# FINAL EVALUATION OF THE PROJECT
# INTEGRATED PCB MANAGEMENT (POLY CHLORINATED BIPHENYLS) IN COSTA RICA

## No. 84331

## Final Evaluation Report

Dr. Ronny R. Muñoz C.

Consultant Specialist Evaluation and G anagement P ublic , P olicy P ublic and Environment

May 30, 2019

**FINAL EVALUATION OF THE INTEGRATED PCB MANAGEMENT PROJECT**
**(POLY CHLORINATED BIPHENYLS) IN COSTA RICA. No. 84331**

| | |
|---|---|
| Draft | INTEGRAL PCB MANAGEMENT PROJECT ( POLY CHLORINATED BIPHENYLS) IN COSTA RICA |
| ID of the Project ATLAS : | 00070216 |
| GEF ID | 4485 |
| UNDP PIMS | 4092 |
| Budget of the GEF (USD): | USD $ 1,930,000 |
| Budget of fi nancing co (USD): | USD $ 8,709,274 |
| Project document signature date : | Costa Rica, 01/01/2014 |
| Date of the first disbursement: | November of 2013 |
| Original planned closing date: | December 2017 |
| Date of midterm evaluation: | February - April , 201 7 |
| Per í odo Evaluated | January 2014 - - May 2019 |
| Evaluation dates | April 30, 2019 to May 31, 2019 |
| country | Costa Rica |
| Area of interest | Persistent Organic Compounds |
| GEF Strategic Priority | POPs SP1, POPs SP-2 |
| Agency of execution | DIGEGA-MINAE |
| Other partners involved | Companies for the Provision of Electric Services (Coopelesca, Coopealfaroruiz, Coopesantos, Coopeguanacaste, Heredia Public Services Company, Administrative Board of Municipal Electric Services of Cartago, Costa Rican Institute of Electricity, National Power and Light Company), Ministry of Health. |
| team evaluator | Ronny Ricardo Muñoz Calvo<br>Firm: |

| | |
|---|---|
| |  |
| Thanks: | To the staff of the Environmental Quality Management Directorate (DIGECA), the United Nations Development Program (UNDP) and the Project coordination team. To the Companies of Provision of Electric Services and the Ministry of Health.<br>Especially for the support to carry out the evaluation to Shirley Soto, director of DIGECA, Kifah Sasa, UNDP Environment Officer and Anna Ortiz, Project coordinator. |

## Contents



### *Executive Summary*

**• Project summary table**
**Project title : "** Integral Management of PCBS ( Poly Chlorinated Biphenyls ) in Costa Rica "

| | | | | |
|---|---|---|---|---|
| GEF Project Identification: | 4485 | | *at the time of approval (millions of USD)* | *at the time of completi (millions of USD)* |
| UNDP project identification: | 4092 | GEF financing: | $ 1,930,000 , 00 | 1,613,775.47 |
| Country: | Costa Rica | Partners : | 8549.274 , 00 | 8368881.24 |
| Region: | Costa Rica | DIGECA / MINAE | -<br>160,000 , 00 | 296,921.25 |
| Area of interest: | Persistent Organic | Other: | | N / A |

| | | | | |
|---|---|---|---|---|
| | Compounds | | | |
| Operational program: | | Total co-financing: | $ 8,709,274 , 00 | 8,665,802.49 |
| Executing Agency: | DIGEGA-MINAE | Total project expenditure: | 10639274 , 00 | 10,279,577.93 |
| Other partners involved: | Electricity Provision Companies Ministry of Health | Project document signature (project start date): | | 01/0 1 /201 4 |
| | | Closing date (Operating): | Proposed: 31 / December / 201 7 | Real: 12/31/2019 |

- **Project description**

The project "Integrated management of PCB ( for its acronym in English) ( polychlorinated biphenyls ) in Costa Rica" funded[1] by the Global Environment Facility (GEF), it is implemented by the United Nations Development Program (UNDP) and led by the Ministry of Environment and Energy of Costa Rica, with the participation of the Directorate of Environmental Quality Management (DIGECA).

The central objective of this project is to minimize the risks of PCB exposure to Costa Ricans, including vulnerable populations, and the environment, while promoting Costa Rica's compliance with the requirements of the Stockholm Convention on persistent organic pollutants , to PCB management and destruction. To achieve est and objective, the project included five components:

1. Component 1. Strengthening the institutional capacity in Costa Rica for the environmentally sound management of PCBs
2. Component 2. Environmentally sound management and provisional storage of PCBs
3. Component 3. Environmentally sound destruction of PCBs and handling of contaminated equipment
4. Component 4. Awareness, communication, monitoring and evaluation
5. Component 5. Monitoring, adaptive feedback, extension and evaluation

The duration initially planned was for four years s and p UDGET General of US $ 10.64 million it is , of est or s US $ 1.93 million provided for s by GEF .

