

FUNDACION MARVIVA
INTER-AMERICAN DEVELOPMENT BANK

PROJECT
INTEGRATED MANAGEMENT OF MARINE AND
COASTAL RESOURCES IN PUNTARENAS
(CR-X1004)

TERMINAL EVALUATION REPORT

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ACRONYMS

| | |
|-----------|---|
| AYA | Costa Rican Water and Sanitation Institute |
| CTS | Sustainable Tourism Certification |
| | <i>Fondo Nacional para el pago de Servicios Ecosistémicos del Mar</i> |
| FONASEMAR | (National Fund for Payment for Marine Ecosystem Services) |
| GEF | Global Environment Facility |
| ICT | Costa Rican Institute of Tourism |
| IDB | Inter-American Development Bank |
| IMAS | Institute for Social Assistance |
| INCOPESCA | Costa Rican Institute for Fisheries and Aquaculture |
| MAG | Ministry of Agriculture and Cattle Raising |
| MINAE | Ministry of Environment and Energy |
| MUMA | Multiple-Use Marine Area |
| OECD | Organization for Economic Cooperation and Development |
| PEU | Project Executing Unit |
| RFA | Responsible Fishing Area |
| SC | Steering Committee |
| SINAC | National System of Conservation Areas |
| SNG | National Coastguard System |
| UNA | National University |

I. Executive Summary

- i. This report concerns the terminal evaluation of the project entitled Integrated Management of Marine and Coastal Resources in Puntarenas (CR-X1004) financed with resources in the amount of USD3,000,000 contributed by the Global Environment Facility (GEF) and administered by the Inter-American Development Bank (IDB), executed between July 2011 and September 2016.
- ii. The direct beneficiary is the National System of Conservation Areas (SINAC), which is under the scope of authority of the Ministry of Environment and Energy, and Fundacion MarViva executed the project through a Project Executing Unit (PEU).
- iii. According to this evaluation, the Project had highly acceptable performance levels as regards the completion of activities, and it involved considerable efforts and expenses. The Project executed 100% of the resources planned. Each dollar spent on management enabled mobilizing 7 dollars in investments.
- iv. As regards the management structure, the role played by the members of the Steering Committee has been outstanding, though there have been some weaknesses in some planning mechanisms such as the progress reports, as they are not consistent with a results management model in the strict sense. In addition, there have been methodological inconsistencies inherent to the project's original design.
- v. The officers of the public entities related to the management of marine and coastal ecosystems who have been interviewed mostly perceived the Project as highly necessary and useful, moderately agile, participatory and practical, and, to a lesser extent, moderately inefficient, unsustainable, politicized, and vague.
- vi. Component 1 *Strengthening of the regulatory framework and local capacities* was somewhat ineffective due to the lack of political support from the Government's institutional authorities. However, hard work has been done under this component on the preparation and search for governance conditions, and the

strategy used has been to strengthen the Multiple-Use Marine Areas. All the activities carried out are consistent with the work plans, and, as a non-expected result, the Gulfs Project has risen awareness on the management of marine areas and got this issue on the agenda of SINAC - which has traditionally not focused on this issue.

- vii. Component 2 *Sustainable resource use by the productive sectors* is the one that has consumed most resources and the most effective one considering the targets and indicators originally established. However, when it comes to the development and promotion of economic alternatives, this component evidences weaknesses which are inherent to the local organizations, which threaten the sustainability of the Project and render the groups entrusted with the generation and management of productive alternatives highly vulnerable.
- viii. Component 3 *Improvement and systematization of information for decision making* shows high levels of expenditure in consulting services and weaknesses in terms of the articulation between the different institutions in the use and management of integrated information systems.

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II. Purpose and methodology of the evaluation

A. Background

Aware of the importance of sustainable development and conservation of the main gulfs located in its Pacific coast, as well as the socioeconomic benefits generated by its marine and coastal ecosystems, in 2009, the Government of Costa Rica requested support from the Inter-American Development Bank (IDB), in its capacity as Implementing Agency of the Global Environment Facility (GEF), for the preparation of the project entitled "*Integrated Management of Marine and Coastal Resources in Puntarenas*".

The project for the Integrated Management of Marine and Coastal Resources in Puntarenas (CR-X1004) was approved by IDB in May, 2010 for an amount of USD3 million. The signing of the Grant Agreement ATN/FM-12085-CR took place on November 26, 2010 and their signatories were the Government of Costa Rica, Fundacion MarViva, and IDB.

After meeting the eligibility criteria for receiving disbursements from IDB, the Project was declared eligible on July 12, 2011. The Project adopts a two-fold approach aimed at promoting the integrated management of coastal and marine resources, at both the local and the regional levels. To that end, it contemplates financing activities which are consistent with the specific context of the Golfo de Nicoya and Pacifico Sur Multiple-Use Marine Areas (MUMAs), as well as supporting activities which strengthen the country's strategies and regulations to improve the management of the MUMAs. For activities related to the Project's closing, an extension to September 2016 was granted¹.

The direct beneficiary is the National System of Conservation Areas (SINAC), which is under the scope of authority of the Ministry of Environment and Energy (MINAE), and Fundacion MarViva executed the project through a Project Executing Unit (PEU). In addition, co-financing and technical experience has been provided by entities such as the Costa Rican Institute for Fisheries and Aquaculture (INCOPESCA), the Costa Rican Institute of Tourism (ICT), the National Coastguard Service (SNG), the Costa Rican Water and Sanitation Institute (AYA), and the Institute for Social Assistance (IMAS).

¹ These activities included, among others, transferring to SINAC all the goods and services acquired by the Project.

B. Project objectives and components

Global Objective

To promote the integrated planning and management of marine and coastal ecosystems in the Golfo de Nicoya and Pacifico Sur Multiple-Use Marine Areas (MUMAs) with the goal of conserving important biodiversity, maintaining the provision of crucial ecosystem services, and providing a basis for sustainable socio-economic development through tourism, artisanal fishing, and other income generating activities at the local scale.

Specific Objectives

- To strengthen the MUMAs' governance structures.
- To promote the sustainable use of coastal and marine resources by the productive sectors.
- To improve technical-scientific information for decision-making.

In order to make the objectives operational, the Project is divided into three components:

Component 1: Strengthening of the legal framework and the local capacity. It is subdivided into three subcomponents

a) Strengthening of the legal framework.

b) Building of local capacity.

c) Sustainable financial mechanisms for the MUMAs, which deal with the strengthening of rules, building local capacity for the integrated management of the ecosystems in the two MUMAs and the design and implementation of sustainable financial mechanisms which contribute to the financing of management activities in both MUMAs. Such activities include: updating master plans for both MUMAs and formulating regulation proposals on the use of resources, the development of operations, zoning and the imposition of sanctions within the MUMAs. Furthermore, technical assistance is provided to the marine commission in each MUMA in order to improve the representation of all the key stakeholders as well as the technical and management capacity of the commissions.

Component 2: Sustainable use of resources by productive sectors. This component focuses on rendering the productive activities within the two MUMAs, especially those of the tourism and artisanal fishing sectors, more sustainable. It has three subcomponents:

a) Sustainable Tourism: It finances activities to expand Costa Rica's existing Sustainable Tourism Certification (CTS) to marine and coastal resource-based activities, and to train tourism entrepreneurs in the two MUMAs in the application of the newly developed sustainability standards within their own operations.

b) Responsible artisanal fishing: Making current practices more sustainable by supporting the implementation of Responsible Fishing Areas (RFAs) that comply with sustainability and biodiversity standards.

c) Sustainable alternative livelihoods: Developing alternative sustainable livelihoods (like community tourism, aquaculture, mariculture and crafts) that may complement or substitute for income currently derived from less sustainable fishing practices.

Component 3: Improvement and systematization of information for decision-making. It focuses on the need to have better information to support decision-making. The project finances activities aimed at consolidating the existing information in one sole coherent system readily available to all decision-makers, establishes a participative monitoring program which may provide additional data to the information system, and executes a suitable communication and dissemination plan to guarantee that the stakeholders are able to make decisions related to the management of MUMA resources.

C. *Evaluation objectives*

General Objective

To carry out a final revision and evaluation of the goals achieved during the Project's implementation in relation to the fulfillment of the Project's objectives, outputs, results framework and work plan, the design of the Project and the relevant aspects of its execution, in order to find evidence of the potential impact and sustainability of its results and to suggest recommendations to improve and institutionalize the sustainability of the Project.

Specific Objectives

- a. To carry out a diagnosis that shows the current situation as to the Project's execution, in relation to the execution of activities and outputs, as well as expected results, as of the date of the terminal evaluation.
- b. To identify, from a qualitative and a quantitative point of view, the goals achieved at the technical, administrative and financial levels, assess the fulfillment of indicators and the materialization of the main assumptions made at the design stage, as well as derive lessons learned.
- c. To evaluate the effectiveness of the Project Execution Mechanism in terms of progress in the implementation of the components, the results obtained and the resources used/invested, including the performance of the execution mechanism.
- d. To analyze the Project's current degree of relevance, based on any changes which may have taken place in the institutional, sector, national and regional contexts since the operation was designed.
- e. To evaluate the sustainability of the Project and its components in institutional and financial terms, as well as the degree of ownership assumed by its users/beneficiaries.

D. Evaluation Methodology

Based on the methodological proposal submitted to IDB, this evaluation uses the Program Theory as a methodological reference, which is defined as the mechanism that mediates between the delivery (and receipt) of a program and the emergence of the outcomes of interest (Weiss, 1998). In this regard, the logic existing among the different Project components and their respective outputs and effects, which are included in the Project Results Matrix, are worth analyzing. Based on the Project Results Matrix, taking relevance, effectiveness, efficiency, and sustainability as the analytical variables, a number of evaluation questions were formulated (see Table 1) and sources of information and techniques to be applied were established.

Considering the time frames and resources allocated to this evaluation, it was decided that the basic tool would be queries in the form of partly structured interviews, conducted both face-to-face and by telephone. Visits were paid to a total of 10 different locations which hosted working and production initiatives related to the integrated management of marine and coastal ecosystems in both gulfs, and interviews were conducted with 10 public officers including authorities of the

different institutions involved, apart from almost 30 people directly or indirectly involved in the sub-projects (see Annex 1).

