

Terminal Evaluation Validation form, GEF Independent Evaluation Office

1. Project Data

Summary project data			
GEF project ID		4880	
GEF Agency project ID		RG-T2797	
GEF Replenishment Phase		GEF-5	
Lead GEF Agency (include all for joint projects)		Inter-American Development Bank (IADB)	
Project name		Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean	
Country/Countries		Argentina, Costa Rica, Dominican Republic, Ecuador, Guatemala, Mexico (PIR 2021, p.1)	
Region		Latin America & Caribbean	
Focal area		Climate Change	
Operational Program or Strategic Priorities/Objectives		N/A	
Stand alone or under a programmatic framework		Standalone	
If applicable, parent program name and GEF ID		N/A	
Executing agencies involved		1. Instituto Nacional de Ecología y Cambio Climático (INECC, Mexico) 2. Fundación Bariloche (FB, Argentina) 3. World Resources Institute/Embarq (WRI, USA) 4. Centro Agronómico Tropical de Investigación y Enseñanza (CATIE, Costa Rica) 5. Inter-American Development Bank (IADB) ¹ Fondo Regional de Tecnología Agropecuaria (FONTAGRO)	
NGOs/CBOs involvement		Fundación Bariloche, WRI, CATIE: executing agencies for project activities	
Private sector involvement (including micro, small and medium enterprises) ²		Private sector was involved in piloting EST transfer	
CEO Endorsement (FSP) / Approval (MSP) date		September 9, 2014 (GEF website)	
Effectiveness date / project start date		December 17, 2014 (PIR 2021, p. 1)	
Expected date of project completion (at start)		October 8, 2018 (PIR 2017, p. 1; PIR 2020, p. 1)	
Actual date of project completion		Operational closing date: October 20, 2020 (TE, p. 5)	
Project Financing			
		At Endorsement (US \$M)	At Completion (US \$M)
Project Preparation Grant	GEF funding		
	Co-financing		
GEF Project Grant		10.899 ³	10.899

¹ The Project Document and the TE include the IADB, which is the implementing agency, also as Executing Agency (ProDoc, p. 1; TE, p. 1).

² Defined as all micro, small, and medium-scale profit-oriented entities, including individuals and informal entities, that earn income through the sale of goods and services rather than a salary. ([GEF IEO 2022](#))

³ The final PIR 2021 indicates a total disbursement of GEF Grant resources as of end of June 30, 2021 of 10,898,999.68 US\$.

Co-financing	IA own	55.500	205.000 ⁴
	Government		
	Other multi- /bi-laterals	1.050	1.135
	Private sector		
	NGOs/CBOs	0	20.562
	Other		
Total GEF funding		10.899	10.899
Total Co-financing		56.550	226.698
Total project funding (GEF grant(s) + co-financing)		67.399	237.597
Terminal evaluation validation information			
TE completion date⁵		6/2/2021	
Author of TE		Jose Galindo	
TER completion date		11/8/2022	
TER prepared by		Emanuele Bigagli	
TER peer review by (if GEF IEO review)		Neeraj Negi	

Access the form to summarize key project features here: <https://www.research.net/r/APR2023>.

⁴ The TE (p. 34) specifies a total co-financing amount from IDB of 205 million USD, including “a loan of USD 55 million granted by IDB to Haiti to increase the agricultural revenues and food security of small farmers, and the remaining USD 150 million came from a results-based loan for sustainable agro-forestry development in the Dominican Republic.”

⁵ The TE mentions the “Report date” of June 2, 2021 (TE, p. 1) and terminal evaluation date of May 5, 2021 (TE, p. 2).

2. Summary of Project Ratings

Criteria	Final PIR	IA Terminal Evaluation ⁶	IA Evaluation Office Review	GEF IEO Review
Project Outcomes	Not specified ⁷	S	--	S
Sustainability of Outcomes		ML	--	ML
M&E Design		MS ⁸	--	MU
M&E Implementation		MS ⁹	--	MS
Quality of Implementation		Not specified	--	MU
Quality of Execution		Not specified	--	MS
Quality of the Terminal Evaluation Report			--	S

3. Project Objectives and theory of change

3.1 Global Environmental Objectives of the project:

The objective of this Project was to promote the development and transfer of environmentally sound technologies (EST) in Latin America and the Caribbean, in order to contribute to the ultimate goal of reducing greenhouse gas emissions and reducing the vulnerability to climate change in specific sectors in this region.

As specified in both the Project Document and the TE, to achieve this objective, the project's strategy is to build national capacities to identify, assess, develop and transfer EST, focusing on: (a) the promotion of and support to regional collaborative efforts; (b) the support to planning and policy-making processes at national and sectoral levels; (c) the demonstration of policies and enabling mechanisms; and (d) the mobilization of private and public financial and human resources.

3.2 Development Objectives of the project:

No specific development objectives, distinct from the global environmental objective, were specified neither in the Project Document nor in the TE.

⁶ TE evaluated the following criteria: M&E (M&E design at project start; execution of the M&E Plan); Outcomes (relevance, effectiveness, efficiency); sustainability; and impact. Effectiveness, Efficiency, M&E, and Execution by the implementing and executing partners were evaluated on a 6-point scale from HS-S-MS-MU-U-HU; sustainability was evaluated on a 4-point scale from L-ML-MUI-UI; relevance was evaluated as either R-NR; and impact on a 3-point scale S-M-I.

⁷ The final PIR (2021) evaluated the project only in relation to: Development Objective (Satisfactory), Implementation Progress (Satisfactory), and Risk (Moderate).

⁸ The TE (p. 7) evaluated this as "3 (MS)", while it should be "4 (MS)".

⁹ The TE (p. 7) evaluated this as "3 (MS)", while it should be "4 (MS)".

3.3 Were there any **changes** in the Global Environmental Objectives, Development Objectives, or project activities during implementation? What are the reasons given for the change(s)?

