboo harvesting group, a community forest patrol and ecotourism group, and farmers (two groups). The IPs organized the groups.

All four activities that started after the rollout of the CRM policy have a CRM matrix that is consistent with the template provided in ADS201mal, and the two pre-CRM activities include a similar matrix that seem to have been completed retroactively. The matrices illustrate tasks, climate risks, the risk rating, how the risks are addressed, and opportunities to strengthen climate resilience. In many cases, the response measures are noncommittal, suggesting that climate risks will be identified and managed during implementation (e.g., “during the implementation, [activity] will identify climate stress/risks and develop appropriate adaptive measures to mitigate climate impact”; “work with implementing partners and line government agencies to fully assess the risks in target provinces”). Many IEEs thus do not provide specific guidance for CRM measures.⁴⁹ The “opportunities” section of the matrix includes meaningful entry points for building resilience, but there is no indication that these are linked in any way to implementation. Interviews with A/CORs also indicated that the climate risks identified in the IEE had no effect on USAID’s activity design.

Five of the six activities examined are biodiversity conservation or food security activities, and three of these receive partial GCC funding.⁵⁰ In these five cases, climate change is part of the overall formulation of the theory of change and so climate change considerations are built into the activity design. For example, in most of these activities, interventions aimed at improving livelihoods are framed as enhancing climate resilience by improving adaptive capacity. All food security activities and agriculture components of conservation activities include climate-smart agriculture. Therefore, in the absence of explicit CRM actions, in most cases climate change has been considered in activity designs. However, as noted in the main body of the evaluation report, the evaluation team did not consider this part of active CRM resulting from the CRM policy; for example, the Harvest II solicitation notes that “this program is expected to mainstream climate change resilience and adaptation in its activities as stipulated in USAID’s policy on Climate Smart Agriculture.”

In some cases, the contract/agreement required that the IP include climate change in its annual and quarterly reporting.⁵¹ At least two activity contracts/agreements included language that “the partner should design activities to minimize vulnerabilities of facilities to climate change.” However, in this case no specifics as to how the IP should minimize vulnerabilities were included. The lack of details about CRM implementation in agreements with IPs likely contributes to a lack of specific CRM measures in MEL plans and a general lack of emphasis on CRM in activity implementation.

CLIMATE RISK MANAGEMENT IN ACTIVITY IMPLEMENTATION

The team evaluated CRM integration into activity implementation by tracing recommended CRM measures from the IEE through EMMPs, AMELPs, reporting documents, and work plans. The team also asked A/CORs and IPs how CRM factors into activity implementation.

All the activities include EMMPs, but the EMMPs do not address all moderate and high climate risks described in the IEEs, and there is no documentation or indication as to how IEEs informed EMMPs and why some risks were left out of the EMMPs. In addition, in some cases there is no direct link between the risks identified in the IEE and those addressed in the EMMPs, so the evaluation team made judgements on how the risks and measures in the EMMPs linked to the IEEs. For example, four of seven moderate risks in the WSS IEE are not mentioned in the EMMP, so there are no actions to address these risks. The remaining three risks all related to flooding and are not specifically referenced in the EMMP, but the EMMP generally refers to the potential for excessive rains. The EMMP indicates that this risk will be addressed by providing weather updates to farmers via a cellphone application. In the Keo

⁴⁹ The Wildlife Sanctuary Support Program uses the aforementioned general language for all seven risks identified as moderate, whereas Keo Seima applies this language for all nine risks identified as moderate, and CTIPE+ applies the language to all four identified risks.

⁵⁰ Greening Prey Lang, Harvest II, and RFF II.

⁵¹ This provision does not refer explicitly to CRM.

Seima activity, only two of the eight moderate risks identified in the IEE can be traced through the EMMP. Overall, the evaluation team noted 33 risks the IEEs identified as moderate or high and judged that 14 of these were addressed in some way in the EMMPs. The team also determined that in 10 of the 14 cases the identified risk management strategy was already incorporated into the activity design. For example, the GPL activity recommends training farmers in climate-smart agriculture and providing climate-smart seeds and other improved inputs. However, these measures were already incorporated into the activity and hence are not the result of the CRM policy.

With respect to monitoring and reporting, no AMELPs for the six activities in question directly mentioned the climate hazards described in the IEEs or CRM. There are no context indicators. Two activities include indicators⁵² from the GCC Standard Indicator Handbook⁵³, but in the judgement of the evaluation team, these indicators would most likely have been included in the absence of the CRM policy. For example, RFFII includes four performance indicators from the GCC standard indicators handbook (2016 version), but the award for this activity was made in June 2016, prior to the introduction of the CRM policy for activity design. A careful reading of the award for RFFII indicates that climate change considerations were central to the concept for this activity and would have been incorporated into the activity regardless of the existence of the CRM policy.

Documenting evidence of CRM integration into on-the-ground implementation is challenging as activity work plans and quarterly and annual reports do not mention CRM explicitly and there are no monitoring indicators. Thus, CRM implementation must be inferred through a careful examination of these documents. When these documents explicitly mention climate change, it is most often in reference to the activity objectives (e.g., “enhancing climate resilience”). Of the 14 risks that EMMPs mentioned, the evaluation team identified some evidence in work planning and/or reporting documents that 11 were being addressed, although almost no cases mentioned climate change or climate risk in the narrative description of implementation. For example, a risk identified in CTIPE+ was that higher temperatures and changing rainfall patterns could lead to the “spread of vector-borne diseases and macroparasites affecting chick production.” The EMMP acknowledged this risk as “infection disease and breakup,” and the response measure is “regular chicken health check-up plan, vaccination, and emergency contact to local authorities.”⁵⁴ Both annual work plans mentioned that chicks were being vaccinated, so the team documented this as an example of CRM.

In another case alluded to above, the WSS IEE identified more frequent/severe flooding as a risk to (1) trainings, meetings, and workshops to strengthen landscape governance; (2) support to potential value chains to provide economic opportunities; and (3) the provision of technical assistance for co-management, co-patrol, and forest restoration. The IEE recommended “work[ing] with implementing partners and line government agencies to fully assess the risks in target provinces.” The EMMP also acknowledged the risk of heavy rains (to farmers) and indicated that the activity will support the development of a cellphone app to provide information on rainfall and droughts. The annual work plans and semiannual reports narrate how a subcontractor developed the app to contact farmers with information about climate change (among other topics). The reporting also indicates that the app was not effective, so the activity team decided to abandon the app and instead convey information using village loudspeaker systems.

⁵² For example, “number of people using information or implementing risk-reducing actions to improve resilience to climate change as supported by USG”; “number of institutions with improved capacity to assess or address climate risk supported by USG”

⁵³ <https://www.climatelinks.org/file/2150/download?token=AQJRxWqy>

⁵⁴ The original phrasing from the EMMP is preserved here so readers can follow the interpretive logic used by the evaluation team. These measures would likely be included in the absence of CRM.

III. ANALYSIS OF CLIMATE RISK MANAGEMENT INTEGRATION INTO MISSION ACTIVITIES

IDENTIFYING ISSUES RELATED TO MONITORING AND IMPLEMENTATION

All A/CORs interviewed pointed to weaknesses in CRM implementation and acknowledged that CRM policy implementation could be improved significantly. Several Mission informants referred to CRM as a “box checking” obligation. At the same time, as noted above, all interviewees described the relevance of climate change to USAID programming and the overall threats to Cambodia in general. Therefore, it can be inferred that the suboptimal CRM implementation does not stem from the policy being perceived as irrelevant. Interviewees referred to a lack of guidance from the Management Bureau’s Office of Acquisition and Assistance on implementation, the need for better information and tools, and the lack of a means to compel IPs to comply with CRM measures, especially when activity budgets do not include costs to explicitly support CRM implementation. Several Mission interviewees saw the CRM measures in IEEs as “recommendations” rather than requirements, because these measures are not sufficiently incorporated into procurement processes.

Another important finding is that although most activity designs incorporate “passive CRM” (e.g., how enhancing livelihoods will contribute to climate resilience by increasing adaptive capacity), there is less evidence of “active CRM”⁵⁵ (e.g., thorough analysis of potential climate impacts on activity implementation, outputs, and outcomes). However, to a large extent, the activities examined involve soft measures (e.g., capacity development, institutional strengthening, enhancing value chains), so the outputs and outcomes might be considered less vulnerable to the physical impacts of climate change.

The overall resilience-building approach for Cambodia likely advances the long-term management of climate risks and therefore helps ensure the long-term sustainability of USAID’s investments in the country. On the other hand, in many cases “built in” climate adaptation measures have been included as CRM management measures in the CRM matrix. As noted above, these “built in” measures are part of the original activity concept, and (in the evaluation team’s judgment) have not been added as the result of CRM analysis. In these cases, it is the evaluation team’s judgement that there is a chance that inclusion of “built in” measures may distract from a principal objective of CRM: to conduct a rigorous screening of the activity design itself to detect potential vulnerabilities. For example, an activity that includes climate-resilient seeds would be an example of mainstreaming climate change adaptation into the concept and design of an activity. However, there is still the important task of ensuring that the seeds are not planted in an area that will be susceptible to flooding, saltwater intrusion, and landslides due to changing climate conditions. The evaluation team’s concern is that inclusion of broader best practices for climate-resilient agriculture in the CRM matrix may be used as a shortcut to avoid the more thorough, activity-specific CRM analysis that is needed to build resilience into the activity itself.

EXAMPLES OF CLIMATE RISK MANAGEMENT IN ACTIVITY IMPLEMENTATION AND ADAPTIVE MANAGEMENT

GPL provides one of the clearest examples of formal CRM integration into activity implementation. Although the GPL IEE did not include a CRM matrix, the EMMP included a dedicated CRM plan. The GPL IP also conducted a climate change vulnerability and biodiversity assessment to identify specific risks and appropriate CRM measures.⁵⁶ Interviews with IP staff indicated that the assessment was integral to designing the activity work plan and informed implementation, but there is no procedure for documenting how the assessment informed the work plan and implementation. The IP staff indicated that the findings were useful for developing their annual workplans. IP staff also indicated that at least some of the impetus for incorporating climate change considerations came from their own long-term approach to conservation in the activity implementation area. This suggests that the IP’s experience,

⁵⁵ See the Findings and Conclusion section on EQI for a description of the difference between “active” and “passive” CRM.

⁵⁶ The climate change vulnerability and biodiversity assessment was one of the deliverables of the activity.

competency, and organizational mission are important variables in determining the level of CRM integration into activity implementation.

The GPL IP also described a notable implementation practice through a learning approach. The IP established a forum with local stakeholders to exchange information, lessons learned, and best practices on topics including climate change adaptation and mitigation. The IP provided technical expertise for this forum, which is an innovative mechanism to transfer knowledge on managing climate risks to local stakeholders in an accessible format and to empower local stakeholders to generate locally relevant approaches to climate change adaptation.

According to both A/COR and IP respondents, informal and ad hoc monitoring for climate risks happens in weekly or monthly calls. In general, hydrometeorological/climate risks (e.g., extreme drought, flooding) are addressed if and when they occur. However, Mission informants generally agreed that climate risks are not strictly monitored, and monitoring could be strengthened with the introduction of tools and specific reporting requirements.

Evidence from the field visits, interviews, and document review suggests that climate risks are being incorporated into activity implementation in several ways but in a largely ad hoc manner. This includes siting small-scale building projects (e.g., chick hatcheries, village vegetable growing centers) out of potential hazard areas. The RFF activity provides a clear example of adaptive management of climate risks. An extended hot and dry period affected the activity implementation area in the first half of 2019 and was followed by a delayed rainy season. This resulted in low water levels and increased water temperatures, which negatively impacted fish in approximately 10 percent of CFRs. In response, the IP, in coordination with the AOR, identified the hardest hit areas and developed emergency response plans to address the water shortages. Subsequently, the IP scaled up the number of CFRs with emergency response plans and worked to strengthen capacity to assess and address climate risks. However, it is unclear whether this can be linked to a specific aspect of the CRM policy, as droughts and water shortages occur regularly in the implementation zone. As noted above, RFF receives some GCC funds, and climate change is well integrated into its overall design.

Interviews with IPs indicate that most are proactively considering climate risks in activity implementation. There are various motivations for this, including the desire to maximize the intervention's effectiveness as well as a more pragmatic reputational concern that diminished activity impacts could make it more difficult to secure future contracts. The IPs indicated that if their activities suffer due to climate risks, it reflects poorly upon them. IPs generally agreed that the best way to ensure effective CRM integration into activity implementation would be to incorporate CRM more comprehensively into activity design. They also suggested including detailed and explicit consideration of CRM integration in activity solicitations. This would include incorporating dedicated staffing requirements and budgeting for CRM measures.

IV. CONCLUDING REMARKS

The Cambodia Mission has several enabling conditions for successful CRM implementation. These include a dedicated CIL supported by an MEO with expert knowledge of climate change in Cambodia, widespread buy-in and awareness among Mission staff about climate change's potential impacts and the need to manage risks, and capable IPs with in-depth knowledge of the local development context. In addition, the Government of Cambodia is improving its climate change response by introducing new mechanisms of climate change governance and improving local production of climate data and information. As the government and development partners develop more information on climate risks, this new information could be incorporated into the Mission's CRM knowledge base. The Mission CIL is currently tracking the development of Cambodia's National Adaptation Plan process and may in the future transmit new information on risks and priorities to A/CORs and IPs. These factors provide a solid foundation for strengthening the Mission's approach to CRM.

Incorporating CRM into the revised CDCS will help institutionalize CRM as a Mission priority, providing an impetus for new standard procedures for effectively incorporating CRM into activity design, implementation, and monitoring. USAID/Cambodia can look to other missions for examples of emerging best practices that can be applied to Cambodia, including templates for CRM monitoring and potential CRM measures for commonly identified climate risks.⁵⁷ In addition, the Mission may choose to develop an accessible knowledge base to track and share effective CRM approaches based on experience from individual activities.

⁵⁷ Specific recommendations are included in the main evaluation report.

Case Study: USAID/Haiti's Implementation of the Climate Risk Management Policy

CASE STUDY OVERVIEW

This case study is one of four conducted in conjunction with the performance evaluation of USAID's climate risk management (CRM) policy. The case studies add nuance and depth to the overall analysis by examining specific USAID mission activities assessed with moderate to high climate risks. The Haiti case study includes findings and conclusions from 12 key informant interviews conducted with Haiti Mission staff, implementing partners (IPs), and an activity beneficiary, as well as a rigorous review of documentation for five moderate- to high-risk activities included in the evaluation. Travel restrictions related to COVID-19 prevented the evaluation team from interviewing as many activity beneficiaries as originally planned, and some Mission personnel were unavailable for interviews.

Key findings and conclusions from the Haiti case study include:

- Some small-scale infrastructure activities are clearly incorporating climate risks. The Mission has opportunities to standardize and scale up these successes.
- The mission environmental officer/climate integration lead (MEO/CIL)⁵⁸ shoulders most of the responsibility for CRM. However, several agreement/contracting officer's representatives (A/CORs) also exhibit high levels of competency with respect to CRM.
- The Haiti Mission faces several unique challenges with respect to CRM integration and may benefit from additional support from regional/global bureaus.

I. BACKGROUND ON CLIMATE RISK MANAGEMENT IN HAITI

COUNTRY AND MISSION CONTEXT FOR CLIMATE RISK MANAGEMENT

As a small island developing country, Haiti is exposed to several climate change stresses and shocks. These include sea level rise, stronger tropical storms, changing seasonal regimes, increasing temperatures, and greater extremes in precipitation. In addition, Haiti is the poorest country in the Western Hemisphere and suffers from periodic civil and political unrest. Economic opportunities are limited, and a much of the population derives their livelihoods from subsistence activities such as fishing and farming that are vulnerable to climate change's impacts.

The Haiti Mission has no country development cooperation strategy (CDCS) and has opted for a two-year strategic framework. The current strategic framework (2018-2020)⁵⁹ does not explicitly reference climate change or climate risks, but does prioritize building resilience across the Mission's portfolio. Two of the four development objectives described in the strategic framework are directly susceptible to climate impacts ("economic and food security advanced" and "health outcomes improved"). The Mission administers a range of projects and activities that are susceptible to climate risks.

USAID/Haiti's MEO handles all aspects of environmental compliance for the Mission. As the CIL, he also receives support from the CIL for the Bureau for Latin America and Caribbean and the E3/GCC climate integration team. Consequently, CRM overlaps with general environmental compliance. To illustrate this point, the MEO/CIL described environmental compliance as "a vehicle to implement CRM," and several Mission interviewees perceived CRM to be integrated with environmental compliance. The MEO/CIL reports being responsible for all environmental documentation including initial environmental examinations (IEEs), environmental mitigation and monitoring plans (EMMPs), environmental mitigation and monitoring reports (EMMRs), environmental assessments, and CRM procedures. Currently, the Mission is revising its environmental compliance system. When the revision is complete in 2020 or 2021, CRM will be integrated into the system.

⁵⁸ The same person serves as the MEO and CIL in the Haiti Mission, though this is not the case in some other missions.

⁵⁹ <https://www.usaid.gov/sites/default/files/documents/1862/USAID-Haiti-Strategic-Framework-2018-2020.pdf>

CASE STUDY METHODOLOGY

The evaluation team examined five USAID/Haiti activities that were assessed as having moderate to high climate risks:

- **Agriculture Transition Awards (2018-2021; \$2M)** encompasses three smaller activities implemented by Haitian nongovernmental organizations that previously worked as subcontractors to IPs on other activities. These awards all focus on improving agricultural productivity.
- **Haiti Reforestation Project (2017-2022; \$40M)** is separately implemented by Chemonics and the Organization of American States (OAS) (along with the Pan American Development Foundation – PADF). The evaluation team examined the OAS-led component, which provides grants to community and nongovernmental organizations for small-scale, community-led reforestation initiatives.
- **Community Driven Development (CDD) (2018-2021; \$7.5M)** is an OAS/PADF-implemented activity that designs and implements community-driven development projects to promote longer-term local governance and capacity development.
- **Haiti Water, Sanitation, and Hygiene project (WatSan) (2017-2022; \$44.4M)** seeks to increase sustainable access to water and sanitation services in Haiti.
- **Health Service Delivery to the Haitian Population (SANTE) (2017-2021; \$98.5M)** aims to improve community health across Haiti by increasing utilization of quality, essential health services and by strengthening local management and operation capacities to deliver such services.

For this case study, the evaluation team first reviewed all activity documents that the Mission provided. The document review included IEEs, solicitations, awards, activity monitoring, evaluation, and learning plans, work plans, climate change analysis documents, and quarterly and annual reports. The team also conducted remote interviews. Table I lists the groups the team interviewed. The evaluation team intended to interview more beneficiaries, but COVID-19 complications rendered many potential interviewees unavailable.

TABLE I: CASE STUDY INTERVIEWS

Interviewee Type	Interviews Conducted
Mission MEO/CIL	1
A/CORs*	5
Implementing partners ⁶⁰	5
Beneficiary ⁶¹	1
Total	12

**Includes for four of the activities (WatSan, CDD, SANTE, and Agriculture Transition Awards) and an additional A/COR.*

⁶⁰ For Agriculture Transition Awards, the team interviewed the project coordinator for one of the three local organizations implementing grants under the activity. In the case of CDD and the Reforestation Project, the IP is the same agency (OAS). The team conducted two interviews with a total of three people from the OAS; one person was in both interviews.

⁶¹ The specific activity the beneficiary is associated with is not revealed here to preserve anonymity.

II. DESCRIPTION OF CRM IMPLEMENTATION

STAKEHOLDER PERCEPTIONS OF CLIMATE CHANGE RISKS

All USAID stakeholders acknowledged the high climate vulnerability in Haiti and described both general and specific climate impacts on their sectors of interest. Two Mission interviewees felt that the Mission needs to consider climate change more comprehensively across the portfolio, and that the Mission has not sufficiently considered or addressed climate change. Possible reasons for this are discussed below.

IPs also understood climate change to be a significant issue for Haiti, though they differed on its immediate relevance to their respective sectors and activities. As IPs for two of the five activities, OAS interviewees viewed climate change as a process that undermines the socioeconomic well-being of their target beneficiaries as well as a direct threat and complicating variable for the activities they implement. For example, for the Reforestation Project they explained that changing hydrometeorological conditions were considered when selecting seedling varieties for tree planting activities, and that higher rates of erosion due to increasing extreme rainfall events affects siting decisions. On the other hand, the SANTE IP did not see climate change as directly relevant to activity implementation but described broader impacts of climate change on community health.

CLIMATE RISK MANAGEMENT SUPPORT PROVIDED BY THE CIL

Mission staff and IPs universally praised the MEO/CIL and cited him as a key resource and asset for environmental compliance and CRM in general. Interviewees perceived him as always available to help, answering questions or providing other support on environmental compliance and CRM. A/CORs said there is good teamwork in environmental compliance and CRM design and implementation, although responses indicated that most interactions between A/CORs and the MEO/CIL focus on environmental compliance rather than CRM.