At face-to-face interviews conducted with public officers, a semantic differential was applied to assess their overall perception of the Project.

Table No. 1 Evaluation Matrix

| Variables | Evaluation questions |
|------------------------|--|
| Project relevance | <ul style="list-style-type: none"> • How consistent were the project concepts, tools, and actions with the needs in the Multiple-Use Marine Areas (MUMAs)? • How much does the Project reflect the consistency of the regulatory frameworks of the MUMAs? |
| Project effectiveness | <ul style="list-style-type: none"> • How well did the Project promote the integrated planning and management of marine and coastal ecosystems in the Golfo de Nicoya and Pacifico Sur MUMAs? • To what extent and how were the objective and results expected from the Project achieved? • To what extent were the targets set by the Project met in connection with: <ul style="list-style-type: none"> - Surface area under integrated and sustainable management. - Number of tourism operators with sustainability certification for their activities. - Surface area of the responsible fishing areas certified by the Costa Rican Institute for Fisheries and Aquaculture (INCOPESCA). - Number of coastal communities that derive income from profitable alternative sustainable livelihoods. • To what extent did the project generate innovative knowledge and new tools to empower local stakeholders in sustainability? • What internal and external factors contributed or did not contribute to the achievement of the results and objective of the project? How? • Did the project generate results differentiated by gender? |
| Project efficiency | <ul style="list-style-type: none"> • To what extent did financial resources and supplies enable achieving the project results and objectives, analyzing the causal chain of the intervention? (activities, outputs, effects) • How timely was the project, based on the design document and work plan? • Were the inter-institutional coordination mechanisms developed in both MUMAs efficient? • What percentage of the MUMAs costs are covered with revenues from sustainable financial mechanisms? |
| Project sustainability | <p>Continuation of the project benefits in the medium and long term.</p> <ul style="list-style-type: none"> • How beneficial was the project in terms of its effect on local organizations? • In case the model has not yet been institutionalized, what are the chances and opportunities that the model will be institutionalized? • To what extent do the results obtained by the project generate or have the potential to generate changes in the lives of the people who participated in the project and their organizations? • To what extent did the project sustain a proper level of coordination and synergies among the stakeholders involved, and to what extent did the project promote the participation of key stakeholders and an alliance with them? |

III. Findings

A. General findings

1. Execution of the GEF/IDB resources

Until April 2016, all the Project resources had been transferred and allocated. There were no funding-related actions pending, except for some administrative procedures with the beneficiary entity to transfer the goods and services generated by the Project as appropriate.

As shown on Table No. 1, based on the last updated budget, the Project has been executed at 99%. Considering the local contributions made by the public institutions responsible for the development in the Project's intervention area, the final actual amount executed is estimated in USD12 million, which is four times the IDB contribution. Annex 2, attached to this report, includes a detail of the GEF/IDB and counterpart funds executed, according to the amounts approved in the project document.

Table 1. Summarized budget execution.

| Project investment categories | Cooperation resources | |
|--|---------------------------|---------------------|
| | IDB budget in force (USD) | Execution (USD) |
| Component 1. Strengthening of the legal framework and the local capacity | 434,041.56 | 405,691.60 |
| Component 2. Sustainable use of resources by productive sectors | 1,569,513.29 | 1,569,513.29 |
| Component 3. Improvement and systematization of information for decision-making. | 605,689.78 | 605,689.78 |
| Project management | 390,755.37 | 387,143.37 |
| Total | 3,000,000.00 | 2,968,038.03 |

The whole of the resources allocated to investments and paying services were mobilized with just 12.9% of the amount contributed. For each dollar of operating costs (Executing Unit), USD7 were mobilized on average.

2. Project management structure

The Project was conceived as an initiative involving different institutions from different disciplines, with a management structure led by a Steering Committee formed by the authorities of the five government institutions that participate in the Project, namely: the National System of Conservation Areas (SINAC), the Costa Rican Institute of Tourism (ICT), the Costa Rican Institute for Fisheries and Aquaculture (INCOPESCA), the National Coastguard Service (SNG), the Costa Rican Water and Sanitation Institute (AyA), and the Institute for Social Assistance (IMAS).²

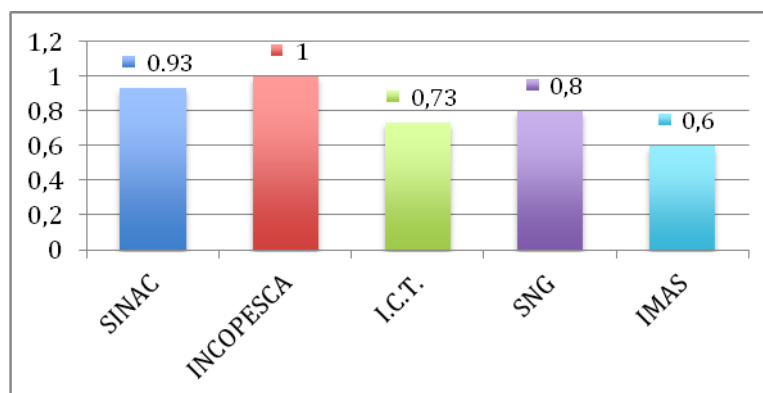
Fundacion MarViva - the Executing Agency - created the Project Executing Unit (PEU) as a platform for coordinating and complementing public and private capacities. MarViva - in its capacity as Executing Agency - has brought to the table its technical and administrative experience and organized a Project Executing Unit (PEU) for the technical and administrative management of the activities, upon which lies the search for consistency in the project execution. The PEU operated with two part-time professionals: a Project Coordinator and an Administrative Assistant, and was supported by a fiduciary specialist provided by MarViva who was in charge of the fiduciary reports to IDB.

The management structure also includes a Project Steering Committee (SC), with an Institutional Coordinator from SINAC, which is the Project's beneficiary institution, and a Marine Commission for each of the two MUMAs.

Over the Project's life cycle, a total of 15 ordinary working sessions were held by the Steering Committee - about 3 sessions per year. Based on the meetings minutes, INCOPESCA attended all the meetings, SINAC attended 93% of the meetings, SNG 80%, and ICT and IMAS had the lowest levels of attendance with 73% and 60 %, respectively.

² The Institute for Social Assistance was the last one to join the Steering Committee (2014), and participated in 3 of the 5 sessions of the Steering Committee.

Chart 1. Percentage of attendance to the Steering Committee sessions by the different institutions



Minutes were prepared for all the SC meetings containing all the decisions adopted, but not the topics addressed or the discussions held. All decisions were adopted by consensus and, according to some participants, this mechanism was expeditious and enabled a flexible and agile flow of communications. According to the minutes, no topic was solved by voting and a total of 92 resolutions were adopted by the ST over the Project's life cycle.

In spite of the aforementioned advantages, due to the way in which the minutes were prepared, it is difficult to keep track of and systematize the experience in terms of the management of the Project, which aspect is important for properly assessing the changes in the institutional and social fabric generated by the Project. In addition, the mechanisms applied by the SC at ordinary sessions did not enable handling management issues expeditiously because neither the decisions taken, nor the criteria or mechanisms adopted, always got clearly registered. For example, some topics remained on the agenda for several months without measures or decisions being taken. In other cases, highly relevant decisions (such as the approval of a change to the budget for building the infrastructure to accommodate three public institutions in charge of conservation and protection in Cipanci) did not get formally recorded³, without there being any official explanation of the reasons for such decisions. Considering the aforesaid, it is concluded that the minutes should have included an account of topics solved and topics pending.

³ The minutes of the Steering Committee are the only formal and official mechanism revealing the decision-making of this body.

In addition to the aforesaid considerations, this evaluation noticed there are no mechanisms to monitor the SC, such as performance indicators related to fulfilled and unfulfilled agreements, plans of activities involved, new commitments assumed, etc.

3. PEU-IDB relationship

Based on the budgets approved and the distribution of institutional responsibilities agreed upon in the Project agreement, it may be concluded that there has been an expeditious mechanism of coordination between the PEU and the IDB, which operated at two levels: technical and administrative. At technical level, 5 aid-memoirs were prepared in connection with the IDB supervision sessions which - contrary to the minutes of the Steering Committee - contain a brief account of the context in which the agreements were made. At the administrative level, the mechanism involving the IDB non-objection was applied for purposes of streamlining budget-related issues. Based on the records, 198 IDB non-objections were requested by the PEU, with only one being rejected.

4. Project progress reports and other tools

The PEU prepared a total of 9 half-yearly progress reports over the Project's implementation period. Such reports are based on the results matrix. From the start of the Project until the second half of 2012, the progress reports prepared by the PEU contain an account of the progress and achievements made, as well as the difficulties faced, during the implementation of the Project. In the first half of 2013, the form of the reports changed and were structured based on the outcomes and indicators of each component. While this tool constitutes a results-based planning and management effort, it is still incipient, as it reveals ambiguities in both the way the indicators are formulated, and the ability to monitor their evolution over time. In this regard, a comparative table has been prepared with part of the information included in the Project's progress reports (see Table No. 2), based on which the following conclusions have been drawn:

- a. The accounts on the progress of an indicator over time not always refer to the same units of analysis. The reason for this is the ambiguity or lack of precision of the indicators included in the Project Results Matrix.
- b. There is confusion between the activities necessary to achieve a target and the reporting on the level of achievement of such target.
- c. The half-yearly reporting system does not allow getting the full picture of the indicators monitoring throughout the project life-cycle. The targets achieved in a given report often disappear in the following one.

This evaluation mission did not find evidence in the minutes that the technical progress reports prepared by the PEU were presented or discussed during the Steering Committee sessions, but the PEU did make presentations on the progress of the Project to said Committee. The only planning tools formally approved by the SC were the Annual Working Plans (AWPs) that include the activities and expenses planned for the relevant year.

Based on information provided by the PEU, there was a mismatch between the review of the reports by the SC and the due dates for their delivery established by the IDB. Each report obtained the non-objection of the IDB.

5. Consistency of the Project's original design

The Project Results Matrix, which is an integral part of the Project Document approved by IDB, was reviewed and analyzed at a risks workshop held at the beginning of the Project with the institutions involved, the PEU and IDB. However, the excessive optimism in certain assumptions implicit in the original design was not identified as a risk, especially those related to the political support from the Costa Rican government institutions, which negatively affected the results expected to be obtained by the Project right from its start.