The TE does not mention any changes in Global Environmental Objectives, Development Objectives, or project activities during implementation. This is confirmed by PIRs 2020 and 2021.

3.4 Briefly summarize project's theory of change – describe the inputs and causal relationships through which the project will achieve its long-term impacts, key links, and key assumptions.

As noted in the TE (p. 22), although the Project Document did not explicitly articulate a Theory of Change (TE, p. 22), it presents the following main elements relevant for building a Theory of Change (Project Document, pp. 4-5):

- **Problem:** It is necessary to develop and transfer Environmentally Sound Technologies (EST) for the transition to low-carbon, climate-resilient development paths. However, this is hampered by policy and regulatory, financial and economic, technical and capacity, information and awareness barriers.
- **Project Outcome:** Build national capacities to elaborate plans and policies to facilitate the development and transfer of EST, and to identify, select, finance and adopt EST, focusing on: (a) the promotion of and support to regional collaborative efforts; (b) the support to planning and policy-making processes at national and sectoral levels; (c) the demonstration of policies and enabling mechanisms; and (d) the mobilization of private and public financial and human resources.
- **Long-term impact:** Reduce greenhouse gas (GHG) emissions and vulnerability to climate change in specific sectors in LAC.
- **Strategy:** (1) Address regulatory and policy barriers, improving the capacity of the authorities to identify and evaluate technologies, as well as formulate policies and plans to promote the adoption of priority technologies. (2) Facilitate the access to regional technical knowledge, reducing associated resources to remove information, technical and capacity barriers. (3) Formulate recommendations for the adoption of environmentally sound technologies, specifically the priority technologies under the first component. Component three helps remove regulatory and policy barriers supporting the stakeholders in the evaluation and adoption of enabling policies and mechanisms. (4) Promote investments for the adoption of environmentally sound technologies through feasibility studies, technology assessments, cost-benefit analyses, market studies, financial models, and financing proposals to invest in such technologies.

4. GEF IEO assessment of Outcomes and Sustainability

Please refer to the GEF Terminal Evaluation Review Guidelines for detail on the criteria for ratings.

The outcome ratings (relevance, effectiveness, efficiency, and overall outcome rating) are on a six-point scale: Highly Satisfactory to Highly Unsatisfactory. The sustainability rating is on a four-point scale: Likely to Unlikely.

Please justify the ratings in the space below each box.

4.1 Relevance and Coherence	S
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Relevance was evaluated as Relevant by TE, on a scale that included 1 as “Not Relevant”, and 2 as “Relevant”. The present Report concurs with this evaluation, and rates the Relevance and Coherence of this Project as Satisfactory.

The TE notes that the project was relevant because it implemented part of the country’s global commitments related to climate change, i.e., the transfer and adoption of technologies (TE, p. 18), and demonstrated the value of multilateral banks in the implementation of the Technology Mechanism of the UNFCCC (TE, p. 54). The Project was “a pioneering initiative without precedent in the region” (TE, p.18).

The TE did not assess the extent to which the project is compatible with other relevant projects being undertaken in the study area.

The following elements were highlighted by the TE in relation to the appropriateness of project design to deliver the expected outcomes:

- The design did not adequately assess the scale-related difficulties in addressing Environmentally Sound Technologies (EST) transfer, especially in the Caribbean countries. The large number of participant countries also added complexity. This made it difficult to maintain appropriate ownership, validation and participatory processes involving the countries right from the design phase (TE, p. 18).
- The project was designed as a cluster of five independent sub-projects having five different executing agencies (TE, p. 19). The project design did not propose clear coordination lines between the interventions and focal areas (TE, p. 19). While this reduced the need for coordination among the sub-projects, it also reduced opportunities for knowledge sharing and harnessing the synergies.

4.2 Effectiveness	S
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Effectiveness was evaluated as Satisfactory by the TE. The present Report concurs with this assessment. The majority of the targets were met and almost half of them were exceeded; moreover, project outcomes were considered as relevant and contribute to global environmental benefits.

The TE (p. 43) reported a fulfilment of 100% of indicators for Development of National Policy and Institutional Capacities (Component 1), 80% for Strengthening of Technology Networks and Centers (Component 2), 95% for Pilot Technology Transfer Mechanisms (Component 3), and 100% for Leveraging Private and Public Investments (Component 4). Also, 10 indicators out of a total of 21 were found to

overperform, and 6 were reported to reach 100% of the target, with only 2 indicators reporting a fulfilment <95%¹⁰. Also, three indicators were not reported¹¹ (TE, p. 37).

The TE (p. 43) informs that on three indicators achievements were substantially less than 100 percent but does not clearly indicate the level of achievement. These three indicators are: institutional arrangements seeking regional coordination (Indicator 2.5), policies Implemented (Indicator 3.1), and pre-feasibility assessments (Indicator 4.1).

4.3 Efficiency	MS
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Efficiency was evaluated as Satisfactory by the TE, and this review assesses it as Moderately Satisfactory. The project outputs were achieved within the overall budget cap, but with a year-and-a-half delay in implementation completion.

The TE argues that the intervention of this Project was efficient in terms of use of financial resources and, to a lesser extent, in terms of time (TE, p. 44). By 2020, 100% of GEF grant was executed, and all EAs fully executed their budget. CATIE and INECC implemented the activities with changes in the originally proposed execution (TE, p. 32)¹².

There were slight variations (<2.3%) between original allocation and project execution for the 4 Components. A considerable variation of 4,5% was found for Project Management, corresponding to a doubling of expenses on this item (TE, p. 33). Budget execution was around 92-99% for all Components except for Component 2 (71%; TE, p. 44).

A positive, cost-effective practice mentioned by the TE is the decision to strengthen existing networks instead of creating ones (TE, p. 45). The TE highlights also two negative aspects. First, all EAs apart from WRI considered that the project could have made a better use of in-house staff instead of hiring consultants (TE, p. 45). Second, the budget execution processes and policies of IDB presented a considerable challenge to all the EAs and demanded considerable amounts of time, which impacted on the efficiency of the procurement processes (TE, p. 45).