The MEO/CIL said that he is involved in activity design processes (as the MEO) and that he provides information and advice to other team members about both environmental compliance and climate risks, and assists in identifying CRM measures. He further explained that CRM burden sharing varies by activity, with a major variable being the A/COR's willingness to complete CRM tasks. He also pointed out that he views A/CORs as responsible for designing CRM measures and monitoring their implementation (though one A/COR said that the MEO/CIL is responsible for doing the climate screening). The A/COR explained that this was consistent with the Mission's order on environmental compliance. The MEO/CIL said that some A/CORs are "responsible" and only require quality checks, but he estimated that around three-quarters expect him to handle all CRM tasks. He explained that if he perceives CRM to be a stumbling block in moving the activity forward, he is more likely to assume greater responsibility for completing the CRM analysis, as he feels his initiative is needed to advance the activity.

CLIMATE RISK MANAGEMENT IN ACTIVITY DESIGN

Document Review Findings

In at least three of the activities the evaluation team examined, climate change impacts are considered as part of the overall formulation of the theory of change.⁶² This suggests that climate risks are to some degree mainstreamed into activity design. All activity IEEs included information on CRM, and three IEEs included similar general information on climate change in Haiti derived from the Haiti Climate Vulnerability Profile⁶³ as well as a statement indicating that the climate risk screening for the IEE was

⁶² The evaluation team was not able to review solicitations or awards for two of the activities and therefore was unable to examine the rationale behind the design of the activities.

⁶³ Found at <https://www.climatelinks.org/resources/climate-risk-profile-haiti>

conducted using the USAID Climate Risk Screening and Management Tool for Project Design.⁶⁴ Table 2 describes all five activities identified as moderate to high risk, provides indicative CRM measures for each activity, and indicates if the measures are amenable to tracking through normal activity documentation (e.g., work plans, quarterly/annual reports).

In most cases, the evaluation team found that CRM measures were not trackable through activity documentation. This means that information related to implementation of these measures would likely not appear in normal activity documentation. In the case of Agriculture Transition Awards, the risks identified are addressed through best practices that would most likely be applied without special consideration of climate risks. In the case of WatSan, most of the CRM measures refer to activity elements that will improve governance and socioeconomic well-being in the target communities, thereby mitigating the identified risks. The evaluation team refers to both of these cases as passive CRM because mitigating the risks requires no specific additional action or monitoring, and the risk mitigation benefits would likely happen even if the CRM policy had not been enacted.

TABLE 2: CRM INTEGRATION IN ACTIVITY DESIGN

Activity	Risks Identified	CRM Measures	Trackable?
Agriculture Transition Awards	3 moderate	Standard best practices (e.g., “proper application and incorporation of fertilizer into soil reduces run-off;” “amending the soil organic matter content increases the capacity of the soil to retain the fertilizer in root zones”)	No
CDD	5 moderate, 5 high	Incorporate climate data in design of water, sanitation, and hygiene projects and infrastructure (x9). Include climate and disaster risk response as topics [on which] to engage with community driven development.	Yes
WatSan	1 moderate, 4 high	Incorporate climate variability into construction. Measures already incorporated into activity design (e.g., “develop water quality assurance plans for all new rehabilitated water systems;” “work with government systems to strengthen water quality monitoring and regulation”).	No
SANTE	2 moderate	None identified	No
Reforestation Project	1 moderate	Diversify supply chain for imported alternative fuels so it is not susceptible to floods/storms.	Yes

Interview Findings

The MEO/CIL acknowledged that CRM language does not appear yet in all relevant solicitations and contracts, but the Mission is working to address this deficiency by incorporating CRM language into solicitations and contracts, and into the Mission’s order on environmental compliance. The activity beneficiary interviewed said that (s)he was involved in the design process as a representative of the national government, but that neither climate change nor climate risks were discussed in the design phase and were not incorporated into the activity’s design or implementation.

⁶⁴ Available at [ClimateLinks](#).

CLIMATE RISK MANAGEMENT IN ACTIVITY IMPLEMENTATION

Document Review Findings

None of the three EMMPs for Agricultural Transition Awards mentioned climate change or climate risks.⁶⁵ The CDD EMMP reproduced the CRM matrix from the IEE and included an additional table describing how the activity will respond to the general environmental conditions stipulated in the IEE. However, none of the CRM measures specifically refer to climate risks, although the matrix indicates that the IP will adhere to international best practices. As noted above, the IEE simply directs the IP to incorporate climate data and information into infrastructure design. It is therefore conceivable that the reference to international best practices addresses this requirement. The EMMP for the Reforestation Project has a special section on climate risks and reproduces the CRM matrix from the IEE.

Integration of CRM into small-scale construction was tracked through an “umbrella IEE” for SANTE and through one of the individual, site-specific EMMPs that were prepared for each construction activity in the case of WatSan. The SANTE EMMP included a standardized environmental screening form consisting of environment and social safeguards questions, including three on “global climate change.” This form indicated that the activity will be “vulnerable to changes in the weather or climate.” The EMMP narrative indicated that the activity “will work closely with site contractors to consider the potential climate-related threats during the planning and design of construction activities” but does not list specific CRM measures. One of the site-specific EMMPs for WatSan does have a special section on “climate change integration,” which notes that the construction is located in a flood-prone area and that floods are becoming increasingly frequent as a result of climate change. The EMMP further noted that the structure is designed to withstand the force from floods. This represents a clear example of CRM in implementation.⁶⁶

Climate change and climate risks were absent from activity monitoring, evaluation, and learning plans and work plans, with minor exceptions. The WatSan work plans referenced the vulnerability assessment the activity conducted, and Agricultural Transition Activities work plans mentioned climate-smart agriculture. However, no activities mentioned indicators for monitoring climate risks.

Interview Findings

There are no standard procedures for integrating CRM into activity implementation in Haiti, and almost all Mission interviewees said that CRM implementation could be improved. Several noted that incorporating CRM into activity implementation beyond the EMMP is limited. One A/COR viewed the CRM screening during the design stage as effective but worried that IPs did not have the required resources (i.e., staff, budget, tools, and capacity) to effectively implement the requirements stipulated in the IEE. The A/COR for Agriculture Transition Awards said that while the Mission tries to build the project management capacity of local organizations through the transition awards and other small grants mechanisms, the Mission has not yet assessed local partners’ abilities to manage climate risks when doing capacity assessments. (S)he further suggested that this should be a part of assessments for potential local IPs and a focus of capacity building. The MEO/CIL said the Mission is encouraging larger IPs to conduct environmental compliance/CRM trainings for their own staff, but there was no indication that any CRM trainings had taken place.

With one exception that is described below, all IPs said that climate change impacts and/or climate risks had in some form been incorporated into implementation. In the cases of SANTE and WatSan, IPs engaged a full-time expert to handle environmental compliance and CRM, as they did not originally have

⁶⁵ The evaluation team reviewed documentation for all three grants awarded under this activity.

⁶⁶ Interestingly, the EMMP also describes how greenhouse gases resulting from the construction will be mitigated: “the trees that will be planted will contribute to offset the greenhouse gas emissions by absorbing carbon dioxide.”

these capabilities among their staff. For WatSan, the specialist also monitors construction sites to ensure that the contractor follows environmental and climate guidelines.

In its first year of implementation, the WatSan IP conducted an analysis of water systems and sanitation to determine the environmental and climate factors that needed to be considered in implementation. The IP also examined the vulnerability of aquifers to determine safe levels of abstraction. However, IP representatives said they lack the data (e.g., rainfall intensity, stream gauge records) to conduct rigorous risk analyses, so instead they adopted a vulnerability-based approach for climate analysis, which is a best-practice for operating under conditions of uncertainty and where it is impractical to obtain additional data.⁶⁷ They were also able to use hydrological studies that had been conducted for a previous USAID activity. All of this helped the IP consider climate risks in the small-scale water, sanitation, and hygiene infrastructure the activity developed. The IP reported that it incorporates these considerations into the EMMPs developed for each construction activity, translated them into French, and included them in contracts with local construction companies to ensure that the infrastructure was climate resilient. As noted above, the IP also monitors construction progress for compliance.

The WatSan A/COR confirmed that the activity was incorporating climate risks and said that part of the A/COR's job is to ensure there is an added layer of durability for the infrastructure (e.g., water pipes buried deeper to avoid damage from flooding) so it is resilient to hazards. The CDD IP also said that climate risks are actively considered in planning small-scale, community-led infrastructure projects (e.g., water pipes sited to avoid potential landslide areas).

A/CORs and IPs said there have been no unexpected or unintended effects or consequences with respect to CRM.

MONITORING FOR CLIMATE RISK MANAGEMENT

USAID/Haiti uses environmental mitigation and monitoring reports (EMMRs) to track EMMP compliance. IPs submit EMMRs annually but they are not consistently used across all activities and it is at the A/COR's discretion to request them from IPs. The evaluation team reviewed an EMMR from one activity involving small-scale infrastructure. There were no explicit or implicit references to climate risks, but most of the EMMR focused on occupational health and safety considerations.

One A/CORs said explicitly that IPs are not reporting specifically on climate risks. None of the quarterly or annual reports the evaluation team reviewed mentioned climate change or climate risks.⁶⁸

III. ANALYSIS OF CLIMATE RISK MANAGEMENT INTEGRATION INTO MISSION ACTIVITIES

ROLES, RESPONSIBILITIES, AND COMMITMENT TO CLIMATE RISK MANAGEMENT

All Mission interviewees saw the value of CRM but questioned whether it was being effectively implemented. One interviewee noted:

“I think it gets us pulling up data that we didn't really know existed and it can be a good back and forth. Again, it's at the planning stage. I don't know how strongly that holds throughout the project implementation, but at least it can be a good conversation starter at the beginning of the project planning process.”

⁶⁷ In general, risk-based approaches to climate analysis examine the *probability* of a certain event (e.g., a 100-year flood) occurring to inform planning, whereas vulnerability approaches focus on the characteristics (e.g., exposure, sensitivity) that determine the potential harm from shocks and stresses. Vulnerability approaches are sometimes used when rigorously generated data and projections are not available, but are also often used to conduct “bottom-up” community-led analyses.

⁶⁸ The evaluation team had access to four annual reports and nine quarterly reports.

Three Mission interviewees remarked that they had not observed any changes in the way activities are designed and implemented due to CRM.

The roles and responsibilities for CRM are not clear, which creates confusion in some cases and space for CRM considerations to slip through the cracks, especially with reporting. With respect to ownership and buy-in for CRM, interviewees suggested that there is varying commitment to CRM across the Mission. One interviewee viewed CRM as “a valuable thought exercise” but perceived their peers to be treating it as a “box checking” procedure. Some interviewees attributed this to Mission staff being “chronically overworked” and not having time to learn about or effectively implement CRM; this finding is consistent with the overall evaluation findings. One A/COR said that s/he would benefit from more training on CRM but is not actively looking for more training or resources because of a lack of time. In contrast, a second A/COR emphatically indicated that (s)he would like to have more training on CRM and would participate in any training that was offered.

USAID/HAITI-SPECIFIC CHARACTERISTICS AFFECTING CLIMATE RISK MANAGEMENT IMPLEMENTATION

Two USAID interviewees explained that because Haiti is a two-year assignment for foreign services officers, there are challenges in retaining institutional memory. In addition, four Mission interviewees alluded to the many crises that afflict Haiti, from earthquakes to political upheavals and civil unrest, resulting in the Mission’s perpetual focus on short-term issues and disaster relief. These interviewees suggested that the constant “putting out fires” impedes longer-term strategic thinking that would be conducive to managing climate risks.

Political strife in Haiti over the past several years has also affected the Mission’s capacity development plans for environmental compliance and CRM. Two interviewees said that a training had been planned in 2018-2019 but had to be cancelled due to political unrest. A training for Mission staff as well as IPs was also planned for 2020 in the Dominican Republic, but was cancelled due to COVID-19. During the review period for this evaluation report, the Mission A/COR explained that customized trainings were being organized to address the training needs for all A/CORs.

One IP for an agriculture sector activity described an interesting manifestation of the constant crises that befall Haiti. (S)he said there had been a drought that had led to people in the agriculture sector being forced out of work. As a result of this, the IP began to receive demands from people in the community to shift the focus of the activity from agriculture sector sustainability to things that would provide immediate jobs in the community such as infrastructure construction. This suggests that as the impacts of climate change manifest, community perceptions about benefits and beneficiaries may change, which may create unexpected resistance to ongoing activities and an erosion of community ownership of USAID activities. When people face a crisis, it is harder for them to see the longer-term benefits of resilience-building initiatives. This could be considered an emerging climate risk that should be taken into account in mission-level strategic planning processes.

INEFFECTIVE COMMUNICATION LEADS TO INEFFECTIVE CLIMATE RISK MANAGEMENT

Two exchanges during the interviews demonstrated the importance of CRM communication and ensuring that all stakeholders – including Mission staff, IPs, and beneficiaries – have a common understanding of CRM. In the first case, the A/COR for one of the larger activities indicated that s(he) thought climate change was only indirectly relevant to the activity, despite the “moderate” risk rating for some elements. The A/COR admitted to never having a conversation with the IP about CRM. At the same time, when interviewed, the IP chief of party (COP) misunderstood the purpose of CRM, describing it as an effort to minimize the activity’s carbon footprint. Based on this understanding of CRM, the COP argued that it is not particularly relevant to their activity since it mainly includes soft measures such as capacity development and institutional strengthening and does not generate significant amounts of greenhouse gases. The COP also opined that although the implementation team is

“stretched thin,” the CRM policy is useful because it encouraged them to think about their activity’s potential to contribute to global warming and climate change. In this case, there seems to be a fundamental misunderstanding of CRM’s definition and purpose.

In the second case, the COP of a different activity IP told the evaluation team that (s)he views CRM as an essential part of good design in their particular community of practice (“I have trouble separating climate risk management from good design....for me carefully looking at all of the variables in [sector] is good design, for you guys, I think it’s climate risk management”). The COP further indicated that most of the CRM measures recommended in the IEE would be considered good design principles and would be included even in the absence of CRM, implying that CRM had limited added value in this instance. In other words, the COP indicated that climate risks were already integrated into the activity design implying that dedicated CRM procedures added little value in this situation. However, a government counterpart indicated that CRM is not yet considered part of good design in Haiti, and that the design and implementation teams had not discussed CRM or climate resilience with the government counterparts in the context of the activity. This suggests that adaptive and risk management measures that are considered standard practice in developed countries with well-developed regulatory systems and professional communities of practice may not be standard practice in some developing country contexts. This anecdote suggests that assumptions about CRM being common best practice in certain sectors may obscure opportunities to transfer knowledge about managing climate risks from implementation teams to country beneficiaries.

IV. CONCLUDING REMARKS

The Haiti case study provide good examples of integrating climate risks into small-scale infrastructure, indicating that CRM is being incorporated into activity implementation in some circumstances. Key variables contributing to this include access to good data and information; effective communication between the CIL, A/COR, and IPs; and the IP having appropriate skills and competencies. These successes provide a solid foundation upon which the Mission can better integrate CRM into activity implementation.

At the same time, interviewees and the document review suggest there is room to improve CRM implementation and monitoring. In addition, responsibility for CRM seems to fall mainly on the MEO/CIL. Adopting standard procedures and templates for monitoring as well as additional training for A/CORs may help improve A/COR engagement in CRM. Constant crises and high turnover within the Mission also compromise its ability to fully integrate CRM into operations. Additional and more regular support from the E3/GCC climate integration team and the regional bureau may help ease the burden placed on the MEO/CIL as well as increase buy-in and ownership from A/CORs. In the case of Haiti, efforts to increase the commitment of A/CORs to effectively implementing CRM would likely help to distribute the workload away from the CIL, thereby allowing him more time to focus on capacity building and information exchange.

Case Study: USAID/Madagascar’s Implementation of the Climate Risk Management Policy

CASE STUDY OVERVIEW

This case study is one of four conducted in conjunction with the performance evaluation of USAID’s climate risk management (CRM) policy. The case studies add nuance and depth to the overall analysis by examining specific USAID mission activities assessed with moderate to high climate risks. The Madagascar case study includes findings and conclusions from eight key informant interviews with Mission staff and implementing partners (IPs) as well a rigorous review of documentation for two moderate- to high-risk activities included in the evaluation.

Key findings and conclusions from the Madagascar case study include:

- The Mission has taken significant steps to integrate CRM into environmental compliance procedures and has developed templates and standardized procedures for CRM. However, some IPs say that effective CRM implementation is constrained by inefficiencies in environmental compliance procedures.
- The activities examined in Madagascar provide the clearest examples that the evaluation team saw of CRM integration into activity implementation across all four case studies. The monitoring procedures that the Mission and IPs have used could be replicated as best practice in other contexts.
- IPs face difficulties in recruiting professionals with knowledge and expertise in managing climate risks and report that the “talent pool” is limited.
- The climate integration lead (CIL) is still largely responsible for CRM. Expanding the roles of agreement/contracting officer’s representatives (A/CORs) in CRM implementation and monitoring would further effective CRM implementation.

I. BACKGROUND ON CLIMATE RISK MANAGEMENT IN MADAGASCAR

COUNTRY AND MISSION CONTEXT FOR CLIMATE RISK MANAGEMENT

Madagascar is susceptible to a range of climate shocks and stresses, including increasing temperatures, variable rainfall patterns, increasing flooding, more intense droughts, and sea level rise.⁶⁹ In addition, it is the most vulnerable African country to tropical cyclones. Social and economic factors exacerbate climate change’s impacts. Madagascar is a least developed country and has one of the highest poverty rates in Africa, with 81 percent of its population living on less than USD \$1.25 per day.⁷⁰ The population’s adaptive capacity is extremely low and the high dependence on primary sector livelihoods (e.g., farming, fishing) further contributes to vulnerability.

USAID/Madagascar’s priority areas are biodiversity; water, sanitation, and hygiene; health; food security; and disaster assistance. Mission personnel acknowledged that climate change poses potential threats to each of these focal areas, and the Mission’s website explicitly refers to climate change as a key issue.⁷¹ The Mission is currently developing its first country development cooperation strategy (CDCS) and has conducted a climate change risk screening and analysis to inform the strategy with assistance from the E3/GCC climate integration team.

⁶⁹ [Madagascar Nationally Determined Contribution](#) to the Paris Agreement (2016)

⁷⁰ [USAID Climate Change Risk Profile: Madagascar](#)

⁷¹ <https://www.usaid.gov/madagascar/environment>.

CRM is bundled with environmental compliance in Madagascar and the CIL⁷² works closely with the mission environmental officer (MEO) and deputy MEO; all three positions are situated in the environment office. The Mission conducts CRM analyses in tandem with environmental assessments and includes CRM reporting in environmental compliance reporting. The CIL serves as the CRM technical advisor for the entire Mission and provides trainings for Mission personnel and IPs as well as guidance on all aspects of CRM implementation. The CIL was hired in 2016 in part for his background and expertise in climate change. In addition, the MEO includes CRM in trainings on environmental compliance.

CASE STUDY METHODOLOGY

The evaluation team examined two USAID/Madagascar activities assessed as having moderate to high climate risks:

- **Accessible Continuum of Care and Essential Services Sustained (ACCESS) (2018-2023; \$90M)** seeks to strengthen health sector capacity at the district level and below to design, develop, manage, deliver, monitor, and evaluate health services and programs.
- **Improving Market Partnerships and Access to Commodities Together (IMPACT) (2018-2023; \$36M)** aims to improve health system capacity to ensure that quality pharmaceuticals and health commodities are available and accessible to all Malagasy people on a sustainable basis.

For this case study, the evaluation team first reviewed all activity documents that the Mission provided. The document review included initial environmental examinations (IEEs); solicitations; awards; activity monitoring, evaluation, and learning plans; workplans; climate change analysis documents; and quarterly and annual reports. The team conducted eight remote interviews with A/CORs and IPs for both activities as well as the CIL, MEO, deputy MEO, and Mission supervisory program officer. Due to disruptions related to COVID-19, the team was unable to interview any activity beneficiaries and some Mission personnel were unavailable for interviews.

II. DESCRIPTION OF CLIMATE RISK MANAGEMENT IMPLEMENTATION

STAKEHOLDER PERCEPTIONS OF CLIMATE CHANGE RISKS

USAID interviewees all acknowledged the high level of climate vulnerability in Madagascar and described specific climate impacts on their sectors of interest. In addition, all referred to specific shocks (e.g., tropical cyclones, droughts) and stresses (e.g., long-term temperature increases). Three interviewees discussed region-specific impacts of climate change. All USAID interviewees recognized the value and importance of managing climate risks, and all were familiar with general CRM requirements – although two USAID interviewees were not familiar with the CRM policy. Four of the six USAID interviewees said they received no specific training on CRM.

