



United Nations Environment Programme

**Regional Gateway for Climate Technology and Policy Innovation in Latin America and the Caribbean (REGATTA)**

## **CASE STUDY**

**contributing to Terminal Evaluation of**

**“Project 12/3-P1 – Support for Integrated Analysis and Development of Framework Policies for Greenhouse Gas Mitigation”**

**and**

**“Project 12/3-P2 – Support for the Deployment of Renewable Energy and Energy-efficient Technologies in Developing Countries”**

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**Table 1: Project Identification Table for Joint UNEP-UNIDO Programme to host and manage the Climate Technology Centre and Network (CTCN)**

<b>UNEP PIMS ID:</b>	609 or 619	<b>IMIS number:</b>	3873 or 3874
<b>Sub-programme:</b>	Climate Change	<b>Expected Accomplishment(s):</b>	EA (B)
<b>UNEP approval date:</b>	24 June 2010	<b>PoW Output(s):</b>	2010/11: 121, 122, 123, 123, 125, 126 2012/13: 121, 122, 123 2014/15: 123, 126
<b>Expected Start Date:</b>	July 2010	<b>Actual start date:</b>	December 2010
<b>Planned completion date:</b>	March 30, 2017	<b>Actual completion date:</b>	TBD
<b>Planned project budget at approval:</b>	US\$ 7,175,233	<b>Total expenditures 2011-2015:</b>	Unavailable at time of evaluation
<b>Planned Regular Budget allocation:</b>		<b>Actual Regular Budget Exp as of [date]:</b>	
<b>Planned Extra-budgetary financing (XBF):</b>	US\$ 7,175,233	<b>Actual XBF expenditures reported as of [date]:</b>	Unavailable at time of evaluation
<b>XBF secured:</b>	US\$ 6,475,233 secured at start of project US\$ 1,276,714 as costed extensions US\$1,599,638 leveraged as in-kind contributions	<b>Leveraged financing:</b>	
<b>First Disbursement:</b>	USD 6,476,684	<b>Date of financial closure:</b>	Pending
<b>No. of revisions:</b>		<b>Date of last revision:</b>	
<b>Date of last Steering Committee Meeting:</b>	January 2016	<b>Date of next Steering Committee Meeting</b>	
<b>Mid-term review/ evaluation</b>	May 2014	<b>Other reviews/ evaluation</b>	December 2015

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## List of acronyms & abbreviations

AECID	Spanish Agency for International Development
CAF	Development Bank of Latin America
COP	Conference of the Parties
CARIBSAVE	INTASAVE Caribbean
CATIE	Tropical Agricultural Research and Higher Education Center
CIAT	International Center for Tropical Agriculture
CTCN	Climate Technology Centre and Network (CTCN)
DEPI	Division of Environment, Policy, and Implementation
DTIE	Division of Technology, Industry, and Economics
DTU	Technical University of Denmark
EA	Expected Accomplishment
ECLAC	Economic Commission for Latin America
FAO	Food and Agriculture Organisation
FDT	Torcuato di Tela Foundation
GCF	Green Climate Fund
GEI	Green Economy Initiative
ICA	International Cooperation Agreement
IDB	Inter-American Development Bank
IICA	Inter-American Institute for Cooperation on Agriculture
IIE	Institute of Electrical Investigations
INSP	National Institute of Public Health
MERCOSUR	Southern Common Market
OECC	Spanish Office for Climate Change
OLADE	Latin America Energy Organization
PAHO	Pan American Health Organization
PCA	Project Cooperation Agreement
PEI	Poverty and Environment Initiative
PoW	Programme of Work

RIOCC	Ibero-American Network of Climate Change Offices
ROLAC	Regional Office for Latin American and the Caribbean
SSFA	Small Scale Funding Agreement
ToC	Theory of Change
UNEP	United Nations Environment Programme
UNFCC	United Nations Framework Convention on Climate Change

## EXECUTIVE SUMMARY

- i. The case study for the project “Regional Gateway for Climate Technology and Policy Innovation in Latin America and the Caribbean”(2010 - 2016), known as REGATTA, is requested by the UNEP Evaluation office as a case study that is part of a larger terminal evaluation of two umbrella projects (12/3-P1 and 12/3-P2) of the Division of Technology, Industry and Economics (DTIE) Energy Branch. REGATTA is scheduled to end in March 2017, therefore this is not a terminal evaluation for the project.
- ii. The evaluation analyses project achievements, assesses the project’s relevance to beneficiary needs and UNEP’s mandate and Programmes of Work, and discusses internal and external factors that may have affected project performance. Lessons learned and recommendations are provided.
- iii. The information presented in the evaluation is based on an extensive review and analysis of existing project documentation and 15 phone interviews with project partners and project management staff (see Annex 5.1 for list).
- iv. REGATTA’s objective is “to strengthen the mobilisation and sharing of knowledge on climate change issues and enhance capacity for related technology transfer and deployment actions for climate change adaptation and mitigation throughout the region.” The project is aligned with and is relevant to EA(a), EA(b), and EA(c) of UNEP’s Climate Change subprogram (stated in paragraph 37), in fact, these three accomplishments are also the project’s expected accomplishments. REGATTA is also coherent with the objectives of the umbrella project P12/3 P1, and through the implementation of its myriad climate change adaptation and mitigation activities has contributed to the umbrella project objectives and intervention strategies.
- v. REGATTA is anchored within a network of regional partner implementing institutions that serve as the knowledge centres for the project. These institutions host REGATTA’s communities of practice online and provide in-country technical assistance on varied climate change adaptation and mitigation issues. The partner institutions feel that REGATTA has provided added value to the climate change agenda by: a) insuring that its work does not repeat other regional efforts; b) with its strong focus on adaptation which is unique among other regional learning projects, and c) with its clear intention to respond to the needs voiced by the countries in the region. Implementing partners would like to continue to receive REGATTA support, however, they all claimed that they would continue (funding dependent) with many of the activities they have done with REGATTA even if the project were to end in March 2017.
- vi. Besides working closely with 13 implementing partner institutions, REGATTA has working relationships with several other regional organisations like the Development Bank of Latin America (CAF) or other projects such as EUROCLIMA, intentionally collaborating with them so as to leverage resources (technical and financial), and to build upon existing efforts or catalyse new ones. In 2014 - 2015 REGATTA leveraged an average of \$2 dollars to every one \$1 dollar it invested in project activities, in the form of in-kind contributions from a range of 15 partner organisations.
- vii. The project has a comprehensive web portal that, according to partner institutions, provides a very good array of relevant climate change information for the region, making it easy for anyone interested in climate change topics to access useful information. Implementing partners feel that the web portal and the communities of practice should be maintained and kept current and ac-

tive. REGATTA is conversing with CTCN about options for continuing the website and communities of practice beyond the possible end date of 2016.

viii. REGATTA has achieved its outputs, and continues to perform activities that are related to these outputs and the project outcome; furthermore, it can continue to implement activities related to each one of those outputs so long as countries continue to need and request climate change adaptation and mitigation capacity building. As outputs are achieved, so are the outcomes, and recently, REGATTA has helped catalyse in-country ecosystem based adaptation pilot projects that are taking the learning aspect of the network and turning it into expected accomplishments in-country. Both project management and implementing partners feel that if REGATTA continues past 2016 more of this kind of practical work should be sponsored.

ix. Project challenges with implementation are mainly linked to three factors: 1) a staffing structure not commensurate with project scope, which impeded timely implementation simply by virtue of not having enough people to do what had to be done during the expected time, yet completing activities in a longer timeframe; 2) UNEP internal administrative procedures that led to delays in hiring and funding disbursements, and impeded expediency when it came to coordination of large training events that required much travel and minute logistical coordination implementation; in 2015 significant delays were caused by the transition to the new financial administrative system UMOJA; 3) inadequate calculation of time required to conduct process-based technical assistance activities in-country, resulting in rushed processes that produced a good product without the necessary stakeholder buy-in that helps catalyse action; these technical assistance activities were all extended to allow for the buy-in, but the result was a much delayed timeline of when products were finished.

x. If the project were to continue beyond March 2017, it can consider the following recommendations for the evolution of its continued functioning: 1) Even before moving ahead, it should actively track the effects of the work it has catalysed to gauge tangible contribution towards expected accomplishments. This can provide useful information for securing funds since it would help demonstrate how the model/mode of work to date has worked. 2) It should conduct a comprehensive stakeholder analysis to better inform future workplan activities; and it should host another stakeholder roundtable to review REGATTA results to date and chart the path ahead with in-country stakeholders, taking into consideration the commitments acquired by countries via the Paris Agreement.



## 1. INTRODUCTION

### 1.1. Background

1. REGATTA, the acronym for the project called the “Regional Gateway for Climate Technology and Policy Innovation in Latin America and the Caribbean” was developed to strengthen capacities for addressing challenges that limit the Latin American and Caribbean Region’s ability to respond effectively to climate change issues.
2. REGATTA was one of three sub-projects of a UNEP Climate Change proposal package for Latin America and the Caribbean. The other two sub-projects, were “Integrating Climate Change Adaptation into National Development Process in Latin America and the Caribbean”, and “Supporting Technology Transfer and Deployment Activities for Climate Change Mitigation in Latin America and the Caribbean”. The second project on adaptation was integrated into REGATTA soon after project inception in late 2010. Sub-project three was never funded or implemented.
3. REGATTA is funded by the Spanish government. Initial project funding from Spain, for a 48 month period from January 2010 - December 2013, was US\$2,100,000. An additional US\$700,000 was also pledged by the government of Norway, for a total of US\$2,800,000. However, Norwegian funding never materialised. The integration of sub-project two on adaptation into REGATTA resulted in additional funding; sub-project on adaptation was funded by the Spanish government for US\$4,375,233; Thus, the total amount of funding available to REGATTA, for the period between January 2010 and December 2013, was US\$7,175,233.
4. The project has been extended until March 2017 with agreement and financial support from the government of Spain. Subsequent to the initial contributions, the Spanish donor issued additional funding in March 2014 for US\$547,196 (EUR 400,000); in March 2015 for US\$280,583.61 (EUR 250,000); and in November 2015 for US\$438,596.49, resulting in a total project budget of US\$8,446,070.43 (EUR 400,000) for the implementation period of January 2010 – March 2017.

### 1.2. Evaluation Scope and Approach

5. This evaluation is for the project “Regional Gateway for Climate Technology and Policy Innovation in Latin America and the Caribbean” as part of a larger terminal evaluation effort by the UNEP Evaluation Office of two umbrella projects (12/3-P1 and 12/3-P2) of the DTIE Energy Branch.
6. The case study analyses REGATTA’s achievements against expected outputs, outcomes and impacts. It assesses the project’s relevance to stakeholder needs and UNEPS mandate and Programmes of Work; it analyses internal and external factors that may have affected project performance, and discusses how those challenges were addressed. With all this information it details lessons learned and provides recommendations for improved implementation of the project.
7. The evaluation findings are a product of a thorough desk review of key documents and interviews of specific individuals associated with the project. Documentation reviewed includes the original project document for REGATTA, (under the understanding that during its implementation REGATTA absorbed and integrated the relevant aspects of sub-project 2 and 3 mentioned in paragraph #3 above), project workplans, annual reports, financial reports, donor agreements, prior evaluations, and website information. The evaluator has also interviewed 15 key individuals in project partner institutions, and members of the project management team. See annex 5.1

for a list of the people interviewed. No significant limitations were encountered during the desk review and interview process. The case study was carried out between November 2015 and March 2016.

## 2. PROJECT BACKGROUND

### 2.1. Context

8. According to the original project document, climate change is one of the five major threats to Latin American and Caribbean ecosystems and biodiversity; and it has a disproportionate negative effect on the region's poorer populations. The region is vulnerable to climate change impacts, but is also increasingly contributing to the problem via the exponential increases in CO<sub>2</sub> emissions from fuel consumption. National and local governments are well aware of the effects of climate change, and in the last ten years have dealt with the repercussions of increased flooding and drought brought on by extreme weather events. Governments are thus increasing energy efficiency, implementing renewable energy sources, conserving key ecosystems, developing early warning systems, and improving coastal management and overall land-use planning, as some of the strategies to adapt to and mitigate the effects of climate change. These national and local efforts are complemented by significant efforts at subregional levels in Central America, the Andean Community, the countries of the Southern Common Market, MERCOSUR, and by efforts like the Iberoamerican Network of Climate Change Offices (RIOCC).
9. Despite these efforts, at time of project conception, UNEP perceived significant common challenges that were constraining effective responses by countries to climate change issues. Some of these challenges included: limited technical capacities of staff; limited and unequal capacities to understand implications of international processes for the region; and incomplete knowledge on technology transfer and financing issues. REGATTA was thus conceived to strengthen these weak or limited capacities.