¹⁰ The TE presents a minor mistake in the calculation of the fulfilment of Indicator 3.3.1" Number of assessments of mechanisms for the adoption of EST prepared and disseminated" (9 against the target of 5, +140%). This value should be +180%.

¹¹ Two of these indicators (Indicator 4.1.1, "Number of procedures for the selection and delivery of technical assistance approved" and Indicator 2.1.2 "Number of different countries participating in workshops/side events") were "not evidenced in the Convergence report" (TE, p. 38). For Indicator 2.4.1 "Number of business plans for thematic networks", until 2017 it had not been identified what these 4 plans were related to, while in 2019 it was reported that the Project did not create new networks, but worked to strengthen the existing network already working on EST; the 4 EAs decided to prepare recommendations on how to continue the work (not an actual business plan; TE, p. 37).

¹² INECC executed its activities with less resources; the balance of USD 129,403 was transferred to CATIE in 2019 for Component 4, as reported to the GEF in the PIR 2019 (TE, p. 32).

4.4 Outcome	S
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Summarize key outcomes related to environment, human well-being, and enabling conditions (Policy, Legal & Institutional Development; Individual & Institutional Capacity-Building; Knowledge Exchange & Learning; Multistakeholder Interactions), as applicable. Include any unintended outcomes (not originally targeted by the project), whether positive or negative, affecting either ecological or social aspects. Where applicable, note how both intended and unintended outcomes have positively and/or negatively affected marginalized populations (e.g., women, indigenous groups, youth, persons with disabilities), and where some stakeholder groups have benefited more/ less than others.

The overall achievement of project outcomes was assessed by the TE as Satisfactory. This review concurs with this rating, based on the following considerations:

- **Relevance:** Satisfactory – The Project was relevant and aligned with GEF Focal Area objectives; moreover, project design was appropriate to deliver expected outcomes, notwithstanding some flaws (see Section 4.1).
- **Effectiveness:** Satisfactory – Outcomes were commensurate with ex-ante targets; vast majority of targets were met and some of them were exceeded. The Project overall made the expected contributions to global environmental benefits.
- **Efficiency:** Moderately Satisfactory – The Project was implemented within budget although with a year and a half delay in implementation completion.

The key outcomes and impacts are summarized as follows:

Environmental Impacts. A total GHG emissions reduction of 35 million tCO₂e was reported (TE, p. 9). Moreover, the TE (p. 46) reports also a direct reduction of GHG emissions of 12 million tCO₂e and an indirect reduction of 7 tCO₂e for the transportation sector, as well as an expected avoidance of 36 tCO₂e emissions between 2017 and 2030 in the energy sector. However, “the quantification of the impact for the agricultural and forest monitoring sectors proved more difficult and subjective, so it was decided not to report it” (TE, p. 45). Interviewees highlighted the impact achieved in terms of mainstreaming climate change and EST in the focal areas, promoting discussions on these themes at regional scale (TE, p. 46).

Socioeconomic. Impact was measured through the level of investments mobilized by the project; this target was achieved successfully, having mobilized almost 4 times the target amount, i.e., USD 205 million (TE, p. 46). However, as no specific quotas were allocated by target sector, nor specific co-financing targets, investments were concentrated only on an extremely low percentage of all projects and studied developed. Another important impact was the data and knowledge base generated by Fundacion Bariloche, which could have been hardly financed through the existing channels and mechanisms (TE, p. 47). The validation of EST for climate variability in agriculture, conducted by FONTAGRO, was key due to their exposure to climate extremes (TE, p. 48).

Enabling conditions. Interviewees reported the strengthening of capacities of government officials, technical specialists and experts in different sectors through webinars, studies, and events developed by the project (TE, p. 46). Also, FONTAGRO was key in incorporating climate change into the official agendas on applied research in the region (TE, p. 48).

4.5 Sustainability	ML
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Note any progress made to sustain or expand environmental benefits beyond project closure, using stakeholder (rather than project) resources, e.g. through replication, mainstreaming or scaling-up of GEF-supported initiatives. Examples would be farmers adopting practices using own funds, follow-on replication projects, development of plans for scaling, inclusion in local or national legislation, and allocation of government budgets or private sector investments for institutional adoption.

Sustainability was assessed as Moderately Likely by the TE. This review concurs with the TE's assessment, as the level of engagement and ownership is high, the applied approach is viable with some of its aspects institutionalized into local legal and policy frameworks, and the project is performing as an incubator of a portfolio of potential future investments at regional scale. Nonetheless, there is lack of evidence of a structure and plan to replicate and scale up the past investments (TE, p. 48),

Financial. The main financial risk identified in the TE comes from the lack of “an explicit exit plan or strategy that defines clear institutional roles, responsibilities, and commitments with a view to maintaining, replicating, and scaling up the investments made over time”, although it agreed with GEF Technical Coordination at IDB to the possibility of a sectoral monitoring at the time of its closure (TE, p. 48). Moreover, the TE (p. 9) notes that “the sustainability perspectives for the investments are not so clear”. While the investments mobilized by INECC for Component 1 are likely to remain current for a longer period, this will depend on countries’ will to adopt the generated recommendations “in a context where it cannot be identified who could assume the leadership to mobilize the countries again within the framework of this cooperation” (TE, p. 50). Also, the absence of a Steering Committee “may have contributed to the fact that, with the Project having closed, there is no clear commitment to keep monitoring the investments and achieved results” (TE, p. 27).

Sociopolitical. The TE did not identify major sociopolitical risks. It highlighted the high commitment and ownership level of EAs throughout the whole Project (see Section 5.3), and some good practices such as the initiative of Fundacion Bariloche to keep documents and studies on its website for one additional year, so as to foster keeping contact between IADB and the engaged institutions (TE, p. 49).