In addition, at the methodological level, the initial Results Matrix (due to the manner in which it is expressed) not only excessively conditions and limits the operation of the Executing Agency, but also commits certain stakeholders to obtain targets which are little realistic and feasible - for example, the approval of Executive Orders and management instruments which are within the competence of the institutions involved in the Project.

According to the OECD, the results of a project are defined as the mid-term effects of a development intervention. They are the "behavioral, institutional and social visible changes that take place as a result of coordinated and short-term investments in individual and organizational capacity-building" (OECD-DAC: 2002). In this regard, the existence of a coherent regulatory framework that promotes the integrated and sustainable management of coastal and marine resources, the existence of fully operational coordination mechanisms, and the generation of income through defined sustainable financial mechanisms as part of the public policy in this area exceed by far what the Gulfs Project may achieve, since the Project required more political interest, as detected by the PEU. This is why it is important to make a timely review of the Results Matrix, which is afterwards critical to measure success.

On the other hand, the aforesaid review focuses on purely technical aspects, such as the way outputs and indicators are stated. There is often confusion between outputs and indicators, and targets and activities.

Table No. 2 Comparison of registration of indicators between progress reports

| Component | Sub-component | Indicators-example | 2nd Half 2013 | 2nd Half 2014 | 2nd Half 2015 |
|-----------|---------------|---|---|---|---|
| 1 | A | Zoning proposals for the MUMAs, with corresponding Executive Decree, developed, consulted and published, presented on year 2 of the project. | 3.1. The consulting assignment progresses as per the work plan. First progress report approved by MarViva. | Final reports submitted to the environment and fishing authorities in December 2014. | Proposal submitted to the Vice-Minister of Waters, Seas, Coasts and Wetlands. September 17, 2015. MV-BID-UEP-111-2015. |
| | B | Marine-coastal PES regulation filed with MINAE in year 2 of the project. | 6.1. In progress; this indicator is being developed as part of the consulting assignment on financial mechanisms. | This indicator will be executed as part of outcome 1.3 (Development of financial mechanisms). | Regulations sent to the Project's Institutional Coordinator - SINAC. |
| 2 | A | Thirty tourism entrepreneurs trained in new sustainability standards and in integrating them into their business plans (30 familiarized with the standards in year 2 and 20 trained in applying them). | Consulting firm hired. August 25, 2013. Work plan filed by the firm and approved by MarViva. Standard for Tourism Certification for tour operators validated with entrepreneurs from the MUMAs. | Fulfilled in June 2014. Standard for Tourism Certification for tourism operator activities in marine and coastal areas made official and published on the gazette. June 4, 2014 | - |
| | B | Ten existing initiatives for productive diversification in vulnerable communities have been reinforced to improve profitability and sustainability (detected in year 1 of project, and 4 are improved in year 2 and year 3, and 2 in year 4). | Six initiatives that met the requirements established in the call published on a print medium with national coverage were selected. Three additional proposals are placed on hold awaiting the fulfillment of pending requirements. Business plans currently being prepared by the consulting firm. | Business plans for 6 productive initiatives implemented at 90%. Two plans implemented at 50%. One initiative selected in December 2014 and another one in consultation process. | Productive alternatives concluded during the period of this report. Production of oyster seeds (Nov.15). Pending: a) Project for re-populating and producing piangua clam in Golfo de Nicoya, and b) Production of piangua clam in Golfito, Golfo Dulce. |

For example, based on the Indicators Matrix, under Component 1, the following outputs are mentioned:

- Number of zoning proposals...
- Number of operational rules...
- Number of master plans reviewed...
- Percentage of stakeholders represented in the MUMAs...
- Number of work plans under execution...
- Percentage of costs covered with income from financial mechanisms...

The aforesaid elements are statements of indicators, rather than outputs. Indicators are references for determining changes and provide relevant and comparable information. In the case of the Results Matrix, no differences have been established between the indicator and the value assigned to it.

6. Perceptions about the Project

Perceptions about the Project among the public officers directly or indirectly related to the participant institutions are far more positive than negative. In this regard, this evaluation used a Semantic Differential⁴ to measure perceptions; the results are shown on the chart.

⁴ The Semantic Differential is a measurement instrument to obtain the connotative meaning of an object or an image. It was created by the social researcher, Osgood (1957). Its objective is to provide a quantitative basis for obtaining an objective measure of the psychological meaning. To this end, the essential measurement operation lies in the successive location of a concept in a series of descriptive scales defined by bipolar adjectives, based on which the degree of similarity or disparity between different concepts is established. The greater the distance between values, the greater the degree of significance assigned. And, therefore, a smaller distance between values entails a neutral opinion (nor one thing or the other).

Chart No. 2. Perception about the Project among people from public institutions interviewed.

| | A | B | C | D | E | |
|-----------------|---|---|---|---|---|-------------------|
| EFFICIENT | | | | | | INEFFICIENT |
| AGILE | | | | | | SLOW |
| NECESSARY | | | | | | UNNECESSARY |
| NON PATERNALIST | | | | | | PATERNALIST |
| PARTICIPATORY | | | | | | NON PARTICIPATORY |
| NON POLITICAL | | | | | | POLITICAL |
| USEFUL | | | | | | UNUSEFUL |
| AMBICIOUS | | | | | | CONSERVATIVE |
| UNSUSTAINABLE | | | | | | SUSTAINABLE |
| THEORETICAL | | | | | | PRACTICAL |
| VAGUE | | | | | | CLEAR |

As seen in the chart, opinions are more concentrated in perceptions about the project being necessary and useful. To a lesser extent, opinions refer to the project being inefficient, participatory, political, unsustainable, vague, and practical.

B. Findings by component

Component 1 Strengthening of the regulatory framework and of the local capacity

This component comprises three sub-components that promote the strengthening of rules, local capacity building for the integral management of the ecosystems in the two MUMAs and the design and implementation of sustainable financial mechanisms which contribute to the financing of management activities in both MUMAs. Its logical structure is shown on Table No. 3.

Table No. 3 Internal logic of the component Strengthening of the institutional framework and of local capacity

| Comp onent | Sub- component | Outputs | Mid-term results | Final results |
|---------------|--|---|--|--|
| 1 | 1A Strengthening of the legal framework | Publication of Executive Order reforming the MUMAs. | Proposals have been formalized by the competent authorities. | The regulatory framework in the two MUMAs is coherent and promotes the integrated and sustainable management of marine and coastal resources. |
| | | Proposals for operational rules (consistent with the reform order) filed with MINAE. | | |
| | | Zoning proposals with the relevant Executive Orders, developed, consulted, and published. | | |
| | | Proposals for the regulation of the use of coastal and marine resources (consistent with the zoning proposal) consulted and filed with MINAE. | Outputs generated for both pilot MUMAs strengthen the national framework for creating other MUMAs. | |
| | | Number of master plans reviewed. | | |
| | | Proposed regulations for the management of marine areas. | | |
| | | Proposal of sanction regime for marine and coastal resources consulted and presented to relevant authorities | | |
| | | Proposal for zoning protocol. | | |
| | 1B. Building local capacity | Public and private stakeholders represented in the Marine Commissions of the two MUMAs. | Marine Commissions (both MUMAs) expand membership and consolidate their leadership role in integrated management. | Inter-institutional coordination mechanisms in the two MUMAs are fully functional and guide the integrated and sustainable management of marine and coastal resources. |
| | | MUMA marine commissions with work plans. | Clarification of shared competencies and responsibilities between key institutions makes integrated management easier. | |
| | | Agreements regulating the cooperation and responsibilities of both MUMAs signed. | | |
| | 1C Financial mechanisms | Operating plans for the financial sustainability of the MUMAs under execution. | Analysis of pilot experiences in PES based on marine and coastal resources with a view to deriving lessons learned and evaluating potential for replication. | Percentage of costs directly related to the integrated management of both MUMAs covered with income from sustainable financial mechanisms. |
| | | Pilot projects for PES based on marine and coastal resources being executed. | | |
| | | National strategy for sustainable financing of MUMAs developed and presented to MINAE. | | |

In the case of the first sub-component, the Theory of Change states that, if the 8 outputs included in the table related to the strengthening of the regulatory framework are achieved, the proposals will have been formalized by the competent authorities and the outputs strengthen the national framework for the creation of new MUMAs. This will in turn lead to a final result, which is the coherence of the regulatory framework and its capacity to promote the integrated and sustainable management of coastal and marine resources.

In the second sub-component, the intermediate results (effects on the chain of results) are that the MUMAs expand the number of members and take on leadership, as well as the clarification of competences and responsibilities among institutions, which will in turn lead to a final result related to the full operation of the MUMAs' institutional mechanisms.

The third sub-component refers to financial mechanisms and, based on its logical structure, operating plans for the financial sustainability of the MUMAs will be under execution, as well as pilot projects for Payment for Ecosystem Services (PES), and the formulation and presentation of a strategy for sustainable financing. This will lead to the analysis of pilot PES experiences for the exploitation of marine resources with a view to learning and replication, which will have an impact in terms of having a percentage of the costs related to integrated management covered with income derived from such sustainable financial mechanisms.

Considerations about effectiveness

The indicators and targets set for this component reveal a high performance level in terms of outputs. In other words, the processes that would create enabling conditions to obtain the expected results were carried out by the Gulfs Project, although in terms of intermediate and final results (effects and impact) this component had deficits (See Table No. 4).