### 2.2. Target Geography and Target Groups

10. This is a regional knowledge network for Latin America and the Caribbean. The project is to carry out its activities for the benefit of the countries in this region, stating in its original project document, that it will focus on the regional countries of RIOCC<sup>1</sup>, yet welcome the participation of all countries in the region.
11. The specific stakeholder groups in countries that can benefit from REGATTA activities include policy and decision makers, legislators, planners, practitioners at national and regional levels, as well as the scientific community and technical institutions. REGATTA has involved specific individuals from this broad stakeholder group to inform its project design. From before project development, in 2009, UNEP conducted regional workshops to build consensus on the specific needs and functions of a possible Global Climate Change Adaptation Network. These meetings looked at potential governance structures, workplan implementation, membership, and support to pilot projects. Climate focal points, government officials, and adaptation specialists from fourteen countries from the region participated. A similar workshop was held to discuss the set-up of a Mitigation and Technology Network. The main participants of this meeting were the climate

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<sup>1</sup> The RIOCC countries are: Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, Venezuela

change focal points for Central American countries and the Dominican Republic. Information gathered at both these meetings was used to design REGATTA, and the participants of these meetings became the project's initial stakeholders. Another set of participants from the entire region was convened in April 2011 (the roundtable) to discuss regional priority challenges and needs regarding adaptation and mitigation; the information gathered at that meeting was used to further refine the REGATTA initial workplan. As the project has evolved, responding proactively to regional needs, the specific individuals participating in REGATTA activities have changed, however the broader stakeholder groups remain as stated.

### **2.3. Project Objectives and Components**

12. REGATTA's overall objective (outcome) is to "to strengthen the mobilisation and sharing of knowledge on climate change issues and enhance capacity for related technology transfer and deployment actions for climate change adaptation and mitigation throughout the region." (Official Project Document, pg.8) Three outputs were created to achieve the overall objective (outcome). These outputs are:

1. Establishment and operation of a regional roundtable and a web-based Regional Gateway for Climate Technology and Policy Innovation.
2. Identification of and start-up support for a Regional Knowledge and Technology Hub for Climate Change mitigation, and provision of mitigation related advisory services to key stakeholders.
3. Establishment of and start-up support for a Regional Knowledge and Technology Hub for Climate Change Adaptation and provision of adaptation related services to key stakeholders.

### **2.4. Project Partners**

13. Initially, as stated in the project document, the project foresaw working closely with the Economic Commission for Latin America (ECLAC) and the Food and Agriculture Organization (FAO) on implementation aspects of the project. It also anticipated working closely with the UNEP Riso Centre of Energy, Climate and Sustainable Development at the Technical University of Denmark (DTU) who would be responsible for contracting external service providers and other external project partners and institutions. It also planned to build on or complement the efforts being conducted by RIOCC, the joint UNEP-UNDP Poverty and Environment Initiative, the UNEP project on Integrated Environmental Assessments, and the UNEP Technology and Needs Assessment Project. Once implementation began the most suitable institutions and organisations to accomplish project outputs were chosen. As such, current implementing partners are:

1. CARIBSAVE
2. CATIE - Tropical Agricultural Research and Higher Education Centre
3. CIAT - International Center for Tropical Agriculture
4. IDB - Inter-American Development Bank
5. IICA - Inter-American Institute for Cooperation on Agriculture
6. IIE - Institute of Electrical Investigations
7. Institute of Climate Change

8. Institute of Development/National University of Formosa/University of the Cordillera (a consortium of three organisations)
  9. INSP - National Institute of Public Health
  10. OLADE - Latin America Energy Organisation
  11. Practical Action
  12. FDT - Torcuato di Tela Foundation
  13. UNEP - DTU
14. Aside from the principal implementing partners, with whom the project has partner cooperation agreements (PCAs) or small scale funding agreements (SSFAs), REGATTA has developed relationships with other initiatives and organisations with which it collaborates in order to synergise and leverage its work. Some of these organisations include, the Development Bank of Latin America (CAF), RIOCC, and EUROCLIMA — the regional cooperation programme on climate change between the European Union and Latin America.

## **2.5. Planned Implementation Arrangements and Milestones**

15. The project was to be coordinated and implemented by the UNEP Regional Office for Latin America and the Caribbean (ROLAC) with technical coordination support and quality control services from the Division of Environment Policy and Implementation (DEPI) and Division of Technology, Industry and Economics (DTIE). The project would contribute .25FTE to a position in DEPI to provide administrative support.
16. Everyday work was to be managed by a small team (1 P4 position and 2 P3 positions) operating from ROLAC, in Panama, and supervised by the Regional Climate Change Coordinator in ROLAC.
17. The project also called for a steering committee to meet once a year and provide overall guidance for project implementation. The steering committee was to be composed of donor representatives, implementation partners, stakeholders, and UNEP project management.
18. The project document establishes that the project would work through a consultative and participatory approach involving a diverse range of stakeholders; and that it would support and build on existing regional and sub-regional climate change networks, initiatives, and institutions.
19. Initial project duration was for 48 months, from January 2010 - December 2013, and three key milestones were established: 1) the Regional Gateway established by October 2010; 2) the launch of the regional hub on climate change adaptation by December 2010; 3) selection of the regional climate change technology centres by June 2011.

## **2.6. Project Financing**

20. REGATTA is funded by the Spanish government. US\$2,100,000 was the original allotment, and US\$4,375,233 was added when two additional sub-projects were integrated with REGATTA. Thus the total amount funding for the project from January 2010-December 2013 was US\$7,715,233. See paragraph #3.
21. The original project document presents a budget by project output for a total of US\$2,800,000; US\$2,100,000 from Spain and US\$700,000 from Norway. However, the Norwegian funding never materialised, and after the project was expanded in scope and funds to US\$7,715,233 it was re-

quired to submit a new budget to Spain. Table 1 below shows the original budget for US\$2,800,000. A project budget for the expanded budget of US\$7,715,233 was not available.

**Table 1: Financing by component according to detailed project budget in official project document (initial funding in 2010)**

Budget Component (US\$)	2010	2011	2012	2013	TOTAL
<b>Output 1:</b> Establishing and operating a regional roundtable and a web based Regional Gateway for Climate Technology and Policy Innovation	227,931	155,000	95,000	95,000	<b>572,931</b>
<b>Output 2:</b> Establishing Regional Climate Technology Centres and providing mitigation related advisory services to key stakeholders	170,780	195,00	180,000	180,000	<b>725,780</b>
<b>Output 3:</b> Establishing a Regional Knowledge Centre on Climate Change Adaptation and providing adaptation related services to key stakeholders	453,882	800,000	-	-	<b>1,253,882</b>
Monitoring and Evaluation		20,000		20,000	<b>40,000</b>
Project Support	68,207	93,600	22,000	23,600	<b>207,400</b>
Total (US\$)	<b>920,800</b>	<b>1,263,600</b>	<b>297,000</b>	<b>318,600</b>	<b>2,800,000</b>

22. Table 2 below shows the current expenditures to date per year between 2011 and 2014 as they are tracked and reported by UNEP. Tracking by project components or activities is not possible with the current UNEP administrative systems. Upgrades to the system are in progress and it is believed that tracking project expenditures by activities, as projects tend to budget, will be possible in the near future. Although the project was approved to begin in 2010, implementation, did not begin until 2011, hence the dates for the financial report. Information for 2015 was unavailable at the time of evaluation.
23. Initially, since the project started a year late, the timeline of the project was automatically moved to December 2014. That said, the project has now been extended until March 2017. These extensions have been approved and funded by the donor, the government of Spain. The first extension was in March 2014 for US\$547,196 (EUR 400,000); the second in March 2015 for US\$280,583.61 (EUR 250,000); and the third in November 2015 for US\$438,596.49, resulting in a total project budget of US\$8,446,070.43 (EUR 400,000) for the implementation period of January 2010 – March 2017.

**Table 2: Project expenditures to date by year (January 2010- December 2014)**

<b>Income (US\$)</b>	7,176,684*			
<b>Expenditures</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
Staff and Other Personnel Costs	258,838	563,641	1,189,088	1,892,817
Consultants	-	11,105	711,017	575,779
Travel	72,949	56,011	157,590	212,694
Contractual Services	1,167,200	981,168	2,102,087	1,911,893
Fellowship	-	-	-	
Training	-	-	-	
Meetings and Conferences	169,541	170,425	268,945	306,822
Acquisitions	-	10,210	13,753	22,654
Rentals	-	-	-	
Operating Expenses	5,893	1,280	5,589	7,536
Reporting Costs	-	-	-	
Sundry	-	-	-	
Programme Support Costs	133,482	143,507	355,846	394,416
<b>TOTAL EXPENDITURES (US\$)</b>	<b>1,807,903</b>	<b>1,937,347</b>	<b>4,803,915</b>	<b>5,324,610</b>

\*This amount differs a bit from the total budget figure of \$7,715,233 because of exchange rate adjustments.

## 2.7. Changes in Design During Implementation

24. Sub-project two on adaptation and sub-project three on mitigation were integrated into REGAT-TA at the onset of the project (see paragraphs 2 and 3); thus, the original workplan had to be re-structured to reflect the integration of the additional sub-projects. This adjustment did two things the workplan: 1) it added two immediate outcomes that feed into the main outcome of the project, and 2) specified three expected accomplishments that had not been previously mentioned in the original project document. Both the immediate outcomes and the expected accomplishments are explained in more detail under section 2.8 Reconstructed Theory of Change.

25. The restructuring of the project also refined the project's approach to work, so that by the end of 2011, project management had established that it would implement based on three guiding principles:
1. to focus on priorities defined by and with countries of the region;
  2. to implement through a suite of thematically focused knowledge centres, and
  3. to strengthen existing networks and regional process.
26. Project management also established that it would follow a four stepped approach to implementation consisting of: a) in-person technical workshops; b) direct technical assistance; c) web-based communities of practice; d) joint project development with project partners or other organisations interested in collaborating.
27. The logic behind this four stepped approach to implementation is that in person technical workshops bring the stakeholder to the table to identify and prioritise needs; the direct technical assistance attends the identified needs; the web-based communities of practice further respond to the needs and maintain stakeholders engagement in a learning process; and, the joint project development is an opportunity to take technical assistance to a more practical, action oriented on site/in-country application.
28. Originally, the steering committee envisioned representation from donors, UNEP project management, implementation partners, and stakeholders. The committee that was set up consists of donor representatives and UNEP project management.
29. Also, after the end of 2014, the donor decided that it would no longer fund 25% of a DEPI position in Nairobi feeling that the money was better invested directly at the regional level in ROLAC. Thus, since 2015 DEPI is no longer involved with the project, and all administrative and financial responsibilities for the project are carried out from ROLAC. See Project Management and Implementation for more information.

