Annex 4. Guidelines and matrix for project evaluation

1. **Project Strategy**

a) **Project Design:**
− Analyze the problem addressed by the project and the hypotheses applied. Examine the effect of any incorrect hypothesis or changes in context on the achievement of the project results set out in the Project Document.
− Analyze the relevance of the project strategy and determine if it offers the most effective way to achieve the desired impact and results. ¿Were the lessons learned in other relevant projects properly incorporated into the project design?
− Analyze the relevance of the project intervention to key stakeholder groups. Analyze how the country's priorities are included in the project. Check the national ownership of the project. ¿Was the concept of the project aligned with the development priorities of the national sector and the plans for the country (or of the participating countries in the case of multi-country projects)?
− Analyze the decision-making processes. ¿Was the perspective of those who would be affected by the decisions related to the project, those who could influence their results and those who could contribute information or other resources during the project design processes taken into account during the project design processes?
− Analyze to what extent the relevant gender issues were touched in the project design. For further details of the guidelines followed, see the GEF Gender Equality Policy (GEF / C.52 / 04) and the CAF Social and Environmental Safeguards, 2015.
- If there are important areas that need attention, recommend aspects for improvement.
- Analyze the project's alignment / compliance with CAF's policies and strategies

b) **Results framework / logical framework:**
− Perform a critical analysis of the indicators and goals of the logical framework of the project, assess the extent to which the mid-term and end-of-project goals meet the "SMART" criteria (English abbreviation for Specific, Quantifiable, Achievable, Relevant and Subject to deadlines) and suggest specific modifications / revisions of these goals and indicators as necessary.
− ¿Are the objectives and results of the project or its components clear, practical and feasible to carry out during the stipulated time for its execution?
− Analyze whether progress so far has generated beneficial development effects or could catalyze them in the future (for example, in terms of income generation, gender equality and women's empowerment, improvements in governance, etc.) so that they should be included in the project results framework and monitored annually.
− Ensure effective monitoring of the broader aspects of development and gender of the project.

2. **Progress in achieving planned objectives and outcomes**

a) **Effectiveness in achieving planned objectives and outcomes (country and regional levels)**
− Review the indicators of the logical framework and compare them with the progress made in achieving the goals set for the end of the project through the Progress Matrix in the achievement of results (annex 1).
− Reflect progress following the "traffic light" color system based on the level of progress achieved
− Assign an assessment of the progress made to each result
− Assessment of the likelihood of impact, achievement of the formal project overall objective, overall purpose and goals
− Analyze key factors/barriers affecting the project´s success in achieving the intended outcomes and impacts
− Compare and analyze the GEF Monitoring Tool at the initial reference level with the one completed immediately before the Mid Term Evaluation.
− Once the aspects of the project that have been successful examined, identify formulas so that the project can extend the benefits achieved.

Table 1. Consolidated evaluation table

No	Evaluated category	Rate				
		Bolivia	Colombia	Ecuador	Peru	Regional

Table 2. Evaluation table country

No	Evaluated category	Rate	Recommendation

3. Efficiency and effectiveness in achieving planned outputs

− Assessment per project component in producing the programmed outputs (products and services delivered by the project itself per country/region) and milestones as per the PRODOC and PIPs. Assessment will look into modifications/revisions, usefulness and timeliness of execution.
- Key learning behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards
- Cost-effectiveness and timeliness of project execution
- Knowledge management (documentation, sharing/dissemination and exchange) at country and regional levels
- Ownership of local stakeholders

4. Management mechanism:

- Analyze the overall effectiveness in project management as set out in the Project Document. ¿Have changes been made? ¿Are they effective? ¿Are the responsibilities and chain of command clear? ¿Are decisions made transparently and at the right time? Recommend areas for improvement.
- Evaluate the performance of the executing agency based on the CAF-GEF Project Document for the AICCA Project, the Project Operations Manual, the Project Implementation Agreement signed between CAF and CONDESAN, the Manual of Environmental and Social Safeguards for CAF/GEF Projects, and the relevant resolutions of the Regional Steering Committee of the AICCA Project. Recommend areas of improvement.
- Analyze the support of the country implementing partners in the Execution and recommend areas of improvement.
- Analyze the support provided by Implementing Agency and recommend areas for improvement.

5. Work Planning

- Analyze any delay in the implementation of the project, identify its causes and examine whether they have already been resolved.
- Are work planning processes based on results? If not, can you suggest ways to reorient work planning to focus on results?
- Examine the use of the results framework / logical framework of the project as a management tool and review any changes produced since the beginning of the project.

6. Financial management

- Evaluate the financial management of the project

- Analyze the changes produced in the allocations of funds as a result of budgetary revisions and determine whether such revisions have been appropriate and relevant.
− ¿Does the project have adequate financial controls, including appropriate information and planning, that allow Management to make informed decisions regarding the budget and that facilitate a flow of funds in adequate time and terms?
- Based on the information contained in the co-financing reports, provide comments on the co-financing. ¿Is co-financing used strategically to help the project objectives? Does the Project Team meet regularly with all co-financing partners to align the financial priorities and annual work plans?