CLIMATE RISK MANAGEMENT IN ACTIVITY DESIGN

CIL Role in Activity Design

The USAID/Madagascar CIL is part of activity design teams and assists with the initial climate risk screening to identify and rank risks. The CIL reported that he works collaboratively with other members of design teams and that the climate risk rankings are the result of a team effort. He also shares general information on climate risks and sector-specific information if it is available. The CIL also works with design teams to identify potential CRM measures based on the climate risk ratings and to develop the CRM matrix. The CIL said that the tools available via ClimateLinks are useful, especially for

⁷² The CIL also serves as the point of contact for the subregional USAID organization, as well as some public affairs functions.

helping A/CORs understand CRM. Mission staff all valued the CIL's contribution to activity design processes.

CLIMATE RISK MANAGEMENT IN ACTIVITY IMPLEMENTATION

Document Review Findings

IEEs. The IEEs for both activities specifically referenced Automated Directives System (ADS) 201 and CRM requirements. Both IEEs included a general section on climate risks that provided background on climate change in Madagascar,⁷³ but no information specific to the activities themselves. Both IEEs included an annex that outlined specific climate risks and provided further information about the CRM requirements, including definitions of key terms. The ACCESS IEE identified 26 moderate climate risks associated with 9 sub-activities. The risks briefly described how landslides, droughts, increased temperatures, tropical cyclones, and floods could affect the sub-activities. Across the 26 identified risks, the CRM measures fell into three categories:

- Scheduling sub-activities around cyclone/flood season (e.g., “distribution activities should avoid heavy rain periods in [highland] and east regions”);
- Ensuring that infrastructure siting and design consider risks (e.g., “storage logistic and disposal of public health/wash commodities should avoid landslide exposed locations”); and
- Conducting capacity building and trainings for beneficiaries, including the development of a disaster risk reduction module.

The only CRM measure that lends itself to monitoring is capacity building and training. The other two CRM measures are not actions per se, but instead are general design considerations. The IMPACT IEE included nine moderate risks associated with three different activity elements. Like ACCESS, the risks focused on droughts, landslides, floods, tropical cyclones, and increased temperatures (these are likely connected to the general risks identified in the Madagascar Climate Risk Profile). The CRM measures fell into two categories like ACCESS: (1) activities should not be conducted during cyclone season; and (2) activities should not be located in hazard-prone locations. These CRM measures do not require an active response and do not establish clear monitoring options.⁷⁴

Environmental Mitigation and Monitoring Plans (EMMPs). The ACCESS EMMP integrated climate risks with environmental risks and therefore did not address CRM separately. It did not mention CRM measures but indicated that climate risks will be considered throughout activity implementation. This approach is consistent with the risks and mitigation measures the EMMP identified, where climate risks are mainstreamed into overall activity implementation, but it makes tracking and monitoring of CRM impossible. The IMPACT EMMP addressed the general locational risks described in the IEE and prescribed a checklist of considerations for transport and storage of commodities (e.g., store away from humidity, store in a high area to avoid flood damage, store in a robust building). The EMMP also prescribed the use of a supervisory visit checklist to ensure adherence to the aforementioned conditions. The IMPACT EMMP also included training for beneficiaries on climate-safe handling procedures for pharmaceutical commodities, but it is clear that these considerations would be included as part of broader trainings on safe handling.⁷⁵ Lastly, the EMMP included radio/television public service announcements describing how to safely store medical commodities.

⁷³ Both sections reference the Madagascar Climate Risk Profile.

⁷⁴ It should be noted here that monitoring procedures could be developed for situations like this; for example, IPs could utilize a checklist to ensure that climate hazards are considered in siting decisions, and the use of the checklist could be monitored, but these sorts of procedures are currently not in place.

⁷⁵ This is important because in most cases this means there is no reporting on aspects of training that are specific to climate risks. Instead, reporting usually counts the number of people trained in general trainings and it must be assumed that climate risks were bundled into the training. However, IMPACT is exceptional because it specifically tracks training on CRM.

Reporting. Neither of the activities' monitoring, evaluation, and learning plans mentioned climate or climate risks. This is not surprising given the nature of the CRM measures described in the IEE and EMMPs. The first ACCESS work plan indicates generally that the activity will consider climate impacts, but the second work plan does not mention climate or the disaster risk reduction module that the IEE prescribed. The evaluation team was provided one of the “dozens”⁷⁶ of environmental screening forms used to document environmental impacts and compliance for small-scale infrastructure (“rehabilitation of 11 existing toilet blocks and handwashing stations”). This document included a CRM matrix that addressed the 14 actions involved in completing construction with risk ratings (13 of 14 rated moderate) and CRM measures, most of which involved either delaying work until flooding disappears or protecting the construction site from rain. Although the evaluation team reviewed only one environmental screening form (ESF), it is reasonable to assume that other ESFs follow similar procedures. This indicates that climate risks are being considered in the ACCESS activity.

The IMPACT work plans did not mention climate or climate risks, but do indicate that radio/television spots and general trainings were planned. ACCESS reporting documents made no mention of climate or climate risks.⁷⁷ IMPACT reporting documents consistently tracked the measures prescribed in the EMMP, including the numbers of people trained in CRM and of public service announcements. The first IMPACT annual report also indicated that less than 50 percent of storage warehouses for commodities were compliant with CRM considerations stipulated in the EMMP and recommended remedial training and risk analysis.

Environmental Mitigation and Monitoring Reports (EMMRs). As noted above, the Madagascar Mission requires IPs to submit annual EMMRs to track specific environmental compliance and CRM procedures. The evaluation team was permitted to examine one EMMR⁷⁸ but these documents are considered proprietary and are therefore sensitive. The EMMR included a narrative of EMMP implementation and monitoring, any updates to the EMMP, and lessons learned related to environmental compliance and CRM. It also included a matrix describing the status of EMMP implementation and additional supporting documentation as appropriate.⁷⁹ The EMMR that the evaluation team reviewed was clearly scrutinized by the CIL for attention to CRM. Therefore, the evaluation team assumes that the EMMRs are being used to track climate risks and mitigation measures.

Interviews Finding: Mission Personnel

Mission staff said that environmental compliance/CRM reporting for activities is submitted to the CIL and MEO, who review and sign off on reports. Interviewees said the Madagascar Mission uses a special template for CRM reporting (Table 1), but the evaluation team was not able to obtain any examples.

⁷⁶ According to the ACCESS IP.

⁷⁷ The evaluation team was not able to obtain CRM reports but interviewees said these reports are routinely completed.

⁷⁸ The evaluation team treated this one EMMR as indicative of the general format and content of all EMMRs but acknowledges there is no way to test this assumption.

⁷⁹ Due to the sensitive nature of the document, it is referred to in general terms here.

TABLE 1: CRM REPORT TEMPLATE USED BY THE MADAGASCAR MISSION

Project/Activity /Sub-Activity	Mitigation Measure(s) (facing the climate risks identified in the CRMP)	Summary Field Monitoring/ Issues/ Resolution	Outstanding Issues, Proposed Resolutions	Observations & Recommendations
Activity 1				
Activity 2				

IPs are responsible for submitting these CRM reports annually along with their EMMR. Climate risks are also incorporated into environmental screenings that are conducted for small-scale infrastructure and the resulting ESFs. The MEO and CIL then jointly review the ESFs, and the CIL monitors climate risks to construction.

A/CORs said they have regular contact with IPs about activity implementation but issues related to CRM do not normally come up and are left to the CIL. Interviewees said they had no knowledge of any unusual hydrometeorology events occurring during the activity implementation period.

Interview Findings: IPs

IPs displayed a high level of understanding of the CRM requirements and acknowledged that climate change poses risks to activity implementation and the sustainability of outcomes. The IPs explained that they formulate their EMMRs with assistance from the CIL. One IP explicitly mentioned that the activity trains beneficiaries on managing climate risks.⁸⁰ The IPs also said that climate risks (e.g., tropical cyclones, flood risks) are considered in the siting and design of activity infrastructure, including latrines, washing stations, and water point construction. Consideration of these risks is part of the overall environmental analysis for these improvements.

However, IP interviewees also voiced emphatic concerns about the environmental compliance procedures (which include CRM screening) for small infrastructure: “It is a major struggle to provide the documents required by USAID.” These concerns included the level of detail required for small-scale improvements, the workload (“it takes a whole team”),⁸¹ inconsistency in evaluating ESFs, and perceived lack of fairness (“they don’t have to do this in other countries”). The requirement that documents be in English was also seen as an obstacle for French/Malagasy-speaking staff. IPs also indicated that the procedures increase activity costs. One IP said the procedures cause IPs to pay closer attention to environmental and climate risks, but it was clear from the interviews that IPs were dissatisfied with the requirements: “I don’t know if it’s worth it, but I wish it wasn’t so complicated”. IPs did not distinguish between general environmental compliance and CRM, but (as noted in the Document Review Findings section above) these complaints likely refer to general environmental compliance requirements.

Although IPs said that CRM is useful in encouraging them to “think through things,” they also said that managing climate risks is already generally accepted as best practice in their sectors. They indicated that the major climate risk addressed in their climate risk analysis was heavy rainfall. This was addressed by working around the rains.

⁸⁰ The IP referred specifically to the disposal of medical waste so it would not be disturbed by tropical cyclones and extreme rains.

⁸¹ The IPs were suggesting that meeting the requirements takes a whole separate team specifically focusing on compliance.

III. ANALYSIS OF CLIMATE RISK MANAGEMENT INTEGRATION INTO MISSION ACTIVITIES

GENERAL OBSERVATIONS

The CIL plays a critical role in prioritizing CRM at USAID/Madagascar, and his colleagues described him as a “CRM champion.” Most CRM tasks seem to be routed to him, as explained by one interviewee who noted that “I think for a complicated issue like this, I think many of us find it easier just to refer to the person who has the expertise than to try and dive into the guidance.” Interviewees reported that this is because they are very busy. Interviewees indicated that the CIL has pushed for CRM integration into the CDCS. One interviewee stated explicitly that CRM would not get as much attention in the Mission without the CIL calling attention to it.

Based on the interviews, IPs feel that the environmental compliance procedures in the Mission are inefficient and need significant improvements. Because CRM is bundled with environmental compliance, the negative perceptions that IPs have of environmental compliance are also targeted towards CRM.

Another emerging issue in Madagascar might be referred to as the “absorptive capacity” for CRM. Absorptive capacity in the development context refers to the ability of the host country to effectively utilize development aid. In some cases (e.g., small island development states), the country’s labor market might not be able to supply all the labor required for a large infrastructure project, or government agencies may not be able to handle the coordination and workload required if there are too many projects happening at the same time. IP interviewees noted that it is difficult to find people with adequate skills and knowledge about climate change and climate risks, and this is an obstacle to implementing CRM throughout the activity. In other words, the demand for climate change professionals in Madagascar may be greater than the supply. This suggests that a greater emphasis on capacity development for CRM may be warranted. Interviewees expressed a need for training resources for activity personnel, but there is also a need to create a training pipeline of professionals who have climate change skills and expertise. To this end, investments in short courses for professionals and in integrating climate risk considerations in curricula at high schools, vocational academies, and universities may be considered.

MISSION STAFF PERCEPTIONS OF CLIMATE RISK MANAGEMENT IMPLEMENTATION

All Mission staff interviewees viewed CRM positively and did not see any major weaknesses or gaps in the CRM policy or its implementation. The MEO said that Mission personnel accept CRM as part of their professional duties, attend CRM trainings when they are available, and follow the established procedures for CRM. The MEO said this indicated a high level of professional support and buy-in, but there is still work to be done to strengthen implementation. The MEO said that Mission leadership strongly supports CRM and that the mission director makes it clear to staff that CRM is a Mission priority through his statements at environmental compliance and CRM trainings. The MEO also said that IPs are now used to CRM procedures and routinely fulfill the reporting requirements.

Mission staff were familiar to varying degrees with the CRM tools and resources available on ClimateLinks and view these resources as useful. No USAID interviewee perceived CRM as creating extra work or as burdensome. Interviewees highly valued the existence of the CIL position and the CIL’s expertise and approach to his job. All interviewees indicated that they felt well supported on CRM by the CIL, the Africa Bureau, and USAID/Washington staff.

Lastly, interviewees were all optimistic about the benefits of the CRM policy, since they all understood Madagascar is particularly vulnerable to the impacts of climate change. Three interviewees said that CRM is having a spillover or demonstration effect on local partners, private sector contractors, and the national government.

STAKEHOLDER RECOMMENDATIONS FOR IMPROVEMENT

All interviewees provided suggestions for improving CRM implementation. These recommendations can be grouped into three categories:

- **Additional training and capacity development.** As noted above, almost all interviewees cited a lack of capacity for CRM. Interviewees suggested several areas where training was needed, particularly in French. These areas included IPs' general awareness of climate risks, a CRM and climate proofing training for IPs and infrastructure contractors, and sector-specific training opportunities.
- **Improving guidance for environmental compliance and CRM.** Both Mission and IP personnel commented on inconsistencies and other challenges in implementing environmental compliance and CRM. Suggestions for improvement included providing better guidance for IPs on screening climate risks, clarifying CRM terminology, standardizing language in solicitations and post-award briefings to clarify the roles and responsibilities of IPs and USAID staff, and establishing and disseminating clear guidelines for IP reporting with example rubrics for understanding how reports are evaluated.
- **More localized/sub-national data and information that would make it possible to conduct more detailed and location-specific climate risk assessments.** Interviewees said that some subnational information is currently available but is not sufficient to support effective planning and design in certain areas and sectors.

IV. CONCLUDING REMARKS

Overall, CRM at USAID/Madagascar is relatively advanced compared to other missions. The Madagascar Mission benefits from the CIL's excellent leadership on CRM, and there is good teamwork between the CIL and the MEO. Furthermore, the CIL and the MEO have taken steps to improve the efficiency of CRM to minimize additional work for IPs, and there are Mission-specific innovations to establish standard operating procedures and templates for CRM.

The templates and monitoring procedures the Mission developed could serve as examples of best practices and Mission-level innovation and adaptation of CRM to meet local needs. However, as both Mission personnel and IPs pointed out, Madagascar has a limited number of skilled professionals, so a longer-term approach to building capacity for CRM is needed.

Case Study: USAID/Uganda’s Implementation of the Climate Risk Management Policy

CASE STUDY OVERVIEW

This case study is one of four conducted in conjunction with the performance evaluation of USAID’s climate risk management (CRM) policy. The case studies add nuance and depth to the overall analysis by examining specific USAID mission activities assessed with moderate to high climate risks. The Uganda case study includes findings and conclusions from 13 key informant interviews conducted with Mission staff, implementing partners (IPs), and one beneficiary, as well as a rigorous review of documentation for the five moderate- to high-risk activities included in the evaluation.

Key findings and conclusions from the Uganda case study include:

- Climate change considerations have been well integrated into activities implemented in Uganda. However, CRM measures and procedures for monitoring CRM in activity implementation are still ambiguous.
- IPs understand the purpose and importance of the CRM policy but have difficulty translating initial environmental examinations (IEEs) and environmental mitigation and monitoring plans (EMMPs) into day-to-day actions. IPs also face difficulties finding qualified personnel to implement and monitor CRM measures.
- While CRM has been integrated into USAID/Uganda’s country development cooperation strategy (CDCS) and significant progress has been made in raising awareness and securing buy-in, the climate integration lead (CIL) is still primarily responsible for CRM tasks and there has been minimal burden sharing with other staff.

I. BACKGROUND ON CLIMATE RISK MANAGEMENT IN UGANDA

COUNTRY AND MISSION CONTEXT FOR CLIMATE RISK MANAGEMENT

Uganda is among the most vulnerable countries in Africa to climate change.⁸² Uganda’s Vision 2040 strategic development plan acknowledges that climate change affects all sectors of Uganda’s economy and prioritizes adaptation as part of a broader program of socioeconomic development.⁸³ The country depends on the agriculture sector for 25 percent of its gross domestic product and more than 70 percent of the labor force is employed in agricultural activities. This makes the country particularly sensitive to changes in climate conditions. In addition, high population growth and health sector challenges (e.g., lack of adequate health infrastructure) have contributed to high levels of vulnerability to climate change.

The goal of USAID/Uganda’s current CDCS is to ensure that the country’s “systems are accelerating inclusive education, health, and economic development.” The Mission updated its CDCS in 2016 and the CDCS was one of the first to include CRM.⁸⁴ An annex to the CDCS discusses climate risks, drawing on analyses conducted by USAID and the Government of Uganda to identify potential risks under the CDCS’s development objectives. The climate risk screening conducted for the CDCS examined risks to six program areas (agriculture/market systems; energy and infrastructure; health; water; education and youth; and biodiversity) across the CDCS’s 3 development objectives and 12 intermediate results. The CDCS identified several moderate and high risks (mostly related to agriculture/market systems, health, and water sectors) and described how the strategy addressed these risks. The CDCS also included a

⁸² The ND-Gain global index ranks Uganda as 166 of 181 countries in terms of vulnerability to climate change.

⁸³ Uganda National Climate Change Policy, 2015.

⁸⁴ The CDCS can be accessed at <https://www.usaid.gov/uganda/cdcs>.

decision tree to illustrate the requirements of the Automated Directives System (ADS) mandatory references for CRM (201mat and 201mal) as clear steps in the project and activity design process.

The Environment and Natural Resources unit within the Mission's Office of Economic Growth handles CRM. The CIL is taking over the role from the outgoing CIL, who is transferring to another mission. Over the past several months, the incoming and outgoing CILs have been working to support design teams in conducting climate risk assessments and identifying management options as "on-the-job training." The incoming CIL works as a project management specialist in the Environment and Natural Resources unit; prior to joining the Mission he worked on environment and climate change projects for other development partners. The incoming CIL has also taken advantage of internal training opportunities since joining the Mission in 2014, including trainings related to CRM.

CASE STUDY METHODOLOGY

The evaluation team examined five USAID/Uganda activities that were assessed as having medium to high climate risks:

- **Apolou Food for Peace (Apolou) (2017-2022; \$41M)** seeks to improve food and nutrition security for vulnerable households including 310,000 people.
- **Graduation to Resilience (G2R) (2018-2024; \$36.7M)** aims to "graduate extremely poor refugee and Ugandan households from conditions of food insecurity and fragile livelihoods to self-reliance and resilience" by providing capacity development and coaching.
- **Integrated Community Agriculture and Nutrition (ICAN) (2018-2023; \$23.2M)** is USAID/Uganda's "flagship resilience project" (Year 1 Annual Work Plan, page 5). It aims to enhance the resilience of vulnerable households by increasing economic opportunities, improving nutrition, and strengthening community and local governance.
- **Nuyok Food for Peace (Nuyok) (2017-2022; \$34M)** seeks to build resilience to shocks, enhance livelihoods, and improve food security and nutrition.
- **Securing Peace and Prosperity (Securing Peace) (2017-2019; \$1.4M)** is part of a global program designed by the Office of Conflict Management and Mitigation under the Bureau for Democracy, Conflict, and Humanitarian Assistance that supports conflict resolution and peace-building in post-conflict areas.

Three of these five activities (Nuyok, Apolou, and G2R) are Food for Peace (FFP) activities. USAID/Washington agreement or contracting officer's representatives (A/CORs), with support from Uganda-based activity managers, administer two of these FFP activities. FFP activities are slightly different than activities that originate from the Mission, and this affects CRM implementation (discussed below). Three activities (Apolou, Nuyok, and Securing Peace) are implemented in the Karamoja region in northeastern Uganda. Karamoja is a priority area for USAID/Uganda that the CDCS describes as "an isolated and extremely vulnerable area of northeastern Uganda...Karamoja lags far behind every other district in Uganda in human development indicators." The proximity of these activities to each other allows for some coordination between them.

The evaluation team first reviewed all activity documents that the Mission provided. The document review included IEEs; solicitations; awards; activity monitoring, evaluation, and learning plans; work plans; climate change analysis documents; and quarterly and annual reports. The team conducted remote interviews with A/CORs for 4 activities⁸⁵ and IPs for all 5 activities, the outgoing and incoming Mission CILs, and 1 activity beneficiary (13 interviews total). IP interviewees included the activity chief of party and one or more support staff.⁸⁶ COVID-19-related disruptions prevented the team from interviewing

⁸⁵ The FFP activities have a single USAID/Washington AOR and two Uganda-based activity managers, and the evaluation team interviewed all of them.