- **Assessment evaluation table**

| **Quali fi cation of the performance of the project** | | |
|---|---|---|
| **Criteria** | | **Comments** |
| **Monitoring and evaluations: highly satisfactory (AS), satisfactory (S), moderately satisfactory (MS), moderately unsatisfactory (MI), unsatisfactory (I), highly unsatisfactory (AI)** | | |
| Quality overall of M & E | ACE | Meets high standards |
| Design of M & E at the start of the project. | ACE | According to PUND requirements. Strong. With clear procedures and instruments. |
| Implementation of the plan of M & E | ACE | Properly implemented. Provides information to support management, learning, and accountability |
| **Execution of IA and EA: very satisfactory (AS), satisfactory (S), moderately satisfactory (MS), moderately unsatisfactory (MI), unsatisfactory (I), highly unsatisfactory (AI)** | | |
| Quality General of the Implementation / execution of the project | ACE | DIGECA and UNDP, managed to achieve results, with opportunity and quality |
| Agency for Implementation | A S | The role of UNDP was very important to convene various actors, support with knowledge and experiences, work methodologies, and support in financial management |
| Executing Agency | ACE | DIGECA, was seized and supported the implementation of the project management ando actions that corresponded with leadership from the political and administrative level. It achieved high recognition of electric generators. |
| **Results: highly satisfactory (AS), satisfactory (S), moderately satisfactory (MS), moderately unsatisfactory (MI), unsatisfactory (I), highly unsatisfactory (AI)** | | |
| Quality overall of the results of the project | ACE | The results exceeded expectations and the degree of satisfaction is very high among the actors. |
| Relevance: relevant (R) or not relevant (NR) | ACE | Focused on supporting the needs and commitments of the country, to solve the problems of PCBs. |
| Efficacy | ACE | The overall objective and the expected results are achieved |
| EFFICIENCY | ACE | In accordance with the context of the execution and the time modifications made. |
| **Sustainability: probable (P), moderately probable (MP), moderately improbable (MI),** | | |

| | | |
|---|---|---|
| **improbable (U)** | | |
| Probability global risks to t h e sustainability | P | With the project the country has been strengthened and are not presented r isk significant for sustainability. |
| Financial resources | P | The companies are willing to have resources to finance the following actions |
| Socioeconomic | P | It is expected to maintain the benefits in these two dimensions |
| Institutional framework and governance . | P | It improved the country's legal framework and increased the capacities of public and private institutions . |
| Environmental | P | Progress towards a sustainable solution for the management and elimination of PCBs |
| **Impact: means fi cant (S), minimum (MS), insigni fi sing (I)** | | |
| Improvement of the environmental state | S | With the elimination and good management based on good PR to practices |
| Reduction of environmental stress | S | Reduces stress to the move to a condition controlled and regulated, with clear processes s and standards. |
| Progress towards the stress / change of status | S | I change the conditions in order to solve the identified problem. |
| General results of the project | S | Both at the objective level, as well as the components and products, the results were significant |

- **Summary of conclusions, recommendations and lessons.**

.

**C onclusions**

The project was successful, achieving the expected global results, by eliminating 1302.40 tons (96.4% of the goal), thereby reducing the health risk of people who directly work with PCBs and contributing to avoided contamination that favors the general population health. It turned out to be of great relevance in relation to national needs and priorities and compliance with international commitments (Stockholm Convention, DIGECA Institutional Plan and the Sustainable Development Goals). Likewise, it was effective in creating the national conditions necessary to carry out adequate management based on international good practices, regulation, inventory, monitoring and control of PCBs, also creating the conditions for companies to comply with the national legal framework on the management and PCB removal . The DIGEGA now has enhanced capabilities for decision-making based on evidence, and the monitoring and control of management reali zan companies with equipment and oils contaminated with PCBs. The generating companies managed to overcome the limitations through the development of their technical capacities, equipment provision, and support for improvements to the storage infrastructure and the elimination of PCBs. The sustainability of the results obtained is highly satisfactory, leaving the project a strengthened governance and public institutionality, a technical and operational capacity of the generators, as well as a sustainability strategy that indicates the route to follow after the project ends. The support of UNDP and the GEF together with the capacity of the country's institutionality and the high level of commitment shown by the electric generators, together with the effectiveness in the implementation of the management model were key to achieving the results obtained. A challenge for the future is to support the management that generating companies must carry out for large consumers of PCBs.