## 2.8. Reconstructed Theory of Change

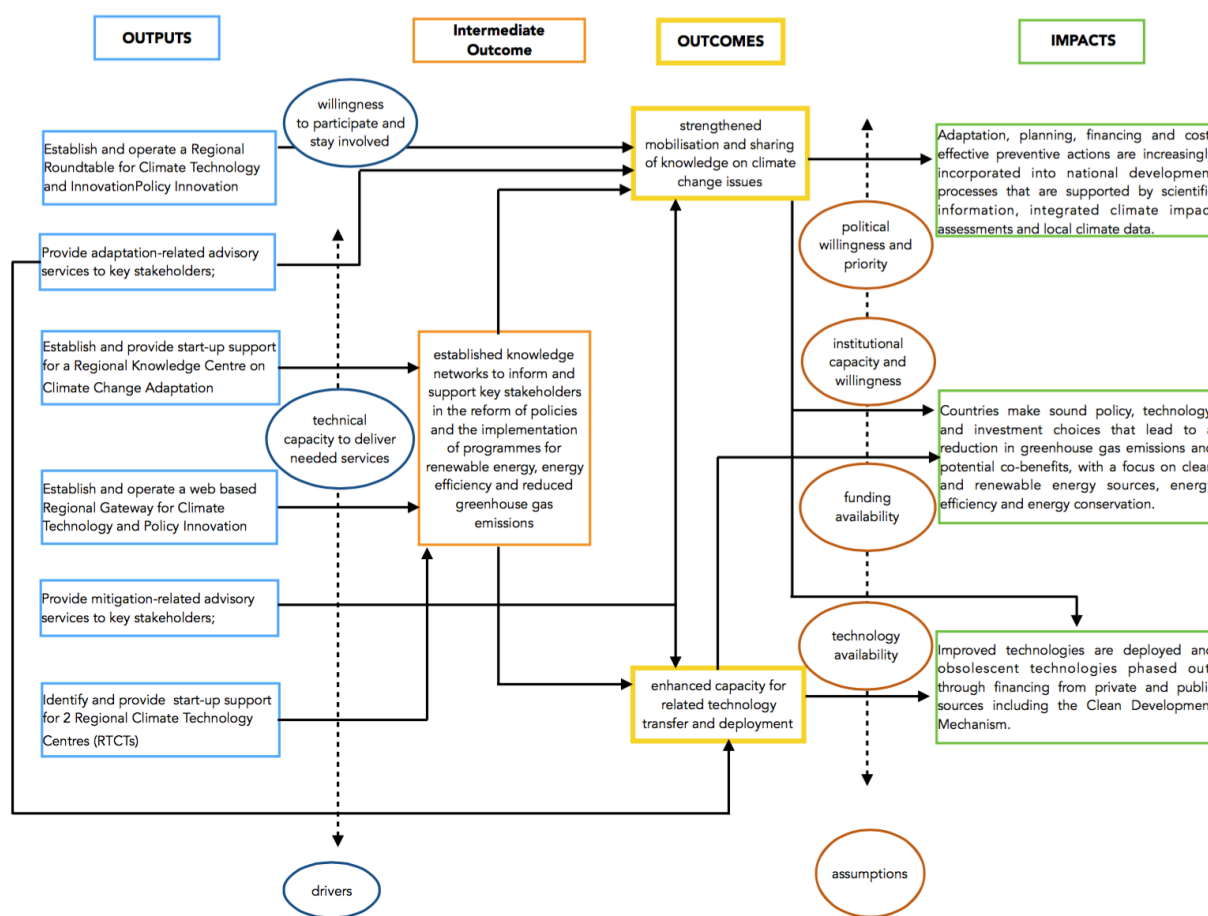
30. REGATTA is designed to create knowledge networks to inform and support key stakeholders on a variety of climate change related issues. The overall objective or outcome of the project is to have "strengthened mobilisation and sharing of knowledge on climate change issues and enhanced capacity for related technology transfer and deployment". In the Reconstructed Theory of Change (TOC) diagram (Figure 1 below), this outcome, enclosed in yellow, is split into two outcomes for diagramming purposes.
31. After integrating the two other sub-projects into REGATTA (paragraphs 2 and 3), and evident in all annual project reports, the project fine-tuned this more general outcome by stating that through REGATTA
1. climate change planning, financing, and cost effective preventive actions are incorporated into national development processes, and
  2. knowledge networks to inform and support key stakeholders in the reform of policies and the implementation of programmes for renewable energy, energy efficiency, and reduced greenhouse gas emissions are established.

The second point above is reflected in the TOC diagram as an immediate outcome leading to the main outcome, and is encased in orange. The first point above is not reflected in the TOC

diagram as an immediate outcome because, in essence it repeats one of the expected accomplishments or desired impacts of the project, see paragraph 33 a. below.

32. The project planned to achieve its outcomes by delivering on three main outputs. In the TOC diagram these outputs are enclosed in blue. Furthermore, the three outputs are separated into six outputs for purposes of diagramming clarity. The outputs are:
1. Establishment and operation of a regional roundtable and a web based Regional Gateway for Climate Technology and Policy Innovation.
  2. Identification of and start-up support for a Regional Knowledge and Technology Hub for Climate Change Mitigation, and provision of mitigation related advisory services to key stakeholders.
  3. Establishment of and start-up support for a Regional Knowledge and Technology Hub for Climate Change Adaptation and provision of adaptation related services to key stakeholders.
33. The desired impacts of the aforementioned outcomes are the Expected Accomplishments of the project, and are encased in green in the diagram. These expected accomplishments are also the Expected Accomplishments of umbrella project 12/3-P1 "Support for Integrated Analysis and Development Framework Policies for Greenhouse Gas Mitigation of the UNEP 2010-2011 Programme of Work (PoW). These impacts (accomplishments) are not listed in the original project document but were included early on in the annual reports, once the project design had been refined, as Expected Accomplishments. These impacts (accomplishments) are:
- a. Adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data.
  - b. Countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation.
  - c. Improved technologies are deployed and obsolescent technologies phased out, through financing from private and public sources including the Clean Development Mechanism.





**Figure 1: Reconstructed Theory of Change**

34. It is clear that delivering the project outputs will lead to the project immediate outcome and/or the stipulated project outcomes. However, for the outputs to be successfully achieved two things need to occur: 1) the project stakeholders need to actively participate in the services being offered by REGATTA, and 2) the appropriate technical capacity must be available (in-country or out of country but easily accessible) in order to deliver the services requested by the stakeholders. These factors are considered project drivers, can be influenced and controlled by the project, and are encased in blue ovals in the diagram.
35. If REGATTA services are not used actively and proactively by project stakeholders then the premise of the network is null. Project management recognises this and has taken action to ensure and maintain this participation by consistently demonstrating usefulness of the network to country specific needs. This sustained participation by stakeholders is a key driver of project success. Project management also recognises that they must provide relevant and good quality technical assistance to insure stakeholder satisfaction; and, this has been secured by selecting capable and reputable organisations in the region as partner institutions to deliver these services. See paragraph 107 for more information.
36. Getting from the stated outcomes to the desired impacts (expected accomplishments) is contingent on various factors that are external to the project and cannot be easily influenced and much less controlled by the project. These factors are referred to as assumptions, and are represented in brown ovals in the TOC diagram. A significant factor amongst these assumptions is the political will of national governments to jointly address technology transfer and climate change

impacts, and more importantly, have that be a priority in the national development agendas. If political willingness for this is low, then the probability of achieving expected accomplishments is diminished. Another factor is that the institutions dealing with climate change issues need to have both the institutional capacity to do what is necessary and the willingness to cooperate with each other in a constructive and expedient manner to carry-out the changes that are necessary. Funding to further enhance capacities, carryout necessary studies, develop plans, and implement actions, including the deployment of appropriate technologies must be available to these countries and the countries must have the capacity to access and utilise that funding. And lastly, the needed technologies must be accessible for implementation where appropriate. If all of these assumptions conspire together at a given moment, countries can make the leap from having strengthened knowledge on climate change issues and enhanced capacity for technology transfer and deployment to the implementation of adaptation and mitigation strategies specific to their country realities.

## 3. FINDINGS

### 3.1. Strategic relevance

37. The REGATTA project is housed under the umbrella project 12/3-P1 “Support for Integrated Analysis and Development Framework Policies for Greenhouse Gas Mitigation of the UNEP 2010-2011 Programme of Work (PoW). Specifically, REGATTA is directly linked to three expected accomplishments (EA) of the PoW, and it specifically lists those 3 accomplishments as the project’s accomplishments.

EA a. Adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data.

EA b. Countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation.

EA c. Improved technologies are deployed and obsolescent technologies phased out, through financing from private and public sources including the Clean Development Mechanism.

38. REGATTA has implemented all of its activities with these three accomplishments in mind. However, as explained under 2.8, paragraph 36 above, getting to these accomplishments is dependent on external factors that are beyond project control. This does not diminish the fact that REGATTA does execute activities that have full potential to be turned into any one of these accomplishments, as discussed in paragraphs 52 and 53 below.

39. The objective of project 12/3P1 is “to strengthen the capacity of countries to analyse, plan and implement emission mitigation opportunities. Project 12/3-P1 would help Developing Countries analyse GHG emission reduction opportunities on a macroeconomic and sectoral level, design technology needs evaluations and national climate technology plans, and benefit from regional government knowledge networks”. (Project Inception Report, 2015). REGATTA’s objective/outcome and achieved outputs and activities as discussed in Section 3.2 and 3.3 of this evaluation clearly demonstrate that this project is aligned with umbrella project 12/3-P1 and has contributed to its overall objective.

40. REGATTA’s clear alignment with the Programme of Work also aligns it completely with the expected accomplishment of the Bali Strategic Plan, whose main objective is to strengthen the ability of countries to integrate climate change into national development process.

41. In its annual progress reports REGATTA also makes it clear that its overall approach to implementation is in line with UNFCCC outcomes and recommendations by the Expert Group on Technology Transfer (EGTT), nominated by the Parties, and that that approach will help facilitate the mobilisation of appropriate knowledge and capacities to overcome barriers for effective action on climate change adaptation and mitigation in the region.

42. In its original project design REGATTA makes a cursory statement about gender considerations being mainstreamed in the implementation and evaluation of the project, particularly integrating it into adaptation planning, stating that gender criteria and gender specific and responsive tools and methodologies would be used. However, there is no documentation to demonstrate this was done.

### 3.2. Achievement of Outputs

43. REGATTA has been successful in achieving its desired outputs. All outputs as stated in the project document have been achieved, yet because of the way in which these outputs are phrased they continue to and can continue to be achieved since the provision of technical services and sharing of knowledge relevant to climate change are activities that can continue for many years before all relevant technology and knowledge on the climate change topic have been implemented for meaningful adaptation and mitigation to occur. The achievement of these outputs is a function of project funding availability per the needs as expressed by the project stakeholders/beneficiaries. The major project outputs, as they appear in the reconstructed TOC diagram, are listed in Table 3 below with a brief comment summarising achievement status.

**Table 3: Achievement Status of Project Outputs**

	Major Outputs	Status	Comments
1	Establish a Regional Roundtable	Done	Done in April 2011; a 2 day roundtable workshop with 95 participants. The roundtable has not been convened since 2011, primarily because needs that were established then were still being delivered through 2015. However, project management feels that this group has to convened to re-view progress and outline new needs.
2	Establish a web-based regional gateway	Done and ongoing	As of 2012, the web gateway has been functional and continuously improved to date. It has 11 active communities of practice with a 12th launching in 2016. The communities of practice are both in adaptation and mitigation; the gateway also has an abundance of country specific information, documentation on UNFCCC negotiations, information on financing opportunities, and much more.
3	Establish and provide start up support for a regional knowledge and technology hub for climate change adaptation	Done and ongoing	There are five partner institutions providing adaptation knowledge through the communities of practices.
4	Provide adaptation related advisory services to key stakeholders	Done and ongoing	Vulnerability and impact assessments have been conducted for el Gran Chaco, the Andes, Mesoamerica, and the 4 countries in the Caribbean. In addition, REGATTA has hosted or catalysed over 50 learning or capacity building events pertaining to adaptation and over 15 addressing adaptation and mitigation.
5	Identify and provide start up support for 2 regional knowledge and technology hubs for climate change mitigation	Done and ongoing	There are three partner institutions providing mitigation knowledge through online communities of practice.
6	Provide mitigation related services to key stakeholders	Done and ongoing	Technical assistance was provided to Guatemala and Honduras in wind energy, Nicaragua in solar energy and to Paraguay, Colombia, Peru, Costa Rica, and Panama on various NAMA themes. Plus, REGATTA has hosted or catalysed over 20 events pertaining to mitigation and over 15 pertaining to both mitigation and adaptation.

44. Between April 2012 and April 2014 REGATTA sponsored, catalysed (partially funded, instigated/influenced), or implemented 84 events, including training workshops, regional information sharing workshops, ministerial policy discussing/making meetings, country specific dissemina-

tion workshops of vulnerability assessment results, and virtual seminars. Since then, work has continued successfully aligned with the outputs.

45. In the workplan for June 2014 - December 2015, there are 44 activities. 24 of these activities are adaptation related, and would be nestled under output 4 above. Fourteen activities are mitigation related, thus nested under output 6 above. Two of these activities were removed from the workplan because they were being addressed by other UNEP initiatives, hence a total of 12 mitigation related activities were programmed. Six other activities pertain to both adaptation and mitigation. Additionally, there was an additional training in adaptation that was not originally in the 2014 - 2015 workplan. So, a total of 43 activities can be counted for this period.
46. Many of the activities in the 2014 -2015 workplan, especially those associated with adaptation, particularly the vulnerability and impact assessments have been underway since 2012 and are being completed or built upon now; several communities of practice have also been functional since 2012 yet are constantly active providing new knowledge and training and hence require maintenance. What this means is two things: 1) a portion of REGATTA work has taken longer to complete than expected, and 2) much of REGATTA work is ongoing, knowledge provision has that quality to it. That said, the period June 2014 to December 2015 in terms of activity achievement is represented in Table 4 below.