Institutional Framework and Governance. The TE did not highlight specific institutional framework and governance-related risks, noting, on the contrary, that the interventions of CTIE in Mexico and Brazil have been incorporated as an integral part of the forest monitoring systems, especially in Brazil where this is supported by a law (TE, p. 49).

Environmental. The TE did not discuss environmental risks. It highlighted (p. 57) that the design of the Project was not adapted to the conditions and opportunities derived from the Paris Agreement, and “may have become outdated or inadequate in the new context” (TE, p. 18). This could be indirectly considered as an environmental risk potentially threatening benefits, as the interventions and the outcomes of this Project were not necessarily aligned with the new conditions generated by the Paris Agreement and, thus, could be potentially interrupted in the future.

5. Processes and factors affecting attainment of project outcomes

Before describing the factors, you may choose to summarize reported outcomes and sustainability here: <https://www.research.net/r/APR2023>.

5.1 Co-financing. To what extent was the reported co-financing essential to the achievement of GEF objectives? If there was a difference in the level of expected co-financing and actual co-financing, what were the reasons for it? Did the extent of materialization of co-financing affect project's outcomes and/or sustainability? If so, in what ways and through what causal linkages?

According to the TE (p. 22), the project mobilized more co-financing than what was originally indicated the project documents, i.e., about 205 million USD against 56.5 million USD, which were mobilized through the execution of Component 4 on the side of FONTAGRO, including a loan of USD 55 million granted by IDB to Haiti to increase the agricultural revenues and food security of small farmers, and USD 150 million coming from a results-based loan for sustainable agro-forestry development in the Dominican Republic (TE, p. 34). FONTAGRO was "the only EA to obtain specific co-financing, for it managed to have the National Governments request investment funds from IDB to finance projects in Panama, Haiti, Nicaragua, and the Dominican Republic" (TE, p. 30). The TE also noted that WRI provided USD 20.56 million in co-financing, although it did not clarify the reasons for this, nor did it specify how this budget was used. The TE (p. 25) notes that the use of co-financing resources was not monitored.

5.2 Project extensions and/or delays. If there were delays in project implementation and completion, then what were the reasons for it? Did the delay affect the project's outcomes and/or sustainability? If so, in what ways and through what causal linkages?

The TE mentions that two extensions were granted. The Final PIR 2021 mentions that the extensions were sought to finalize all the activities, auditing processes and final reports. The data provided in the terminal evaluation seems to show that the delay led to increased expenditure on program management.

5.3 Stakeholder ownership. Assess the extent to which stakeholder ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability, highlighting the causal links.

Overall, there was high level of engagement of the executing agencies in project activities, although some gaps were observed in the engagement of other stakeholders. The TE (p. 28) notes "high level of engagement and commitment of all EAs" and that, in general, in nearly all cases the project interventions achieved high levels of engagement and ownership by its beneficiaries (TE, p. 48). The TE provides more details on the performance and commitment of the IA and the EAs:

- INECC: it showed "high levels of ownership, as well as a proactive and motivated attitude", providing a strategic level of intervention (TE, p. 29);
- Fundacion Bariloche: the consultation processes undertaken by this EA resulted in greater commitment and ownership among beneficiaries; also, they had a strong communication and dissemination process that exceeded by far the set targets (TE, p. 30);
- FONTAGRO: it mobilized an extensive network of public agricultural research institutes across the region;

- CATIE: it sustained the participation of the involved officials and transfer them knowledge in an outstanding way.

The TE (p. 29) noted a largely fragmented participation along each of the four topics of activity, and nearly no spaces for structured communication between different interventions, which “may have contributed to the fact that, with the Project having closed, there is no clear commitment to keep monitoring the investments and achieved results”.

The TE mentions several challenges related to low engagement of stakeholders such as the low engagement of academia; the low participation of the private sector; and the difficulty to maintain appropriate ownership, validation and participatory processes involving the countries right from the design phase, but it does not discuss the effects of low engagement on project implementation and results (TE, pp. 28-29).

5.4 Other factors: In case the terminal evaluation discusses other key factors that affected project outcomes, discuss those factors and outline how they affected outcomes, whether positively or negatively. Include factors that may have led to unintended outcomes.

The TE noted the difficulty in publishing the relevant inputs generated by the Project due to the IADB policies, which involves a long, complex, and costly processes (TE, p. 45). This entailed a limited access to the information and technical inputs generated by the Project (TE, p. 56).

6. Assessment of project’s Monitoring and Evaluation system

Ratings are assessed on a six point scale: Highly Satisfactory to Highly Unsatisfactory.

Please justify ratings in the space below each box.

6.1 M&E Design at entry	MU
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M&E design at project start was evaluated as 3 (Moderately Satisfactory) by the TE. The present Report evaluates it as Moderately Unsatisfactory, mainly because the arrangements on data collection and definition of roles and responsibilities were lacking or insufficient.

Although the TE affirms that “no M&E Plan was developed” (p. 25), nonetheless the main elements of such a plan emerged from the Project Document, according to which the M&E would be performed using the Results framework, “which defines the objective and expected outcomes and outputs”, and following IDB and GEF standards (TE, p. 25). This included the use of the following tools: Annual Work Plans (AWPs); Project Monitoring Reports, to be prepared and updated every 6 months; Project Implementation Reports (PIRs); Mid-term evaluation, planned to be conducted 18 months after start or when 40% of GEF funds would be executed; and TE to be conducted three months prior to project closure. In addition to this, through “a letter of agreement the IADB requested that, as part of their monitoring and evaluation, each Executing Agency should provide the IDB with half-yearly progress reports and a final report” (TE, p. 26). Also, the Project Results Matrix attached to the Project Document clearly specified indicators and means of verification for each Outcome and Output.