⁸⁶ The number of interviewees per activity were: Nuyok (3), Apolou (2), G2R (5), Securing Peace (2), and ICAN (3).

as many activity beneficiaries as planned, and some Mission personnel were unavailable for interviews. In addition, the team had very limited access to beneficiaries due to technical and logistical difficulties in setting up remote interviews and the general risk to beneficiaries.⁸⁷

II. DESCRIPTION OF CLIMATE RISK MANAGEMENT IMPLEMENTATION

STAKEHOLDER PERCEPTIONS OF CLIMATE CHANGE RISKS

All USAID stakeholders acknowledged the high climate vulnerability in Uganda and described specific climate impacts on their sectors of interest. In all cases, USAID stakeholders felt that climate change considerations were well integrated into the overall activity design. IPs all understood climate change to be a significant development challenge in Uganda, and the one beneficiary interviewed also described being affected negatively by changing hydrometeorological conditions. Interviewees perceived several changes to climate conditions and associated impacts in Uganda, including:

- Delayed onset of the rainy season (Nuyok, Apolou).
- Changing weather patterns leading to increased incidence of malaria (Nuyok).
- Drought (Apolou, Securing Peace). The Securing Peace IPs perceived drought to be elevating the risk of conflict over natural resources and to be driving more seasonal migrations of people.
- Higher incidence of livestock disease due to heavy rains (Apolou).
- Mudslides due to increased rainfall (ICAN).

CLIMATE RISK MANAGEMENT IN ACTIVITY DESIGN

Role of the CIL in Activity Design

For Mission-level activities, the CIL works with design teams to formulate the climate risk assessment and determine CRM options. The CIL says there is good teamwork during the design stage, and he sees his assistance to the teams as serving an important capacity development function that will eventually enable design teams to conduct the climate risk assessment on their own. The CIL also helps craft the language to include in activity approval memos. Working with the design teams, the CIL then helps design teams develop CRM options and recommendations for IEEs and solicitations. The CIL credits the training and support he received on CRM with helping enable him to provide good support. The CIL also said that the CRM matrix tool and guidance from ClimateLinks⁸⁸ is useful and that the resources available on the platform help design team members understand the purpose of the CRM assessment.

Document Review Findings

Three of the activities prominently featured climate change in their problem formulation and overall development approach,⁸⁹ so climate change is therefore integrated into concept that informs the design of those activities. Two of the three FFP activities (Apolou and Nuyok) originated from the same solicitation, which advised applicants that CRM should be

“[Climate change] is really baked into a lot of what we do [...] you can’t really operate in Karamoja without thinking about it.”

- IP

⁸⁷ The one beneficiary interviewed was a female farmer participating in the Nuyok FFP activity. To organize the interview, the implementation partner identified a suitable candidate, provided transportation to an office with internet capability, and provided translation.

⁸⁸ <https://www.climatelinks.org/resources/climate-risk-screening-management-tool>

⁸⁹ The evaluation team could not obtain the solicitation or award documents for the Graduation to Resilience activity. However, based on the language in the IEE and that this is an FFP activity, it can be inferred that climate change considerations were part of the activity design. The Securing Peace activity does not specifically address climate change impacts in its design, but indicates that by building community conflict resolution capabilities, the communities will be more prepared to adapt to climate stresses.

“logically integrated throughout the body of the application” and provides a template CRM matrix. The IPs’ proposals were included in the awards, and in both FFP activities the proposals included preliminary CRM analyses that identified potential risks at the purpose (Apolou) or intermediate outcome (Nuyok) level.

ICAN is the third activity that included climate change in the activity design, and it is partially funded by Global Climate Change funds. As USAID/Uganda’s “flagship resilience project,” climate change is well integrated as a driver of vulnerability, and adaptive capacity to climate change is seen as a component in building resilience. The ICAN solicitation included the FFP climate risk profile (2017) as an attachment, implying that applicants should reference the analysis in their proposals. The award did not reference CRM specifically, but described how the activity will help vulnerable communities build resilience to climate risks, referencing eight activities.

CLIMATE RISK MANAGEMENT IN ACTIVITY IMPLEMENTATION

Document Review Findings

The evaluation team examined IEEs for three of the five activities, but the different rules that govern the activities made consistent analysis difficult. The two FFP activities required the IPs to formulate the IEE during the first year of implementation. Both FFP IEEs referenced FFP’s climate risk profile. The IEEs for Apolou and Nuyok identified 23 and 13 risks, respectively. In both activities, the identified CRM measures referred to actions that are already embedded in the activity designs. This is also the case for the G2R, which identified six moderate or high risks. Table 1 provides illustrative examples.

TABLE 1: CRM INTEGRATION IN ACTIVITY IMPLEMENTATION

Activity Element	Risk	CRM Measure
Nuyok: “Activities supporting peace committees to develop and implement conflict mitigation and management plans”	“More frequent and severe shocks and stresses could increase conflict over natural resources” (Moderate)	“Build capacity of traditional and formal leadership structures to identify and address risks for increased conflict”
Apolou: “Promotion of a set of specific WASH behaviors, included in the evidence-based Essential Hygiene Actions framework, identified gaps between awareness and adoption, and promote key behaviors and habit-forming practices”	“Water scarcity due to prolonged dry spell” (Moderate to High)	“Promote appropriate and sustainable water harvesting, storage, and utilization technologies (e.g., rainwater and floodwater harvesting)”

As these examples show, the matrix identified climate change risks that contribute to the overall development problem the activity addressed, rather than specific risks to activity implementation and the sustainability of outcomes. The CRM matrices are comprehensive and indicated that implementation teams considered potential climate impacts, but there is no indication of changes to the activity design or implementation. There were also no specific monitoring measures identified. This suggests that the CRM matrix serves a due diligence function for these activities rather than leading to any additional measures to reduce risks to the activity. Further supporting this conclusion is the fact that documentation for both Apolou and Nuyok explicitly stated that climate change has been systematically integrated into the activity designs (e.g., “Mercy Corps and its partners have fully integrated environmental safeguards and climate risk management strategies into Apolou design, ensuring that

support mechanisms exist at all levels of activity implementation” [Apolou IEE p4]). There is no indication of any CRM integration in any of the documents related to Securing Peace.

Beyond the IEEs and EMMPs, there were few if any references to CRM in activity MEL plans, work plans, or reporting documents. Where climate indicators occurred, they were taken from Global Climate Change Standard Indicator Handbook.⁹⁰ None of the work plans and reporting documents the team reviewed mentioned CRM.⁹¹ The documents did track climate-smart agriculture practices, which in some EMMPs were referenced as CRM measures. However, these references appeared to be connected to the activity logical framework rather than the EMMP, suggesting that the measures are connected to activity elements that are already built into the activity design, rather than being connected to the CRM policy. Other mentions of “climate” were generally limited to boilerplate activity descriptions or related to the aforementioned Global Climate Change indicators. In one case, activity beneficiaries said that drought and theft caused the loss of 66 of 150 trees in a tree planting campaign. Overall, these documents provided little indication that climate risks are being monitored or whether CRM measures (other than climate-smart agriculture) are being implemented.

Interview Findings

There are no standard CRM procedures for activity implementation in Uganda, so CRM varies by activity. All but one A/COR and activity manager interviewed said that the MEO and CIL are primarily responsible for CRM monitoring during activity implementation. One A/COR viewed implementation as primarily the IP’s responsibility (suggesting a more relaxed approach), while another explained that (s)he is very “hands on” with environmental management and CRM. None of the A/CORs or activity managers said that CRM altered their approach to managing their activities.

With respect to monitoring, the Apolou COR said the IP is required to submit environmental status reports annually. The USAID/Washington COR, USAID/Uganda activity manager, and MEO review these reports. However, the COR noted that CRM monitoring is not happening and attributed this to excess workload on the part of the A/CORs. The CIL and MEO mainly conduct field monitoring for environmental and CRM compliance but there is no standard compliance monitoring and reporting form or general compliance report template.

All IPs said that climate change is considered in the design process because of Uganda’s high vulnerability to climate change impacts. Three of the five IPs said that the CRM matrix was useful in designing or refining activity elements. For example, the G2R IP said they examined each aspect of the activity to determine the climate risk potential and understand what CRM measures should be taken. In the three large FFP activities (Nuyok, Apolou, G2R), interviewees said they hired a consultant/consulting firm to prepare the IEE and EMMR. In all these cases, interviewees said their teams did not have the requisite expertise to fulfil environmental compliance at the beginning of implementation and discussions with the Mission led the IPs to hire environmental specialists.

All IPs indicated they received some Mission support on environmental compliance and CRM, including training on environmental compliance and CRM, but they would also like more support. All IPs reported discussing CRM during activity implementation with their A/CORs, but in three cases the IPs appeared to conflate CRM with general environmental compliance, so it is difficult to know what specific aspects of CRM implementation would benefit from additional capacity development and support. The ICAN IP said they discuss perceived climate change impacts (e.g., landslides resulting from heavy rains) as they happen.

⁹⁰ <https://www.climatelinks.org/file/2150/download?token=AQJRxWqy>

⁹¹ The one exception is G2R reporting documents, which provided updates on the Environmental Impact and Climate Risk Assessment that was commissioned for the activity but did not reference specific CRM actions beyond the assessment.

III. ANALYSIS OF CLIMATE RISK MANAGEMENT INTEGRATION INTO MISSION ACTIVITIES

GENERAL OBSERVATIONS

The KIIs indicated that CRM is largely being outsourced to the Mission CIL and to a lesser extent (in the FFP activities) to the USAID/Washington CIL. Three interviewees admitted they knew little about the CRM policy, had never been trained, and were not familiar with the tools. A fourth interviewee observed that the tools are not particularly useful. At the same time, interviewees felt that the CIL's function was to handle CRM, and one interviewee said that the CIL handles all CRM tasks for the Mission.⁹² It is therefore reasonable to assume that if Mission staff were more involved in CRM tasks, they might find the tools and resources more useful. To justify why the CIL does nearly all the CRM work, one A/COR referred to the CIL's experience and professional network as a major asset enabling him to do CRM effectively.

At the same time, the ICAN COR's personal initiative has driven CRM integration in that activity. These findings strongly suggest that individual initiative influences CRM's effectiveness and that CRM has not been institutionalized via standard operating procedures and accountability mechanisms. The CIL also noted that CRM requires him to do more work, but insisted that the additional work is "welcome." He said that additional work is needed to streamline CRM and build capacity so A/CORs could be more active in implementation. Streamlining in this case refers to reducing the time requirements for CRM. The outgoing and incoming CILs both mentioned that they were working to recruit "CRM champions" among Mission staff to advocate for greater integration of CRM into mission activities. They are also working to establish a Mission CRM working group or network to share experiences and provide peer support for CRM tasks. This indicates that efforts are underway to increase awareness of CRM in the Mission and to integrate it more fully into A/COR duties. This is potentially an area where more USAID/Washington support would be useful.

There is also still a significant gap between CRM in design and in implementation, and there is a tendency for active work on CRM to cease after the EMMP is developed. Two interviewee anecdotes are illustrative in this regard. In one case, an A/COR said that (s)he came to realize that the risks to the activity were rated too high (i.e., activity elements that should have been rated low were rated as moderate or high risk). The A/COR attributed this to a lack of experience with the rating system, but also observed that this inflation in risk ratings had no impact on activity implementation. In the second case, the A/COR admitted that (s)he only knew which elements were rated as moderate or high risk because (s)he reviewed the paperwork in preparation for the interview with the evaluation team. The A/COR admitted that it had not occurred to him/her to pay attention to the moderate- and high-risk elements of the activity.

UGANDA MISSION STAFF PERCEPTIONS OF CLIMATE RISK MANAGEMENT IMPLEMENTATION

Mission staff had varying perceptions of CRM's effective implementation. The incoming CIL observed that CRM implementation varied by activity and key variables for effective implementation were IP capacity and A/COR interest and commitment. At the same time, the outgoing CIL observed a gradual change in staff perceptions toward CRM since the policy's rollout. When the policy was first introduced, she experienced some pushback from Mission staff who were concerned that there was no budget or other resources to comply with the policy. However, she said that most stakeholders now recognize that climate risks need to be addressed because of the potential adverse effects on USAID investments in Uganda. This is presumably due to the CIL's efforts to raise awareness. She described an evolution of increased awareness and understanding about the policy's purpose. This supports the evaluation's

⁹² This includes filling out the CRM matrices and ensuring that CRM language is included in activity solicitations.

overall conclusion that there has been progress in raising awareness of the policy’s relevance and gaining acceptance from stakeholders that CRM adds value to USAID investments.

The ICAN COR expressed that CRM is an element of good activity design, indicating that the CRM policy itself had no influence on the design of the activity, but also viewed the policy positively for its relevance to other activities. She described her own “hands-on” efforts to work with the ICAN IP, encouraging the team to coordinate with other initiatives to identify ways to enhance the activity’s resilience and outcomes. For example, she said that she pushed the team to reach out to Uganda’s National Agriculture Research Organization to explore the possibility of integrating their work on water harvesting methodologies into the activity. She said that she works closely with the IP, but they rarely if ever discuss CRM specifically; rather, climate risk concerns are woven into broader discussions about the activity’s progress toward its targets and objectives. The COR also viewed the extra work required to integrate CRM as part of her job, but shared the view that many A/CORs are not doing CRM. This provides further support to the conclusion that effective CRM implementation is largely dependent on the A/COR’s initiative and commitment. Of all the A/CORs interviewed, the ICAN COR was most concerned with climate change issues. This may partially be attributed to her technical background and advanced training in agronomy; other A/CORs said they had no background in climate change.

USAID interviewees stated that IPs lack the capacity to meet environmental compliance requirements and that it was difficult to translate CRM from the design stage into day-to-day implementation. Two A/CORs observed that IPs did not initially have the capacity and skills to address the general environmental compliance requirements and this led to extended periods of revision and review of environmental compliance and CRM documentation. These difficulties were only resolved when the A/CORs authorized hiring specialists to prepare the documentation and handle the environmental compliance monitoring throughout implementation. The A/CORs also said that IPs requested training on CRM (“constantly asking and wanting more guidance and training”), but at the same time the A/CORs were unsure if capacity building on environmental compliance and CRM should be USAID’s or the IP’s responsibility. This suggests that a potential area of improvement is to clarify the roles of USAID and IPs with respect to building capacity on CRM and environmental compliance. Additionally, if USAID decides that it is the Agency’s responsibility to ensure that IPs have the capacity to implement CRM, then additional capacity development and technical resources aimed at IPs may need to be developed.

All USAID interviewees said that CRM monitoring could be improved. The most common barrier mentioned was lack of time; interviewees said there are too many activities and not enough time to conduct field visits. Interviewees also pointed to a lack of guidance and procedures for monitoring CRM, and one mentioned that even when (s)he conducts field visits, (s)he doesn’t know what to look for (“I am most concerned with making sure what they are writing in the [quarterly reports] is actually happening”). The incoming CIL pointed to the inconsistency of monitoring and suggested that procedures and tools to enable IPs to self-monitor CRM implementation would be very useful. The outgoing CIL also observed a need to improve the process for working with A/CORs and IPs to reach a clear understanding of what is being monitored, why it is being monitored, and how the monitoring information should be used. One interviewee said that during the initial climate risk rating, the IP had characterized some risks as “high” but upon reflection the A/COR said the risk ratings were too high. Interestingly, the AOR/COR also said that the high-risk rating had no impact on implementation.

IMPLEMENTING PARTNER PERCEPTIONS OF CLIMATE RISK MANAGEMENT IMPLEMENTATION

All IPs understood the CRM policy’s relevance. The G2R IP enthusiastically said that conducting the risk analysis helped make them more aware of climate risks. The ICAN IP also viewed CRM positively and indicated that the Mission’s support had been good and helped them build the capacity for managing climate risks, which they did not have at the activity’s beginning. However, the ICAN IP also said that the accuracy and reliability of climate change information is a challenge for planning. The Nuyok IP also

viewed CRM as worthwhile but described significant challenges in disseminating the importance of CRM to their entire staff.

The IPs for the FFP activities (Apolou and Nuyok) said the requirement to develop the IEE during the first year of implementation led to significant delays, which had not been considered when the IPs first developed their proposals. The Nuyok IP suggested allowing more time to formulate the IEE before actual implementation begins, or moving the climate risk screenings to the design phase to be conducted by the USAID design team. At the same time, the A/COR noted that the IEE prepared by the IP needed several rounds of revisions. This suggests the IP did not understand USAID's expectations for the IEE and lacked technical competency. The delays caused by conducting risk analysis after implementation started suggests that establishing a flexible mechanism that could pre-approve small-scale infrastructure could improve CRM's implementation and overall efficiency. This might include pre-approved designs for certain types of projects).

The Nuyok IP also noted that when they prepared the IEE they could not anticipate all the specific locations where they would be installing boreholes or building feeder roads over the life of the activity, so they did not conduct a comprehensive climate risk assessment upfront. Instead, when specific sites were decided, they had to prepare an environmental reporting form for every site and this process caused delays. The A/COR for a different activity also mentioned this issue, pointing out that it is difficult for IPs to ensure they follow all guidelines when there are many "mini-activities." This further indicates that streamlining compliance procedures could improve the efficiency of implementation.

The FFP IPs also felt that climate considerations were well integrated into activity design but the extra CRM requirements created additional difficulties, perhaps because there are no standardized procedures for monitoring and reporting. The Nuyok IP said that the general environmental compliance (IPs included CRM with environmental compliance) requirements were difficult to manage and sometimes "go beyond what is practically feasible". The IP also said that it is difficult to effectively track the compliance measures but this is required to formulate the environmental status reports.

IV. CONCLUDING REMARKS

The Uganda case study suggests encouraging progress since the CRM policy's rollout. Climate risks are well integrated into the Mission's CDCS and the outgoing CIL led the development of a decision tree to help Mission staff understand how to incorporate CRM into activity design processes. The Mission continues to benefit from the CIL's strong leadership on CRM. There are also strong indications that Mission staff and IPs understand the importance of factoring climate risks into activity design and implementation and are receptive to the CRM policy. However, currently CRM tasks are largely siloed at the Mission and there is more work to be done in incorporating CRM into activity management and implementation. It is also clear that the lack of in-country professionals with CRM skills (and general environmental compliance skills) is a significant limiting factor for IPs.

The case study indicates that the Uganda Mission may benefit from additional support in establishing standard operating procedures, monitoring tools and templates, and other job aids for A/CORs and activity managers. The case study also indicates that more staff on implementation teams may be useful in advancing CRM's effective implementation at the activity level. IPs would likely benefit from more frequent and in-depth capacity building opportunities for CRM and environmental compliance.

Annex B: Evaluation Statement of Work

EVALUATION OF CLIMATE RISK MANAGEMENT AT USAID

I. Introduction

The U.S. Agency for International Development's Bureau of Economic Growth, Education and Environment (USAID/E3) seeks to undertake a performance evaluation of the climate risk management requirement of the ADS 201 mandatory reference ([ADS 201mat](#)): "Climate Change in USAID Country/Regional Strategies" and the ADS 201 mandatory reference ([ADS 201mal](#)): "Climate Risk Management for USAID Projects and Activities". These are referred to collectively below as the "CRM policy". ADS 201mat became effective on October 1, 2015 and ADS 201mal on October 1, 2016. This evaluation will be conducted under the E3 Analytics and Evaluation (E3A) award. The USAID Activity Manager for this evaluation will be Anjali Richards (E3/GCC) until her fellowship concludes in Q1 of CY2020. The Technical Lead for the evaluation, and Activity Manager upon Anjali's departure, is Rebecca Nicodemus (E3/GCC). The Contract Officer's Representative (COR) for the E3A award is Bhavani Pathak (E3/PLC).

2. Background

Per [ADS 201mal](#), "The adverse impacts of climate change, including sea-level rise, increases in temperatures, more frequent extreme precipitation and heat events, more severe droughts, and increased wildfire activity, along with other impacts of greenhouse gas emissions, such as ocean acidification, threaten to roll back decades of progress in reducing poverty and improving economic growth in vulnerable countries, compromise the effectiveness and resilience of U.S. development assistance, degrade security, and risk intranational and international conflict over resources... The impacts of climate change can also compound social, political and economic stresses. At the same time, climate change challenges offer important opportunities and incentives to take actions that contribute to development. By considering climate risks and opportunities at the strategy, project and activity level as part of the planning and design process, USAID can increase the sustainability and impact of its investments."

Climate risk management (CRM) is the process of assessing, addressing and adaptively managing climate risks that may impact the ability of USAID programs to achieve objectives. For USAID's purposes, climate risks are potential negative consequences due to changing climatic conditions. The goal of CRM is to both render USAID's work more climate resilient (i.e., better able to anticipate, prepare for and adapt to changing climate conditions and withstand, respond to and recover rapidly from disruptions) and to avoid maladaptation (i.e., development efforts that inadvertently increase climate risks). Considering climate change and addressing as appropriate is required for USAID Policy documents per [ADS 200maa](#), "Guidance on Writing and Reviewing Development Policy," and Country/Regional Strategies per [ADS 201mat](#): "Climate Change in USAID Regional/Country Strategies". Climate risk management is required for USAID Projects and Activities per [ADS 201mal](#): "Climate Risk Management for USAID Projects and Activities". ADS 200mat became active October 1, 2015 and ADS 200maa and ADS 201mal on October 1, 2016. At the strategy level (ADS 201mat), there are three requirements: 1) climate risk management, 2) climate change mitigation, and 3) additional requirements for missions with Global Climate Change (GCC) funding. This evaluation will focus on the climate risk management requirement of ADS 201mat (strategies) and ADS 201mal (projects and activities) in its entirety.