Table No. 4 Component 1: Expected indicators and actual achievements.

| INDICATORS SET IN THE RESULTS FRAMEWORK | ACHIEVEMENT / COMMENTS |
|--|--|
| OUTPUT INDICATOR | |
| 1. MUMA Executive Order published in year 1 of the Project. | Not achieved. Although there is a formal proposal, the Executive Order for the Reform of the Multiple-Use Marine Areas (MUMAs) is not official. On January 23, 2015, a Draft Executive Order was signed by the relevant Ministers, but was not submitted for publication during the Chinchilla Miranda Administration. It was not signed either by the Solis Administration; rather, it was decided to submit the Executive Order to a review process. |
| 2. 2 Proposals for operating regulations (consistent with the reform order) consulted and filed with MINAET. | Achieved. The Gulfs Project prepared the proposed rules, which were filed with MINAET. |
| 2. 2 Zoning proposals for the MUMAs, with corresponding Executive Order, developed, consulted and published. | Not achieved. While the proposals were prepared and filed with the authorities, the zoning Executive Order was neither signed nor published. The process was expected to be submitted by the Vice-minister of Waters and Seas to the Sea Commission (CONAMAR) - a body which was not operating by the time the Project ended. |
| 3. 6 Proposals for the regulation of the use of coastal and marine resources (consistent with the zoning proposal) consulted and filed with MINAET. | Achieved. The 6 proposals have been filed, but not signed yet. |
| 4. Two Master Plans for the MUMAs reviewed and harmonized, and guidelines developed. | Two Master Plans were prepared. Due to the MUMA Executive Order not being passed, they are not binding. The plans are an input for the formulation of the institutional POA. |
| 5. Three proposals of regulations critical for effective marine and coastal management developed and presented to lead agency (PES Rules, MUMA Rules, Navigation Act). | Achieved. The proposals were presented. A bill for the creation of the National Fund for Payment for Marine Ecosystem Services (FONASEMAR) is underway. |
| 6. One proposal of consistent sanction regime for marine and coastal resources consulted and presented to relevant authorities | Achieved. Proposal submitted. |
| 7. Proposed protocol for zoning and marine and coastal planning. | Achieved. Proposal submitted to CONAMAR. |
| 8. Percentage of key public and private stakeholders represented and participating in the Marine Commissions of the two MUMAs. | Achieved. 90% participation in both MUMAs. The commissions keep holding meetings even if the support to the Gulfs Project ended. |
| 9. The Marine Commission of each MUMA develops its own AWP and monitors its execution. | Achieved. The commissions operate based on their strategic plan. |
| 10. Agreements that govern collaboration and division of responsibilities between key institutions in the two MUMAs signed. | Agreements made, INCOPESCA and the Ministry of Public Security have executed a formal cooperation agreement. As far as we know, no agreements have been signed by the other institutions. |
| 10. 2 Business Plans to ensure the financial sustainability of integral Management activities in each MUMA being executed | Not achieved. The plans were executed but not implemented. |
| 11. Two pilot projects for Payment for Ecosystem Services (PES) for the exploitation of marine resources under execution. | They were formulated but not implemented due to financial risks. |
| 12. National strategy for sustainable financing of MUMAs developed and presented to MINAET. | Achieved. Developed. |

As regards the intermediate results indicators (effects) of sub-component 1, the PEU informed the following:

Table No. 5 Intermediate results indicators Component 1 Strengthening of the legal framework.

| Intermediate results indicators | Achievements / Comments |
|---|--|
| a. Seven proposals formulated which have been formalized by the competent authorities. | The proposals have been submitted to the authorities, but are not approved. Only 1 has been signed. |
| b. Outputs generated for both pilot MUMAs strengthen the national framework for creating other MUMAs. (Reform Executive Order, PES Rules, Navigation Act. | The proposals have been submitted to the authorities, but are not approved. One of them is a bill. |
| c. Marine Commission for Pacifico Sur expands membership and consolidates its leadership in integrated management. | Better representation; better management capacity; better technical capacity. They meet every month. |
| d. The Marine Commission for Golfo de Nicoya expands membership and assumes leadership in integrated management. | Better representation; better management capacity; better technical capacity. They meet every month. |
| e. Clarification of shared competencies and responsibilities between key institutions makes integrated management easier. | The institutions have coordinated actions and done joint work, for example, the process for regularizing the extraction of mollusks. |
| d. Analysis of pilot experiences in PES based on marine and coastal resources with a view to deriving lessons learned and evaluating potential for replication. | Achieved. |

In terms of impact, the PEU estimates that: a) The regulatory framework of both MUMAs would be effective if the rules had been approved. b) The inter-institutional coordination mechanisms are fully operational and guide the integrated and sustainable management of marine and coastal resources. In this respect, there are 10 institutions that coordinate and get information from the marine commissions. c) The mechanisms proposed to cover the costs associated with the management of the MUMAs with resources from sustainable financial mechanisms require modifications and the approval of their rules, which was not done during the project period.⁵

The assumption made at the beginning of the project planning stage that the authorities of the relevant sectors would provide political support for regulations to be made official was not properly dimensioned. Due to its being an external factor beyond the direct control of the Executing unit, it should have been reflected as a risk to project management.

From the outputs mentioned, the publication of the Executive Order to reform the MUMAs is a key element to achieve other outputs, since such reform originates in the

⁵ Cfr. Project Executing Unit. Project results framework and indicators matrix.

recognition by the Costa Rican Government, the academics, and other institutions of the weak regulatory framework of the Multiple-Use Marine Areas, which were established through an Executive Order⁶ in 1995. Among such weaknesses, are: a) lack of clarity on whether the MUMAs constitute or not a management category; b) a lack of minimum contents, like the management category supposedly created; c) plurality of institutional competences; and d) undefined authorities (Gulfs Project, 2012: p. 14).

By the end of the Chinchilla Miranda Administration (January, 2013), the authorities of the Ministries of Agriculture, Environment, Energy and Telecommunications, Tourism, and Public Security signed the Executive Order document entitled "Creation and Management of Multiple-Use Marine Areas (MUMAs), amendment of Section 3 of Executive Order No. 24483-MP-MAG-MIRENEM of August 1, 1995, repeal of Executive Order No. 24282-MP-MAG-MIRENEM of August 1, 1995, and Sections 8 and 10 of Executive Order No. 24483MP-MAG-MIRENEM of August 1, 1995". However, this document was not formally published in the Official Gazette, as required by law⁷. It was neither revisited by the authorities of the Solis Rivera Administration and, until this evaluation report was completed, there was no evidence that such Executive Order had been signed. All the informants inquired, including some politicians, stated that the problem is that there is a "lack of political will":

"...Although the Executive Order was ready, because we reviewed it several times, we made some suggestions. They were accepted, and I'd say it improved significantly, but for some reason no further steps were taken. The new Administration took over... at least it had been extensively discussed and we had a good version, but, to our surprise, it was put on hold...We nevertheless kept working on the governance aspect, which seems simple - but is actually very complex". (Informant)

"...It is a highly ambitious result which involved many things, one of them being amending the Executive Order on MUMAs in order to formalize the marine commissions. The term of Ms. Laura ends without the Executive Order getting signed; the new Government takes over and the Vice-Minister of Waters and Seas reviews the Executive Order and introduces many changes in its contents. We got stuck...in these two years the

⁶ Executive Order No. 24282 MP-MAG-MIRENEM

⁷ Evaluator's note: no key informant could explain the reasons why the aforesaid Executive Order was not published.

Executive Order didn't get signed and published and, honestly, there is no political interest in doing so..." (Informant)

Based on the key informants' opinions, we may notice signs of confrontation between institutions like INCOPESCA and SINAC/MINAE on sensitive issues like trawling, shrimp exploitation, shark fining, mechanisms for granting fishing licenses, among others, which open gaps which need to be closed in order for the operation of the Multiple-Use Marine Areas to be politically feasible. These conflicts were not contemplated in the project document and undoubtedly exceeded the capacity for action of the Gulfs Project and its Executing Unit.

Finally, this evaluation mission observes that there is no marine public policy in place in the country, an element which could bring Ministries and other institutions together over an homogeneous vision of the State in this field.

Efficiency⁸ of the component

Component 1 used 11.38 % of the project resources allocated to paying consulting contracts. It is the component with the least cost and, although as already pointed out the outputs and effects originally sought were not achieved by the time the Project ended, it should be highlighted that the Project did complete a total of 20 large activities/outputs that are consistent with a concept of sustainable development clearly expressed in the Project. As shown on Table No. 5, aspects like the MUMA zoning process, as well as the analysis of competences of the institutions involved in the MUMAs, the development and implementation of sustainable financial mechanisms, and the allocation of two facilitators to the MUMA marine commissions consumed the largest proportion of the resources used in this component.

⁸ As pointed out by Stockman and Meyer (2016: 109), in this evaluation it is assumed that the efficiency criterion is met if with the smallest resource investment possible (input), an optimum yield is achieved (output) and, if possible, all the expected effects are produced (outcome).

Table No. 6 Consulting services hired under Component 1

| Detail of consulting services Component 1 | Amount involved in USD |
|---|------------------------|
| Characterization of key stakeholders in MUMA management | 12,000 |
| Facilitator for marine commissions | 14,400 |
| Legal support to the facilitator of the marine commissions | 4,800 |
| Facilitator for the workshops on the Navigation Act | 3,200 |
| Review of regulations governing coastal and marine resources | 15,000 |
| Zoning protocol and planning of both MUMAs | 8,000 |
| Analysis of competences of institutions involved in the MUMAs | 12,000 |
| Supervision of financial mechanisms | 12,000 |
| Facilitator for marine commissions | 19,200 |
| Financial mechanisms for MUMA management | 35,860 |
| Zoning proposal for the MUMAs | 80,000 |
| Facilitator for marine commissions | 12,000 |
| Supervision of financial mechanisms | 6,000 |
| Review, updating and proposals for regulatory improvement | 25,000 |
| Facilitator for marine commissions | 7,200 |
| Development and application of sustainable financial mechanisms | 60,000 |
| Updating of MUMA master plans | 15,000 |
| Total | 341,660 |

The Project carried out a number of activities and outputs aimed at improving governance in Multiple-Use Marine Areas in both gulfs. Specifically, although such activities did not generate the intermediate and final outputs expected under this component, they are relevant outputs that create enabling conditions to promote the planning and integrated management of marine and coastal ecosystems in the Golfo de Nicoya and Pacifico Sur MUMAs. Such activities are listed below:

- i. Participatory consultations for the formulation of the MUMA Executive Order.
- ii. Participatory formulation of the proposed protocol for Marine Spatial Planning (OEM, by its Spanish acronym).
- iii. Guide for the development of management plans for mangroves and their resources.
- iv. Preparation of zoning proposals for the Golfo de Nicoya and Pacifico Sur MUMAs.
- v. Proposed Executive Order to make the MUMAs official.