R ecommendations

For the future, maintain support for DIGECA, from UNDP, MINAE and MS, for the development of future actions. In the same way, companies must move forward with pending actions. DIGECA must: 1) Maintain the favorable governance environment achieved with the project; 2) Support and accompany generating companies, 3) Support service delivery models for large consumers; 3) Maintain the technical advisory committee ; 4) P romote the supply of new service providers analysis laboratories are certified NDO l as generators, they are recommended: 1) Conduct activities to share experiences and knowledge; 2) Development of a financial scheme for the elimination of PCBs; 3) Maintain the coordination platform supported by DIGECA, so that together , an optimal scale level of PCB elimination can be achieved in the future ; 4) DIGECA follow-up to the accreditation process of the CICA PCB analysis test .

L essons learned.

The project leaves many important lessons learned for future projects. Regarding the design, the importance of: 1) Presenting a design understandable to the partners, that correctly interprets the structure of the executing agency; 2) Perform an accurate diagnosis and participatory design l project supported by the sectors involved; 3) An adequate implementation structure and related to this point : 1) The executor's leadership and the effective coordination oriented to the partners 2) The effective decision making during the execution ; 4) The promulgation from the beginning of legislation, rules or regulations.

## *Acronyms and abbreviations*

| | |
|---|---|
| GEF | Global Environment Facility |
| UNDP | United Nations Development Program |

| | |
|---|---|
| DIGECA | Environmental Quality Management Directorate |
| EF | Final evaluation |
| PCB (for its acronym in English) | PCBs |
| MS | Ministry of Health |
| MIDEPLAN | Ministry of National Policy and Planning |
| PND | National Development Plan |
| CICA | Center for Research in Environmental Pollution |
| UCR | Costa Rica university |
| IRET-UNA | The Regional Institute for Studies on Toxic Substances of the National University |
| ICE | Costa Rican Electricity Institute |
| ESPH | Heredia Public Services Company |
| CNFL | National Company of Force and Light |
| SETENA | Environmental Technical Secretariat |
| COOPESANTOS RL | Los Santos Rural Electrification Cooperative |
| JASEC | Cartago Electric Service Administrative Board |
| COOPEALFARORUIZ RL | Alfaro Ruiz Rural Electrification Cooperative |
| COOPELESCA RL | Cooperativa de Electrificación Rural de San Carlos |
| COOPEGUANACASTE RL | Guanacaste Rural Electrification Cooperative |
| MS | Ministry of Health |

# FINAL EVALUATION OF THE PROJECT
# COMPREHENSIVE MANAGEMENT OF PCBS (POLY CHLORINATED BIPHENYLS) IN COSTA RICA
# No. 84331

## 1. INTRODUCTION

1.1. F end of the evaluation

Assess the achievement of the results of the project "Integrated management of PCB s (polychlorinated biphenyls, PCBs for its acronym in English) in Costa Rica" in its final phase and draw lessons that can improve the sustainability of the benefits of this project and help improve UNDP's overall programming. See the TDRs in Annex 1.

1.2. Scope of application and methodology

E valuation Final (EF), which Consider or the following elements:

1. Relevance, effectiveness, efficiency, sustainability and impact criteria.
2. Assessment of the degree to which the project achieved impacts or is progressing towards achieving impacts, considering: a) verifiable improvements in ecological status, b) verifiable reductions in stress in ecological systems, or c) demonstrated progress towards these impact achievements .
3. Assessment of the degree to which the project was integrated with other UNDP priorities .
4. Assessment of the key financial aspects of the project, including the scope of planned and realized co-financing. Also of the differences between planned and actual expenses.
5. Assessment of project performance, compared to expectations set out in the Project Logical Framework and Results Framework.
6. Evaluation of the project design versus the scope achieved .
7. Identification of the lessons learned, conclusions and recommendations.

The EF was oriented to answer the following general evaluation question: How did the project contribute to minimizing the risks of PCB exposure to Costa Ricans? In addition, the supplementary questions found in Annex 2 and the questions that cover the criteria defined for this final evaluation, and described in Annex 3 . Interviewing the institutions and people involved and interested in the project (appendix 4), as well as consulting the documents provided by the project (see appendix 5), were carried out with consultation sources. Annex 8 includes the “change audit”, where the main adjustments made to the draft report are recorded, according to the observations made

1.3. Structure of the evaluation report.

The report is structured in five parts: 1 ) Introduction ; 2 ) Description of the project and development context; 3 ) Findings; 4 ) Conclusions , recommendations and lessons learned; and 5 ) Annexes.