7. Monitoring and evaluation system at the project level:
− Analyze the tracking tools currently used. ¿Do they offer the necessary information? ¿Do they involve key partners? ¿Are they aligned with or incorporated into national systems? ¿Do they use existing information? ¿Are they efficient? ¿Are they profitable? ¿Are additional tools required? ¿How can they become more participatory and inclusive?
- Analyze the financial management of the budget for monitoring and evaluation of the project. ¿Are sufficient resources allocated for monitoring and evaluation? ¿Are these resources used effectively?

8. **Involvement of interested parties:**
   ¿Has the project developed and forged appropriate partnerships, both with direct stakeholders and with other tangential agents?
− ¿Do local and national governments support the objectives of the project? ¿Do they still have an active role in the decision-making process that contributes to an efficient and effective execution of the project?
- To what extent has public involvement and awareness contributed to the progress made towards achieving the objectives of the project?

9. Information:
− Analyze the mechanisms used by the Executing Agency to report changes in adaptive management and communicate them to CAF and Project Steering Committee.
− Evaluate the extent to which the Project Team and its partners carry out and comply with all the GEF information requirements (for example, what measures have been taken to address the PIRs with low ratings, when applicable?)
- Evaluate how the lessons derived from the adaptive management process have been documented and shared with key partners and how they have been internalized by them.

10. Communication:
− Examine the internal communication of the project with stakeholders: Is there regular and effective communication? Are there important stakeholders that stay outside the communication channels? Are there feedback mechanisms when communication is received? Does communication with stakeholders contribute to the latter having greater awareness of the results and activities of the project, and a greater commitment to the long-term sustainability of its results?
− Examine the external communication of the project: Have adequate communication channels been established to express the progress of the project and the desired public impact (for example, is there a Web presence?)? Did the project carry out appropriate communication and public awareness campaigns?
- For informational purposes, write a half-page paragraph that summarizes the progress of the project towards the results in terms of its contribution to the generation of benefits related to sustainable development and the global environment.

11. Sustainability
− Validate if the risks identified in the Project Document, the Annual Implementation Report / PIR and in the Risk Management Matrix are the most important and if the risk assessments applied are adequate and updated. Otherwise, explain why.
- Also, evaluate the following risks to sustainability:

a). Financial risks for sustainability:

− What is the probability that the availability of economic resources will be reduced or ceased once the GEF support is concluded (taking into account that potential resources can come from multiple sources, such as public and private sectors, income generating activities and others resources that will be adequate to sustain the results of the project)?

b). Socio-political risks for sustainability:

- Are there social or political risks that could jeopardize the sustainability of the project results? What is the risk that the level of ownership and involvement of stakeholders (including that of governments and other stakeholders) is insufficient to sustain the results / benefits of the project? Are the various key stakeholders aware that they are interested in the benefits of the project continuing to flow? Do the public and / or stakeholders have a sufficient level of awareness to support the long-term objectives of the project? Does the Project Team document the lessons learned on an ongoing basis? Are appropriate agents that are in a position to apply and potentially reproduce and / or expand them in the future shared / transferred?

c). Sustainability risks related to the institutional framework and governance:

- Do the legal frameworks, policies, structures and governance processes present risks that may jeopardize the continuity of project benefits? When evaluating this parameter, it is also necessary to take into account whether the systems / mechanisms required for accountability, transparency and technical knowledge are installed?

d) Environmental risks to sustainability:

- Is there any environmental risk that could jeopardize the continuity of the project results?

12. **Sustainability considerations and measures planned to promote replication and up-scaling**.
    Is the project implementing effective actions to promote learning and knowledge sharing at country and regional levels? Are efficient mechanisms in place for capturing and documenting key lessons and experiences generated by the project? Analyze progress and learning achieved in implementing the following regional activities, (i) promotion of knowledge exchange, capacity-building through international workshops, and cross-country collaboration via existing regional platforms; (ii) dissemination of lessons learned through online media, print media, and information sessions; (iii) analytical work designed to generate further knowledge and scale up successful interventions at the regional level, and (iv) dissemination of lessons learned.
    Catalytic role of the project, opportunities for scaling up successful interventions at the regional level, exit strategies and measures to mitigate risks to sustainability.

13. **Conclusions and recommendations**
    The MTE team will include a section in the report with the conclusions obtained from all the data collected. The recommendations should be Accurate and sustained statements (based on the evidence and data collected and connected to the proven facts of the MTE) that underline the strengths, weaknesses, threats and opportunities to achieve project planned outcomes and objectives. A table of recommendations should be included in the executive report of the report.

14. **Assessment**
    The MTE team will include assessments of the project results and brief descriptions of the associated achievements in a Summary table of assessments and achievements in the Executive Summary of the MTR report.

15. **Recommendations and lessons learned**
- The MTE will include corrective actions for the design, execution, monitoring and evaluation of the project at (country and regional levels). Actions to continue or reinforce the initial benefits of the project. Proposals for future directions underlining the objectives. Once the aspects of the project that have been successful have been examined, identify formulas so that the project can extend the benefits achieved.