- vi. Dissemination of the proposed Navigation Bill.
- vii. Analysis of the regulations imposing sanctions in connection with marine and coastal resources and identification of a modification proposal.
- viii. Update and harmonization of the MUMA Master Plans with the legal framework and other existing management documents.
- ix. Development of regulations for payments for ecosystem services in the marine and coastal areas of both MUMAs.
- x. Review, update and proposals for improvement of the regulations for specific activities in the MUMAs (amendment to the regulation of the Fishing and Aquaculture Act, proposed cooperation agreements and proposed regulations for specific uses of marine and coastal resources).
- xi. Identification and characterization of institutional and civil stakeholders which are key in the management of the MUMAs.
- xii. Identification and proposals for inter-institutional cooperation mechanisms to improve MUMA management.
- xiii. Joint development of annual work plans for the Marine Commissions of the Pacifico Sur and Golfo de Nicoya MUMAs.
- xiv. Coordination and execution of activities that promote and materialize the representation and participation of new key stakeholders in the Marine Commissions of the MUMAs.
- xv. Analysis of the competences and duties of the institutions involved in the management of the MUMAs and submission of proposals for cooperation aimed at improving the management issues related to the overlapping and gaps identified.
- xvi. Preparation of operational rules setting the responsibilities and duties of the institutions represented at the Marine Commissions of the Pacifico Sur and Golfo de Nicoya MUMAs.
- xvii. Development of financial mechanisms for MUMA management.
- xviii. Development and implementation of PES pilot projects for the use of coastal and marine resources.
- xix. Formulation of a financial strategy for the MUMAs.
- xx. Development of the operational, technical and legal mechanisms that authorize PES in the MUMAs.

This evaluation mission wishes to highlight the efforts for providing support to and systematizing the experiences developed by consultants, who played an outstanding role in both MUMAs in terms of the consolidation of the marine commissions, and their administrative and technical assistance. Such efforts are reflected in several reports⁹ and are

⁹ In this regard, please refer to the final reports of the consultants that facilitated the implementation of master plans for the Commissions of the Pacifico Sur and Golfo de Nicoya MUMAs, Ana Felicia Torres Redondo (2015) and Alvaro Fernández González (2015).

important milestones in the generation of knowledge and definition of public policies by SINAC and other institutional stakeholders.

Sustainability and relevance

The success of the activities undertaken and of the different outputs obtained by the Project under Component 1 can be guaranteed provided that political decisions like the signing and publication of Executive Orders and regulations materialize. In general, the officers of the participant public institutions, the members of the commissions, academics and other key stakeholders agree that the knowledge generation, planning, systematization and innovation effort made by the Gulfs Project inevitably requires the political will necessary to legitimate and institutionalize the achievements made. In this regard, MarViva formally presented the proposals developed by the project to leading institutions and requested political support for their approval.

In addition, all the activities undertaken are in accordance with the nature and objectives of the Project and the problem that originate them. In this regard, it can be concluded that the Project succeeds in creating a number of basic technical conditions for the integrated and sustainable management of marine and coastal and marine resources. Furthermore, the Project helped get the marine management issue on the agenda of an institution (SINAC) which has been traditionally indifferent to this issue:

"...the Project succeeded in putting on the table an issue that was thought to be outside the real competence of the Ministry of Environment and SINAC. Somehow, the Project connected us to reality, so to speak, for example, in terms of marine spatial planning, which is an issue we hadn't even thought of. While responsible fishing areas did exist, I think that vision became much more comprehensive in the context of marine spatial planning. The Project helped a lot in this sense. Unfortunately, we couldn't get the MUMA Executive Order passed, but I think this effort has been critical, the same as the guidelines for marine spatial planning; both are the result of this Project..." (Informant)

Component 2 Sustainable use of resources by productive sectors

Component 2 focuses on rendering the productive activities within the two MUMAs, especially those of the tourism and artisanal fishing sectors, more sustainable. The 3 sub-components that make up this Component are: a) Sustainable Tourism, b) Artisanal Fisheries, and c) Alternative Livelihoods. Table No. 7 shows the logic of this component.

Table No. 7 Internal logic of Component 2

| Comp onent | Sub- compo nent | Outputs | Mid-term results | Final results |
|---------------|--|---|--|--|
| 2 | 2A Sustainabl e Tourism | # of marine and coastal tourism activities for which sustainability standards have been formulated based on the CTS of ICT. | # of tourism entrepreneurs that have adopted sustainable practices promoted through CTS or networks. | Number of tourism entrepreneurs that have obtained sustainability certification for their marine and coastal resources-based activities within the two MUMAs. |
| | | # of tourism entrepreneurs trained in new sustainability standards and in integrating them into their business plans. | # of tourism entrepreneurs that apply full sustainability standards for coastal and marine resources in their operations. | |
| | | Sustainable tourism practices and products are promoted through and by a voluntary network of interested entrepreneurs. | | |
| | 2B. Artisanal Fishery | # of fishing communities trained in responsible and sustainable management of fishery resources. | # of responsible fishing areas created, recognized by INCOPESCA and operating based on fisheries management plan. | Extent (in ha) of Responsible Fishing Areas that are effectively managed, meet sustainability and biodiversity standards and have been certified by INCOPESCA. |
| | | # of Responsible Fishing Areas with planning instruments developed through participatory process. | Analysis of Responsible Fishing Areas experiences with view toward lessons learned and replication in other fishing areas. | |
| | | # of pilot projects to improve value chain for particular fishing product in execution in communities that practice responsible management of fishery resources. | | |
| | | # of agreements governing compliance and enforcement activities, coordinated between local communities and relevant national institutions and coherent with planning instruments for Responsible Fishing Areas, in execution. | | |
| | 2C Economic alternativ es | Productive diversification strategy at level of MUMA, to complement or substitute income from fishing activities, consulted and agreed between communities and relevant institutions. | # of productive diversification initiatives consolidated and analyzed with view to derive lessons learned and evaluate the potential for replication in other fishing communities. | # of coastal communities that obtain income from profitable alternative sustainable livelihoods. |
| | | # of existing productive diversification initiatives in vulnerable communities strengthened to enhance profitability and sustainability. | | |
| | | # of new alternative livelihood initiatives developed and presented to suitable potential funding sources. | | |

In the area of tourism, this component supports activities aimed at extending the Sustainable Tourism Certification (CTS) to include activities based on marine and coastal resources and train tourism operators from the two MUMAs in the implementation of new

forms of sustainability. As for artisanal fisheries, the Project attempts to render fishing practices sustainable through the creation of Responsible Fishing Areas that meet sustainability and biodiversity standards, and generate alternative livelihoods that may supplement or replace the income derived from less sustainable fishing practices.

In financial terms, this component uses 53% of the economic resources granted by the cooperation to the whole Project, which amounts to USD 1,569,513, distributed as follows:

Table No. 2
Component 2. Expenditure execution by category

| Category | Amount (USD) |
|------------------------------|------------------|
| Consulting services | 555,187 |
| Institutional infrastructure | 551,925 |
| Community investments | 379,045 |
| Other | 83,356 |
| Total | 1,569,513 |

Component efficacy

Based on the reports provided by the PEU, Component 2 met almost at 100% the targets originally set for the outputs, according to the Results Matrix.

By the time this evaluation was conducted, 13 tourism operators had been certified and 8 were in the process of gathering evidence to obtain the certification; the target was 20 operators. The certification standard was formulated and made official by ICT, and a total of 37 companies were trained - the target was 40.

As for the increase in the number of hectares for responsible fishing, a 300% increase is estimated to have been achieved - from 27,000 to 110,000 hectares designated as responsible fishing areas. Seven new responsible fishing areas have been created with their relevant fishing management plans in place. Likewise, pilot projects aimed at improving the value chains in fishing production were carried out and an institutional center was built in Cipanci to host offices of the SNG, SINAC, and INCOPECA, in support of fishing

production and conservation of responsible fishing areas. The latter sub-project is particularly important even if it is not an originally planned result. The aforesaid institutions have undertaken to keep the inter-institutional center permanently staffed. The National Coastguard Service has allocated 6 officers, INCOPECA 2, and SINAC 4. Through this intervention, the presence of public officers increased from 3 to 13 people, which leads to improved control and surveillance of Golfo de Nicoya, which contributes to diminish the incidence of environmental crimes, robberies, and drug trafficking, and has a positive effect on coastal communities.

The third sub-component related to economic alternatives reports a total of 13 community initiatives strengthened, of which 4 had already been operating in the Project's intervention area. The remaining 9 are led and managed through the Gulfs Project. Even if investments were appropriate and timely, and (at the time this evaluation was conducted) the Project had concluded different works involving infrastructure and equipment, some procedures related to concessions and permits were still pending, and, therefore, there are no evidences that those alternatives represent a process of replacement of sources of income for families in the fishing business. In this regard, it is estimated that the intermediate outcome expected in terms of consolidation of productive diversification initiatives will take more time for it to materialize.

Table No. 8 Component 8: indicators set and achievements made

| INDICATORS SET IN THE RESULTS FRAMEWORK | ACHIEVEMENT / COMMENTS |
|---|--|
| OUTPUT INDICATOR | |
| 1. 4 marine tourism activities and sustainability standards based on the Sustainable Tourism Certification (CTS) of ICT. | Achieved. 8 activities were carried out. |
| 2. 20 tourism entrepreneurs trained in new sustainability standards and in integrating them into their business plans. | 22 entrepreneurs completed their training and implement part of the standards. |
| 3. Sustainable tourism practices and products are promoted through and by a voluntary network of interested entrepreneurs. | Achieved. ICT carried out the promotion activities through ACOPROT. |
| 4. 16 fishing communities trained in responsible and sustainable management of fishery resources. | Achieved. |
| 5. 6 Responsible Fishing Areas with planning instruments developed through participatory process. | Achieved. |
| 6. 4 pilot projects to improve value chain for particular fishing product in execution in communities that practice responsible management of fishery resources. | 3 were successful. 1 has not obtained the permit for operating yet. |
| 7. 6 agreements governing compliance and enforcement activities, coordinated between local communities and relevant national institutions and coherent with planning instruments for Responsible Fishing Areas, in execution. | 6 (delivered to INCOPECA) |
| 8. Productive diversification strategy at level of MUMA, to complement or substitute income from fishing activities, consulted and agreed between communities and relevant institutions. | Achieved. |
| 9. # of existing productive diversification initiatives in vulnerable communities strengthened to enhance profitability and sustainability. | Achieved. There are 8 initiatives in place. Two of the initiatives (extraction of mollusks) depend on the approval of mangrove management plans, which are in the process of being approved. |
| # of new alternative livelihood initiatives developed and presented to suitable potential funding sources. | Ten initiatives were presented, but only 1 (APIAPU) generated interest and got its proposal prepared. |

Efficiency of the component

This evaluation mission identified the completion of 22 large activities supported by 18 consulting assignments, as shown on Table No. 9.