## 2. DESCRIPTION OF THE PROJECT AND DEVELOPMENT CONTEXT

2.1. Start and duration of the project.

The project started in January 2014 . The end date established in the PRODOC was defined for December 2017 . The duration original was established in four years, which h to been extended until December 2019 , accumulating six years of implementation .

2.2. Problems that the project sought to address.

The problems that the project document (PRODOC) set out to solve are:

1. Lack of financial resources for the elimination of equipment contaminated with PCBs
2. Limited analytical capacity for the identification and testing of PCB contamination.
3. Lack of physical infrastructure in the electricity sector for the environmentally sound management of PCBs.
4. Lack of technical knowledge about PCB rational management practices
5. The high costs associated with identifying PCB debris.

2.3. Immediate and development objectives of the project.

| **Indicator** | **objectives<br>End of project** |
|---|---|
| Amount of PCBs (liquid and solid) destroyed in the project period (2013-2017).<br><br>Amount of PCB material safeguarded. | 1350 MT of PCBs (liquid and solid) disposed of in an environmentally sound manner.<br><br>All known PCBs are safely stored. |
| Number of staff of environmental authorities, sanitary and customs trained to monitor compliance with the requirements of the Convention of Stockholm and national standards. | 30 officials from the environmental, health and trade authorities trained to control the trade, storage, transport, treatment and final disposal of PCBs,<br><br>1 Standard developed and validated.<br><br>4 guidelines / manuals developed at the end of the project. |
| Number of safe PCB disposal and management options<br><br>Number of companies formed and implementing the new regulatory guidelines.<br><br>Number of inspectors / compliance officers trained to enforce national laws / regulations on PCB management | At least one treatment / disposal alternative (transfer / interim storage station) in operation at the end of the project.<br><br>8 companies trained and implementing the new regulatory guidelines.<br><br>20 maintenance personnel and other personnel from PCB holders trained in the safe handling of PCBs.<br><br>4 inspectors / compliance officers trained to enforce national laws / regulations on PCB management. |

Source: Logical Framework of the project. TORs .

The Logical Framework is found in Annex 6 . The theory of change for this project, which states that:

" *Minimizing the risks of PCB exposure to Costa Ricans can be achieved by strengthening institutional capacity for environmentally sound management and destruction of PCBs, environmentally sound management of PCBs and their temporary storage, the service system comprehensive coordinated at the national level for PCB management and raising awareness for PCB management and destruction through outreach and training .”*

The project is to conform the Strategic Objective 1 of the COPs . Elimination and reduction of emissions from POPs and Outcome 1.4[2] . Prevention, management and disposal of waste s of POPs contaminated sites COPs handled in a manner environmentally sound. The following table shows the proposed goals for the project.

2.4. Baseline indicators established

The following table shows the Baseline Indicators established in the PRODOC:

| **Indicator** | **Base** |
|---|---|
| Amount of PCBs (liquid and solid) destroyed in the project period (2013-2017).<br><br>Amount of PCB material safeguarded. | 1000 MT of PCB destroyed before the project through exports and treatment in the country.<br>National but outdated inventory. |
| Number of staff of environmental authorities, sanitary and customs trained to monitor compliance with the requirements of the Convention of Stockholm and national standards. | The personnel of the environment, health and customs authorities do not have the knowledge or training to carry out the control and monitoring of PCB stocks in the country. |
| Number of safe PCB disposal and management options | The country does not have centralized facilities for the treatment of transformers contaminated with PCBs. |

| | |
|---|---|
| Number of companies formed and implementing the new regulatory guidelines.<br><br>Number of inspectors / compliance officers trained to enforce national laws / regulations on PCB management | There are no PCB management guidelines in place.<br><br>Limited knowledge of PCB management among environmental inspectors. |

Source: Logical Framework of the project. TORs .

2.5. Main stakeholders

The main stakeholders include:

1. Ministry of Environment and Energy (MINAE).
2. Technical Secretariat of Coordination for the Management of Chemical Substances.
3. Ministry of Health.
4. Public Generators and Electricity Distributors .
5. University Research Centers - institutes and laboratories.
6. Private generators.