At USAID the CRM policy builds upon the momentum of a previous strategy, guidance, and funding, e.g., [Adapting to Climate Variability and Change Guidance Manual \(2007\)](#), the [Climate Change and Development Strategy \(2012-2018\)](#), the previous required ADS supplemental guidance for Integrating Global Climate Change in country/regional strategies (2012) that was replaced with ADS 201mat, and focused adaptation funding in a number of operating units (and related guidance, e.g., [Climate Resilient Development: A Framework for Understanding and Addressing Climate Change \(2014\)](#)). In addition, there are sectors that, previous to the CRM policy, recognized, at least to an extent, that considering climate variability and change is important, e.g., water, agriculture, resilience. Additionally, there are individuals at the Agency, regardless of guiding documents, requirements, or funding, that recognize that managing climate risks is critical to the success of their programming. There is also past evidence that climate variability and change is not always taken into consideration when it appears it should be (see, for instance, potential integration versus actual integration in the [Integration Climate Change in USAID Activities study \(2015\)](#)).

USAID's partner countries recognize that climate change can impact their development goals and many have prioritized actions to adapt to climate change and build climate resilience. See, for instance, National Adaptation Plans and Nationally Determined Contributions. Further, managing climate, weather, disaster and/or environmental risks to program objectives is common practice within the donor community, e.g., [World Bank](#), DFID and GIZ. Finally, the private sector is making progress in recognizing and addressing the potential impact of climate change on operations, investments, portfolios, etc. For instance, based on a Carbon Disclosure Project survey of 1,603 companies, more than half of reporting companies expect that climate change will increase their operational costs (56 percent) and 17 percent expect that at least one identified climate risk could result in an 'inability to do business' for a particular geography or time period.⁹³

In addition to climate risk management, there are other issues at USAID that work to integrate across sectors and throughout the Program Cycle. For instance, [ADS 205](#), provides guidance on Integrating Gender Equality and Female Empowerment in USAID's Program Cycle. In 2015-2016 an assessment was conducted to examine whether and to what extent the requirements of the Gender Equality and Female Empowerment Policy are being implemented, to identify successes and challenges encountered in implementing the Policy, to gather information about the impact of the Policy on USAID's programming and development results, and to identify gaps and lessons learned that can be used to strengthen the Agency's work on gender equality and female empowerment moving forward. Other sectors that integrate across Agency programming include youth, LGBTI, financing self-reliance, and environmental compliance.

At USAID, support for the CRM policy includes the ADS mandatory references; a network of Climate Integration Leads (CILs) in Bureaus and Missions; a multi-bureau working group; a host of technical resources⁹⁴ that support the different stages of CRM, including 79 Climate Risk Profiles, 72 Greenhouse Gas (GHG) Emissions Factsheets, and a Climate Risk Screening and Management Tool with nine sector annexes; and awareness-raising and capacity-building efforts, including in-person and online training courses. The multi-bureau working group consists largely of Bureau-level CILs. Most all resources to support climate risk management are externally available to USAID implementing partners and other interested parties.

The ADS mandatory references provide requirements ("must") as well as suggestions ("should", "may", "are encouraged") for how to undertake climate risk management. In terms of requirements, from ADS 201mat, design teams must identify climate risks to their development objectives, then assess them as

⁹³ <https://www.nature.com/articles/s41558-018-0340-5>

⁹⁴ See [Climate Risk Management: Resources and Training](#)

low, moderate or high. If moderate or high climate risks are present, the design teams must address them either by integrating measures in the current stage of the Program Cycle⁹⁵ or identifying measures appropriate for future stages of the Program Cycle. The mandatory reference also states that in some cases, the design team may accept a/some risk(s) upon consideration of tradeoffs and how USAID can best achieve its development objectives. Finally, ADS 201 mal states the CRM processes and results—including identified climate risks, risk ratings, how risks are addressed, opportunities and any further analysis needed—must be documented in Project Appraisal Documents (PADs) and Environmental Impact Assessment (EIA) Documentation (e.g., Initial Environmental Examination (IEE)).⁹⁶ The mandatory references provide flexibility in how the climate risk assessment is undertaken and, at the activity⁹⁷ level, how measures are integrated in solicitations. The decision on how to integrate in the solicitation has implications for which and how subsequent activity documents integrate climate risk management (e.g., work plans, MEL plan, quarterly/annual reports, Environmental Mitigation and Management Plan/Reports (EMMP/Rs)).

USAID has robust monitoring and learning efforts for CRM that has produced data and knowledge used to prioritize support provided for CRM. The goal of this evaluation is to build on these monitoring and learning efforts and not to repeat them. For a description of the efforts and results, see the [Agency-wide CRM Monitoring, Evaluation and Learning Plan](#). Data and information is available on whether projects and activities are complying with conducting the assessment, the quality of the climate risk assessment, and, to an extent, the extent to which climate risk assessment findings are making their way into project and activity designs (e.g., project appraisal documents (PADs), solicitations). There is evidence of a 220% increase in the integration of climate change related terms in solicitations in FY 2017 that corresponded with the onset of the CRM policy (see the aforementioned [2015 study](#) and the [follow-on to the study](#)). There is also information on how USAID staff are approaching the climate risk assessment, feedback on the process and resources, and anticipated results of managing climate risks.

3. Purpose and Research Questions

Purpose

The purpose of the evaluation is to gain a better understanding of how climate risks to USAID activities are being managed as part of activity implementation, the impact of managing climate risks on development results, the strengths and weaknesses of the CRM policy in supporting climate resilient development, and how support for the CRM policy can be strengthened.

The evaluation will be used by the CRM multi-bureau working group, mission Climate Integration Leads (CIL), and other USAID staff to improve the CRM policy and support provided for the policy. It will also provide examples and results of managing climate risks that can be used by Agency leadership, technical and other relevant USAID staff, and external audiences.

Questions and Areas of Interest

To guide this evaluation, USAID has identified the following evaluation questions. To support the evaluation team, further description of each evaluation question is provided along with areas of interest.

⁹⁵ The Program Cycle, codified in the Automated Directive Systems (ADS) 201, is USAID's operational model for planning, delivering, assessing, and adapting development programming in a given region or country to achieve more effective and sustainable results in order to advance U.S. foreign policy. For a five-minute overview, see: <https://usaidlearninglab.org/program-cycle-overview-page>.

⁹⁶ Note that, in practice, although design teams are responsible per the mandatory references, it may be someone outside the design team, e.g., the Climate Integration Lead (CIL), conducting the climate risk assessment.

⁹⁷ According to ADS 201, "an activity carries out an intervention, or set of interventions, typically through a contract, grant, or agreement with another U.S. Government agency or with the partner country government. An activity also may be an intervention undertaken directly by Mission staff that contributes to a project, such as a policy dialogue. In most cases, multiple activities are needed to ensure the synergistic contributions necessary to achieve the project's desired results." Source: https://usaidlearninglab.org/sites/default/files/resource/files/usaid_program_cycle_terms_aug_2017.pdf

This information is provided to help the evaluation team focus on the aspects of the evaluation questions that are most useful to USAID, to inform the development of interview and survey questions, and to inform the issues that the evaluation findings and recommendations should address. The areas of interest do not necessarily need to be answered separately, but should be considered in answering the four evaluation questions. Further, the areas of interest are not meant to restrict the evaluation team in terms of answering the evaluation questions. In the Evaluation Design Proposal, the evaluation team will take the areas of interest into account and propose how it intends to define and operationalize key terms and concepts for each evaluation question, for approval by the USAID Activity Manager prior to the initiation of data collection.

Evaluation Questions:

- Q1.** How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?
- Q2.** In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?
- Q3.** What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?
- Q4.** What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?

Q1. How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?

This question seeks to assess if activities with moderate-to-high climate risks are implementing measures to address the climate risks as part of activity implementation and adaptively managing, as appropriate, based on learning. It also seeks to assess if climate risks are being avoided or mitigated (in other words, has weather/climate negatively impacted activity implementation or results?). Through monitoring, USAID has information across the Agency on whether projects and activities are complying with conducting the climate risk assessment, the quality of the assessment, and to an extent, how climate risk assessment findings are integrated into the design of projects and activities. Information on how climate risks are being managed during activity implementation (i.e., risk management measures are being implemented and adaptively managed as appropriate) has only begun to be collected. The evaluation will build on these efforts. In addition, the question aims to understand, when climate risks are managed, what is the enabling environment. Finally, it aims to better understand the barriers to effectively managing climate risks and how those barriers may be overcome.

Areas of interest:

- For activities with moderate-to-high risks, are measures to address climate risks being implemented and adaptively managed? Are climate risks being avoided and/or mitigated?
- When climate risks are being managed (from conducting a high-quality assessment to adaptively managing climate risks through implementation), what is the enabling environment, in particular:
 - Did the CRM policy play a role in climate risks being managed? How so?
 - What division of labor (or roles and responsibilities) between USAID, including the CIL and A/COR, and the implementing partner is conducive for 1) assessing and 2) addressing and adaptively managing climate risks?
 - What approaches are conducive to a high-quality climate risk assessment being undertaken (e.g., timing of the assessment, who was involved, resources used)?

- What processes, tools, or documents (e.g., work plans, quarterly/annual plans, MEL plans, EMMPs/EMMRs) enable measures to address climate risks are implemented and adaptively managed?
- How are the results of managing climate risks being measured by activities?
- What other factors (resources, training, leadership) contribute to the enabling environment?
- What are the chief barriers to managing climate risks? How may they be overcome?

Q2. In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?

The second question seeks to explore the results of managing climate risks, including benefits, on programming, development results, and beneficiaries. The premise is that considering climate risks increases the impact and sustainability of USAID’s investments. Has this come to bear or is it expected to come to bear? Additionally, there are potentially unintended or negative consequences of managing climate risks that are important to surface. The question also aims to explore if and how activity beneficiaries have benefited from climate resilient development and the views of the beneficiaries of climate resilient development, including host-country government if applicable.

Areas of interest:

- In what ways have managing climate risks contributed to or hindered the achievement of activity objectives, both within the timeframe of the activity and over the timeframe over which activity benefits are expected to sustain?
- Has managing climate risks lead to unintended or negative consequences? If so, in what ways?
- How have program beneficiaries, including host-country government, benefited from climate resilient development? If this has not yet been observed, how are program beneficiaries and host-country governments expected to benefit from climate resilient development?
- How do program beneficiaries, including host-country government, view climate resilient development (e.g., Do they think climate resilient development is important? Do they believe that USAID’s development efforts are climate-resilient)?

Q3. What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?

The third question seeks to better understand people’s views of and the strengths and weaknesses of the CRM policy. It also seeks to explore how it can be improved to better support climate resilient development.

Areas of interest:

- To what extent do USAID staff know about the CRM policy and what it is meant to achieve? Do they feel climate resilience is important to their work?
- To what extent do USAID staff value the CRM policy as a means of supporting climate resilient development? Why or why not?
- Do project and activity design teams feel ownership for climate risk management (from conducting an assessment to adaptively managing risks through implementation)? Why or why not?
- To what extent does documenting the results of the climate risk assessment in the environmental impact assessment (EIA) documentation foster management of climate risks (from conducting a high-quality assessment to actively managing climate risk through implementation)? What are the effects, both positive and negative?

- To what extent is climate risk management flowing through the program cycle as intended per the CRM policy? Does this approach support management of climate risks?
- What areas of the CRM policy could benefit from clarification or further detail? What areas could be streamlined?

Q4. What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?

The fourth question aims to explore what support has been helpful in enabling, facilitating or promoting implementation of the CRM policy to inform what support should be continued. Further, it aims to explore how current support can be improved and what additional or different support should be prioritized.

Areas of interest:

- What roles are the Climate Integration Leads (CILs) playing? To what extent do CILs feel they can effectively support CRM? Why or why not?
- To what extent do CRM stakeholders (specifically USAID staff and partners that have played a role or potentially may play a role related to CRM) feel they have adequate capacity to manage climate risks to USAID’s programming? What are the gaps in capacity (both in terms of the groups of people reached and topics) and what are effective mechanisms to fill those gaps?
- To what extent are tools and guiding documents (e.g., Tool/Annexes, MEL Guide, Climate Info Primer, Sample Solicitation Language, How To Do CRM pages on ClimateLinks, What is the CRM Process e-learning) meeting the needs of the intended stakeholders? What are the gaps?
- To what extent do stakeholders feel there is adequate information and evidence (e.g., climate information including CRPs, examples, evidence of benefit) upon which to manage climate risks? What are the gaps?

4. Evaluation Design and Methodology

The evaluation team is required to gather and analyze information and provide answers to the evaluation questions. The primary methods of the evaluation will be key informant interviews, a survey, case studies, and a review of others’ relevant practices.

The evaluation team will work in conjunction with USAID to plan and implement the proposed evaluation. The evaluation team and USAID/E3 will be involved with design, planning, and logistics, but the evaluation team is expected to advise on approach and methods, and have responsibility for key evaluation duties and deliverables.

Data Collection and Analysis Methods

Data requirements, collection methods, and required analyses will be determined by the evaluation team and USAID under the direction of the evaluation team lead. Consistent with ADS 203.3.1.6 guidance on evaluation methodologies, a combination of quantitative and qualitative methods in data collection and analysis must be employed by the evaluation team. Details on final datasets, collection methods (including instruments, key informants to be interviewed, and the case study approach), and analytical framework(s) will be approved by the Activity Manager and Technical Lead as part of the evaluation design process.

The evaluation team must begin its evaluation design process with a desk study of existing documents and information (e.g., ADS 201mat, ADS 201mal, Agency-wide CRM MEL Plan, [What is the CRM Process?](#) E-learning, [CRD-101](#), [CRM in action](#)), followed by consultations with the Activity Manager and Technical Lead, as appropriate, to further refine the implementation approach. This will be followed by

finalization of the tools and instruments, and data collection through the various methods described below.

Stakeholder Groups

For this evaluation, there are several stakeholder groups, each of which has different interactions and roles related to the CRM policy. The evaluation team will develop data collection instruments by reviewing the supporting documentation provided and targeting questions to specific stakeholder groups, which, for the purposes of the instruments, could likely be grouped together (e.g., USAID, implementing partners, and beneficiaries). Instruments and questions for non-USAID staff (i.e., implementing partners and beneficiaries) should avoid USAID jargon.

The seven stakeholder groups to be considered are the following:

- **Multi-bureau Working Group** consist primarily of Bureau-level Climate Integration Leads plus a few other interested, mostly Washington-based staff. The group meets monthly to discuss and make decisions on CRM related topics. The group also provides support for CRM (e.g., developing resources, providing training and technical assistance). For the most part, being a Bureau-level CIL is one of multiple responsibilities -- Bureau-level CILs may also be Bureau Environment Officers, deputy Bureau Environment Officers, technical staff, and functional staff. They may also serve on design teams of activities and serve as Assistance/Contracting Officer Representatives (A/COR).
- **Mission Climate Integration Leads.** There is one or more Climate Integration Lead (CIL) assigned in nearly every USAID mission. When one is not assigned, the Mission Environment Officer serves as the CIL. Typically the CIL has multiple responsibilities at the mission, including the possibility of being part of the design team and/or A/COR of activities. The role of the CIL is to:
 - Explain and track climate risk management processes per the ADS 201 Mandatory References (201mal and 201mat)
 - Help the mission or bureau access climate change information and support needed
 - Identify and share opportunities to integrate climate change adaptation and mitigation into mission or bureau strategies, programming and operations
 - Communicate with the mission or bureau about integrating climate change into development programming and build support, including from leadership
 - Serve as a point of contact for communication between USAID/Washington and missions about climate change and mission needs
- **Agency Technical Staff.** The design teams of activities are typically led by a technical staff member who then becomes the A/COR. Per ADS 201mal, design teams are responsible for climate risk management.
- **Agency Functional Staff.** Staff including program officers, contracting/assistance officers, legal officers, and non-CIL bureau/regional/mission environment officers/advisors. Although typically these staff are not responsible for CRM (unless part of a design team), these staff may play a role in CRM, e.g., making design teams aware of the requirement and where to find resources, approving or clearing on designs and other documents that incorporate CRM.
- **Agency Leadership.** PPL and E3 are responsible for ADS 201mat, and E3 is responsible for ADS 201mal. Agency leadership for this evaluation may include relevant leadership from each of those Bureaus. Washington (from the Front Office to Office Directors) and Mission leadership (from the Mission Director to Office Directors) may also influence attitudes towards CRM and the extent to which it is prioritized.
- **Implementing Partners.** Climate risk management has implications for implementing partners (IPs) given that they partner with USAID to implement activities and climate risk

management is an ongoing process through implementation of activities. This evaluation will target IPs that have had direct experience with managing climate risks to USAID activities.

- **USAID beneficiaries.** Beneficiaries of USAID’s development programming may be adversely impacted if climate risks are not taken into consideration in the support and services they receive. Alternatively, they may have increased climate resilience through USAID support and services. The risk tolerance of beneficiaries is relevant (as is the risk tolerance of USAID) and the appropriateness of risk management measures in the eyes of beneficiaries may impact effectiveness. This evaluation will target the intended beneficiaries of activities that are managing climate risks.

The following table indicates the estimated number of stakeholders in each group, and the estimated target number of responses to the evaluation. The evaluation questions and data collection methods for each stakeholder group have also been identified. It is envisioned that the KIs that are part of the case studies, KIs that are outside of the case studies, and survey elicit similar data and information but at different levels of detail. Another difference is the information collected through the case study KIs can be triangulated through document reviews and site visits. Depending on the final evaluation design, applicable groups for some questions and methods may be updated. In particular, for beneficiaries, focus group discussions may be more appropriate than KIs. This table will be finalized as part of the evaluation design.

Group	Stakeholder				Evaluation Question(s)
	Total People	Target KIs as part of case studies	Target KIs outside of case studies	Target Survey (outside of KIs)	
CRM MB WG	26	0	13	7	1, 2, 3, 4
Mission CIs	66	3-4	7-11	25	1, 2, 3, 4
Agency Technical Staff	100s -1000s	6-16	--	125	1, 2, 3, 4
Agency Functional Staff	100s - 1000s	3-4	3-4	31	1, 2, 3, 4
Agency Leadership	TBD	6-12	3-4	28	1, 2, 3, 4
Implementing Partners	1000s	6-16	--	--	1, 2, 4
Beneficiaries	1000s	12-32	--	--	2
TOTAL	1000s	36-84	26-32	216	--

Case Studies

One of the methods to answer the evaluation questions will be case studies of climate risk management at 3-4 missions. See the “Getting to Answers” table below for the evaluation questions and areas of interest envisioned to be studied through case studies. USAID will select the case study missions using the following criteria:

- Missions should have at least two activities currently being implemented with moderate-to-high climate risk. The further along the activities are in implementation, the better. Mission budgets are a proxy of how many activities may be currently active
- Where countries rank on various climate vulnerability/risk indices, specifically [ND-GAIN](#) and [GermanWatch Climate Risk Index](#) (i.e. the more vulnerable/higher risk the more likely a case study)
- The ability to carry out site visits due to safety considerations
- Ideally a range of regions would be represented

- Ideally the activities would be under a project or strategy for which a climate risk assessment was conducted to explore how climate risk management is flowing through the program cycle.
- Ideally the activities represent a range of sectors
- The availability of the missions to participate

USAID narrowed the most vulnerable/at-risk countries by mission budget to missions that receive at least half of the average budget across missions. USAID is now contacting the narrowed list of missions to confirm that at least two activities are currently being implemented that identified moderate-to-high risk in their climate risk assessment and to inquire about other criteria listed above (e.g., safety). Based on what has been learned thus far, the following is a draft list of missions under consideration (in alphabetical order by region):

- Asia: Bangladesh, Burma, Cambodia, India, Nepal, Philippines, Vietnam
- Africa: Ethiopia, Kenya, Madagascar, Mozambique, Sahel (Niger and Burkina Faso), Uganda, Zimbabwe
- Latin America and Caribbean (LAC): Haiti
- Office of Afghanistan and Pakistan Affairs (OAPA): Pakistan

The list of case study missions will be finalized with the evaluation design and the final selections may include a mission not listed here.

The case studies will involve document reviews of the activities being implemented with moderate-to-high climate risk (e.g., solicitations, work plans, quarterly/annual reports, MEL Plans, IEE/RCE, EMMP/R) and the related project or strategy documentation if a climate risk assessment was conducted; interviews with USAID staff and implementing partners (ideally the COP or DCOP); interviews and/or focus group discussions with the intended beneficiaries of the activities; and site visits.