Table No. 9 Consulting services hired under Component 2

| Activity | Amount (USD) |
|--|----------------|
| Characterization of the tour operator sector in the MUMAs | 24,000 |
| Analysis of experiences with Responsible Fishing Areas | 12,000 |
| Diagnosis of fishermen associations | 13,000 |
| Characterization of initiatives for productive diversification in vulnerable coastal communities | 8,000 |
| Strategy for commercial alliances for fishery products in Responsible Fishing Areas | 10,000 |
| Formulation of a Sustainable Tourism Certification Standard | 12,000 |
| Fishing biological research program on commercial species | 20,000 |
| Update of the INFOPESCA database: digitalization and analysis of catch data for 2011, 2012, and 2013 in the MUMA fisheries | 25,000 |
| Pilot projects for the improvement of the value chain of fishery products | 41,800 |
| Program for training, orienting and supporting tourism entrepreneurs and promoting CST | 62,250 |
| Development of alternative sustainable livelihoods in coastal communities in the MUMAs. | 50,000 |
| Implementation of responsible fishing areas based on the planning instruments developed | 78,550 |
| Plan for the utilization of the piangua clam in Golfo de Nicoya | 15,000 |
| Market research study on fishery products | 5,000 |
| Plan for the utilization of the piangua clam in Pacifico Sur | 6,000 |
| Coopeturistic website | 6,450 |
| Demarcation of Responsible Fishing Areas | 149,579 |
| Inspection of works in Cipanci | 16,558 |
| Total | 555,187 |

By the end of the Project, no activities were pending execution based on the work plan for the last year. There have been no significant delays in the service procurement processes carried out by the PEU, in contrast to the process of identification, selection and final materialization of the productive projects executed under sub-component c - productive projects - which did suffer delays.

A total of 13 projects have been financed, of which 4 are initiatives which already existed in the area (referred to in this component as value chaining initiatives) and the other ones are new initiatives, conceived by the Gulfs Project. See Table No. 10

Table No. 10 Productive projects supported

| Name | Brief description |
|---|---|
| ASOPECUPACHI PROJECT Total investment: USD23,681.24 | It involves the reconditioning and installation of a system for purifying oysters in order to improve the quality of the product. It includes refurbishing the physical space and setting up a water filtering and purifying system, a water pumping system and an equipment to measure physical and chemical parameters in the farming system, among other things. |
| AREMOL PROJECT Total investment: USD20,738.57 | It is an operations center comprising a container set up to manage, repopulate, conduct research on and take care of the piangua clam in the mangroves of San Buenaventura in Colorado de Abangares. |
| ACUAMAR PROJECT Asociación de Acuicultores Marinos de Colorado de Abangares. Total investment: USD17,021.29 | It entails the installation of a pre-fattening system to increase the survival of oyster seeds and improve yield. |
| ASOPOCHOTE PROJECT Asociación de Pescadores del Distrito cuarto, Quebrada Honda, Nicoya. Total investment: USD17,791.13 | It involves providing the equipment and training necessary to develop tourism activities in the inner part of Golfo de Nicoya. It includes a 60HP outboard motor speed boat for 18 passengers, life jackets, radios, and safety equipment, among other things. |
| ASAP PROJECT Asociación de Acuicultores de Paquera. Total investment: USD18,658.32 | It involves providing the equipment and training necessary to develop tourism activities in the area of Paquera and Isla Tortuga. It includes a 40HP outboard motor, life jackets, radios and safety equipment, training, among other things. |
| COOPETURIC PROJECT Cooperativa de Servicios Múltiples de Emprendedores en Turismo Rural de Corcovado. Total investment: USD17,610.09 | It involves providing the necessary equipment and training, and promoting the development of tourism activities in the area of Golfo Dulce and Terraba-Sierpe. It includes capacity-building, computer equipment, radios, coolers, binoculars, safety equipment, among other things. |
| ASOPNISPERO PROJECT Asociación de pescadores de Puerto Nispero. Total investment: USD15,245.15 | It involves providing the equipment and training necessary to develop tourism activities in the mouth of Tempisque River and the inner area of Golfo de Nicoya. It includes a 60HP outboard motor, life jackets, repairing a speedboat, safety equipment, among other things. |
| APIAPU PROJECT Asociación Mixta de Piangueros de Purruja, Golfito. Total investment: USD19,137.04 | It involves the refurbishment and fitting of a storage center, especially the area for receiving and classifying the product. A mangrove management plan and a mollusk utilization plan were prepared. |
| UNA OYSTER SEED PROJECT Oyster Seed Production Lab of the National University. Total investment: USD16,242.76 | It involves improving the equipment of the oyster seed laboratory of the National University. The objective is to increase the supply of oyster seeds to oyster farmers benefited by the Gulfs project. |
| APEP PROJECT | It involves the refurbishment and fitting of an existing storage center, and |

| Name | Brief description |
|--|---|
| Asociación de Pescadores de Paquera. Total investment: USD50,063.04. (*) | improvements in the cold chain and the product handling conditions. A tile floor and a ceiling were installed, the walls, roof and services were reconditioned, and an ice maker together with its cold room were installed. |
| PLAYA BLANCA PROJECT Asociación de Pescadores de Playa Blanca. Total investment: USD49,892.70 (*) | It involves refurbishing and fitting a storage center. Built with a container. It includes an ice maker, a cold room, air conditioning, coolers, furnished office, tile floor, ceiling, services, among other things. |
| ASOTAMBOR PROJECT Asociación de Pescadores de Tambor. Total investment: USD63,178.15 (*) | It involves installing and fitting a storage center for fishery products, built with two containers. It includes an ice maker, a cold room, air conditioning, coolers, furnished office, work table, tile floor, ceiling, services, among other things. |
| ASOPEZ PROJECT Asociación de Pescadores y Piangueros del Golfo Dulce. Total investment: USD49,785.78 (*) | It involves installing a complete oyster production system, including a speed boat, a 15HP outboard motor, building a floating platform, and setting up and fitting a container that accommodates an oyster purification center, among other things. |

(*) Value chains project.

Based on visits and individual interviews with members of 10 of the 12 associations and cooperatives listed on Table No. 10, this evaluation mission observed and identified the following topics related to the management of the work done with the associations and cooperatives:

- i. At the time this evaluation was conducted, almost all the associations and cooperatives selected by the Project lacked technical consistency and organization to undertake the activities inherent to the management and administration of a community-based social and productive initiative. Most of the groups require a formal work program that distributes roles and tasks, as well as capacity building for accounting control and management, and technical assistance for defining basic systems to record sales, profits and expenses.
- ii. These associations and cooperatives will probably be the ones to end up being in charge of the productive activity because the legal framework of the community associations does not contemplate the intervention of companies. Associations are not for profit entities created for social welfare purposes. In principle, all members are equally entitled to participate in an activity promoted by the association or that the association decides to undertake.
- iii. The design of the Project did not contemplate promoting and stimulating micro and small-sized companies as alternative means of work, production and income

generation at the local scale. Accordingly, the process for identifying and selecting the beneficiary groups of alternative projects should be coupled with a strategy for supporting those projects and rendering them sustainable. It is assumed that public institutions will continue to support those groups with training, technical assistance, and funds, but the design of the Gulfs Project did not contemplate a strategy to guarantee local governance sustainability. There is no evidence that commitments have been assumed by those institutions in this regard.

Component 3: Improvement and systematization of information for decision-making.

Based on the Results Framework, an expected outcome under this component is that management decisions for the two MUMAs be taken based on sound technical data derived from an integrated and readily accessible information and monitoring system (that is technically, institutionally and financially sustainable).

As an intermediate outcome, it is expected that the institutions and organizations involved in the management of the MUMAs regularly use the Integrated Information System to reach agreements and support their decisions. At the output level, three specific outputs have been established, namely:

- i. All data for baseline indicators collected within 6 months of project start-up.
- ii. Integrated information system for both MUMAs with adequate environmental, legal, institutional, and financial data, accessible on-line and sustainable operational arrangements for system clearly defined.
- iii. Participatory monitoring program of the status of marine and coastal resources within the MUMAs is established and provides input to the integrated information system.

By the end of the Project, it has not been possible to identify significant progress in terms of the expected results or effects just like they are identified in the Results Framework. Except for one agreement executed between the Costa Rican Institute for Fisheries and Aquaculture (INCOPESCA) and the National Coastguard Service (SNG), and incipient initiatives on the use of information shared by both institutions, there is no evidence pointing at the regular use of an integrated information system. Much to the contrary, this evaluation has found that there is poor articulation between the institutions as regards the environmental, socio-economic, legal, institutional, and financial performance of the MUMAs. The main reason for this is that these institutions lack enough technical staff specialized in data management and they are hardly interested in having additional information beyond their scope of activity.

This component taken as a whole consumed resources in the amount of USD420,658, which were allocated to paying 15 professional service contracts (consulting services), which represents 19.84% of the total funds allocated to consulting contracts. Please, refer to Table No. 11.

Table No. 11 Consulting services hired under Component 3

| Consulting services hired under Component 3 | Amount (USD) |
|---|-----------------|
| Development of baselines for indicators for both MUMAs | 15,000 |
| Information systematization for the MUMAs | 60,000 |
| Implementation of communications | 22,414 |
| Implementation of communications | 11,016 |
| Implementation of communications | 4,408 |
| Definition of indicators for participatory monitoring | 2,400 |
| Editing technical reports for publication | 5,400 |
| Diagnosis and design of an Integrated Information System for the MUMAs | 12,300 |
| Monitoring of cetaceans | 80,000 |
| Monitoring of sharks | 37,320 |
| Systematization of processes and lessons learned in connection with Responsible Fishing Areas | 12,000 |
| Cetaceans monitoring protocol | 20,000 |
| Community monitoring of fish catch | 100,000 |
| Development of information system | 36,000 |
| Editing technical documents | 2,400 |
| Total | 420,658 |

Considering the consulting services hired, it may be concluded that at least 8 large types of outputs have been obtained, all of which are recorded in hard copy and electronically, namely:

Table No. 9 Outputs of Component 3

- Communications strategy for the Gulfs project.
- Status of the Golfo de Nicoya and Pacifico Sur MUMAs.
- Software of the integrated information system for both MUMAs.
- Cetaceans monitoring protocol.
- Cetaceans monitoring report.
- Sharks monitoring report for Golfo Dulce, Isla del Caño.
- Catch monitoring report for the MUMAs and control communities.
- Project dissemination material (videos, publications on the media, banners, leaflets, brochures).