**Table 4: Achievement Status of Activities Related to Project Outputs 2014 - 2015**

Type and # of Activities	Completed	In Process	Moved to 2016	Unable to complete for reasons beyond project control
Adaptation: 25	19 (76%)	5	1	-
Mitigation: 12	8 (66%)	1	2	1
Both: 6	5 (83%)			1
<b>Total: 43</b>	<b>32 (74%)</b>	<b>6</b>	<b>3</b>	<b>2</b>

47. In terms of completion of project outputs and the activities associated with those, REGATTA has delivered. Challenges associated with delivering these results are discussed under the sections of Efficiency, and Factors Affecting Performance

HS

### 3.3. Effectiveness: Attainment of Project Outcomes and Results

#### 3.3.1. Achievement of Direct Outcomes

48. REGATTA’s overall objective/outcome is to strengthen mobilisation and sharing of knowledge on climate change issues and enhance capacity for related technology transfer and deployment. (Note that this outcome, in the TOC and the discussion below is split into two for clarity of discussion and diagramming.)
49. There is one immediate outcome that feeds into the overall outcome above. This immediate outcome is that “knowledge networks to inform and support key stakeholders in the reform of

policies and the implementation of programmes for renewable energy, energy efficiency, and reduced greenhouse gas emissions are established”. The project is achieving this immediate outcome. Some examples of achieving this outcome include:

- There are 3 communities of practice that address the themes of the immediate outcome actively: agriculture, energy efficiency, and NAMAS; 3 others address it less actively: energy, transport, and solid waste management; and 1 other community of practice, “climate change mitigation in cities”, will be added in 2016.

All of this work is aligned with the part of the overall outcome that aims to “strengthen mobilisation and sharing of knowledge on climate change issues”. This part of the outcome is further strengthened with the work of similar nature that occurs for adaptation.

- For adaptation there are five very active communities of practice, three focused on the regions of Andes, Gran Chaco, and Mesoamerica, one focused on ecosystem based adaptation, and one focused on health.

50. The other part of the overall outcome is to “enhance capacity for related technology transfer and deployment actions throughout the region”. Examples of REGATTA work to achieve this outcome include:

- Cooperation with the En-lighten project (DTIE initiative) which resulted in a Central American wide Ministerial Resolution and Strategy of Efficient Lighting. By 2016, Central American nations are to have eliminated inefficient lighting.
- Co-hosting the VI Seminar for Latin American and Caribbean Energy Efficiency; and a Regional NAMA workshop on Renewable Energies.
- Developing an online course on NAMAS; producing a guide for low carbon development strategies and NAMAS; putting out a report on Best Practices in Energy Efficiency for Water Pumping Systems; and producing 33 country reports on options for energy efficiency on refrigeration systems, AC and ventilators.

51. According to the partner organisations that were interviewed, REGATTA is in more ways than one supporting or conducting activities that lead to these outcomes. Thus, they feel that REGATTA, as a project, is fulfilling this outcome.

HS

### 3.3.2. Likelihood of Impact

52. The impacts resulting from this general outcome (expressed as two in the TOC and discussion above) are listed in the original project document as a laundry list of results. However, after restructuring the project workplan (see paragraph 24) the project lists three expected accomplishments, that neatly roll up and summarise the laundry list of results listed in the original project document. These expected accomplishments or expected project impacts, are the same expected accomplishments as listed in the umbrella project “Support for Integrated Analysis and Development Framework Policies for Greenhouse Gas Mitigation of the UNEP 2010-2011 Programme of Work (PoW). As stated earlier in the reconstructed theory of change, these expected accomplishments are:

EA a. Adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data.

EA b. Countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation.

EA c. Improved technologies are deployed and obsolescent technologies phased out, through financing from private and public sources including the Clean Development Mechanism.

53. The project is starting to track possible impacts resulting from the interventions it has done. It is reasonable to be starting this process now since the aforementioned impacts can take, as discussed in paragraph 36, several years to manifest within a country. See more about tracking possible impacts under recommendation 3. That said, the project is implementing a variety of activities that can directly help achieve the desired impacts. Paragraph 50 above mentions activities that REGATTA implemented directly, and that can lead to impacts b and a. Below are examples of REGATTA activities that can lead to impacts a and c. If the example says implemented, supported, or co-sponsored, REGATTA has had a direct role in all aspects of its accomplishment. If the example says participated it means that project team staff was actively engaged in the event as a key knowledge provider or facilitator.

- REGATTA has implemented several activities in the last three years that aid countries in accessing climate finance. It gave a course on climate change funding opportunities in El Salvador that was then offered online to all countries in the region. In Colombia it conducted a study to understand barriers for access and management of climate change funding. The result is that both these countries were chosen to participate in the Green Climate Fund (GCF) Readiness Program.
- The project has supported the work needed for institutions to become national accredited entities to receive funding from the Global Adaptation Fund in Panama, Honduras, Antigua and Barbuda, and Dominican Republic. The institutions in these countries are in the midst of getting accredited.
- REGATTA has co-sponsored 2 workshops to bring together Environment Ministers and Finance Ministers with agencies like CAF, IDB, Adaptation Fund, and Forager among others. Countries presented their adaptation plans and met directly with the funding agencies.
- The project participated in the workshop and reported on *Lessons Learned About Financing Activities and Inclusion of Adaptation Strategies in National Development Plans for Central America and Mexico*: REGATTA highlighted the value and use of vulnerability and impact assessments as key elements for informing the integration of adaptation strategies into the national development plans to then align those with available funding sources for adaptation.
- REGATTA participated in the Regional Meeting on Agriculture in relation to Global Negotiations on Climate Change: it presented possibilities and opportunities of ecosystem based adaptation for funding opportunities relevant to climate change resilient development. The result of this presentation was an interest between Central American Agricultural Council and the GEF unit in UNEP in developing a Central American project on cattle ranching and agriculture in the face of climate change. A webinar was held on *Opportunities of GEF cycle 6 for the Agricultural sector in Central America*.

- The project participated in Adaptation Regional Meetings in 2014 and 2015: HS these bring together the relevant stakeholders in the national and local government, science sectors, financing entities and NGOs with the longer term objective of having adaptation strategies incorporated into national development plans. REGATTA highlighted the value and use of the vulnerability and impact assessments done throughout the region.

Overall, the activities and outputs leading to these impacts are being accomplished successfully. However, the rating for this criterion “likelihood of impact” is not an HS because of the in-various in-country external to project factors that facilitate or hinder impact. S

### 3.3.3. Achievement of Project Goals and Planned Objectives

54. The original project document does not use the language of goals or planned objectives. It lists one principal objective or outcome and three outputs (see section 2.3). The aforementioned outputs, immediate outcomes, outcome, and impacts of the project are the distillation of that outcome and outputs. Overall, the project outputs have been achieved, outcomes are being realised and the project is actively carrying out activities that encourage the desired impacts of the project, i.e.: working with countries to incorporate adaptation into national development plans, working directly with countries on the development of mitigation strategies, supporting countries on accessing funding, and it is continuously, via its regional knowledge platform and the communities of practice associated with it, sharing relevant knowledge on myriad climate change issues.

## 3.4 Sustainability and Replication

### Project Sustainability

55. REGATTA tailors its technical assistance and workshops for policy and decision makers, legislators, planners, the relevant scientific community, and technical institutions. Technical assistance is commonly requested by the relevant entity in-country, hence creating ownership, and the majority of workshops are also a product of expressed interest/need of the countries in the region. Therefore, one necessary precondition for sustainability – country commitment and ownership – has been leveraged very well in this project.
56. The web knowledge platform is open to the public, so the stakeholders associated with that portion of REGATTA are anyone interested in learning about climate change adaptation and mitigation. Visitation is up to 52,000/year in 2015. The project management team feels that these numbers can increase and know that in part some of that increase is propelled by maintaining a current, relevant, interactive, and user-friendly website. The project was conducting updates to its website when this evaluation was taking place. If the site is not managed after the project ends, visitation will begin to drop. The project is conversing with CTCN on options for maintaining this website past the March 2017 project end.
57. The partner institutions providing technical assistance and moderating communities of practice are all committed to their cause and, as stated during phone interviews, are highly likely to continue these efforts beyond the support from REGATTA. This is for two principal reasons: one, these institutions were already performing the work that REGATTA approached them for; and two, the process of participating in REGATTA has convinced them (confirmed by all partner institutions during interviews) that the communities of practice, the webinars and such, are a very



good tool for building relevant capacity in the region. To the surprise of most partner institutions moderating a community of practice, these have managed to attract a good and consistent following. Plus, moderating the community of practice has helped position their organisations as knowledge leaders in that theme within the region.

### **Financial Sustainability**

58. All of the activities REGATTA has conducted to date are funding dependent; maintaining the website, providing technical services, and conducting regional training, all require funding. In order, for REGATTA to continue doing the work it has done, it must continue to have funding. The project is actively looking for other sources of funding, primarily in the European Union, but it has not yet secured anything for beyond December 2016.

59. Also, if countries are to make the leap from learning to implementation in country, that is, from REGATTA outcomes to REGATTA impacts, they will need funding. This funding does not have to be provided through REGATTA but it must be accessible. Funding sources exist and REGATTA has facilitated numerous processes to increase country's abilities to access this funding. See paragraph 53 and the bulleted paragraphs below it for specific examples. MS

### **Institutional Frameworks**

60. REGATTA is completely dependent on knowledgeable partner institutions to serve as the knowledge centres, communities of practice moderators, and technical assistance providers. These institutions have to have the expertise and a solid institutional structure and trajectory that inspire confidence in order for the project's established model of providing services to be maintained. REGATTA has done a good job of identifying institutions with the right expertise and trajectory in the relevant fields of climate change adaptation and mitigation. Without these institutions REGATTA would not function. These partner institutions are capable of and interested in continuing the work they have done even if REGATTA were to not continue past March 2017. They will have to identify other funders, and some are already in that process, but all partner institutions expressed an interest in continuing the work that has been done. HS

### **Environmental Sustainability**

61. The project itself is not promoting any particular actions for either adaptation or mitigation, instead it is exposing the stakeholders to a variety of options and empowering them with the knowledge to then be able to decide on actions and practices that best suit their particular country situations. Furthermore, in theory the implementation of adaptation and mitigation actions are designed to favor or improve the environment. So, environmental negative effects should not be resulting from this project. Then again, any mitigation or adaptation action for which proper and thorough due diligence is not done could have detrimental effects on the environment. This due diligence is the responsibility of the country stakeholders. HS

### **Socio-Political Sustainability**

62. REGATTA continuing or not is not so dependent on socio-political stability. Both the web knowledge platform and the technical assistance could continue in the midst of some degree of instability. Funding is more of a determining factor for REGATTA continuation, so in the way that instability could lead to decreased funding, the project would be hampered.

63. That said, at a country level, bridging the gap between what is learned and what needs to be implemented is susceptible to the socio-political willingness and stability of a country. Governments have to be willing to prioritise adaptation and mitigation actions in their development agendas, and if this is the case, the socio-political climate of a country needs to be conducive to the implementation of those actions. At this moment conditions are stable enough in most countries of the region, and in light of the COP21 Paris Agreement, adaptation and mitigations agendas could have extra impetus for implementation in the coming years.

S

### Catalytic Role and Replication

64. REGATTA has facilitated training and provided technical support with the potential to turn into in-country policy or national level plans for adaptation or mitigation, as such that process takes time, so REGATTA is now beginning to document the catalytic effects of work it has done over the past four years. That said, via the support of five ecosystem based adaptation (EBA) pilot projects (2014 - 2015) REGATTA is already seeing tangible results. REGATTA contributed a small amount of funding to each one of these EBA projects that in turn were leveraging money from other sources, and together implemented projects that have produced tangible results. Table 5 below lists the projects, REGATTA's financial contribution, other money leveraged, and summarises some of the more salient results.

**Table 5: Pilot Projects Catalysed by REGATTA and Some of Their Results**

Project Name	REGATTA \$	Other \$ Leveraged	Summary of Some Results
Bolivia: Strengthening the capacities of people to mitigate the risks to CC in ecosystems of south and northeast of Municipal Province of Entre Rios	20,000	99,888	Over 150 agricultural producers implemented 5 agroecological techniques on their land to improve overall vulnerability of crops to climate change; 80 families improved water provision and management for their crops; 108 families improved feed quality, and increase feed availability by 25% for sheep farming.
Guatemala: CC adaptation by strengthening livelihoods associated with mangrove ecosystems and cloud forest on the Pacific coast of Guatemala	10,384	51,918	Over 100 families plant fruit trees in their home parcels to help with soil erosion, future food generation, and to provide simple shade; 6 families implement aquiculture projects; 51 learn about water catchment and management from fog.
Peru: In situ conservation of local quinoa cultivars resistant to adverse climatic factors and adapted to climate change	10,786	53,930	1,000 sq. meters are planted with resistant quinoa; this "biodiversity" park is used to instruct community members from surrounding areas on importance of conserving this biodiversity; 200 people trained in ancestral techniques for managing quinoa in times of floods, freezes, and drought; work with the municipal Division of Natural Resources and Environment results in updating the Regional Strategy of Biodiversity, including the conservation of quinoa biodiversity.
Mexico: Siltation practice as a measure of adaptation to climate change in the Rio Turbio in the State of Guanajuato	14,886	27,067	Siltation techniques implemented at two sites; courses offered on farming on siltation sites; 15 families provided with crops and 10 hectares planted; result of pilot project was receiving additional funding to conduct the same project in four other areas.