The evaluation team is responsible for making their own hotel, air travel, and local transportation arrangements in accordance with U.S. requirements for allowable carriers and per diems. The evaluation team is also responsible for coordinating the logistics for arranging and tracking the interview and site visit schedule, however USAID can facilitate introductions as necessary.

Survey

One of the methods to answer the evaluation questions will be a survey of USAID staff. The purpose of the survey is to gather similar data and information as the Key Information Interviews (KIIs), but from a larger number of USAID staff and likely in less detail as compared to the KIIs. See the “Getting to Answers” table below for the evaluation questions and areas of interest envisioned to be studied through the survey.

Review of Others’ Practices

To contribute to answering evaluation questions, and to inform the evaluation recommendations, it is envisioned that the evaluation will include a review of different approaches (e.g., roles and responsibilities, processes, requirements) and lessons learned on the success and limitations of the approaches from the following sources:

1. Other cross-cutting or integration issues at USAID (e.g., gender, youth)
2. Other donors with regard to climate/disaster/weather risk management
3. Private sector with regard to climate/disaster/weather risk management

See the “Getting to Answers” table below shows the evaluation questions and areas of interest envisioned to be studied through a review of others’ practices. The review for the first source could take the form of a focus group discussion. Alternatively, USAID may organize a half- or full-day

workshop to which the evaluation team will be invited. For the second and third sources, given that there can be limited information publicly available, USAID will likely provide contacts to the evaluators to interview.

Getting to Answers

The following table lists, by evaluation question and area of interest, relevant methods and stakeholder groups. This table will be finalized as part of the evaluation design.

Questions/Areas of Interest	Methods/Stakeholders
Q1. How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?	Methods: Case Studies, KIIs, Survey Stakeholders: CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners, Agency Functional Staff, Agency Leadership
For activities with moderate-to-high risks, are measures to address climate risks being implemented and adaptively managed? Are climate risks being avoided and/or mitigated?	<u>Methods:</u> Case Studies, KIIs, Survey <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners, Agency Leadership
When climate risks are being managed (from conducting a high quality assessment to adaptively managing climate risks through implementation), what is the enabling environment?	<u>Methods:</u> Case Studies (going through the “in particular” list), KIIs and Survey (asking more generally what enabled it to occur) <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership
What are the chief barriers to managing climate risks? How may they be overcome?	<u>Methods:</u> Case Studies, KIIs, Survey <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, IPs, Agency Functional Staff, Agency Leadership
Q2. In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?	Methods: Case studies, KIIs, Survey Stakeholder groups: CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners, Beneficiaries, Agency Functional Staff, Agency Leadership
In what ways have managing climate risks contributed to or hindered the achievement of activity objectives, both within the timeframe of the activity and over the timeframe over which activity benefits are expected to sustain?	<u>Methods:</u> Case studies, KIIs, Survey <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners, Agency Functional Staff, Agency Leadership
Has managing climate risks lead to unintended or negative consequences? If so, in what ways?	<u>Methods:</u> Case studies, KIIs, Survey <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners, Agency Functional Staff, Agency Leadership
How have program beneficiaries, including host-country government, benefited from climate resilient development? (If this has not yet been observed) How are program	<u>Methods:</u> Case studies, KIIs, Survey <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners,

Questions/Areas of Interest	Methods/Stakeholders
beneficiaries and host-country governments expected to benefit from climate resilient development?	Beneficiaries, Agency Functional Staff, Agency Leadership
How do program beneficiaries, including host-country government, view climate resilient development (e.g., Do they think climate resilient development is important? Do they believe that USAID’s development efforts are climate-resilient)?	<u>Methods:</u> Case studies, KIIs <u>Stakeholders:</u> Mission CILs, Agency Technical Staff, Implementing Partners, Beneficiaries
Q3. What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?	<u>Methods:</u> Case Studies, KIIs, Survey, Review of others’ practices <u>Stakeholder Groups:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership
To what extent do USAID staff know about the CRM policy and what it is meant to achieve? Do they feel climate resilience is important to their work?	<u>Methods:</u> Case Studies, KIIs, Survey <u>Stakeholders:</u> Agency Technical Staff, Agency Functional Staff, Agency Leadership
To what extent USAID staff value the CRM policy as a means of supporting climate resilient development? Why or why not?	<u>Methods:</u> Case Studies, KIIs, Survey <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership
Do project and activity design teams feel ownership for climate risk management (including conducting an assessment to adaptively managing risks through implementation)? Why or why not?	<u>Methods:</u> Case Studies, KIIs, Survey, Review of others’ practices (to explore others’ approaches on who is responsible) <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership
To what extent does documenting the results of the climate risk assessment in the environmental impact assessment (EIA) documentation foster management of climate risks (from conducting a high-quality assessment to actively managing climate risk through implementation)? What are the effects, both positive and negative?	<u>Methods:</u> Case Studies, KIIs, Survey, Review of others’ practices (to explore others’ approaches on documentation) <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership
To what extent is climate risk management flowing through the program cycle as intended per the CRM policy? Does this approach support management of climate risks?	<u>Methods:</u> Case Studies, KIIs, Review of others’ practices (specifically other USAID practices and how they flow through the program cycle) <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership
What areas of the CRM policy could benefit from clarification or further detail? What areas could be streamlined?	<u>Methods:</u> Case Studies, KIIs, Survey, Review of others’ practices <u>Stakeholders:</u> CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership

Questions/Areas of Interest	Methods/Stakeholders
Q4. What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?	Methods: Case studies, KIIs, Survey, Review of others' practices Stakeholder groups: CRM MB WG, Mission CILs, Agency Technical Staff, Agency Functional Staff, Agency Leadership, Implementing Partners
What roles are the Climate Integration Leads (CILs) playing? To what extent do CILs feel they can effectively support CRM? Why or why not?	Methods: Case studies, KIIs, Survey Stakeholders: CRM MB WG (entire Q), Mission CILs (entire Q), Agency Technical Staff (first Q), Agency Functional Staff (first Q), Agency Leadership (first Q)
To what extent do CRM stakeholders (specifically USAID staff and partners that have played a role or potentially may play a role related to CRM) feel they have adequate capacity to manage climate risks to USAID's programming? What are the gaps in capacity (both in terms of the groups of people reached and topics) and what are effective mechanisms to fill those gaps?	Methods: Case studies, KIIs, Survey, Review of others' practices (for effective mechanisms to fill gaps) Stakeholders: CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners, Agency Functional Staff, Agency Leadership
To what extent are tools and guiding documents (e.g., Tool/Annexes, MEL Guide, Climate Info Primer, Sample Solicitation Language, How To Do CRM pages on CL, What is the CRM Process e-learning) meeting the needs of the intended stakeholders? What are the gaps?	Methods: Case studies, KIIs, Survey, Review of others' practices (to explore the tools and guiding documents provided) Stakeholders: CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners
To what extent do stakeholders feel there is an adequate information and evidence (e.g., climate information including CRPs, examples, evidence of benefit) upon which to manage climate risks? What are the gaps?	Methods: Case studies, KIIs, Survey, Review of others' practices (to explore the information and evidence provided) Stakeholders: CRM MB WG, Mission CILs, Agency Technical Staff, Implementing Partners

Evaluation Team Composition

The evaluation will be delivered by a small evaluation team comprised of three independent external consultants including an Evaluation Specialist, a Subject Matter Expert, and a Research Associate and some oversight by the E3 Analytics Technical Director, Technical Manager, or Project Manager is expected. All members of the evaluation team will be subject to USAID approval. Preferred qualifications for the evaluation team are provided below.

The **Evaluation Specialist** will be responsible for the overall implementation of the evaluation and ensuring that all expected tasks and deliverables are achieved on time and of high quality. S/he must have significant professional experience coordinating similarly complex evaluations, and leading evaluation teams. The candidate must have exceptional organizational, analytical, writing and presentation skills. S/he must be fluent in English and must have a master's level degree with minimum 7 years of technical experience in a relevant analytical field. It would be highly desirable for the Evaluation Specialist candidate to have direct knowledge and/or experience working with USAID rules, evaluation policy, regulations, and procedures. S/he will oversee the overall drafting of the evaluation framework, including methodology determinations, survey design, and key informant interviews; organization of calendar/travel/meetings; overseeing the desk study, interviews, case studies and other data collection; and analyzing the data with input from team members and USAID to draft the evaluation report.

Relevant experience and knowledge of climate risk management, climate change adaptation, and/or climate resilience in a developing country context is preferred.

The **Subject Matter Expert** will support the team leader in the implementation of the evaluation. S/he must have a master's level degree with minimum 5 years of technical experience in climate risk management, climate change adaptation, and/or climate resilience in a developing country context. S/he must have exceptional organizational, analytical, writing and presentation skills. S/he must be fluent in English. It would be highly desirable to have knowledge and/or experience working with USAID rules, regulations, and procedures. Relevant experience and knowledge in implementing similarly complex evaluations involving multiple stakeholders is preferred. S/he will contribute to the overall drafting of the evaluation framework and participating in the desk study, interviews, case studies, and other data collection; and analyzing the data with input from team members and USAID to draft the evaluation report.

The **Research Associate** will support the team leader in the implementation of the evaluation. S/he should have professional experience implementing similarly complex evaluations involving multiple stakeholders. The candidate must have exceptional organizational, analytical, writing and presentation skills. S/he must be fluent in English and should have a master's level degree with minimum 3 years of experience in a relevant analytical evaluation field. It would be highly desirable to have knowledge and/or experience working with USAID rules, regulations, and procedures. Relevant experience and knowledge of climate risk management, climate change adaptation, and/or climate resilience in a developing country context is preferred. S/he will contribute to the overall drafting of the evaluation framework and participating in the desk study, interviews, and other data collection; and analyzing the data with input from team members and USAID to draft the evaluation report.

Methodological Assumptions and Limitations

There are assumptions and limitations the evaluation team will encounter with regards to the scope of the evaluation.

Stakeholder Availability - Not all stakeholders may be available to contribute to the interviews or survey. It will be important that every effort be made to contact and follow up with key stakeholders to maximize the chances that they will be able to participate in the evaluation. To mitigate this risk, USAID and the evaluation team should work together to identify contact information for all key stakeholders in the evaluation design phase, to track progress in reaching key stakeholders, and to adhere to good practices regarding stakeholder coordination, outlined below.

Selection Bias - The evaluation team will rely primarily on supporting documentation including activity documents, websites and contact information of stakeholders provided by USAID. The selection of these data sources could be consciously or unconsciously biased. However, the evaluation team may look for additional relevant documentation and points of contact during its desk review and interview processes to mitigate any selection biases. There may be some bias related to the case study selection for site visits per the guidelines for selection outlined in the Case Studies section.

5. Evaluation Management

The evaluation team will be supervised by the Activity Manager in USAID/E3, while working closely with the USAID/E3 Technical Lead to gain in-depth information of the program activities. The Activity Manager will provide strategic direction and guidance throughout the evaluation process, including the development of the work plan, any data collection tools, and evaluation report outline, approach, and content.

Communication

Regular communication between the evaluation team and the USAID Activity Manager for this evaluation will be essential to the successful execution of the evaluation activities. To ensure proper communication and documentation of evaluation planning and completion, the process for meetings, approvals, and stakeholder communications is described below.

Weekly Meetings - The evaluation team will be responsible for coordinating weekly meetings between the three-person evaluation team described above and the USAID Activity Manager. The USAID Technical Lead will also be invited to these meetings and additional USAID staff may be invited to participate, as needed. To keep track of weekly activities and roles and responsibilities, meeting notes or transcripts of team meetings shall be provided to the Activity Manager by the evaluation team within two business days. The meetings may be conducted in-person or by phone.

Stakeholder Coordination - The Activity Manager needs to be cc'd on all correspondence with USAID staff or other stakeholder groups. This will allow USAID to facilitate the coordination and participation of key stakeholders, particularly those who may not be familiar with the evaluation process or who may have conflicting schedules. While the evaluation team will be responsible for coordinating interviews, surveys, and presentations, the Activity Manager or Technical Lead can provide introductions or follow-up emails as necessary. The Activity Manager, Technical Lead or other relevant USAID/W staff member will attempt to be present for the in-country site visits and will therefore help to coordinate with the missions. Additionally, Mission POCs should be cc'd on correspondence with all non-USAID in-country stakeholders, including Implementing Partners and local government.

Presentations and Dissemination - The Activity Manager and Technical Lead will help coordinate USAID's participation in the evaluation kickoff; the findings, conclusions and recommendations workshop; and a final presentation (if requested). The Activity Manager will also coordinate the internal review of drafts and disseminate the final evaluation internally.

Roles and Responsibilities - The following chart outlines the actions required of different stakeholders who need to be engaged at various stages of the evaluation planning, implementation, and approval processes.

Roles and Responsibilities	E3A COR	Activity Manager	Technical Lead	CRM MB WG	Mission CILs	Case Study Missions	Other stakeholders
Invited to evaluation kickoff	X	X	X				
Attends weekly calls		X	X				
Invited to review evaluation deliverables	X	X	X	X	X	X	
Approve evaluation deliverables		X	X				
Respondent for interviews and/or surveys			X	X	X	X	X
Invited to FCR workshop	X	X	X	X			
Receive final evaluation report	X	X	X	X	X	X	
Opportunity to provide statement of differences to final evaluation		X	X	X		X	

Deliverables

The main deliverables for this evaluation will be the evaluation design and the final evaluation report, which should be delivered electronically. These deliverables should be succinct and clearly written. The evaluation team should avoid duplication within and among the evaluation documents (scope, design and report). Supplementary information should be included as annexes for reference purposes. All draft reports must be submitted as complete drafts without sections or annexes omitted, e.g., the draft evaluation design must include all survey instruments and interview guides. Design and report outlines should be provided by the evaluation team and reviewed in conjunction with USAID as part of the planning and analysis processes, respectively.

Each deliverable needs to be approved by the USAID Activity Manager and Technical Lead. The evaluation schedule and budget should be maintained throughout the evaluation, and updated as changes occur to reflect current actuals and expectations. Changes to the evaluation schedule or budget baseline described in the SOW need to be approved by the Activity Manager.

The **Draft and Final Evaluation Design Proposals** are anticipated to be largely focused on the case study design as well as the survey and interview instruments. The approach for each stakeholder group needs to be considered. The evaluation team should consider a balance of open-ended questions and ratings questions (e.g., using a Likert scale), or other techniques. The final evaluation design should be approved prior to conducting the case studies, and should include a final site visit schedule. The evaluation team's Evaluation Design Proposal should include a proposed outline for the Final Evaluation Report, including proposed page lengths for each main section, for approval by the USAID Activity Manager.

The **Findings, Conclusions, and Recommendations Workshop** will be an opportunity for the evaluation team to present their draft findings, conclusions, and recommendations to the CRM MB WG and other stakeholders for reactions and input. It is envisioned that the workshop will be approximately two hours with a 30-45 minute presentation followed by a facilitated process to garner input.

The **Draft and Final Evaluation Reports** should provide a clear, concise set of findings, conclusions and actionable recommendations for USAID based on the data analysis. Additionally, the case studies should be written as individual 3-5 page annexes, which follow a common outline, to the report. Preference is for a shorter report, which avoids redundancy, and this will be strictly enforced. Supporting documents (e.g., SOW, design, stakeholder lists) or figures (e.g. charts, graphs) should be carefully considered for inclusion and, if deemed important, included as supplementary annexes to avoid a lengthy deliverable. The evaluation team should clearly link findings to conclusions and recommendations in the final report.

6. Schedule

The contract under which this evaluation will be conducted ends in September 2020. Therefore, the evaluation will need to be completed in July 2020 to leave ample time for review and final approvals. The following is an approximate schedule:

	TARGET	2019												2020																																				
		September				October				November				December				January				February				March				April				May				June				July								
PLANNING		1	2	3	4	1	2	3	4	5	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Initial meeting with E3A	9/5/19	█																																																
SOW provided to E3A	9/27/19	█	█	█																																														
Evaluation Kick-off with Evaluation Team and USAID	10/4/19									█	█																																							
Final Site Visit Schedule	11/1/19					█	█	█	█	█																																								
Draft Evaluation Design Proposal (including instruments)	11/1/19																																																	
USAID Review	11/15/19																																																	
Approve/Finalize Evaluation Design	11/29/19																																																	
DATA COLLECTION																																																		
Implement Survey	12/27/19																																																	
Trip Logistics	11/29/19																																																	
Plan/implement KIIs in Washington, Missions	2/21/20																																																	
Site Visits*	2/28/20																																																	
DATA ANALYSIS AND REPORTING																																																		
FCR Workshop**	5/1/20																																																	
Data analysis and report writing	5/29/20																																																	
Draft Evaluation Report	6/5/20																																																	
USAID Review and Comments	6/26/20																																																	
Final Report	7/10/20																																																	
Final Presentation to USAID, stakeholders	7/17/20																																																	

*Note: 3-4 case studies, 1-2 week trips with 2 weeks in between to return to DC for follow up. Dependent on location, site visits could be combined.

**FCR = Findings, Conclusions, and Recommendations Workshop

Annex C: Supplemental Information on the Evaluation Methodology

EQ1: How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?

Conceptual Considerations

EQ1 considers if activities assessed as having moderate-to-high climate risks are implementing measures to address those risks as part of activity implementation, and how and the extent to which implementation is being adaptively managed. This EQ also seeks to determine if climate risks that negatively affect activity implementation or results are being avoided or mitigated, and to better understand factors that enable or constrain the effective management of climate risks. Though USAID has collected Agency-wide data on compliance with climate risk assessment procedures and the application of findings to project design, there is a limited understanding of how climate risks are managed during activity implementation. The results for this EQ expand on that knowledge base.

This EQ seeks to understand how CRM considerations were translated from the design stage to the implementation stage. This includes understanding how implementing partners interpret CRM guidance contained in activity design documents and how this is manifested in work plans, monitoring and evaluation frameworks, and other aspects of implementation. Since CRM entails managing uncertainty, one key area for consideration is adaptive management, which ADS 201 describes as “an intentional way for USAID to make planning decisions and adjustments during implementation in response to new information or changes in context.” However, the factors contributing to effective adaptive management of USAID activities are poorly understood and have only recently started to be tracked. In answering EQ1, the evaluation team assesses what adaptive management looks like in theory versus practice, identifying factors that enabled implementers to course correct mid-activity to avoid or mitigate risks, as well as barriers that may limit effective adaptive management of climate risks.

The evaluation team focused the assessment of EQ1 on the following AOIs:⁹⁸

- For activities with moderate to high risks, are measures to address climate risks being implemented and adaptively managed? Are climate risks being avoided and/or mitigated?
- When climate risks are being managed (from conducting a high-quality assessment to adaptively managing climate risks through implementation), what is the enabling environment?
 - Did the CRM policy play a role in climate risks being managed? How so?
 - What division of labor (or roles and responsibilities) between USAID, including the CIL and A/COR, and the IP is conducive for (1) assessing and (2) addressing and adaptively managing climate risks?
 - What approaches are conducive to a high-quality climate risk assessment being undertaken (e.g., assessment timing, who was involved, resources used)?
 - What processes, tools, or documents (e.g., work plans, quarterly/annual plans, MEL plans, EMMPs/EMMRs) enable measures to address climate risks are implemented and adaptively managed?
 - How are the results of managing climate risks being measured by activities?
 - What other factors (resources, training, leadership) contribute to the enabling environment?

⁹⁸ Note the distinction between enabling conditions and barriers to CRM policy implementation, as discussed under EQ1, and the CRM policy’s strengths and weaknesses, as discussed under EQ3. In the former, the evaluation team sought to better understand what factors are helping or hindering CRM stakeholders’ ability to do CRM across the program cycle; in the latter, the focus was on aspects of the policy itself that may positively or negatively impact how the policy is being understood and applied, particularly at the activity level.

- What are the chief barriers to managing climate risks? How may they be overcome?

Analytical Approach

To answer EQ1, the evaluation team used a three-pronged approach to gain a deeper insight into how CRM is working at the activity level. First, the team reviewed activity documents for moderate- to high-risk activities from the four case study countries. Documents included solicitations; work plans; IEEs; EMMPs; MEL plans; and quarterly, semiannual, and annual reports. The team also reviewed documents received from the CRM integration team, including information on the CRM coaching program and case studies the integration team developed. Using these documents, the evaluation team attempted to “track” CRM at the activity level and better understand whether and how climate risks are being managed at each program cycle stage. Second, the evaluation team conducted KIIs to understand how mission CILs, mission A/CORs for specific activities, and IPs were implementing and adaptively managing measures to address climate risks, as well as what they considered to be the barriers and enabling conditions to managing climate risks. The KIIs also provided insights into how USAID staff and IPs with different roles, responsibilities, and technical backgrounds perceive the policy and its implementation. Third, the evaluation team deployed an Agency-wide online survey about the CRM policy to learn more about the barriers and enabling factors around activity-level CRM.

EQ2: In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?