However, as verified from the Project Document (p. 13) and the Project Results Matrix, no clear link was established with the Project's Theory of Change (which was not developed); moreover, no specific planning was in place to interpret the indicators; also, there was no clear definition of roles and responsibilities for M&E plan implementation. Finally, as noted in the TE, due to the broadness of subjects and the geographic approach, it was difficult to establish baselines that would provide an insight into the initial situation in each country before the interventions, so as to measure the progress or change triggered by the Project interventions (TE, p. 20).

6.2 M&E Implementation	MS
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M&E implementation was assessed as Moderately Satisfactory by the TE. This review concurs with the assessment. The M&E plan was implemented; the PIRs and MTR were conducted, although with some delays in the MTR (39 months after project start, instead of the planned 18); M&E data were reported timely and were used to track targets. The main weaknesses highlighted by the TE (pp. 25-26) include the following:

- The AWP's were not developed; each EA developed its own plans and presented them as part of their annual reports;
- There was no evidence of preparation of Project Monitoring Reports; to this respect, the TE notes that this was probably due to the lack of AWP's;
- Risks were not updated since the Project Document;
- The use by the Implementing Partner (IDB) as Project tracking tool of the Convergence system (which is designed to monitor budget execution) did not allow to monitoring Project outcome and impact indicators.
- Although the Implementing Partner requested EAs to provide them with half-yearly progress reports and a final report, only final reports were submitted by each EA, while most of them only delivered one half-yearly report as most of them combined the second half-year report with the annual report.

7. Assessment of project implementation and execution

Quality of Implementation rating is based on the assessment of the performance of GEF Agency(s). Quality of Execution rating is based on performance of the executing agency(s). In both instances, the focus is upon factors that are largely within the control of the respective implementing and executing agency(s). A six-point rating scale is used (Highly Satisfactory to Highly Unsatisfactory), or Unable to Assess.

Please justify ratings in the space below each box.

7.1 Quality of Project Implementation	MU
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The TE did not rate quality of project implementation. This review assesses it to be Moderately Unsatisfactory, mainly because of the insufficient structure put in place by the IA, multiple changes of the project team, micro-management, and an overall fragmented implementation, although there were some areas of solid implementation as well.

The Project was implemented by the Climate Change Division (CSD/CCS) of the IDB, which was responsible for the supervision, reporting, and evaluation of the Project. The execution mechanisms were evaluated overall as “relatively simple and straightforward” (TE, p. 26); this was reflected in a light structure involving Project coordination and leadership in one coordination unit formed by 2 people, which was, however, evaluated as insufficient to manage the workload associated with the coordination of 5 EAs with different characteristics and capacities and working simultaneously with multiple actors and countries. Moreover, the TE noted that the team in charge of the project inside IDB changed three times during implementation, which affected project execution (TE, p. 27). This insufficiency impacted the “response capacity in terms of quality assurance, smoothness of procurement, monitoring and tracking processes and, in general, the execution timeframes” (TE, pp. 26-27). Thematic experts from different IDB divisions helped filling this gap, although interviewees reported that it was difficult to engage other IDB divisions and other country offices.

The TE points out that implementation was fragmented, with nearly five independent projects having five different EAs (TE, p. 19) and “nearly no links or spaces connecting the interventions of the different EAs. The project design underestimated the complexity of addressing multiple focal subjects in such a large and diverse region as LAC (p. 19); it did not propose clear coordination lines between the interventions and focal areas and offered little space for adding value and generating feedback among the different interventions. For example, during the intervention there was only one meeting where all the EAs participated along with IDB” (TE, p. 8, p. 27). This was mainly due to the insufficient governance and participation. The project design did not provide for a Steering Committee and a Technical Committee was never established. However, absence of these structures allowed the EAs sufficient “leeway to develop what they considered necessary within each focal subject, so the intervention strategies could be adapted to each particular case” (TE, p. 18).

Another positive aspect relates to the fact that the EAs were identified and selected through a very robust process, ensuring that they had the required institutional capacity, recognized leadership in the focal subjects, convening power, and experience managing projects with GEF (TE, p. 20) “to execute nearly all of the intended outputs with a reasonable level of involvement of beneficiaries and stakeholders” (TE, p. 27).

Finally, the interviewees reported a tendence towards micro-management in the IDB team coordinating the project, reflected in “the execution timeframes, in the approach of the first studies commissioned, and in a wear out of the relation with EAs to the point that one of them changed its two coordinators” (TE, p. 28). This was “sometimes a barrier to the development of new forms, protocols, and tools necessary to manage projects with GEF” (TE, p. 57). Also, the TE noted that “the support of the IDB to the activities implemented at country level was not always available” (TE, p. 28).

7.2 Quality of Project Execution	MS
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The TE did not evaluate project execution. The present Report rates it as Moderately Satisfactory. The overall performance of the five EAs met the expectations, as nearly all of the intended outputs were

reached, although there were some weaknesses, especially in terms of weak coordination and information management across interventions.

Five different Executing Agencies (EAs) were responsible for the daily execution of the thematic/sector activities of five different components:

- Instituto Nacional de Ecología y Cambio Climático – development of national policy and institutional capacities (Component 1);
- Fundación Bariloche: Energy-related activities (of Components 2, 3, and 4);
- WRI: transportation-related activities (of Components 2, 3, and 4);
- Centro Agronómico Tropical de Investigación y Enseñanza: forestry-related activities (of Components 2, 3, and 4);
- FONTAGRO: agricultural sector-related activities (of Components 2, 3, and 4);
- IADB, as the legal representative and administrator of Fondo Regional de Tecnología Agropecuaria: farming and cattle ranching sector-related activities (of Components 1, 3, and 4).

The five EAs had a high level of commitment and ownership and demonstrated necessary capacities to execute nearly all the intended outputs with a reasonable level of involvement of beneficiaries and stakeholders (TE, p. 27).