Dominican Republic: Climate Change Adaptation Activities in the sub watershed of Haina - Duey	66,800	66,850	Project is still ongoing; working with family farms on variety of ecological restoration techniques for better management of resources, biodiversity conservation, and adaptation to climate change.
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65. REGATTA is about sharing and disseminating knowledge and providing technical assistance to a broad stakeholder base for improving capacity to then take action on a particular subject. The project has a clear and established approach to conducting this work. It focuses on priorities defined by and with countries of the region; it implements through a suite of thematically focussed knowledge centres, and by strengthening existing networks and regional process. Furthermore, the services it provides are also clearly established: in-person technical workshops; direct technical assistance; web-based communities of practice; and joint-project development. This structure is such that it can be easily replicated and moreover, as evidenced by accomplishment of outputs and outcome it yields results. S

### 3.5 Efficiency

#### Cost Effectiveness

66. There are other climate change learning networks in the region, however, the partner institutions do not think that REGATTA is repeating efforts. In fact, partners note that REGATTA has been exceptionally adept at leveraging ongoing regional or national work, and at addressing issues that are not being addressed by others in the region.
67. Unlike other networks in the region that have focussed on mitigation, REGATTA has focussed a good portion of it's activities on adaptation. From April 2012 to April 2014, 63% of the activities were on adaptation, 19% on mitigation, and 18% on both. Between June 2014 - December 2015, 58% of the activities were on adaptation, 28% on mitigation, and 14% on both.
68. The web knowledge platform is such that it provides a "one stop shopping" option, providing a plethora of organised information on both mitigation and adaptation. All partner institutions expressed that at first they were wary of yet another website-based learning network, however, all have been pleasantly surprised by the way this network has approached its work, acknowledging that uniting existing efforts, and providing a clearinghouse of information on one website has been of much value.
69. Although the project has not yet secured funding for past March 2017 it has been very successful at leveraging funds from other organisations. Between June 2014 and December 2015 the project leveraged a total of US\$1,599,638 of in-kind contributions ,from other organisations, that were used to help fund REGATTA activities.(2014-2015 Project Workplan and Budget). For that same period the Spanish Agency for International Development (AECID) gave REGATTA approximately US\$719,180.10. That is approximately 2 dollars of leveraged in-kind contributions for every dollar donated by AECID.
70. The organisations with which REGATTA has leveraged in-kind contributions include: UNEP ROLAC, CAF, OLADE, OECC, AECID, EUROCLIMA, DTU, UNFCC, PEI, IICA, CIAT FTDT, Practical Solutions, INSP, CATIE, Instituto de Desarrollo, OPS, IIE, and local in country organisations. Some of these institutions are the current partner organisations of the project, see paragraphs 13 and 14; others are institutions or initiatives that are doing similar things as REGATTA, and in the spirit of not repeat-

ing efforts, co-host trainings and meetings, or have provided other technical guidance and support to the project.

71. As evidenced from its sources of in-kind contributions REGATTA has been good at synergising with other initiatives in the region. Early on in project implementation, REGATTA purposely decided that they would not replicate efforts, instead they would strengthen existing networks or regional processes, and implement through already established organisations that could serve as knowledge centres. Some examples of cooperation with other initiatives in the region include: collaboration with DTIE initiative En-lighten which resulted in a Central American wide Ministerial Resolution and Strategy for Efficient Illumination aiming to eliminate, by 2016, all inefficient lighting in Central America; working with the ROLAC initiative, Microfinance for Ecosystem Based Adaptation, on leveraging technical inputs for the various vulnerability and adaptation assessments and the EBA community of practice; working with Climate Finance, CAF, and EUROCLIMA on financing for climate change; working with PAHO and OPS on health and climate change; and collaborating with the Poverty and Environment Initiative in the Dominican Republic.

### **Timeliness**

72. The project has been delayed from the beginning for several reasons. First, the project was extended (see paragraph 2) from a limited “adaptation only” project to a comprehensive integrated regional platform covering both mitigation and adaptation to climate change, thus significantly increasing the potential issues that could be addressed and expanding the pool of stakeholders. This expansion of project required restructuring of project design before proper implementation could begin. Second, The ICA agreement for REGATTA between DEPI, DTIE, and ROLAC was signed in November 2010. Once implementation began in December 2010, there were more than four months delay for approval of budgets and transfer of funds to ROLAC. Lastly, the stipulated project staff was not hired until the end of 2011 because of UNEP’s recruitment procedures that made expedient hiring impossible.

73. The project was fully staffed for a brief period during 2012, specifically from March to August of 2012. In April 2012, the UNEP Regional Climate Change Coordinator left and was not re-hired. The P4 adaptation officer had to assume the role of UNEP Regional Climate Change Coordinator (a UNEP position, not a project position) as well as the overall project manager (a position never contemplated for the original “adaptation only” project but very necessary for the project of the expanded magnitude). In August of 2012 the P3 adaptation officer left and was replaced by a consultant. Although the project was paying for some administrative support (25%) in DEPI, the project did not have dedicated financial and administrative support, which made processing SSFA’s, PCA’s, travel, and other administrative procedures very inefficient and slow. All of these staffing issues inevitably caused implementation delays.

74. There were also significant delays of 6 to 18 months with all the technical assistance activities that were conducted by partner institutions. The nature of the work being done required the participation of government, private sector, and academia, and scheduling agendas amongst all three presented constant challenges, especially with the government sector that tends to move less efficiently than the other sectors. Both partner institutions and program management acknowledged that better calculation of the time needed to realistically carry out work was necessary.

75. Another delay had to do with the establishment of communities of practice. Originally the IDB was to provide the technological platforms for various communities. However, the IDB underwent restructuring of technological systems and polices and was unable to provide the needed

platforms. REGATTA solved this by giving the different partner institutions some funds and encouraging them to create their own platforms. Some communities took quite a long time to get up and running, but on the upside, this allowed for a stronger sense of ownership of the communities of practice by the partner various institutions.

76. Despite all of its delays, the project has delivered on its outputs and associated activities, albeit within a different timeframe than originally planned.

MS

### 3.6 Factors Affecting Performance

#### Preparation and Readiness

77. REGATTA original project document is straightforward and provides a good justification for the project. The big picture of what it intends to do, meaning the overall objective (outcome) and its three major components (outputs), is clear. However, the finer details, like specific objectives, activities, methodologies, and expected results are haphazard and relegated to long lists of bullets that are repetitive and lack cohesion.
78. The project did prepare a project delivery plan and budget that could serve as an initial guide for implementation, but this had to be re-written several times given changes in project scope and funding (see paragraph 72). This restructured project document was not available for review during this evaluation, however the restructuring of the project is evident and consistent in every bi-annual progress report.
79. The original project document was clear on project management set-up for implementing and backstopping the project. However, there is no evidence that capacities of the agencies involved, ROLAC, DEPI or DTIE were analysed to determine best execution arrangement.
80. Potential partnerships were clearly laid out in the project document, however, no roles and responsibilities were negotiated prior to project implementation. Actual partnerships were sought out and brought into the project after the project held its roundtable of regional stakeholders, in April of 2011, which helped refine what the project would do. With a clearer picture of real implementation needs, the project set out to find the most appropriate institutions for carrying out the work.
81. The project did not carry out a stakeholder analysis, but did identify broad stakeholder groups that could benefit from REGATTA work (see section 2.2 and recommendation one). That said, stakeholder input gathered during UNEP meetings, prior to project design, to set-up a Global Adaptation Network, and a Mitigation and Technology Network was used to design REGATTA. The stakeholder input obtained during the first meeting of the Roundtable in April 2011 was used to further refine REGATTA workplan.
82. Counterpart funding was not identified in the original project document, however, as work has evolved the project has been adept at securing in-kind contributions for implementation of activities. For the period between June 2014 - December 2015 the project raised in-kind contributions with an estimated value of US\$1,599,638, see paragraphs 69 and 70.

MS

#### Project Implementation and Management

83. Staffing issues have affected project implementation and management from project inception. First of all, the original staffing structure of the project was not adjusted to better accommodate the significantly larger project scope resulting from the integration of sub-projects two and

three, see paragraph 2 and 3. Most importantly, this adjustment should have included a full time project manager. Instead the project expected that the ROLAC Climate Change Regional Coordinator would serve this function. This perhaps could have worked when the project was limited to its original scope and budget of a bit over two million. However, the scope of the project was significantly increased and the budget tripled by the end of 2010. A project of this financial magnitude, across a large region, involving science, technology and government sectors requires a manager.

84. The original project called for two technical P3 positions and one technical P4 position. For some months at the beginning of 2012, the project had those three positions. In April 2012 however, when the ROLAC Regional Climate Change Coordinator left, the P4 position continued in its technical role, assumed the role of the overall programme manager, and was tasked by UNEP to function as the Regional Climate Change Coordinator. One P3 position functioned as a technical officer, and the third P3 position left and had to be replaced by a consultant. The consultant was very capable technically, but as a consultant, versus a staff member, had limited authority to make decisions for implementation and this contributed to further delays in implementation.
85. Also, the original project did not call for an administrative assistant — it simply budgeted 25% of a position in DEPI; nor did it envision needing a knowledge coordinator to manage the knowledge web platform, a huge component of the project. Nonetheless, the project managed to garner administrative and financial support from other projects in ROLAC and also secured a knowledge coordinator with the help of other funds.
86. In 2015, ROLAC hired a Regional Climate Change Coordinator, thus relieving that responsibility from the P4 position. The project also replaced the consultant with an official P3 position. A knowledge manager was secured as a consultant, and a dedicated administrative assistant was brought on board in lieu of the other P3 position. The technical P4 position continues to function technically and as the overall project manager.
87. The staffing issues have been inconvenient, have over-taxed the project management team, and have caused project implementation delays. Nonetheless, the team has delivered work as best as possible given circumstances, and project partners all report having very productive and pleasant relationships with the various project team members, noting that the team is accessible, flexible, and proactive, and makes them feel as an essential part of the team for project success.
88. REGATTA has experienced significant challenges regarding administrative procedures, with all project management staff agreeing that these are not conducive to efficient implementation. Project management feels that UNEP process to approve new hires, contracts, partnerships agreements, travel disbursements, procurement of professional services and events are cumbersome and slow and sometimes so complex that they cannot be used. Across project annual reports this is reported as a constraining factor for efficient implementation. This said, partner institutions for the most part said approving of contracts and getting paid on time had not been an issue, this is evidence that project management was resourceful and somehow expeditious when it came to keeping the institutional arrangements with their partners flowing smoothly.

MS

#### **Stakeholder Participation, Cooperation, and Partners**

89. As mentioned before, the stakeholders in this project are anyone involved in aspects of climate change adaptation and mitigation; thus, they are a diverse group of people including policy

makers, legislators, planners, academics, scientists, and technicians; and thus it includes government, non government, private sector, academia, and technical and research institutions, but it is not limited to these groups. REGATTA has had wide stakeholder consultations in 2011 (roundtable meeting) and in 2012 (through RIOCC meetings) to gauge what climate change issues are most relevant and pressing for countries. It has built a large portion of its workplan activities based on that input. Thus, who or what group REGATTA targets depends on the climate issue at hand.

90. As stated earlier under section 2.4 the partner institutions were carefully chosen to provide the needed services in adaptation and mitigation. The partners in this project provide services for the stakeholders, and the stakeholders are as diverse as there are issues related to adaptation and mitigations.
91. Each community of practice, moderated in many cases by the same institutions providing technical assistance, has a particular set of dedicated followers and participants. These participants range from government officials, to technical practitioners, to students, and are not limited to people in the region but are open to anyone worldwide who may have an interest in the topic at hand.
92. REGATTA has been very resourceful in building cooperative working relationships with other organisations and initiatives in the region, see paragraphs 70 and 71. In the June 2014 - 2015 workplan there are 15 other organisations, initiatives, or projects aside from 10 partner implementing institutions, that are jointly implementing and contributing in-kind to REGATTA activities. Some of these organisations or initiatives are regional in nature like CAF, and EUROCLIMA; others are nationally and locally based like the San Roman Agrarian, or the Pronatura Fund; and others are UNEP initiatives or agencies like the Poverty and Environment Initiative, and UNFCCC. Overall, of the 43 activities in June 2014 - December 2015 workplan, 20 are cost-sharing with other organisations. This does not include the 7 communities of practice and their moderating institutions that are financing a portion of the activities they do with REGATTA. A total of approximately \$1,599,638 was leveraged via in-kind contributions for the period June 2014 - December 2015.