Information system

By the end of the Project, there is no evidence that the MUMAs are using an integrated information system, even if activities aimed at achieving this were carried out during the execution of the Project. Institutions like MOPT, IMAS, SNG, INCOPESCA, and SINAC actively participated in several working sessions related to the development of this initiative and provided information for making a diagnosis and designing the system. In fact, at the Steering Committee session held on September 5, 2013, it was agreed that that system should be sector-specific (SC minute no. 8), and by the end of that month, the institutions involved were expected to deliver the results of assessments and recommendations on a set of indicators that the PEU would evaluate. Based on the Progress Report for the 2nd half of 2015, by the end of the Project a software had been developed to this end. In spite of this, the interconnection between the information systems of the institutions involved in the Project is mentioned as the most significant barrier that prevents the use and management of an integrated information system:

"...An important activity of the Project was to create a database with the relevant data of the MUMAs, but it was supposed to be an integrated database. It was said that the databases of SINAC, INCOPESCA, IMAS, and the port authorities would get integrated; that's what was said..." (informant)

The interconnection would facilitate the adoption of agreements and would inform the decision-making at each MUMA. It would entail a clear role and legal framework for each MUMA commission - something mentioned as a weakness at the end of the Project.

In addition, from a purely technical point of view, the interest shown on the phases of diagnosis and design did not materialize in actions aimed at interconnecting the information systems due to the thematic competence frameworks of some of the institutions which are part of the Steering Committee, among other reasons. A good example of this is IMAS, which uses the target population identification system (SIPO, by its Spanish acronym) exclusively for purposes of rating the poverty conditions of the families that benefit from the subsidies or benefits granted by that institution. According to the local officers interviewed, the interconnection "exceeds their management capacity" and is not feasible at all at this time. In fact, IMAS "is only interested in learning if an individual is poor or not, and if they thus qualify for the benefits it offers" (informant).

To sum up, there is no evidence of the effectiveness of the system in terms of its being accessed by the user population, even if there is evidence that the software has been installed and its operation has been tested.

Participatory program for monitoring marine and coastal resources at the MUMAs.

This program seeks to ensure the implementation of a participatory monitoring model to improve the management of the Golfo de Nicoya and Pacifico Sur MUMAs. It is focused on 3 large areas: monitoring of cetaceans, monitoring of sharks, and monitoring of catches. Its implementation involved a management, information systematization and methodological development process which involves significant activities, which are shown on Table No. 10.

Table No.10 Main activities.

- Assessment of the status of the Golfo de Nicoya and Pacifico Sur Multiple-Use Marine Areas.
- Initial identification of 38 priority thematic areas (variable) to be considered in the monitoring of the MUMAs.
- Formulation of protocols for monitoring catches and local capacity building for the development and execution of monitoring programs.
- Formulation of a protocol for monitoring cetaceans.
- Participatory identification and prioritization of indicators.

In terms of cetacean monitoring, the intervention of the Gulfs Project is specific. In the first place, it focuses on the financing of a research proposal for monitoring cetaceans during the rainy season of 2014 and the dry season of 2014-2015. This proposal was jointly formulated by Fundacion Keto, the Costa Rican Institute for Cetacean Research, and Fundacion Vida Marina, all of which have a proven track record in marine research.

In the second place, it formulates a basic protocol for cetacean monitoring. The protocol is a guide for the participatory monitoring of aquatic mammals aimed at having coastal community members cooperate with the scientific community by gathering useful information that can be used to identify the places where scientific monitoring should focus and that should serve as a basis for the relevant authorities to develop management strategies and make decisions aimed at the conservation of the habitats and populations of aquatic mammals in the country. This evaluation found evidence that these tools are being used by SINAC in a monitoring platform which involves the cooperation of tourism operators located in both gulfs, especially in the Pacifico Sur gulf. The investments made for acquiring the equipment necessary to this end are accounted for - at the end of the Project - as grants made to SINAC.

As for shark monitoring, it involves a highly technical control system. It operates based on acoustic receivers located at the bottom of the sea that send out signals when they detect the tags attached to shark and manta ray fins. They record their movements and provide information on whether they move to another place or their habitat changes.

At the end of the Gulfs Project, SINAC was proposed to explore the possibility to donate the equipment to the NGO Mision Tiburon - which has participated in this type of monitoring. The eventual sustainability of this initiative would be demonstrated by the

continuation of the activities carried out by SINAC based on an agreement signed with Mision Tiburon.

Finally, the monitoring of catches is conceived as a participatory process which involves the communities. The Gulfs Project financed the provision of the necessary equipment to the communities, and sustainability depends on the ability of INCOPECSA to follow up on these monitoring activities. Although the Project was developed in coordination with INCOPECSA - which designated a focal point -, by the time the Project ended, the efforts to have INCOPECSA continue with the activities necessary to ensure the continuation of the monitoring had failed. However, there is evidence that monitoring tasks have been performed at Pacifico Sur by members of the association supported by specialists provided by MarViva. At Golfo de Nicoya, two communities have not recorded data for the community-based monitoring system, mainly due to a lack of initiative.

IV. Lessons Learned

1. The approval of regulations such as laws, executive orders and institutional agreements, is beyond the control of the Project, and threatens the fulfillment of the indicators in connection with such approvals. It should be recognized that those are ambitious objectives that promote the strengthening of the regulatory framework for MUMA management and, although the institutions involved made a great effort, it was not enough to get all the proposals submitted to their directors approved and signed.

2. The execution mechanisms established in the project document were conceived to keep procurement processes under control, but there should have been a balance between control and implementation in order to streamline the decision making process.

3. The associations benefited by the Project seem to be initially organized and to have common interests - a situation which changed in some of them with the implementation of new productive projects and additional commitments and responsibilities related to the development of the initiatives. Differences have been detected among the members of the associations, and sub-groups have emerged. The lack of defined roles for the members of the associations causes disorder and hinders everyday decision making; the leaders of the associations take advantage of this and almost fully assume the administration of the projects, relegating the productive matters to the rest of the members.

4. It is critical to have a detailed knowledge of the organizational and operational aspects of the local associations that use the coastal and marine resources. The experience with the implementation of the productive projects shows that the associations that were supported and whose existing initiatives were improved by the Project are willing to assume new commitments and take on new tasks as part of their daily activities, which ensures the sustainability of the Project activities.

5. To increase the success in participatory processes related to fishermen and mollusk extractors, the activities should be carried out during the closed season, and those related to tourism operators should take place during the tourist low season.

6. At the technical level, the institutions involved evidenced great interest in the development of governance initiatives and proposals for managing the Multiple-Use Marine Areas; in spite of this, the results of the Project do not extend to the political arena as fast as necessary to get the relevant approvals. This situation limits the achievements and impacts of the Project.

7. The implementation of the Project was complex due to its scope, impacts and execution mechanisms, and because it had a small Executing Unit made up by two people (a coordinator and an administrative assistant). In future projects, at least 4 professionals with complementary profiles should be considered to integrate the PEU. The technical expertise provided by MarViva has been critical.

V. Conclusions

- i. At the end of this project for the Integrated Management of Marine and Coastal Resources in Puntarenas Province, we may see positive results mainly derived from a great capacity to produce and generate knowledge related to the Golfo de Nicoya and Pacifico Sur Multiple-Use Marine Areas. The Ministry of Environment and Energy itself recognized that the Gulfs Project succeeded in getting the marine management issue on its agenda.
- ii. The Project financed a total of 68 consulting assignments aimed at generating knowledge (please, refer to Tables 6, 9, and 11). In terms of effort and time, those tasks are equivalent to 44.6 years of work aimed at promoting planning and capacity building for the integrated management of marine and coastal ecosystems.

- iii. MarViva - through the MUMA strengthening strategy - has managed to keep participants interested in and aware of the importance of protecting the gulfs and their ecosystems. It is mostly comprised of technical staff with many years of service and experience. The Gulfs Project entailed a qualitative leap, providing both MUMAs with strategic plans and concrete work agendas.
- iv. The most important achievements of the Gulfs Project are the facilities built for INCOPECA, SINAC, and SNG at Golfo de Nicoya, and the efforts made to generate specialized knowledge.
- v. Some important results originally expected from the Project have not been achieved. The absence of a public policy on marine and coastal ecosystems, the historically recognized confrontations between INCOPECA and SINAC/MINAE at the political level, and the authorities not being willing to identify fields of action, are the main reasons why some intermediate and final results set by the Project have not been achieved.
- vi. The activities of the Gulfs Project have been carried out in a context characterized by the slow pace and long time frames of the Costa Rican Public Administration. If projects hold on to the assumption that responses will be fast and timely, proposals will inevitably turn out to be too ambitious. Therefore, focusing on local capacity building is a lesson learned and a technical recommendation of this evaluation.

VI. Recommendations

- i. The resources available to a project need to be more concentrated, rather than scattered. It is advisable that future interventions should not have such an extensive coverage. Promoting pilot initiatives on alternative income management providing great local support and technical expertise on community development is critical to avoid

ambiguity in the socio-productive initiatives and other local roles related to the protection and responsible management of resources.

- ii. It is recommended that decision-makers and those responsible for managing the economic resources should re-assess the role of the civil society organizations (NGOs and academics) when it comes to the research, training and technical assistance necessary for integrated ecosystem management. A greater involvement of these players and better acceptance by the institutions involved is critical to exert political influence on the Government.
- iii. It is recommended that technical work models and systems be adopted under a results-based management approach. The strategic and work plans of the MUMAs, as well as the community planning, should translate in a results-based culture that seeks changes in the institutional and social fabric, rather than the mere execution of activities or control of expenses.
- iv. SINAC and the Vice-Ministry of Waters, Seas, Wetlands and Coasts should continue following up on the MUMA Executive Order in order to get it approved and published.
- v. The institutions represented at the MUMA Commissions should keep supporting the officers that use those Commissions as a space for discussion that promotes the analysis and coordination of joint actions related to the management of marine and coastal resources.
- vi. The institutions that make up the Steering Committee should advance the proposals for agreements and regulations on specific uses generated and submitted by the Project to the relevant institutions.
- vii. SINAC and the Vice-Ministry for Waters, Seas, Wetlands and Coasts should take the necessary steps for the Guide for Cetacean Monitoring and the Protocol for Marine Spatial Planning (both of which have a national scope) to be made official.