The lack of governance and participation spaces, for example absence of a steering committee or a technical committee, “may have also contributed to the weakness identified in terms of coordination and aggregation of the interventions” (TE, p. 19). According to the interviewees, there was also a “gap in terms of information management and knowledge aggregation across the interventions” (TE, p. 19). In addition, the TE noted “a considerable asymmetry in terms of the culture and institutional capacity of the EAs”, especially in the case of INECC, which had no experience executing projects with external sources of finance (TE, p. 20). Moreover, another weakness was identified in the reliance for project implementation on national GEF Focal Points, which are typically the National Environmental Authorities; these are knowledgeable about climate change and competent in that area, but not necessarily in technology transfer matters (TE, p. 20). Finally, another factor that negatively impacted project execution was the change of the two coordinators of Fundación Bariloche (TE, p. 27).

8. Lessons and recommendations

8.1 Briefly describe the key lessons, good practices, or approaches mentioned in the terminal evaluation report, including how they could have application for other GEF projects. Lessons must be based on project experience.

The TE indicates the following lessons learned (p. 57):

- a. EAs should be involved as early as possible in project design of projects, given their presence in the territory and specific knowledge of the themes addressed.
- b. Projects should secure governance through a steering committee, and the operation of spaces established for participation, like a technical committee, should be mandatory, rather than optional.

- c. National institutions from different governments in the region should be engaged in a differentiated manner, so as to ensure the countries' ownership and use of results.
- d. The methodology used by WRI to select the activities to be implemented in each country allowed the governments to assume a sense of ownership in relation to the continuation of the proposed actions.
- e. The execution of the Project through CATIE showed that for projects with little time and resources, it is more efficient to support actions that are already in progress and require strengthening, rather than implementing completely new actions.
- f. Projects that foster technology transfer face challenges derived from high levels of uncertainty, and often rely on limited or inexistent information. In this regard, the Project evidences the need to have a flexible and adaptive approach to be able to take advantage of technical cooperation concessional resources with a high appetite for risk.
- g. The Project created additional value through the creation of multiple platforms that convene a large number of key actors with a view to creating coalitions and sharing knowledge.
- h. One of the most valuable lessons is that there is capacity to develop and transfer technology in the LAC region. This type of projects should build capacities to avoid a potential "full loss of competitive advantage for LAC", and enable investing resources in concrete actions that will have a greater impact on the field.
- i. Mitigation approaches should have been complemented with climate change vulnerability assessment and adaptation approaches, especially as regards changes in land use - which accounts for more than 33% of GHG emissions in the region (TE, p. 20).

8.2 Briefly describe the recommendations given in the terminal evaluation.

The TE provides the following recommendations (TE, p. 57):

- "It is recommended that the Project develop an exit strategy jointly with the different actors involved in its implementation in order to define clear sustainability lines and institutional commitments related to the monitoring of the investments made.
- The high interest generated and the considerable mobilization capacity achieved by the Project suggest there is great regional appetite for new technology transfer initiatives. Considering the success of the model followed by the ERDB, the IDB may want to explore jointly with GEF the consolidation of other financing mechanisms, such as green bonds or trust funds, to finance the engagement of the private sector in the monitoring and scaling up of EST.
- The investments made by the Project can be harnessed in the formulation of new projects, or in the adjustment or strengthening of projects already at the stage of formulation for submission to GEF, the Green Climate Fund, or other donors.
- It is recommended mapping the IAs and projects at formulation stage to which replication and scaling up opportunities can be presented based on the studies, cases, and roadmaps developed by the Project. In line with this, it is recommended that the Project actively seek spaces to socialize its results with other IAs.
- It is recommended that the Project seek a strategic impact within the IDB Group, including the private sector windows IDB Invest and IDB Lab, in order to disseminate and showcase the importance of the different studies, cases, and opportunities developed.

- Considering that the Project mainly focused on public institutions, with a view to mobilizing multilateral banks and especially the private sector, it is recommended developing an investment portfolio with a business approach, derived from studies, cases, and opportunities developed by the Project.
- The implementation of pilot projects is highly recommended as a strategy to reduce the uncertainty inherent to the use of new technologies, since their implementation enables not only to test technologies, but to reach out potential local stakeholders. In addition, their implementation enables measuring and assessing their impact, as well as making the necessary adjustments before deploying them at a greater scale.
- It is still necessary to keep working on the access to the information and technical inputs generated by the Project, which was limited by the difficulty in publishing them within the framework of the IDB. It is recommended increasing and facilitating the public dissemination of the information generated by the Project so that it reaches businessmen, students, and decision-makers.
- In Dominican Republic, an agroforestry monitoring system was left in place, but it still requires legal support.
- The EAs suggest that future projects including technology transfer should incorporate an analysis of the value-added chains that develop in connection with the technological applications. This will provide a more complete vision of the contribution of the EST to the four dimensions of sustainability, as well as a sounder basis to promote the creation of added value circuits that contribute to the socialization of these technologies and the economic development of the country.”

9. Quality of the Terminal Evaluation Report

Before rating the quality of the terminal evaluation, click here to summarize your observations on the sub-criteria: <https://www.research.net/r/APR2023>.

A six-point rating scale is used for each sub-criteria and overall rating of the terminal evaluation report (Highly Satisfactory to Highly Unsatisfactory)

Criteria/indicators of terminal evaluation quality	GEF IEO COMMENTS	Rating
1. Timeliness: terminal evaluation report was carried out and submitted on time?	The TE was conducted within 12 months of project completion	S
2. General information: Provides general information on the project and evaluation as per the requirement?	The TE included the indication of the GEF ID, the list of evaluators that conducted it, the executing agencies, and the GEF environmental objectives, specifying almost all key project milestones (start date, completion date) excluding first disbursement date	S
3. Stakeholder involvement: the report was prepared in consultation with – and with feedback from - key stakeholders?	All the key stakeholders were identified and interviewed virtually; however, their feedback on the draft report was not sought	MS
4. Theory of change: provides solid account of the project's theory of change?	The Project did not develop a proper Theory of Change; the TE listed the elements upon which such a ToC could be built, corresponding to Project Components	S
5. Methodology: Provides an informative and transparent account of the methodology?	The TE thoroughly discusses the information sources for the evaluation, including details of the people interviewed (name, body, role in the project), describes the tools and methods used for evaluation and identifies the limitations of the evaluation, while it does not provide information on project sites/activities covered for verification	S
6. Outcome: Provides a clear and candid account of the	The TE describes the relevance to GEF priorities and the relevance of project design, although the relevance to country priorities was not assessed. It	S