HS

### **Communication and Public Awareness**

93. The communities of practice have very varied forms of communicating, sharing knowledge, and learning. Dissemination of information is through their platforms and the platforms of other organisations outside of REGATTA with which they collaborate. The communities conduct webinars and have discussion fora for these, they post relevant documents, reports, and technical studies to boost knowledge sharing and learning on particular topics. Some have blogs, some are always posting relevant newsfeeds, and some have active Facebook pages.
94. The REGATTA web knowledge platform is constantly being improved and updated. In 2015 the website had 52,000 visitors. Overall, the communities of practice just celebrated their 100th webinar. During REGATTA events published materials, like briefs and technical studies, are distributed to participants and interested parties alike.

HS

## Country Ownership and Drivenness

95. This project has a high degree of ownership among its institutional partners, since all partners involved have been selected because they already do, (and do well) what REGATTA is asking them to do. As a result, a majority of the partner institutions are very much interested in continuing efforts that they began with REGATTA even after REGATTA ends.
96. Countries in the region also have a good level of ownership over what REGATTA does since the technical assistance provided and the events conducted by REGATTA are a direct response to requests coming from countries. REGATTA, from the beginning has made it a point to focus its work on priorities defined by and with the countries of the region. Moreover, countries have full ownership of the products resulting from the technical assistance provided. Over 50% of the activities in the June 2014 - December 2015 workplan are direct requests from countries. Some of the activities in the workplan are proposed by REGATTA or partner or collaborating institutions based on professional input of what could further the project outcomes. For instance, of the 10 activities suggested by the REGATTA technical team, 5 are pilot projects that are being implemented by countries to test different adaptation approaches that are relevant to those country situations. The breakdown of requests is listed in Table 6 below.

HS

**Table 6: Requests of Activities by Stakeholder Type 2014 - 2015**

<b>Requested by</b>	<b>Activities 2014-2015 workplan</b>
Countries to REGATTA directly	7
Countries at the 2011 Roundtable	10
Countries at the 2012 RIOCC meetings	2
Countries and OECC or AECID input	6
REGATTA and or partner technical team	10
OECC, CAF, or UNEP	8

## Financial Planning and Management

97. The project budgets on 12 or 18 month basis producing a workplan and detailing costs by line item (activities). This workplan and budget is formally reviewed and approved by the steering committee.
98. Expenses are reported according to established UNEP income and expenditure reports. This reporting does not allow for tracking of expenditure by activity, but that is beyond project control. However, project management does keep an approximate record of money spent by activities so that it can more effectively track its progress and re-assign funds if needed to ensure effective implementation. REGATTA has followed the established procedures, producing bi-annual financial reports. Payment to partner institutions with SSFAs or PCAS have been paid on a timely basis according to partners. The project has not been audited.



99. A particular constraint of the project had to do with the inability to get partner cooperation agreements (PCAs) over US\$200,000 approved in a timely fashion by UNEP. Thus, in order to expedite work, in what was already a delayed implementation timeline, agreements of up to US\$200,000 (SSFAs) were signed. Both project management and partners felt that in many cases the expected deliverable vs the financial resources were not aligned, however partners were aware of the approval time constraints associated with PCAs, and agreed on proceeding with activities under an SSFA with US\$200,000. All agreed that in many cases a bit more funding for certain deliverables would have allowed for a better delivery of services, thus faster time approvals of PCAs could have facilitated implementation of certain activities.
100. REGATTA has experienced significant challenges regarding administrative procedures, with all project management staff agreeing that these are not conducive to efficient implementation. Project management feels that UNEP process to approve new hires, contracts, partnerships agreements, travel disbursements, procurement of professional services and events are cumbersome and slow and sometimes so complex that they cannot be used. Across project annual reports this is reported as a constraining factor for efficient implementation.

S

### **Supervision, Guidance and Technical Backstopping**

101. The project is managed day to day by a project management team in ROLAC of, 4 full-time equivalent posts since 2015. It was supposed to be supervised by the ROLAC Regional Climate Change Coordinator, however, the Regional Climate Change Coordinator post was vacated in early 2012 and was not re-hired until early 2015. As evidenced by the high rate of successful project achievements, and the favorable reviews received from partner institutions of the project management team abilities to respond effectively and proactively, it follows that the project management team has done a good job of keeping the overall project in line.
102. DEPI and DTIE were to provide technical coordination and quality control services. In mid 2014 Spain decided that it would no longer pay for the time (25%) of the DEPI position in Nairobi. Since then, the project has been managed and backstopped exclusively by the project management team in ROLAC. This has not affected project implementation.
103. The project established a steering committee consisting of donor representatives and UNEP ROLAC project management. It meets once a year to review and approve workplans. However, the project management team and donor representatives have a close working relationship, where project management keeps the donor regularly informed of project progress and challenges, and the donor proactively strategises with REGATTA on best approaches for reaching project outcomes.
104. The project has consistent bi-annual reporting. The annual reports are clear and easy to measure against yearly workplans, and they show consistent progress towards completion of outputs and attainment of outcomes.

HS

### **Monitoring and Evaluation**

105. The project did not establish or execute a formal monitoring and evaluation plan as it said it would in the original project document. (See recommendations 3 and 5) However, there is bi-annual reporting to the donor and frequent interaction between the donor and the project management team to proactively manage implementation.

106. The logical framework presented in the original project document includes the project outcome and the three main outputs and identifies indicators for the various outputs and outcomes, however, those indicators were never set-up in a way so they could be measured/monitored. That said, the annual reports do discuss results that can be grouped in such a way to allow for monitoring. The project does keep track of events implemented, number of participants, publications done, etc. However, the project has not established a systematised approach to monitor those results. (See recommendations 3 and 5)
107. The project did carry out an initial risk analysis where possible institutional, and socio political risks to project success were identified. A risk management strategy and safeguard was specified for each of the five risks identified. The project has proactively implemented those strategies during project implementation. For instance, the project has “strategically selected project partners that are able to bring added value to the process, and has provided incentives for their participation in the process, by strengthening partner capacity throughout the project”. This has been a strategy for dealing with the potential risk of “lack of technical and human resources capacity of partners, with low engagement and or no continuity and participation of both public authorities and civil society in the assessment of activities”. Another risk was “lack of institutional capacity within governments to enable full engagement in the integration process”. The strategy for dealing with this was to “ensure high level ownership of processes through wide consultations, sharing of information and awareness raising on the importance of relevant processes”. REGATTA has ensured wide consultations and shares a tremendous amount of information through the web knowledge platform and the communities of practice.
108. The project did set aside funds for mid-term and terminal evaluations. The mid-term evaluation was done in May 2014. The terminal evaluation does not yet have a date, since although the project at this moment is scheduled to end in March 2017, it could very well find funding to continue well past that date.

MU

**Table 8: Summary of Evaluation Ratings**

Criterion	Summary Assessment	Ref.	Rating
<b>A. Strategic relevance</b>	Neatly aligned with POW expected accomplishments, umbrella project objective, and other UN relevant initiatives.		HS
<b>B. Achievement of outputs</b>	100% of outputs completed and ongoing; 74% of activities between June 2014 and December 2105 completed and the rest underway.		HS
<b>C. Effectiveness: Attainment of objectives and planned results</b>	Outputs leading to outcomes are being accomplished; activities directly in line with achieving impacts are implemented.		HS
1. Achievement of direct outcomes	Outputs are producing the outcomes; many activities directly related to the outcomes.		HS
2. Likelihood of impact	Activities and outputs leading to these impacts are being accomplished successfully; not an HS because of the in-country external to project factors that help determine impact.		S

Criterion	Summary Assessment	Ref.	Rating
3. Achievement project goal and planned objectives	Because of the way the project is structured, this criteria is reflected in the accomplishment of the previous two, thus rating is an average		HS
<b>D. Sustainability and replication</b>			<b>MS</b>
1. Financial	Project existence is funding dependent; has not secured funding beyond Dec. 2016, but is actively looking for funding; has been successful at securing significant in-kind contributions.		MS
2. Institutional Framework	Established institutions with track records in climate change mitigation and adaptation leading technical assistance and communities of practice.		HS
3. Environmental	What is espoused by project is to have beneficial impacts on environment.		HS
4. Socio-political	In-country external to project factors are not “perfect” in all cases, hence the S vs. HS		S
5. Catalytic role and replication	Project is starting to track possible catalytic impacts that it has had; in-country pilot projects have been catalytic; project nature (learning networks) and project structure (specifics of how the project implements) are clear and could easily be replicated elsewhere.		S
<b>E. Efficiency</b>			<b>MS</b>
<b>F. Factors affecting project performance</b>			<b>MS</b>
1. Preparation and readiness	Initial project documents were a bit vague; as project started implementing, the what and how of what would be done improved.		MS
2. Project implementation and management	Staffing and administrative issues out of project management control but still affected the timeliness and “smoothness” of implementation; project management was actually very skilful in handling the challenges.		MS
3. Stakeholders participation, cooperation and partnerships	Project gets lots of input from stakeholders in country; partners very involved with project implementation; partners successfully interacting with wide range of stakeholders via different formats.		HS
4. Communication and public awareness	Varied forms of communicating, sharing knowledge, and disseminating information with the various project audiences		HS

Criterion	Summary Assessment	Ref.	Rating
5. Country ownership and driven-ness	Workplan responds in great part to needs prioritised by countries; partner institutions are based in country and work regionally; partner institutions have desire to continue doing REGATTA work even without REGATTA.		HS
6. Financial planning and management	Project has followed financial and administrative procedures but has been particularly challenged by internal administrative procedures that are slow and cumbersome.		S
7. Supervision, guidance and technical backstopping	Solid easy to understand reporting; proactive project management; productive and regular interaction with donor. Limited support from DTIE, DEPI or ROLAC.		HS
8. Monitoring and evaluation	Formal monitoring and evaluation plans never implemented; indicators for a possible plan were identified in local framework, but not implemented; however, project does a good job of tracking progress and keeping track of beneficiaries, publications produced, events had etc.		MU
a. M&E design	Non existent		U
b. Budgeting and funding for M&E activities	Was done		HS
c. M&E plan implementation	No plan implemented but project does keep track of # of events, # of people participating, publications produced etc.		MU
<b>Overall project rating</b>			<b>S</b>

## 4. CONCLUSIONS, LESSONS LEARNED, AND RECOMMENDATIONS

### 4.1. Conclusions

The following conclusions summarise the answers for the six main evaluation questions. Each question is listed below in bold and the evaluation answer follows.

#### **1. How relevant was the project to beneficiary needs and UNEPs mandate and Programme of Work?**

109. The direct beneficiaries of this project have included policy and decision makers, legislators, planners, practitioners at national and regional levels, as well as the scientific community and technical institutions. It is this same group of people that have requested specific technical assistance from REGATTA (paragraph 11). REGATTA has accomplished its activities per these requests, so relevance would appear to be high. This evaluation did not interview direct beneficiaries, it interviewed project partners, which are a type of project beneficiary and are receiving benefits from working with REGATTA but they are not the ones receiving the bulk of REGATTA services; they are the ones working with the direct beneficiaries. Nonetheless, project partners, as stated in paragraph 57 and 97, feel that REGATTA work has been relevant and useful, to the

point that they will continue with many of its efforts even if REGATTA ends in 2016. Another indicator of relevance is the in-kind contributions the project has received. Between 2014 - 2015 the projected estimated about US\$1,599,638 of in-kind contributions from 15 different collaborating institutions (paragraphs 69, 70, 92) It is safe to say that these institutions must find relevance to what REGATTA is doing or they would not be investing in REGATTA work. Another indirect indicator of relevance is the visitation numbers to the webpage, which have steadily risen across project implementation years. In sum, the evaluator would conclude that REGATTA work has been relevant to beneficiary needs. All this said, REGATTA could devise more targeted ways of gauging direct beneficiary satisfaction. See recommendation four below.

110. REGATTA is aligned with and is relevant to EA(a), EA (b), and EA(c) of UNEP's Climate Change subprogram. In fact these expected accomplishments are also the project's accomplishments. See paragraphs 37 and 38 for more information.