Conceptual Considerations

EQ2 intends to explore the results of managing climate risk in activity design and through the process of adaptive management, including results related to benefits, programming, development outcomes, and effects on activity participants. The premise for this EQ is that consideration of climate risks is a net benefit to program design and implementation that increases the impact and sustainability of USAID’s investments over the life of an activity and beyond. The evaluation team seeks to determine if this has actually come to pass among the moderate-to-high risk portfolios considered for the case studies, and identifies unintended or negative consequences that may have resulted from the CRM process, including instances of maladaptation or cases in which there may be differential impacts based on the gender or other characteristics of activity participants/beneficiaries. The team also identifies positive results, success stories, and examples of innovations and emerging best practices that resulted from the implementation of the CRM policy.

The evaluation team focused the assessment of EQ2 on the following AOIs:

- In what ways have managing climate risks contributed to or hindered the achievement of activity objectives, both within the timeframe of the activity and over the timeframe over which activity benefits are expected to sustain?
- Has managing climate risks lead to unintended or negative consequences? If so, in what ways?
- How have program beneficiaries, including host-country government, benefited from climate resilient development? If this has not yet been observed, how are program beneficiaries and host-country governments expected to benefit from climate resilient development?
- How do program beneficiaries, including host-country government, view climate resilient development (e.g., Do they think climate resilient development is important? Do they believe that USAID’s development efforts are climate-resilient)?

As a result of COVID-19-related travel restrictions, the team was limited in its approach to answering the AOI on program beneficiaries, including host-country governments, and climate-resilient development. The implications of COVID-19 on the evaluation are discussed further in the Evaluation Design section.

Analytical Approach

To assess EQ2, the evaluation team also reviewed activity documents from the four country case studies, conducted KIIs, and used the online survey to test the hypothesis that considering climate risks increases the impact and sustainability of USAID’s investments and to determine the extent to which these impacts have begun or are expected to begin to manifest. The data informing the analysis of this question rely heavily on CRM stakeholder perceptions given the speculative nature of the AOIs and the relative newness of the CRM process. Thus, although this evaluation can provide details about the general relationships between the CRM policy, management of climate risks, and results, it cannot definitively attribute changes in USAID programming, development results, and beneficiaries to CRM.

EQ3: What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?

Conceptual Considerations

EQ3 seeks to further understand how key stakeholders view the CRM policy as well as the underlying intent and purpose of the policy, including its strengths and weaknesses, and ways in which the policy can be improved to better support climate-resilient development outcomes. Answers to both EQ3 and EQ4 draw heavily on stakeholder perceptions and reported experiences. While it is not expected that implementing partners are familiar with the technical and administrative details of USAID policies, the team seeks to understand their perceptions about risks stemming from changing climatic conditions, and the importance and merits of managing these risks.

Based on advice from USAID, the evaluation references ADS 201mat as a point of reference for defining “climate resilient development”: “the goal of CRM is to both render USAID’s work more climate resilient (e.g. better able to anticipate, prepare for and adapt to changing climate conditions and withstand, respond to and recover rapidly from disruptions) and to avoid maladaptation (i.e., development efforts that inadvertently increase climate risks.” Key elements from this definition that are incorporated into the evaluation include:

- Anticipation/consideration of changing climate conditions and actions taken as a result; and
- Consideration of potential maladaptive outcomes and actions taken as a result.

The evaluation team worked to determine how closely the implementation of the CRM policy is aligned with the objectives of climate resilient development as conceptualized above, and how CRM may fulfill key aspects of climate-resilient development, including identification of climate stressors; reducing vulnerability to those stressors; and promoting flexibility through adaptive management with respect to USAID’s planning and programming.

The evaluation team focused the assessment of EQ3 on the following AOIs:

- To what extent do USAID staff know about the CRM policy and what it is meant to achieve? Do they feel climate resilience is important to their work?
- To what extent do USAID staff value the CRM policy as a means of supporting climate resilient development? Why or why not?
- Do project and activity design teams feel ownership for CRM (from conducting an assessment to adaptively managing risks through implementation)? Why or why not?
- To what extent does documenting the results of the climate risk assessment in the environmental impact assessment (EIA) documentation foster management of climate risks (from conducting a high-quality assessment to actively managing climate risk through implementation)? What are the effects, both positive and negative?

- To what extent is CRM flowing through the program cycle as intended per the CRM policy? Does this approach support management of climate risks?
- What areas of the CRM policy could benefit from clarification or further detail? What areas could be streamlined?

Analytical Approach

To answer EQ3, the evaluation team primarily engaged USAID staff through KILs and the online survey. The evaluation team assessed the extent to which USAID staff from various sectors and operating units are familiar with the policy and its objectives and how the policy is being functionally applied at various stages of the program cycle. Unlike EQ1, which focused on factors that are helping or hindering CRM stakeholders' ability to do CRM across the program cycle, EQ3 focused on aspects of the CRM policy itself that may positively or negatively impact how the policy is being understood and applied, particularly at the activity level.

Although the evaluation SOW included a review of other donor and development partner practices related to CRM, E3/GCC and the team agreed to eliminate this component upon finalizing the evaluation design. Future work on CRM at USAID may consider such a review, particularly for the "soft" interventions (as opposed to capital projects/infrastructure) that make up much of the Agency's portfolio.

EQ4: What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?

Conceptual Considerations

EQ4 takes a more global look at CRM support available to CRM stakeholders, with a focus on staffing, tools, and guidance, and the extent to which stakeholders feel empowered to undertake an evidence-based approach to CRM. EQ4 is ultimately focused on institutional behavior and the role USAID as an agency plays in moving CRM from design to implementation. The evaluation examines the effectiveness of USAID's efforts to support CRM implementation. This support may take the form of key individuals like CILs in bureaus and missions and the multi-bureau working group; internal, sector-specific climate risk screening and management tools; country- and region-specific climate risk profiles; bureau-level resources and guidance; in-person and online training courses; and public-facing resources like ClimateLinks. In addition to these USAID resources, the team examines whether and how the CRM policy has been supported and strengthened through innovative partnerships, third-party guidance, and other mechanisms, and these may offer opportunities to improve USAID's CRM procedures and resources or guide future programming. The team identifies insights as to how existing resources may be modified to improve their effectiveness, and what additional support (e.g., information products, capacity development activities) would be useful in supporting CRM implementation in the future.

The evaluation team focused the assessment of EQ4 on the following AOIs:

- What roles are the CILs playing? To what extent do CILs feel they can effectively support CRM? Why or why not?
- To what extent do CRM stakeholders (specifically USAID staff and partners that have played a role or potentially may play a role related to CRM) feel they have adequate capacity to manage climate risks to USAID's programming? What are the gaps in capacity (both in terms of the groups of people reached and topics) and what are effective mechanisms to fill those gaps?
- To what extent are tools and guiding documents (e.g., Tool/Annexes, MEL Guide, Climate Info Primer, Sample Solicitation Language, How To Do CRM pages on ClimateLinks, What is the CRM Process e-learning) meeting the needs of the intended stakeholders? What are the gaps?

- To what extent do stakeholders feel there is adequate information and evidence (e.g., climate information including CRPs, examples, evidence of benefit) upon which to manage climate risks? What are the gaps?

Analytical Approach

To answer EQ4, the evaluation team relied on data collected through KIIs with USAID staff and the online survey. The team also interviewed IPs, focusing on organizational and individual capacity to manage climate risks to USAID programming, as well as resources that IPs find useful for understanding and implementing CRM. The evaluation team explored the types of support that are helpful in enabling, facilitating, or promoting implementation of the CRM policy to inform the types of support that should be continued. The team also identified ways current support can be improved, and ways that support can be prioritized for more sustainable and climate-resilient outcomes.

Getting to Answers Matrix

Evaluation Questions/ Additional Areas of Inquiry	Evidence Needed (Y/N)		Data Source(s)	Data Collection Methods	Data Analysis Methods
Q1. How have activities with moderate-to-high climate risks implemented and adaptively managed measures to address climate risk? What are the conditions that enable and barriers to managing climate risks?	Y	Description	• USAID stakeholders: CRM multi-bureau working group (MBWG), mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Case studies focused on analysis of institutional behavior • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
For activities with moderate-to-high risks, are measures to address climate risks being implemented and adaptively managed? Are climate risks being avoided and/or mitigated?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Case studies focused on analysis of institutional behavior • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
What factors contribute to an enabling environment in cases in which climate risks are being adaptively managed?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Case studies focused on analysis of institutional behavior • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
What are the chief barriers to managing climate risks? How may they be overcome?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Case studies focused on analysis of institutional behavior • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
Q2. In what ways have managing climate risks affected USAID programming, development results, and beneficiaries?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs • Beneficiaries	• KIIIs • Online survey • Group interviews • Direct observation	• Case studies focused on analysis of institutional behavior and stakeholder perceptions • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
In what ways have managing climate risks contributed to or hindered the achievement of activity objectives, both within the timeframe of the activity and over the timeframe over which activity benefits are expected to sustain?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey • Direct observation	• Case studies focused on analysis of institutional behavior and stakeholder perceptions • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
Has managing climate risks lead to unintended or negative consequences? If so, in what ways?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey • Direct observation	• Case studies focused on analysis of institutional behavior and stakeholder perceptions • Descriptive and inferential analysis • Pattern/content analysis
		Comparison			
	Y	Explanation			
How have program beneficiaries, including host-country	Y	Description	• USAID stakeholders: CRM		• Case studies focused on analysis

Evaluation Questions/ Additional Areas of Inquiry	Evidence Needed (Y/N)		Data Source(s)	Data Collection Methods	Data Analysis Methods
government, benefited from climate resilient development? (If this has not yet been observed)? How are program beneficiaries and host-country governments expected to benefit from climate resilient development?	Y	Comparison	MBWVG, mission CILs, technical staff • IPs • Beneficiaries	<ul style="list-style-type: none"> • KIIIs • Online survey • Group interviews • Direct observation 	of institutional behavior and stakeholder perceptions <ul style="list-style-type: none"> • Descriptive and inferential analysis • Pattern/content analysis
	Y	Explanation			
How do program beneficiaries, including host-country government, view climate resilient development (e.g., Do they think climate resilient development is important? Do they believe that USAID's development efforts are climate-resilient)?	Y	Description	<ul style="list-style-type: none"> • USAID stakeholders: CRM MBWVG, mission CILs, technical staff <ul style="list-style-type: none"> • IPs • Beneficiaries 	<ul style="list-style-type: none"> • KIIIs • Online survey • Group interviews • Direct observation 	<ul style="list-style-type: none"> • Case studies focused on analysis of institutional behavior and stakeholder perceptions • Descriptive and inferential analysis • Pattern/content analysis
	Y	Comparison			
	Y	Explanation			
Q3. What are the strengths and weaknesses of the CRM policy as a means of achieving climate resilient development? How can it be improved?	Y	Description	<ul style="list-style-type: none"> • USAID Stakeholders: CRM MBWVG, mission CILs, technical staff, functional staff, leadership	<ul style="list-style-type: none"> • KIIIs • Online survey 	<ul style="list-style-type: none"> • Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
To what extent do USAID staff know about the CRM policy and what it is meant to achieve? Do they feel climate resilience is important to their work?	Y	Description	<ul style="list-style-type: none"> • USAID stakeholders: Agency technical staff, functional staff, leadership 	<ul style="list-style-type: none"> • KIIIs • Online survey 	<ul style="list-style-type: none"> • Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
To what extent do USAID staff value the CRM policy as a means of supporting climate resilient development? Why or why not?	Y	Description	<ul style="list-style-type: none"> • USAID stakeholders: CRM MBWVG, mission CILs, technical staff, functional staff, leadership	<ul style="list-style-type: none"> • KIIIs • Online survey 	<ul style="list-style-type: none"> • Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
Do project and activity design teams feel ownership for climate risk management (including conducting an assessment to adaptively managing risks through implementation)? Why or why not?	Y	Description	<ul style="list-style-type: none"> • USAID stakeholders: CRM MBWVG, mission CILs, technical staff, functional staff, leadership	<ul style="list-style-type: none"> • KIIIs • Online survey 	<ul style="list-style-type: none"> • Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
To what extent does documenting the results of the climate risk assessment in the environmental impact assessment (EIA) documentation foster management of climate risks (from conducting a high-quality assessment	Y	Description	<ul style="list-style-type: none"> • USAID stakeholders: CRM MBWVG, mission CILs, technical staff, functional staff, leadership	<ul style="list-style-type: none"> • KIIIs • Online survey 	<ul style="list-style-type: none"> • Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and
		Comparison			
	Y	Explanation			

Evaluation Questions/ Additional Areas of Inquiry	Evidence Needed (Y/N)	Data Source(s)	Data Collection Methods	Data Analysis Methods	
to actively managing climate risk through implementation)? What are the effects, both positive and negative?				stakeholder perceptions	
To what extent is CRM flowing through the program cycle as intended per the CRM policy? Does this approach support management of climate risks?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership	• KIIIs	• Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
What areas of the CRM policy could benefit from clarification or further detail? What areas could be streamlined?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership	• KIIIs • Online survey	• Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
Q4. What support has enabled, facilitated, or promoted implementation of the CRM policy? In what ways can the Agency better support implementation of the CRM policy?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
What roles are the CILs playing? To what extent do CILs feel they can effectively support CRM? Why or why not?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership	• KIIIs • Online survey	• Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
To what extent do CRM stakeholders (specifically USAID staff and partners that have played a role or potentially may play a role related to CRM) feel they have adequate capacity to manage climate risks to USAID's programming? What are the gaps in capacity (both in terms of the groups of people reached and topics) and what are effective mechanisms to fill those gaps?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			
To what extent are tools and guiding documents (e.g., Tool/Annexes, MEL Guide, Climate Info Primer, Sample Solicitation Language, How To Do CRM pages on CL, What is the CRM Process e-learning) meeting the needs of the intended stakeholders? What are the gaps?	Y	Description	• USAID stakeholders: CRM MBWG, mission CILs, technical staff, functional staff, leadership • IPs	• KIIIs • Online survey	• Descriptive and inferential analysis • Pattern/content analysis • Case studies focused on analysis of institutional behavior and stakeholder perceptions
		Comparison			
	Y	Explanation			

Annex D: Documents Reviewed

This annex lists the documents the evaluation team reviewed to inform the answers to the EQs.

USAID Climate Risk Management Documents

- ADS 201mat: Climate Change in USAID Country/Regional Strategies
- ADS 201mal: Climate Risk Management for USAID Projects and Activities
- ADS 200maa: Guidance on Writing and Reviewing Development Policy
- Adapting to Climate Variability and Change Guidance Manual (2007)
- Climate Change and Development Strategy (2012–2018)
- Climate Resilient Development: A Framework for Understanding and Addressing Climate Change (2014)
- Integration Climate Change in USAID Activities: An Analysis of Integration at the Solicitation Level (2015)
- Climate in Development: An Analysis of Climate Change Integration in Solicitations (2018)
- Climate Change Integration in USAID Activities: Findings from Desk Review and Interviews with USAID Staff and Implementing Partners (2017)
- Discussion Note: Climate Risk Management Stocktaking
- Agency-Wide CRM Monitoring, Evaluation, and Learning Plan
- [Climate Risk Management: Resources and Training](#)
- [What Is the Climate Risk Management Process?](#)
- [Climate-Resilient Development 101](#)
- [CRM in Action](#)
- [Environmental Compliance Database](#)

The evaluation team also reviewed the following activity documents that missions provided. Not all requested documents were made available for each activity; the evaluation team could review only what they had access to.

Cambodia

- Countering Trafficking-in-Persons through Economic Empowerment (2018)
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1 and Year 2)
 - Quarterly Reports (Year 1 Q1, Q2, Q3)
 - Annual Report (Year 1)
- Feed the Future Cambodia Harvest II (2017)
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1, Year 2, and Year 3)
 - Quarterly Reports (Year 1 Q3; Year 2 Q1, Q2, Q3)
 - Annual Reports (Year 1 and Year 2)

- The Eastern Plains Keo Seima Wildlife Sanctuary Conservation Project (2018)
 - Initial Environmental Examination
 - Work Plan (Year 1 and Year 2)
 - Annual Report (Year 1)
- Wildlife Sanctuary Support Project (2018)
 - Initial Environmental Examination
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1, Year 2, Year 3)
 - Semiannual Reports (Year 1)
- Greening Prey Lang Initiative (2017)
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1 and Year 2)
 - Quarterly Reports (Year 1 Q1, Q2, Q3)
 - Annual Reports (Year 1)
- Rice Field Fisheries II (2016)
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1, Year 2, Year 3, Year 4)
 - Semiannual Reports (Year 1, Year 2, Year 3, Year 4)

Haiti

- Haiti Water, Sanitation, and Hygiene Project (2017)
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - PAD
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1, Year 2, and Year 3)
 - Quarterly Reports (Year 1 Q1, Q2; Year 2 Q1, Q2, Q3; Year 3 Q1)
 - Annual Reports (Year 1 and Year 2)
- Haiti Community-Driven Development (2018)
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1 and Year 2)
- Reforestation Project (2017)
 - Initial Environmental Examination

- Environmental Mitigation and Monitoring Plan
- Health Services Delivery to the Haitian Population (2017)
 - Initial Environmental Examination
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 1, Year 2, and Year 3)
 - Quarterly Reports (Year 1 Q2, Q3; Year 2 Q1, Q2, Q3)
 - Annual Reports (Year 1 and Year 2)
- Agricultural Transition Awards (2018)
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
- Health Assistance for Prisoners (2018)
 - Initial Environmental Examination

Uganda

- Apolou Food for Peace Activity (2017)
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - Monitoring, Evaluation, and Learning Plan
 - Work Plans (Year 2 and Year 3)
 - Quarterly Reports (Year 1 Q1, Q2, Q3; Year 2 Q1, Q2, Q3; Year 3 Q1)
 - Annual Reports (Year 1 and Year 2)
- Graduation to Resilience (2017)
 - Initial Environmental Examination
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Quarterly Reports (Year 1 Q1, Q2, Q3; Year 2 Q3)
- Integrated Community Agriculture and Nutrition (2018)
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Work Plans (Year 1 and Year 2)
 - Quarterly Reports (Year 1 Q1, Q2, Q3, Q4; Year 2 Q1)
 - Annual Report (Year 1)
- Nuyok Food for Peace Activity (2017)
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Quarterly Reports (Year 1 Q1, Q2, Q3; Year 2 Q1, Q2, Q3; Year 3 Q1)
 - Annual Report (Year 1 and Year 2)
- Securing Peace and Promoting Prosperity in Karamoja (2017)
 - Solicitation Document
 - Award Document

- Environmental Mitigation and Monitoring Plan
- Monitoring, Evaluation, and Learning Plan
- Work Plans (Year 1 and Year 2)
- Quarterly Reports (Year 1 Q1, Q2, Q3; Year 2 Q1, Q2, Q3; Year 3 Q1, Q2)
- Annual Report (Year 1)

Madagascar

- Accessible Continuum of Care and Essential Services Sustained
 - Initial Environmental Examination
 - Environmental Mitigation and Monitoring Plan
 - Award Document
 - Monitoring, Evaluation, and Learning Plan
 - Work Plan (Year 1 and Year 2)
 - Quarterly Reports (Year 1 Q1, Q2)
 - Annual Report (Year 1)
- Improving Market Partnerships and Access to Commodities Together
 - Solicitation Document
 - Initial Environmental Examination
 - Award Document
 - Environmental Mitigation and Monitoring Plan
 - Monitoring, Evaluation, and Learning Plan
 - Quarterly Reports (Year 2 Q1, Q2)
 - Annual Report (Year 1)

Annex E: Moderate to High Risk Activities by Country Case Study

Mission	Activity (Year started)	Sector(s)
Cambodia	Feed the Future Cambodia Harvest II (2017)	<ul style="list-style-type: none"> • Food security • Agriculture
	Countering Trafficking-in-Persons through Economic Empowerment (2018)	<ul style="list-style-type: none"> • Democracy, human rights and governance • Economic growth
	The Eastern Plains Keo Seima Wildlife Sanctuary Conservation Project (2018)	<ul style="list-style-type: none"> • Biodiversity • Natural resources management
	USAID Wildlife Sanctuary Support Project (2017)	<ul style="list-style-type: none"> • Biodiversity • Conservation • Forestry • National resources management
	Greening Prey Lang Initiative (2017)	<ul style="list-style-type: none"> • Agriculture • Livestock • Biodiversity • Conservation • Economic growth • Micro and small enterprises • Natural resources management
	Rice Field Fisheries II (2016)	<ul style="list-style-type: none"> • Food security • Fisheries • Agriculture
Haiti	Haiti Water, Sanitation and Hygiene Project (2017)	<ul style="list-style-type: none"> • Water, sanitation, and hygiene
	Haiti Community-Driven Development (2018)	<ul style="list-style-type: none"> • Democracy, human rights and governance
	Reforestation Project (2017)	<ul style="list-style-type: none"> • Sustainable landscapes • Forestry • Food security
	Health Services Delivery to the Haitian Population (2017)	<ul style="list-style-type: none"> • Health
	Agricultural Transition Awards (2018)	<ul style="list-style-type: none"> • Agriculture • Democracy, human rights and governance

Mission	Activity (Year started)	Sector(s)
	Health Assistance for Prisoners (2018)	<ul style="list-style-type: none"> • Health • Infrastructure • Governance
Uganda	Apolou Food for Peace Activity (2017)	<ul style="list-style-type: none"> • Agriculture • Economic growth
	Graduation to Resilience (2017)	<ul style="list-style-type: none"> • Food security
	Integrated Community Agriculture and Nutrition (2018)	<ul style="list-style-type: none"> • Agriculture • Nutrition • Governance
	Nuyok Food for Peace Activity (2017)	<ul style="list-style-type: none"> • Food security • Nutrition
	Securing Peace and Promoting Prosperity in Karamoja (2017)	<ul style="list-style-type: none"> • Peace and stability
Madagascar	Accessible Continuum of Care and Essential Services Sustained (2018)	<ul style="list-style-type: none"> • Health
	Improving Market Partnerships and Access to Commodities Together (2018)	<ul style="list-style-type: none"> • Maternal and child health

Annex F: Final Data Collection Instruments

Interview Guide – USAID Staff

We will use these questions to guide the discussion; we may not get to all of these questions, and we may ask some follow-up questions (unscripted) depending on how the conversation proceeds.