achievement of project outcomes?	provides a clear and comprehensive account of the performance on all outcome targets and comprehensively discusses factors that affected outcome achievements. It reports on timeliness of activities, assesses efficiency in using project resources, and discussed factors that affected it	
7. Sustainability: Presents realistic assessment of sustainability?	The TE identifies risks that may affect sustainability, but it does not indicate the likelihood of key risks materializing, or their likely effects, nor does it provide an overall likelihood of sustainability	MS
8. M&E: Presents sound assessment of the quality of the M&E system?	The TE analyzes quality of M&E design and implementation, while it does not discuss the use of information from the M&E system for project management	S
9. Finance: Reports on utilization of GEF funding and materialization of co-financing?	The Project did not provide details on utilization of GEF resources by sector or component. The TE includes data on materialized co-financing and their sources, discussing reasons for the excess materialization and their contributions to project results	HS
10. Implementation: Presents a candid account of project implementation and Agency performance?	Th TE provides an account of GEF IA and EAs performance, discussing factors that affected implementation and execution and how challenges were (or not) addressed	HS
11. Safeguards: Provides information on application of environmental and social safeguards, and conduct and use of gender analysis?	The TE reports on the implementation of social and environmental safeguards and mentions the fact that the Project did not perform a gender analysis, because no criteria or guidelines were established to guide the team in the implementation of a gender-focused approach	HS
12. Lessons and recommendations are supported by the project experience and are relevant to future programming?	The TE includes lessons based on project experience, while not discussing their future applicability. It includes recommendations clearly	S

	specifying, in general, the actions needed and the specific action takers	
13. Ratings: Ratings are well-substantiated by evidence, realistic and convincing?	Ratings in the TE were supported with credible and sufficient evidence, although sometimes they were found not to be adequately supported by such evidence	MS
14. Report presentation: The report was well-written, logically organized, and consistent?	The report was written in English; it was easy to read, well organized, consistent, and made good use of graphs, charts and tables	HS
Overall quality of the report		S

10. Note any additional sources of information used in the preparation of the terminal evaluation report (excluding PIRs, TEs, and PADs).

Project Implementation Report (PIR), fiscal year 2017 (first PIR).

Project Implementation Report (PIR), fiscal year 2020.

Project Implementation Report (PIR), fiscal year 2021 (final PIR).

Mid-Term Review (MTR), 2018.

IADB website: <https://www.iadb.org/en/project/RG-T2797>

Project Results Matrix. <https://idbdocs.iadb.org/wsdocs/getDocument.aspx?DOCNUM=38694569>

ANNEX 1. GEF IEO THEORY OF CHANGE FRAMEWORK

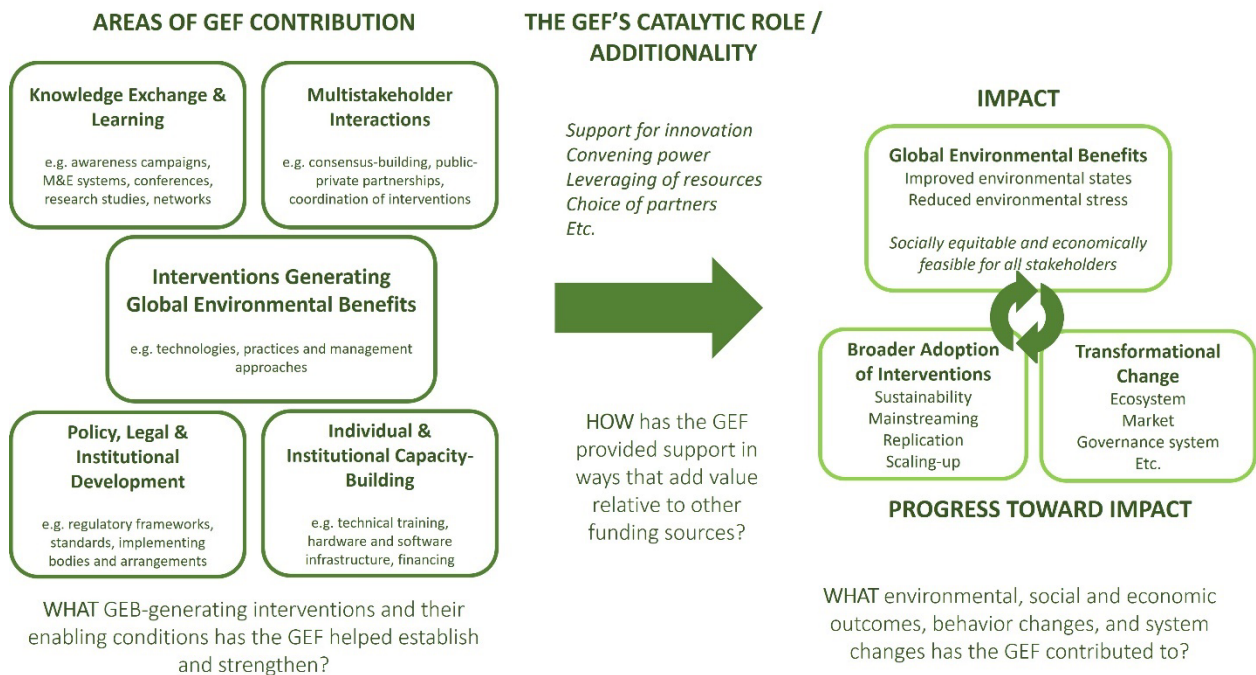


Figure 1. The GEF IEO's updated Theory of Change Framework on how the GEF achieves impact

The general framework for the GEF's theory of change (figure 1) draws on the large amount of evaluative evidence on outcomes and impact gathered over the years by the GEF Independent Evaluation Office. The framework diagram has been updated to reflect the IEO's learning since OPSS5 (GEF IEO 2014, p. 47-50) about how the GEF achieves impact, as well as the evolution of the GEF's programming toward more integrated systems-focused and scaled-up initiatives.