**2. How coherent was the project with the umbrella project objectives and proposed intervention strategies, and how complementary was it to other sub-projects and other UNEP projects in the same field?**

111. REGATTA is coherent with the umbrella project P12/3 P1, and through the implementation of its activities has contributed to the umbrella project objectives and intervention strategies. See paragraph 39. The project is also complementary to many of the projects under umbrella project 12/3 - P1 since the majority of those projects are also supporting knowledge networks, and building capacity around adaptation, mitigation, and climate change negotiations issues.

**3. To what extent and how efficiently did the project deliver its intended outputs?**

112. By 2014, the project had delivered all of its outputs, see paragraphs 37-42, and since then has continued to deliver on these outputs (they pertain to knowledge provision and technical capacity building) by implementing numerous relevant activities that fall neatly under those outputs. Delivery of these outputs has nonetheless been challenged by numerous administrative and staffing mishaps attributable to UNEP procedures for conducting business (paragraphs 83 - 88, 99, 100). All of these challenges led to inevitable implementation delays with relation to the original project timeline (paragraphs 72 -76). See paragraphs 114 and 115 for more information.

**4. How well did the project contribute to its expected outcomes and the expected outcomes of the umbrella project?**

113. If an output was achieved, logic follows that the outcome associated to the output would also be achieved; in the case of REGATTA this holds true, and the project has achieved its outcomes and continues to conduct activities that will further allow these outcomes to eventually materialise into the desired impacts or expected accomplishments. See paragraphs 43-53. Furthermore, the project partner institutions all expressed that REGATTA is indeed contributing to the realisation of its outcomes.

**5. What were the internal and external factors that most affected performance of the project?**

114. Internally, the improper staffing (one that was not commensurate with project scope) was one of the factors affecting performance of the project (paragraphs 73, 83 -88). After the project almost tripled in size (both in thematic scope and financial resources), the initial suggested project management structure was never reassessed. The enlarged project could have benefitted from an overall project manager, a full time administrative assistant, and a knowledge manager. The absence of these positions made moving work at a timely pace difficult. That said, the

project also stumbled across many administrative hurdles that made processing PCA's SSFAs, travel requests, and coordinating large events cumbersome and slow, further delaying implementation (paragraphs 88, 99 - 100).

115. Externally, the project management team and partner institutions recognise that the time allotted to conduct some of the work, namely the vulnerability assessments, was not accurate, and inevitably resulted in delays. The vulnerability assessments were very process-based activities that required the inputs from NGOs, governments, academia, and local community members; coordinating agendas between all these stakeholder groups that inherently have very particular agendas with particular timelines naturally led to delays in completing the assessments. See paragraph 74.

**6. What management measures were taken to make full use of opportunities and address obstacles to enhance project performance?**

116. The project was adept at securing administrative assistance from other projects within ROLAC and they found funding for a knowledge management consultant position. Later the project was able to secure its own administrative assistant and maintain the knowledge consultant. Regarding internal administrative issues the team relied on partners to handle some of the logistics related to event and travel coordination; and they had transparent communication with the partner letting them know when things were out of project management control, so that the necessary measures could be adopted by the partner. Regarding vulnerability assessment delays, the project team was understanding of what was occurring and deferred to partner expertise to guide the process as they best thought; the project team also kept the donor duly informed of the nature of the situation and why delays would occur.

## **6.2. Lessons Learned**

The following lessons are the observations of the project management team about project implementation, and refer to elements they would do differently to increase project implementation effectiveness.

**7. Capacity building** to get to the desired outcomes and impacts as stated in REGATTA is a process-based endeavour; it takes time and as such that time needs to be appropriately built into the work being required by partners (paragraph 74)

117. This lesson recognises that better calculation of the time needed to accomplish work via partners and with varied stakeholder groups (NGOs, government, academia, local community) is imperative to layout more realistic implementation timelines and minimise implementation delays.

**8. Adequate analysis and provision of staffing is required from project inception (paragraph 83 - 87)**

118. When the project tripled in size the staffing configuration needed to be re-evaluated. Matching what is required from a project with appropriate staff resources increases the likelihood of timely implementation, and minimises project staff frustration and burnout. As of 2015, the project feels that it finally has a team that can adequately address the workload of REGATTA.

## **8.3. Recommendations**

The first four recommendations below are made in light of a continuation of REGATTA beyond March 2017 and can all be implemented by REGATTA and its partners. Recommendations five and

six are for UNEP to better support project management teams with project implementation. Recommendation seven is for both UNEP and REGATTA if REGATTA were to continue beyond March 2017.

**9. Conduct a proper stakeholder analysis and another stakeholder roundtable to review REGATTA results to date and chart path ahead with in-country stakeholders. (paragraphs 11, 89 -90; 95-96)**

119. At project inception, REGATTA identified broad stakeholder groups but the project never conducted a proper stakeholder analysis. At this stage of project implementation, the project team probably has a clear picture of who the stakeholders are, however, if the project were to move forward beyond 2016 it would be advantageous to make a brief pause and actually analyse that stakeholder landscape. An analysis could take the different components of REGATTA and identify and prioritise stakeholders (private, civil, government) for each based on power, influence, facilitation, obstruction, funding, benefits, etc.. A comprehensive analysis of the stakeholder landscape, with all the rich knowledge that the project team already has, would provide extremely valuable information for creating a workplan with activities that could produce very tangible and impactful results. This information would then be further enriched by another stakeholder roundtable.

120. The initial REGATTA roundtable of 2011 provided much of the information for the workplan that REGATTA has implemented thus far. In 2012, there was another gathering, via RIOCCC, to fine tune information on regional and national needs. If the project plans to continue beyond December 2016, it would be beneficial to conduct another roundtable meeting to share project results, discuss pros and cons of what has been done, take into consideration the Paris agreement, and chart a new path for the evolution of REGATTA so as to best serve national and regional climate change agenda needs.

**10. Provide more opportunities for supporting action on the ground — opportunities to go from learning to implementation. (paragraph 64)**

120. This was a common suggestion among all partner institutions interviewed and among project management staff as well. Countries are hungry to implement adaptation or mitigation strategies, and while countries can access other sources of funding to achieve this, REGATTA can contribute small pots of money towards this as a way to catalyse the project's desired impacts (expected accomplishments). This was the case with the five ecosystem based adaptation pilot projects, that took some of the work done with the vulnerability assessments and put the theory into practice. The same could be done with mitigation work (studies and proposals) that has been supported. Adding this component of practical action on the ground really helps bridge the gap between REGATTA outcomes and REGATTA expected accomplishments.

**11. Actively track the effects of the work it has catalysed to gauge tangible contribution towards expected accomplishments. (paragraphs 53, 105 -106)**

121. The expected accomplishments of REGATTA are process-based changes that have to occur in-country, and as such they are subject to political willingness, cooperation among various sectors, legislative procedures, and funding and technology availability, see paragraph 36; all factors that REGATTA cannot control, but has in fact tried to catalyse via the activities it sponsors

(see paragraph 53 and bullet points). Case in point, the many activities it has supported to insure that countries have the ability to access available funding streams for climate change action. The project is at a very good point in time to systematically review the work it has sponsored and identify what that work has contributed to in-country. Perhaps it can focus on tracking the “aftermaths” of vulnerability assessments, NAMAs, alternative energy mitigation proposals, and financial training work; this tracking process should also identify what in-country enabling conditions have led to implementation of expected accomplishment type actions vs what factors have impeded the implementation of those actions. The results of this tracking will provide tangible evidence that the model/mode of work REGATTA has put forth can lead to certain desired impacts, and will provide valuable insight to fine-tune a continuation of REGATTA or for the replication of a REGATTA type project elsewhere.

**12. Continue and refine the online communities of practice and the web portal, including gauging direct beneficiary interest in REGATTA activities (paragraphs 93 -94)**

122. The partner institutions all agree that the communities of practice and web portal are value added elements of REGATTA. The web portal is viewed as a useful one stop shopping kind of site for climate change, and the communities of practice have been well received by the stakeholder groups that participate in them. Partners recognise that there is much that can be done with the communities of practice to make them even more valuable learning tools. For instance, partners mentioned developing other techniques for engaging in conversation/discussion with participants during a webinar; providing different forms of follow-up to a webinar; and, refining participant selection. All partners leading a community of practice are keen on improving and continuing their communities. REGATTA could provide the forum for best practices to be shared among the partners hosting communities of practice and from this partners could begin implementing new techniques. Another thing REGATTA can do with the support of the communities of practice is better gauge direct beneficiary interest in REGATTA work. REGATTA and partners can design a simple online survey, targeting key issues to gauge how much beneficiaries think what is offered is relevant, what they find most useful and less useful, what they would like to see more of etc.. This information can help both the communities of practice and REGATTA better tailor their services.

**13. Streamline and tighten initial project design, project reporting, and monitoring and provide the agreed upon resources for project implementation (paragraphs 77 -78, 83 -87, 105 -106)**

123. If UNEP projects are to be evaluated with certain criteria, the initial project formulation needs to effectively include, in the project document, all the necessary elements required to comply with those criteria. For instance, if a project is to be evaluated on a theory of change, this theory of change needs to be conceived in the initial project formulation; it cannot be an afterthought, or less ideal, a reconstruction of project elements that were constructed under a different logic. Nomenclature for required project design elements needs to be standardised and clear definitions provided; and annual reporting should follow from the workplans, making it simple to understand progress from year to year.

124. A project should not be approved for implementation without a basic monitoring system that establishes performance indicators and sets-up a monitoring system. What this basic system entails should be clear and simple, encouraging all projects to be able to accomplish it with relative ease.



125. Just as it is important to have a clear guiding document for project implementation and a concise system for measuring progress and impact, it is important to staff a project adequately from the beginning to give it the opportunity to perform as expected. UNEP should honor the commitments made in project documents —to donors, with donor money —to staff a project.

**14. Review and revise certain UNEP administrative and financial procedures to facilitate project management efficiency (paragraphs 88, 98, 99)**

126. UNEP values efficient projects as is evidenced by many of the evaluation criteria that assess efficiency (timeliness, cost effectiveness, preparation and readiness, project implementation and management, among others). However, several UNEP administrative processes are not conducive to efficient project management. Some of the processes that could be reviewed and perhaps modified to be made more efficient include: recruitment of new staff, processing of contracts, approval of partnership agreements over US\$200,000, travel disbursements, and procurement of professional services and events. Each one of these processes needs to be systematically disassembled, analysing every step of the process and every action within each step; carefully examining the whys and hows of each, in order to be able to then suggest revisions that will cut down on unnecessary paperwork and approvals that make the processes cumbersome. In terms of financial procedures, one of the key things that needs to happen is that project spending needs to be tracked by activities budgeted in the project document tables, otherwise there is no point in producing such tables, and instead, they should be replaced with a budget format that can be effectively tracked.

**15. Recognise that capacity building takes time and factor that time into project design.**

127. In general, capacity building takes time, and capacity building for highly complex themes like climate change, where firmly entrenched development patterns need to shift, is very process based and immersed in a plethora of socio-political factors that a project cannot influence directly, and as such, requires capacity building approaches better synched to the timelines of these processes and their key actors, and with realistic expectations of what impact can be expected.