- viii. The Marine Spatial Planning Proposals for the Golfo de Nicoya and Pacifico Sur MUMAs submitted by the Project to SINAC and the Vice-Ministry of Waters, Seas, Wetlands and Coasts need to be promoted by such institutions in order for them to be made official. They represent a joint effort where the parties involved agreed with the proposals. The proposals getting an official status will evidence a real commitment on the part of the Government.
- ix. The institutions should use the updated MUMA Master Plans as an input and include proposed actions in their annual work plans to strengthen the management of marine and coastal and resources.
- x. SINAC and the Vice-Ministry for Water, Seas, Wetlands and Coasts should work in cooperation with MarViva, which is using own resources to promote the Bill for the Creation of the National Fund for Payment for Marine Ecosystem Services (FONASEMAR), so that the proposed financial mechanisms submitted to such institutions get implemented in the medium term.
- xi. The Costa Rican Institute of Tourism (ICT) should continue promoting the certification of marine and coastal tourism operators. It should take advantage of the fact that 37 tourism operators participated in the training sessions. The efforts of the ICT should initially focus on the 9 tourism operators that completed the whole training but failed to prepare and submit their files for evaluation.
- xii. INCOPESCA should continue implementing the Fishing Management Plans in the Responsible Fishing Areas (RFAs). To that end, the cooperation agreement between INCOPESCA and the organizations of the RFAs demarcated by the Project should get signed. The Project submitted said agreement to INCOPESCA and it is in the process of being signed.

- xiii. INCOPESCA should follow up on the productive initiatives related to fishing and aquaculture developed by the Project.
- xiv. SINAC and INCOPESCA should, as soon as possible, sign the agreement that regulates the use permit for the premises built by the Project in Cipanci. This will allow INCOPESCA to occupy the premises, just as the National Coastguard System does.
- xv. SINAC should take advantage of the agreements in place with Mision Tiburon and the organizations that conduct research on cetaceans to ensure the sustainability of the monitoring programs conducted by the Project.
- xvi. INCOPESCA should adopt in its relevant office the Community-Based Fishing Monitoring program in order to continue with the initiatives developed by the Project and the fishermen groups in the MUMAs.
- xvii. In order to strengthen the ownership of the local productive projects, SINAC should transfer such projects to the beneficiary groups and consider donating the equipment used to monitor the MUMA coastal and marine resources (cetaceans, sharks and fish). It is recommended that the equipment be donated to the groups that participate in the monitoring.

VII. References

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Executing Unit of the MarViva-SINAC Project (2016) Results Framework, Indicators Matrix, Half-Yearly Progress Reports, Financial Audits, among others.

Annex 1 List of informants

INFORMANTS INTERVIEWED

| | |
|---------------------|----------------------------------|
| Manuel Blandón | Local organization |
| Thomas (*) | Local organization |
| Graciela (*) | Local organization |
| Flor (*) | Local organization |
| Marietta Ulate | Local organization |
| Víctor Charpentier | Local organization |
| Sonia Zeledón | Local organization |
| Rusbin Camareno | Local organization |
| Albanys (*) | Local organization |
| Angel Espinoza | Local organization |
| Michael (*) | Local organization |
| Lidiethe Ortega | Local organization |
| José Rodolfo Ortega | Local organization |
| Luis Montes | Local organization |
| Mileidy Artavia | Local organization |
| Gisela Viquez | Local organization |
| Yensy Cerdas | Local organization |
| Rafael Umaña | Local organization |
| Eugenia Arguedas | SINAC |
| Lara Anderson | SINAC |
| Carmen Castro | SNG |
| Dorian Vargas | IMAS |
| Evangelina Aguilar | Municipality |
| Francini Neira | Municipality |
| Kemly Camacho | IMAS |
| Ana Yancy Mejía | IMAS |
| Miguel Durán | INCOPECA |
| Fernando Mora | Vice-Minister of Waters and Seas |
| Nicole Hernández | Tour operator |
| Víctor Badilla | Tour operator |
| Paula Ramírez | Tour operator |
| Laura Robleto | Tour operator |
| Franciso Pizarro | MarViva |
| Fernando Balcázar | IDB |
| Marcela Aguirre | IDB |

Annex 2. Budget execution tables

Project Finance Framework

| Project Component | Type of activity | GEF Funds (USD) | | Co-financing (USD) | |
|--|----------------------------------|------------------|---------------------|--------------------|------------------|
| | | Approved | Actual | Committed | Actual |
| 1. Strengthening of the Regulatory Framework and Local Capacities. | Technical assistance | 639,000 | 405,691.60 | 3,909,000.00 | 697.156 |
| 2. Sustainable Resource Use by the Productive Sectors | Investment, technical assistance | 1,270,000 | 1,569,513.29 | 3,556,000.00 | 3,871,379 |
| 3. Improvement and Systematization of Information for Decision Making. | Technical assistance | 791.000 | 605,689.78 | 503,000.00 | 416.060 |
| 4. Project Management | Technical assistance | 300.000 | 387,143.37 | 845,000.00 | 171.859 |
| Total | | 3,000,000 | 2,968,038.03 | 8,813,000 | 5,156,454 |

NB: Types of activities are investment, technical assistance, or scientific and technical analysis.

NB2: Actual figures are the amounts verified by the IDB fiduciary unit and the external audit at the end of the operation.

Project co-financing

| Sources of co-financing | Type | Project preparation (USD) | | Co-financing (USD) | | Total (USD) | |
|-------------------------------------|---------------|---------------------------|--------|--------------------|------------------|------------------|------------------|
| | | Committed | Actual | Committed | Actual | Committed | Actual |
| Contribution of the host Government | In kind Grant | | | 8,813,000 | 5,156,454 | 8,813,000 | 5,156,454 |
| GEF Agency(ies) | | | | | | | |
| Bilateral Agency(ies) | | | | | | | |
| Multilateral Agency(ies) | | | | | | | |
| Private sector | | | | | | | |
| NGOs | | | | | | | |
| Contribution of the host Government | | | | | | | |
| Total co-financing | | | | 8,813,000 | 5,156,454 | 8,813,000 | 5,156,454 |

NB: The committed co-financing refers to the amount informed under CEO approval.

The types of co-financing are grant, soft loan, hard loan, guarantee, in kind or in cash.

Annex 3. Project results rating table

A. Project Results¹⁰ Rating

Component 1. Strengthening of the legal framework and the local capacity

| | |
|--|--------|
| 1.A. THE REGULATORY FRAMEWORK IN THE TWO MUMAS IS COHERENT AND PROMOTES THE INTEGRATED AND SUSTAINABLE MANAGEMENT OF MARINE AND COASTAL RESOURCES. | RATING |
| Relevance | S |
| Efficacy | MS |
| Efficiency | HS |

| | |
|---|--------|
| 1.B. INTER-INSTITUTIONAL COORDINATION MECHANISMS IN THE TWO MUMAS ARE FULLY FUNCTIONAL AND GUIDE THE INTEGRATED AND SUSTAINABLE MANAGEMENT OF MARINE AND COASTAL RESOURCES. | RATING |
| Relevance | MS |
| Efficacy | MS |
| Efficiency | S |

| | |
|---|--------|
| 1.C. PERCENTAGE OF COSTS DIRECTLY RELATED TO THE INTEGRATED MANAGEMENT OF BOTH MUMAS COVERED WITH INCOME FROM SUSTAINABLE FINANCIAL MECHANISMS. | RATING |
| Relevance | MU |
| Efficacy | MU |
| Efficiency | MU |

Component 2. Sustainable use of resources by productive sectors

| | |
|---|--------|
| 2.A. NUMBER OF TOURISM ENTREPRENEURS THAT HAVE OBTAINED SUSTAINABILITY CERTIFICATION FOR THEIR MARINE AND COASTAL RESOURCES-BASED ACTIVITIES WITHIN THE TWO MUMAS | RATING |
| Relevance | HS |
| Efficacy | HS |
| Efficiency | HS |

| | |
|---|--------|
| 2.B. EXTENT (IN HA) OF RESPONSIBLE FISHING AREAS THAT ARE EFFECTIVELY MANAGED, MEET SUSTAINABILITY AND BIODIVERSITY STANDARDS AND HAVE BEEN CERTIFIED BY INCOPESCA. | RATING |
| Relevance | MS |
| Efficacy | MS |
| Efficiency | MS |

| | |
|---|--------|
| 2.C. # OF COASTAL COMMUNITIES THAT OBTAIN INCOME FROM PROFITABLE ALTERNATIVE SUSTAINABLE LIVELIHOODS. | RATING |
| Relevance | MS |
| Efficacy | MU |
| Efficiency | MU |

Component 3. Improvement and systematization of information for decision-making.

| | |
|---|--------|
| 3. MANAGEMENT DECISIONS FOR THE TWO MUMAS ARE BASED ON SOUND TECHNICAL DATA DERIVED FROM AN INTEGRATED AND READILY ACCESSIBLE INFORMATION AND MONITORING SYSTEM . | RATING |
| Relevance | MS |
| Efficacy | U |
| Efficiency | U |

¹⁰ If outcomes cannot be used, outputs or impacts will be used.

B. Project Sustainability Rating

| DIMENSIONS OR ASPECTS THAT REPRESENT A RISK FOR THE SUSTAINABILITY OF THE PROJECT | RATING |
|---|--------|
| Financial risks | L |
| Socio-political risks | UL |
| Institutional framework | ML |
| Environmental risks | L |

C. Project Monitoring and Evaluation (M&E) rating

| PROJECT M&E | RATING |
|---|--------|
| M&E was adequately budgeted for at the project planning stage | HS |
| M&E was adequately and timely financed throughout execution | HS |

Annex 4. GEF Tracking Tool - Attached as a separate Excel file