1. What is your role at USAID and how long has the CRM policy been relevant to your professional duties?
2. How does the CRM policy factor into your work for USAID?
3. What tools and/or resources have been useful in terms of implementing the CRM policy?
4. Are there additional tools or resources that would be useful/helpful?
5. Prior to your work with CRM, can you describe your level of knowledge of climate change?
6. In your perception, what is the significance of climate change to USAID operations in the country in which you work?
7. Has the CRM policy and your experiences with implementation changed your understanding or perceptions of the connection between climate change, the process of development in general, and more specifically USAID's work?
8. Please describe your experiences/understanding of how CRM is reflected in:
 - a. Project design process
 - b. Solicitation
 - c. IEE
 - d. EMMP
 - e. M&E
 - f. Workplans
 - g. Quarterly/Annual reporting
9. In your experience/opinion, has CRM been coherently integrated into the activity cycle, from the design stage to implementation?
10. Does complying with CRM create additional work/reporting burdens?
11. Are the current procedures for assessing climate risks and prescribing mitigation measures adequate?
12. How well is CRM integrated into the project cycle?
13. Are implementation partners familiar with climate change, climate risks, the potential impacts of climate change on activity implementation, sustainability of interventions, and/or the benefit stream?
14. Please describe how implementation partners have addressed climate risks in activity implementation.
15. Please describe any support provided to implementation partners specifically related to CRM.
16. Do you feel that you have the tools you need to ensure that CRM is adequately incorporated into activity implementation?
17. In your opinion, what should be the goals of climate risk management?
18. What are the strengths and weaknesses of the CRM policy?
19. Is the CRM policy well matched with the challenges/risks your mission faces with respect to climate change?
20. Has the CRM policy been effective/successful in mitigating/avoiding climate risks?

Interview Guide – Implementing Partners

We will use these questions to guide the discussion; we may not get to all of these questions, and we may ask some follow-up questions (unscripted) depending on how the conversation proceeds.

1. Please briefly describe the activity and its objectives.
2. Please briefly describe the work that your organization specializes in.
3. Does your organization have any experience or special training for climate change issues?
4. What is your perception of the impacts of climate change on your activity's sector, the activity itself, and the benefits that the activity is working to provide to beneficiaries?
 - (How does climate change affect the activity)
5. Considering these potential impacts of climate change, are there any special procedures or other considerations that have been built into the activity design to address them?
 - Was there a climate risk assessment or a vulnerability assessment or anything of that nature?
 - If climate risks are identified in the IEE, how did this get incorporated into the EMMP, the work plan, reporting, and other aspects of implementation?
 - Are climate risks incorporated into the MEL procedures?
6. Please describe any discussions or interactions that you have had with USAID's AOR/COR (or anyone else) with respect to climate change and climate risks relating to the activity.
 - Do you feel that you and your team have a good understanding of USAID's expectations with respect to managing climate risks?
7. Has USAID provided any specific guidance or referred your team to any tools or methodologies with respect to climate risk management?
8. Do you feel that your organization is adequately supported (by USAID) with respect to climate risk management?
9. During the implementation of the activity, have there been any unexpected events (related to climate/weather) that have required "adaptive management"?
10. Has managing climate risks in the activity made a difference in your organization with respect to understanding and managing climate risks in general?
 - Did it create additional work burdens?
 - Does your team have the expertise required to manage climate risks?
 - Are there any forms of additional support that would be useful

Online Survey – USAID Staff

* Required Information

Evaluation of USAID's Climate Risk Management Policy

This survey is being conducted to inform an Agency-wide evaluation of USAID's Climate Risk Management (CRM) efforts associated with the implementation of ADS 201mat (Climate Change in USAID Country/Regional Strategies) and ADS 201mal (Climate Risk Management for USAID Projects and Activities). The evaluation is being conducted under USAID's E3 Analytics and Evaluation Project implemented by Management Systems International (MSI).

Throughout the survey, the term “CRM policy” refers to ADS 201mat and ADS 201mal.

Your perspective and input are invaluable to making this evaluation a success and improving climate risk management at USAID.

This survey should take approximately 20-30 minutes.

If you have already participated in a phone interview with the MSI evaluation team, you do not need to complete this survey.

Thank you in advance for your time and valuable insights.

Before you start, we are required to ask for your consent to participate in our survey. Please note that:

- **This survey is completely voluntary and you have the right to decline participation.**
- **You can stop at any point and exit the survey.**
- **You have the right to decline to answer any question for any reason. Some questions may not be relevant to your specific role.**

Your responses to this survey are confidential. Participation in this survey poses no known risks to your person or property. A unique ID will be given to each survey, and all self-identifiers will be removed from the data and analysis. No personal identifiers will be shared with any third party and will only be used for evaluation research purposes.

* **I. Do we have your consent for you to participate in this survey? (Select one option)**

- Yes
- No

NOTE : IF ANSWER TO **Q1** is
Yes Go to Page No. 3
No Stop, you have finished the survey
If Did Not Answer Then Go to Page No. 3

Section I: Your Role in USAID

2. Please indicate your position within USAID (check all that apply).

- AOR/COR for activities with high/moderate climate risk(s)
- AOR/COR for activities with low climate risk(s)
- Functional staff (program officer, legal officer, etc.)
- Climate Integration Lead (CIL)
- Technical staff
- Leadership (e.g., office director or higher)
- Other (Please indicate) _____

3. Please indicate your gender identity. (Select one option)

- Male
- Female
- Prefer not to disclose
- Prefer to self-describe _____

4. Please indicate your years of experience with USAID. (Select one option)

- 0-5 years
- 6-10 years
- 11-15 years
- 16+ years

5. Please choose your current work location (prior to any COVID-19 related transitions). (Select one option)

List of countries provided.

6. Please specify your bureau, mission or operating unit.

Section 2: Familiarity with Policy and Resources

This set of questions aims to gather general information about awareness, clarity, and ownership with respect to climate risk management at USAID.

Please indicate your level of agreement with the following statements according to the scale provided.

7. USAID's CRM policy is an effective means of supporting climate resilient development. (Select one option)

- Strongly Disagree
- Somewhat Disagree
- Neutral
- Somewhat Agree
- Strongly Agree
- Not Sure/No Opinion

8. The assignment of a Climate Integration Lead in my Mission or Bureau has improved implementation of the CRM policy. (Select one option)

- Strongly Disagree
- Somewhat Disagree
- Neutral
- Somewhat Agree
- Strongly Agree
- Not Sure/No Opinion

9. From your perspective, please elaborate on how or why the assignment of a Climate Integration Lead in your Mission or Bureau has either improved or not improved implementation of the CRM policy.

10. I have adequate knowledge and resources to implement the CRM policy at the project or activity level. (Select one option)

- Strongly Disagree
- Somewhat Disagree
- Neutral
- Somewhat Agree
- Strongly Agree
- Not sure/No Opinion

11. Please elaborate on how or why you either do or do not have adequate knowledge and resources to implement the CRM policy at the project or activity level.

12. From your experience, please rate the importance of the following documents in supporting effective implementation of the CRM policy for activities:

	Not important	Important	Very Important	Not sure or N/A
(a) Solicitation/Announcement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(b) Work Plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(c) Quarterly or Annual Reports	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(d) Monitoring, Evaluation, and Learning Plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(e) Environmental Mitigation and Management Plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(f) Climate Change Vulnerability Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

13. Outside of the list above, are there any other project or activity documents which are important to the effective implementation of the CRM policy in your work?

Section 2: Familiarity with Policy and Resources (continued)

Please complete the following statements based on your experience working with the CRM policy within your mission or bureau.

14. The objectives of the CRM policy with respect to project or activity level implementation are...
(Select one option)

- Not clearly defined.
- Clearly defined in general, but additional details and guidance are necessary.
- Clearly defined and there is no need for additional guidance.
- Not sure/No opinion

NOTE : Answer the below question only if answer to Q#14 is Not clearly defined.

15. Please elaborate on which aspects of the CRM policy with respect to its objectives for project or activity level implementation could be better defined.

NOTE : Answer the below question only if answer to Q#14 is Clearly defined in general, but additional details and guidance are necessary.

16. Please elaborate on which aspects of the CRM policy with respect to its objectives for project or activity level implementation need additional guidance or details.

17. The procedural requirements for implementing the CRM policy at my mission or bureau are... (Select one option)

- Not clearly defined.
- Clearly defined in general, but additional details and guidance are necessary.
- Clearly defined and there is no need for additional guidance.
- Not sure/No opinion

NOTE : Answer the below question only if answer to Q#17 is Not clearly defined.

18. Please elaborate on which aspects of the procedural requirements for implementing the CRM policy at your mission or bureau could be better defined.

NOTE : Answer the below question only if answer to Q#17 is Clearly defined in general, but additional details and guidance are necessary.

19. Please elaborate on which aspects of the procedural requirements for implementing the CRM policy at your mission or bureau need additional guidance or details.

20. The roles and responsibilities of USAID staff at my mission or bureau in regards to implementation of the CRM policy are... (Select one option)

- Not clearly defined.
- Clearly defined in general, but additional details and guidance are necessary.
- Clearly defined and there is no need for additional guidance.
- Not sure/No opinion

NOTE : Answer the below question only if answer to Q#20 is Not clearly defined.

21. Please elaborate on which aspects of roles and responsibilities of USAID staff at your mission or bureau in regards to implementation of the CRM policy could be better defined.

NOTE : Answer the below question only if answer to Q#20 is Clearly defined in general, but additional details and guidance are necessary.

22. Please elaborate on which aspects of roles and responsibilities of USAID staff at your mission or bureau in regards to implementation of the CRM policy need additional guidance or details.

23. The process for integrating the CRM policy in monitoring, evaluation, reporting and learning practices at my mission or bureau is... (Select one option)

- Not clearly defined.
- Clearly defined in general, but additional details and guidance are necessary.
- Clearly defined and there is no need for additional guidance.
- Not sure/No opinion

NOTE : Answer the below question only if answer to Q#23 is Not clearly defined.

24. Please elaborate on which aspects of the process for integrating the CRM policy in monitoring, evaluation, reporting and learning practices at your mission or bureau could be better defined.

NOTE : Answer the below question only if answer to Q#23 is Clearly defined in general, but additional details and guidance are necessary.

25. Please elaborate on which aspects of the process for integrating the CRM policy in monitoring, evaluation, reporting and learning practices at your mission or bureau need additional guidance or details.

**Section 2: Familiarity with Policy and Resources
(continued)**

26. USAID has developed a number of resources and tools to support the implementation of the CRM policy. Please indicate your familiarity with the tools and resources listed below based on the following options.

	I'm not aware of this tool	I'm aware of this tool but I have not used it	I'm aware of this tool and have used it, but do not find it useful	I am aware of this tool, have used it, and find it useful
(a) "Climate Resilient Development 101" online course	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(b) "What is the Climate Risk Management Process" online course	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(c) Country or regional climate risk profiles	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(d) Climate Risk Screening and Management Tool	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(e) Sector-specific tool references (e.g. Agriculture, Disaster Readiness, Economic Growth)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(f) "Primer: Using Climate Information for Climate Risk Management"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(g) "Guide: CRM Monitoring, Evaluation, Learning and Knowledge Management"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(h) Other CRM content and resources on Climatelinks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

27. Please feel free to elaborate on your familiarity with any of the resources and tools listed above.

28. Please include any suggestions for improving these resources and tools.

Section 3: Experience with Implementation

29. In your experience, which of the following issues pose a barrier to the effective implementation of the CRM policy in your mission or bureau?

Please check all that apply.

- There is not sufficient understanding or awareness of the CRM policy in my mission or bureau.
- My mission or bureau understands the policy but does not have sufficient guidance on how to implement it.
- My mission or bureau could implement the policy more effectively if there were better access to data and information on climate risks and effective risk management measures.
- My mission or bureau could implement the policy more effectively if there were better tools, resources, or technical support.
- Implementing the CRM policy is not a key priority in my mission or bureau.
- My mission or bureau faces issues in securing buy-in from host governments or local stakeholders with respect to the importance of managing climate risks.
- My mission or bureau staff (e.g. AOR/CORs) find their activity implementing partner(s) to lack the knowledge and capacity to properly implement the CRM provisions that have been incorporated into activity design.
- Staff in my mission or bureau do not have adequate time to implement the CRM policy given other responsibilities.
- Other
- None of the above

NOTE : Answer the below question only if answer to Q#29 is Other

30. Please specify which other barriers to effective implementation of the CRM policy affect your mission or bureau.

31. Please feel free to elaborate on how these barriers affect your mission/bureau or your work.

32. Are you aware of any steps your mission or bureau has taken to address the issues you identified above? What, if any, additional measures do you think are needed?

33. From your experience, please briefly describe the three most important conditions or entry points (in no particular order) that contribute to effective implementation of the CRM policy at the activity level.

(a)

(b)

(c)

Section 3: Experience with Implementation (continued)

The following questions seek to understand the characteristics of the CRM policy with respect to the relationship between USAID personnel and implementing partners. Please consider this relationship when answering these questions.

34. In my experience, the incorporation of climate risk assessment findings into activity design is (Select one option)

- Poor
- Fair
- Good
- Excellent
- Not sure/Not relevant

35. In my experience, the incorporation of the CRM policy into workplans and/or work planning is (Select one option)

- Poor
- Fair
- Good
- Excellent
- Not sure/Not relevant

36. In my experience, the incorporation of the CRM policy into monitoring, evaluation, and learning plans and/or processes is (Select one option)

- Poor
- Fair
- Good
- Excellent
- Not sure/Not relevant

37. In my experience, the incorporation of the CRM policy into quarterly and annual reporting is (Select one option)

- Poor
- Fair
- Good
- Excellent
- Not sure/Not relevant

38. Is there anything else you would like to add about the incorporation of the CRM policy into the program stages described above?

39. Please briefly describe how the implementing partners supporting your mission or bureau are measuring the results of climate risk management.

Section 3: Experience with Implementation (continued)

The following questions seek to understand the impact that USAID's CRM policy has on beneficiaries. Please consider strategies, projects, and/or activities that have been developed and implemented under USAID's CRM policy when answering these questions.

40. In your experience, what impact does the CRM policy have on altering behaviors or perceptions among beneficiaries (e.g. farmers or business owners) to consider climate risks in their actions? (Select one option)

- Large negative impact
- Small negative impact
- No impact
- Small positive impact
- Large positive impact
- Not sure/Not relevant

41. In your experience, what impact does the CRM policy have on encouraging host country government officials (national/subnational) to consider climate risks in planning, budgeting, and implementation? (Select one option)

- Large negative impact
- Small negative impact
- No impact
- Small positive impact
- Large positive impact
- Not sure/Not relevant

42. In your experience, what impact does the CRM policy have on transferring capacities to execute climate risk management among beneficiaries, government officials, and other host country stakeholders? (Select one option)

- Large negative impact
- Small negative impact
- No impact

- Small positive impact
- Large positive impact
- Not sure/Not relevant

43. In your experience, what impact does the CRM policy have on reducing vulnerability or increasing resilience of beneficiaries to weather and climate impacts? (Select one option)

- Large negative impact
- Small negative impact
- No impact
- Small positive impact
- Large positive impact
- Not sure/Not relevant

44. Please add any additional considerations with respect to the impact of the CRM policy on beneficiaries that you would like to share. You may wish to highlight key lessons learned, successes, and/or areas for future improvement.

Section 3: Experience with Implementation (continued)

The following questions seek to understand the impact that USAID's CRM policy has on resilience to climate change impacts. Please consider strategies, projects and/or activities that have been developed and implemented under USAID's CRM policy when answering these questions.

45. In general, do you feel that the strategy, project(s) or activity(ies) designed and implemented under the CRM policy will be resilient to weather and climate impacts? Why or why not?

46. From your perspective, what expected and/or observed benefits does managing climate risks have on the strategy, project(s), or activity(ies)?

Section 4: Reflection on Implementation of CRM Policy

47. Please indicate your understanding of how well the CRM policy is integrated into each phase of the program cycle in your mission or bureau.

	Poor	Fair	Good	Excellent	Not sure or N/A
(a) Development Policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(b) Country/Regional Strategic Planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(c) Project Design and Implementation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(d) Activity Design and Implementation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(e) Monitoring, Evaluation, and Learning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(f) Collaborating, Learning, and Adapting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Section 5: Identification and Follow-up (OPTIONAL)

48. The evaluation team will be conducting key informant interviews as well as a limited number of focus group discussions. If you are willing to be interviewed or contacted for follow-up, please provide your name and contact information below.

(a) Name:

(b) Position:

(c) Contact Email:

(d) Phone Number:

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Annex G: Evaluation Team Profiles

The core team for this evaluation consisted of the team leader/evaluation specialist, a CRM specialist, a research associate, and the evaluation coordinator.

Team Leader/Evaluation Specialist – Nora Nelson

Nora Nelson is an experienced evaluation team leader with more than 10 years of experience in environmental programs, projects, and policy for USAID and other donors. She has served as the team leader and as a subject matter expert on multiple climate- and natural resource–related initiatives. In her role as lead researcher and project manager on the World Bank and the Government of India’s Natural Agriculture Innovation Project, she was responsible for designing, implementing, and managing a comprehensive research instrument assessing climate change risk and adaptation in indigenous communities. In addition to her team leader experience, Ms. Nelson has acted as the lead researcher and climate change expert on multiple projects, six of which were on behalf of USAID. As team leader, Ms. Nelson was responsible for the evaluation’s overall implementation and for ensuring that all expected tasks and deliverables were achieved on time and with high quality.

Climate Risk Management Specialist – Dr. Keith Bettinger

Dr. Keith Bettinger has more than 10 years of academic, research, and professional experience in climate change adaptation, CRM, climate finance, urban resilience, international development, natural resource management, and governance. He provides his technical expertise in project design, institutional strengthening, and capacity building to donors such as USAID, the United Nations Development Programme, the United National Environment Programme, and FEMA. Recently he was the capacity building team leader for a regional USAID program assisting 27 countries in Asia and the Pacific to improve access to climate change adaptation finance, mainstream climate change adaptation, and building capacity to formulate climate change adaptation projects. He has worked in more than 24 countries supporting climate adaptation and CRM projects and has supported the development process of several national adaptation plans. As CRM specialist, Dr. Bettinger supported the team leader in designing and implementing the evaluation and ensured that the evaluation provided a well-grounded and technically sound assessment of CRM policy implementation in USAID activities.

Evaluation Coordinator – Irene Velez

Irene Velez holds a master’s degree in international development policy and has 10 years of global work experience in survey design, quantitative analysis, and impact and performance evaluation design and implementation. She has technical knowledge of multiple experimental and quasi-experimental evaluation methods, as well as practical expertise managing the execution of these evaluations. Ms. Velez was responsible primarily for overseeing and coordinating the evaluation design’s execution, ensuring efficient and timely reporting, developing and ensuring the timely submission of deliverables, and monitoring the evaluation design’s fidelity.

Research Associate – Sara Krautbauer

Sara Krautbauer has six years of experience in program management, research, and monitoring and evaluation support. Ms. Krautbauer’s experience includes conducting and overseeing literature reviews, methodology design, data collection, and reporting. She holds a master’s degree in international development studies from George Washington University and is familiar with analytical software, including STATA, SPSS, and Dedoose. Ms. Krautbauer was responsible primarily for supporting the evaluation team with data collection and analysis and coordinating interviews, field visits, and the online survey.

U.S. Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, DC 20004