The framework outlines the three main areas that the IEO assesses in its evaluations: a) the GEF's contributions in establishing and strengthening both the interventions that directly generate global environmental benefits, and the enabling conditions that allow these interventions to be implemented and adopted by stakeholders, b) the GEF's catalytic role or additionality in the way that the GEF provides support within the context of other funding sources and partners, and c) the environmental, social and economic outcomes that the GEF has contributed to, and the behavior and system changes that generate these outcomes during and beyond the period of GEF support.

The circular arrow between impact and progress toward impact, as before, indicates how bringing about positive environmental change is an iterative process that involves behavior change (in the form of a broader group of stakeholders adopting interventions) and/or systems change (which is a key characteristic of transformational change). These three areas of change can take place in any sequence or simultaneously in a positively reinforcing cycle, and are therefore assessed by the GEF IEO as indicators of impact.

Assessing the GEF's progress toward achieving impact allows the IEO to determine the extent to which GEF support contributes to a trajectory of large-scale, systemic change, especially in areas where changes in the environment can only be measured over longer time horizons. The updated diagram in particular expands the assessment of progress towards impact to include transformational change, which specifically takes place at the system level, and not necessarily over a long time period.

The updated diagram also more explicitly identifies the link between the GEF's mandate of generating global environmental benefits, and the GEF's safeguards to ensure that positive environmental outcomes also enhance or at the very least do not take away from the social and economic well-being of the people who depend on the environment. Thus the IEO assesses impact not only in terms of environmental outcomes, but also in terms of the synergies and trade-offs with the social and economic contexts in which these outcomes are achieved.

ANNEX 2. DEFINITION OF TERMS

Intervention	Any programmatic approach, full-sized project, medium-sized project, or enabling activity financed from any GEF-managed trust fund, as well as regional and national outreach activities. In the context of post-completion evaluation, an intervention may consist of a single project, or multiple projects (i.e. phased or parallel) with explicitly linked objectives contributing to the same specific impacts within the same specific geographical area and sector. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Activity (of an intervention)	An action undertaken over the duration of an intervention that contributes to the achievement of the intervention's objectives, i.e. an intervention is implemented through a set of activities. E.g. training, (support to) policy development, (implementation of) management approach.
Outcome	An intended or achieved short- or medium-term effect of a project or program's outputs. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Impact	The positive and negative, primary and secondary long-term effects produced by a project or program, directly or indirectly, intended or unintended. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Environmental outcomes	Changes in environmental indicators that could take the following forms: <ul style="list-style-type: none"> • Stress reduction: reduction or prevention of threats to the environment, especially those caused by human behavior (local communities, societies, economies) • Environmental state: biological, physical changes in the state of the environment http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Social and economic outcomes	Changes in indicators affecting human well-being at the individual or higher scales, e.g. income or access to capital, food security, health, safety, education, cooperation/ conflict resolution, and equity in distribution/ access to benefits, especially among marginalized groups.
Synergies	Multiple benefits achieved in more than one focal area as a result of a <i>single intervention</i> , or benefits achieved from the interaction of outcomes from at least two separate interventions in addition to those achieved, had the interventions been done independently.

	http://www.gefio.org/evaluations/evaluation-multiple-benefits-gef-support-through-its-multifocal-area-portfolio-map-2016
Trade-offs	A reduction in one benefit in the process of maximizing or increasing another benefit. http://www.gefio.org/evaluations/evaluation-multiple-benefits-gef-support-through-its-multifocal-area-portfolio-map-2016
Broader adoption	The adoption of GEF-supported interventions by governments and other stakeholders beyond the original scope and funding of a GEF-supported intervention. This may take place through sustaining, replication, mainstreaming, and scaling-up of an intervention and/or its enabling conditions (see definitions below). http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Sustainability	The continuation/ likely continuation of positive effects from the intervention after it has come to an end, and its potential for scale-up and/or replication; interventions need to be environmentally as well as institutionally, financially, politically, culturally and socially sustainable. https://www.gefio.org/evaluations/gef-evaluation-policy-2019
Replication	When a GEF intervention is reproduced at a comparable administrative or ecological scale, often in different geographical areas or regions. http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Mainstreaming	When information, lessons, or specific aspects of a GEF initiative are incorporated into a broader stakeholder initiative. This may occur not only through governments but also in development organizations and other sectors. http://www.gefio.org/sites/default/files/ieo/evaluations/ops5-final-report-eng.pdf
Scaling-up	Increasing the magnitude of global environment benefits (GEBs), and/or expanding the geographical and sectoral areas where they are generated to cover a defined ecological, economic, or governance unit. May occur through replication, mainstreaming, and linking. http://www.gefio.org/evaluations/evaluation-gef-support-scaling-impact-2019
Transformational change	Deep, systemic, and sustainable change with large-scale impact in an area of major environmental concern. Defined by four criteria: relevance, depth of change, scale of change, and sustainability. http://www.gefio.org/evaluations/evaluation-gef-support-transformational-change-2017
Additionality	a) Changes in the attainment of direct project outcomes at project completion that can be attributed to GEF's interventions; these can be reflected in an acceleration of the adoption of reforms, the enhancement of outcomes, or the reduction of risks and greater viability of project interventions. b) Spill-over effects beyond project outcomes that may result from systemic reforms, capacity development, and socio-economic changes. c) Clearly articulated pathways to achieve broadening of the impact beyond project completion that can be associated with GEF interventions. https://www.gefio.org/sites/default/files/ieo/council-documents/files/c-55-me-inf-01.pdf