## 5. ANNEXES

### 5.1. List of individuals consulted for the case study

1. Andy Jarvis, CIAT
2. Alicia Quezada, Soluciones Practicas (Practical Solutions)
3. Magali Hurtado, Instituto Nacional de Salud Pública de México (National Institute of Public Health)
4. Katia Fajardo, IICA
5. Hernán Carlino, Fundacion Torcuato di Tela
6. Rossana Escribano, Instituto de Desarrollo (Institute of Development)
7. Byron Chiliquinga, OLADE
8. Ana Iju, IDB
9. Bastiaan Louman, CATIE
10. Martin Pérez, Instituto Privado de Cambio Climático, Guatemala (Private Institute of Climate Change)
11. Roberto Borjabad, Mitigation Officer, REGATTA
12. Elena Pita, Adaptacion Officer, REGGATTA
13. Marta Moneo, Consultant for Adaptation topics, REGATTA
14. Sonia Pérez, Knowledge Coordinator, Web Platform, REGATTA
15. Gustavo Máñez, Regional Climate Change Coordinator, ROLAC (no interview)

### 5.2 List of documents consulted for the case study

1. REGATTA Project Document (UNEP, July 29, 2010)
2. ICA REGATTA signed by DTIE, DEPI, ROLAC (November 29, 2010)
3. REGATTA Mid-Term Review (May, 2014)
4. Steering Committee Meetings (May 9, 2012; June 26, 2013)
5. REGATTA Annual Progress Reports
  - 12/2010 - 6/2011
  - 1/2012 - 6/2012
  - 7/2012 - 11/2012
  - 1/2013 - 12/2013
  - 6/2014 - 12/2015 (draft)
6. REGATTA Workplans
  - 2013 - 2015
  - 6/2014 - 12/2015
  - 10/2015 - 3/2017
7. REGATTA Income and Expenditure Reports
  - 12/2010 - 6/2011
  - 12/31/2011
  - 6/30/2012
  - 11/30/2012
  - 12/31/2013

## 8. Internal Control of Legal Agreements, Climate Change

### 5.3 Financial Management Rating

Financial management components			Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations			S	Confirmed in interview with PM
Contact/communication between the PM & Division Fund Managers			MS	Improved since responsibility passed to ROLAC vs DEPI
PM knowledge of the project financials			HS	PM keeps an internal record of what is spent
PM responsiveness to financial requests			S	Delays come from UNEP system
PM responsiveness to addressing and resolving financial issues			S	Is proactive but can only go as far or as fast as the systems in UNEP permit.
Were the following documents provided to the evaluator:				
A.	Crystal Report	N		
B.	All relevant project Legal agreements (SSFA, PCA, ICA) if requested	Y		
C.	Associated Financial reports for legal agreements (where applicable)	NA		
D.	Copies of any completed audits	NA		
Availability of project legal agreements and financial reports			S	Available upon request but missing 2014
Timeliness of project financial reports and audits			MS	Delay with 2014 report because of internal UNEP system changes
Quality of project financial reports and audits			S	Standard UNEP reports
PM knowledge of partner financial expenditure			NA	
<b>Overall rating</b>			<b>S</b>	

	<b>Project context</b>		<b>Evaluation Comments</b>	<b>Rat- ing</b>
1	Does the project document provide a description of stakeholder consultation during project design process?		Yes. Results from consultations had in 2009 were used in design process. #	S
2	Does the project document include a clear stakeholder analysis? Are stakeholder needs and priorities clearly understood and integrated in project design? (see annex 9)		To the extent that the project includes the input of the consultations above it does.	S
3	Does the project document entail a clear situation analysis?		Yes. There is clear understanding of the context and challenges.	S
4	Does the project document entail a clear problem analysis?		Yes. Clear that countries are hindered in various ways from implementing effective climate change strategies	S
5	Does the project document entail a clear gender analysis?		No.	U
	<b>Relevance</b>			<b>Rat- ing</b>
6	Is the project document clear in terms of relevance to:	i) Global, Regional, Sub-regional and National environmental issues and needs?	Yes. The climate change challenge at all levels is clear.	S
7		ii) UNEP mandate	??? Should be, otherwise how is this even an approved project?	S

8		iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	NA	
9		iv) Stakeholder priorities and needs?	Yes, based on prior consultations. See line 1 above.	S
10	Is the project document clear in terms of relevance to cross-cutting issues	i) Gender equity	Somewhat, a couple of lines acknowledging importance	MU
11		ii) South-South Cooperation	Yes. REGATTA is all about South- South Cooperation	HS
12		iii) Bali Strategic Plan	Yes.	HS
	<b>Intended Results and Causality</b>			
13	Are the outcomes realistic?		Yes	S
14	Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?		No. TOC has been reconstructed based on information in project document. Reconstructed TOC is clear and in accordance with project intends to do.	MS

15	Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	Timeframe is not realistic. Building the kind of capacity that is stated as outcomes requires many years of consistent capacity building efforts.	MU
16	Are activities appropriate to produce outputs?	Yes.	HS
17	Are activities appropriate to drive change along the intended causal pathway(s)?	Yes.	HS
18	Are impact drivers and assumptions clearly described for each key causal pathway?	No. There is not an original TOC. However, the project document does state some key things that must occur, some of these are listed under as critical success factors, others are embedded within the text of the project description. The reconstructed TOC is clear.	MS
19	Are the roles of key actors and stakeholders clearly described for each key causal pathway?	No. There is not an original TOC with clear casual pathways. Nonetheless, the project does have a causal, logical succession of activities leading to outputs, outcomes and impacts. It is not clearly stated in this way, but without doubt is evident the in the description of what is intended by the project. However, key actors and stakeholders are described in general for the whole project and not specifically linked to the casual pathway.	MU
20	Is the ToC-D terminology ( <i>result levels, drivers, assumptions etc.</i> ) consistent with UNEP definitions ( <i>Programme Manual</i> )	TOC has been reconstructed so terminology is in line; terminology used in project document for elements used in TOC is different.	MU
	<b>Efficiency</b>		
21	Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Very much so. It's intention in part is better connect and disseminate information and initiatives that already exist in the region.	HS

	<b>Sustainability / Replication and Catalytic effects</b>		
2 2	Does the project design present a strategy / approach to sustaining outcomes / benefits?	No. It does not. The project does not, based on the information in the project document, plan to go on beyond the given period of implementation.	MU
2 3	Does the design identify social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?	Yes, it does. It has risk analysis of these factors.	S
2 4	Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	Project caters to needs and priorities defined by country stakeholders	HS
2 5	If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	In so much as capacity building is an ongoing process, then funding is needed to sustain the outcomes of the project. However, the project document does not specify funding beyond the given implementation period.	U
2 6	Are financial risks adequately identified and does the project describe a clear strategy on how to mitigate the risks (in terms of project's sustainability)	Financial risk are not identified.	U

27	Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	No. Going into project design the project is in a general matter aware of institutional frameworks and governance structures. However, it does not in any way analyse what is required institutionally to sustain project results.	MU
28	Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	NO.	U
29	Does the project design foresee adequate measures to promote replication and up-scaling / does the project have a clear strategy to promote replication and up-scaling?	No. There is no mention of replication or up-scaling in the project design.	U
30	Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	Yes. The project and the activities that are carried out are very much driven by the stakeholders.	HS
	<b>Learning, Communication and outreach</b>		
	Has the project identified appropriate methods for communication with key stakeholders during the project life?	Yes, the project has done a good job of communicating through various methods that have proved effective with it's various stakeholder groups.	HS



	Are plans in place for dissemination of results and lesson sharing.	Yes. The project in fact is about dissemination of results and lesson sharing.	HS
	Do learning, communication and outreach plans build on analysis of existing communication channels and networks used by key stakeholders ?	Yes, the communities of practice use their network of collaborating institutions to disseminate information.	HS
	<b>Risk identification and Social Safeguards</b>		
3 1	Are all assumptions identified in the ToC presented as risks in the risk management table? Are risks appropriately identified in both, ToC and the risk table?	Risks are identified in the risk table. The project does not have a TOC.	S
3 2	Is the risk management strategy appropriate?	Yes, the risk management strategies are appropriate, albeit some would perhaps be challenging to implement if the need arose.	S
3 3	Are potentially negative environmental, economic and social impacts of projects identified?	No	U
3 4	Does the project have adequate mechanisms to reduce its negative environmental foot-print?	No	U
	Have risks and assumptions been discussed with key stakeholders?	No	U
	<b>Governance and Supervision Arrangements</b>		

3 5	Is the project governance model comprehensive, clear and appropriate? ( <i>Steering Committee, partner consultations etc.</i> )	Yes. What was intended is clear, however what was intended was not what was implemented.	S
3 6	Are supervision / oversight arrangements clear and appropriate?	Yes	S
	<b>Management, Execution and Partnership Arrangements</b>		
3 7	Have the capacities of partners been adequately assessed?	No. The project document does talk about what groups/organizations could be potential partners however it does not assess them ahead of time; appropriate partners are chosen depending on what the particular need of the project for accomplishing a desired task may be.	S
3 8	Are the execution arrangements clear and are roles and responsibilities within UNEP clearly defined?	Yes, it's standard.	S
3 9	Are the roles and responsibilities of external partners properly specified?	No, not in the project document. However, once an organisation is brought on board to accomplish a particular purpose, the relationship with the partner and the partner responsibilities are carefully outlined in an SSFA or PCA.	S

	<b>Financial Planning / budgeting</b>			
40	Are there any obvious deficiencies in the budgets / financial planning? ( <i>coherence of the budget, do figures add up etc.</i> )		All seems to add up. Minute differences have to do with exchange rates.	S
41	Is the resource utilization cost effective?			NA
42	How realistic is the resource mobilization strategy?			NA
43	Are the financial and administrative arrangements including flows of funds clearly described?		Not evidenced in project docuemnt.	U
	<b>Monitoring</b>			
44	Does the logical framework	· capture the key elements of the Theory of Change for the project?	No.	U
		· have 'SMART' indicators for outcomes and objectives?	Yes, for the most part.	S
		· have appropriate 'means of verification'?	Yes.	S
45	Are the milestones appropriate and sufficient to track progress and foster management towards outputs and outcomes?		3 outputs, 3 milestones.	S

46	Is there baseline information in relation to key performance indicators?	No.	U
47	How well has the method for the baseline data collection been explained?	NA	NA
48	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?	No	U
49	How well are the performance targets justified for outputs and outcomes?	NA	NA
50	Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	No.	U
51	Does the project have a clear knowledge management approach?	No.	U
	Have mechanisms for involving key project stakeholder groups in monitoring activities been clearly articulated?	No.	U
	<b>Evaluation</b>		
52	Is there an adequate plan for evaluation?	No.	U
53	Has the time frame for evaluation activities been specified?	No.	U
54	Is there an explicit budget provision for mid-term review and terminal evaluation?	Yes	S

5 5	Is the budget sufficient?	Yes	S
	<b>Stakeholder Assessment</b>		
5 6	Have all stakeholders who are affected by or who could affect (positively or negatively) the project been identified and explained in the stakeholder analysis?	No.	U
5 6	Did the main stakeholders participate in the design stages of the project and did their involvement influence the project design?	See line 1	S
5 6	Are the economic, social and environmental impacts to the key stakeholders identified, with particular reference to the most vulnerable groups ?	No.	U
5 6	Have the specific roles and responsibilities of the key stakeholders been documented in relation to project delivery and effectiveness?	No	US
5 6	For projects operating at country level, are the stakeholder roles country specific? Is there a lead national or regional partner for each country/region involved in the project?	Partner institution roles are very clear.	MU

#### 5.4 Project design assessment

## 5.5 Evaluation Assessments

### Quality Assessment of the Evaluation Report

Evaluation Title:

**Regional Gateway for Climate Technology and Policy Innovation in Latin America and the Caribbean (REGATTA)**

By Michelle Tibby Lewis

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
<b>Substantive report quality criteria</b>			
A. <b>Quality of the Executive Summary:</b> Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: N/A  Final report:	N/A	5
B. <b>Project context and project description:</b> Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report:  Final report: All the necessary information is provided in a clear manner.	4	5

<p>C. <b>Strategic relevance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	5	5
<p>D. <b>Achievement of outputs:</b> Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?</p>	<p><b>Draft report:</b> Outputs presented in neat table with comments.</p> <p><b>Final report:</b></p>	6	6
<p>E. <b>Presentation of Theory of Change:</b> Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?</p>	<p><b>Draft report:</b> Good narrative and diagrammatic representation of the TOC.</p> <p><b>Final report:</b></p>	5	5
<p>F. <b>Effectiveness - Attainment of project objectives and results:</b> Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	4	5
<p>G. <b>Sustainability and replication:</b> Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	4	5
<p>H. <b>Efficiency:</b> Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	4	5
<p>I. <b>Factors affecting project performance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&amp;E system and its use for project management?</p>	<p><b>Draft report:</b></p> <p><b>Final report:</b></p>	4	5

J. <b>Quality of the conclusions:</b> Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Final report:	N/A	5
K. <b>Quality and utility of the recommendations:</b> Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Final report:	N/A	5
L. <b>Quality and utility of the lessons:</b> Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report:	N/A	5
<b>Report structure quality criteria</b>			
M. <b>Structure and clarity of the report:</b> Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Final report:	5	6
N. <b>Evaluation methods and information sources:</b> Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Final report:	3	4
O. <b>Quality of writing:</b> Was the report well written? (clear English language and grammar)	Draft report: Final report:	5	6
P. <b>Report formatting:</b> Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Final report:	5	6
<b>OVERALL REPORT QUALITY RATING</b>		<b>4.5</b>	<b>5.2</b>



The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
<b>Evaluation process quality criteria</b>			
Q. <b>Preparation:</b> Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?			6
R. <b>Timeliness:</b> Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?			6
S. <b>Project's support:</b> Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?			5
T. <b>Recommendations:</b> Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?			N/A
U. <b>Quality assurance:</b> Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?			4
V. <b>Transparency:</b> Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?			4

W. <b>Participatory approach:</b> Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?			4
X. <b>Independence:</b> Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?			6
<b>OVERALL PROCESS RATING</b>			5

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.