2.6. Expected results

The expected results are summarized in the following table.

| |
|---|
| **Component 1. Strengthening the institutional capacity in Costa Rica for the environmentally sound management of PCBs** |
| A. Strengthening of the legal framework.<br>A.1. Review and update of the PCB Legislation.<br>A.2. Preparation and adoption of the rules and regulations for the environmentally sound management of PCBs.<br><br>B. Greater execution capacity.<br>B.1. Assessment of current implementation structures.<br>B.2. Training of a team of 4 inspectors<br><br>C. Improved institutional capacity to report PCBs to the Stockholm Convention Secretariat.<br>C.1. Improvement of the national PCB inventory.<br>C.2. Development of the PCB tracking system |
| **Component 2. Environmentally sound management and provisional storage of PCBs** |
| D. PCB management practices implemented and improved.<br>D.1. Establishment of technical standards for handling PCB equipment.<br>D.2. Development of security standards.<br>D.3. Instructors trained in Best Practices for PCB handling.<br><br>E. Proper, centralized, established and operationalized provisional PCB warehouse.<br>E.1. Design of the provisional PCB warehouse completed.<br>E.2. Environmental impact study carried out.<br>E.3. Establishment of administrative structure and rate for the use of the provisional PCB warehouse.<br>E.4. Construction of the provisional warehouse.<br>E.5. The technical and safety standards for provisional storage developed, disseminated and applied to the operations of the warehouse facilities. |
| **Component 3. Environmentally sound destruction of PCBs and handling of contaminated equipment** |
| F. Environmentally sound destruction of PCBs.<br>F.1. Creation of the PCB export scheme.<br>F.2. Coordination mechanisms established between PCB holders and the government.<br>F.3. Acquisition of replacement equipment.<br>F.4. Environmentally sound destruction of approximately 1,350 tons of liquid and solid PCBs (<50 ppm) according to inventory results.<br>F.5. Feasibility study for equipment decontamination using a Public-Private Partnership modality.<br>F.6. Feasibility study to assess whether PCB contaminated oils (<5,000 ppm) can be destroyed locally where ODSs are destroyed. |
| **Component 4. Awareness, communication, monitoring and evaluation** |
| G. Create greater awareness among counterparts.<br>G.1. Develop and implement an awareness strategy.<br>G.2. Implement the communication strategy |

Source: PRODOC.

## 3. Findings

### 3.1. D esign / development of the project

The design of the project in general remains viable until the end of the project, it corresponds to the national needs and priorities, to the fulfillment of international commitments .

The **project design** is adjusted to the country's possibilities and adequately responds to the challenges identified for the management and elimination of PCBs in Costa Rica. Consider formulation or the experiences and diagnoses prior to that had the country in this area, and also the participation in its development stakeholders . Such strategy was designed which was effective for e j ecución and adaptation of the project, facilitating the achievement of results. The preparation of the project included several previous experiences:

1. Formulation of the PNI (2008)
2. First profile of chemical substances (2006), updated in 2008
3. Previous experiences of national electric generators

Regarding the **results framework ,** it was adjusted in 2017 [3] . In it it is achievements pose achievable, which is n well defined , present as achievable goals of development and global environmental objectives . YL indicators as assumptions correspond to the actions proposed and the context of applying tion in the country ; also keeps n correspondence assessing the risk Realize or . A ome assumptions become outdated during the execution of the project, the not r necessary to perform some s activities proposals , co mo could be the case of storage and transfer station. One aspect that could be considered would be the level of capacity differentiated from partici companies pa efore, to solve the problem, as would its size organization , degree of associativity, served market and capacity fine n Ciera (Coope to lfaro r uiz , it has limitations of this type ) .

**Replication approach** can be applied as long as the experiences and knowledge acquired have been favorable. Especially the experiences can be applied in other Central American countries . But also, at the level of individualized experiences within each of the participating companies.

At the end of the project it is demonstrated **v comparative entaja of UNDP** , in both the degree of specialization required for a project of this nature, and major limitations existing in the country to manage and dispose of PCBs . Moreover, support depicting or to support the export of PCBs for disposal. UNDP contributed its experience in pollutant control and as a facilitator of spaces for participation and appropriation among those involved . The role of UNDP was very important for the accompaniment of the processes, the convening of various actors, support with knowledge and experiences, work methodologies, and support in financial management

The project is **directly linked** to the Ministry of Health (MS ), the governing body of the Costa Rican health sector, but also to the Ministry of National Policy and Planning (MIDEPLAN), responsible for monitoring the National Development Plan ( PND) , and As guarantor of the project, UNDP, represented by the Environment Program Officer.

The **arrangements management** facilitated implementation. To this it was essential accompaniment UNDP, facilitating MS, DIGECA leadership and the commitment level of the power companies.

### 3.2. Project implementation

The **execution and implementation model** favored the development of the project . Among the characteristics that deserve to be mentioned and that are feasible to replicate you can mention following :

1. Option implementing national ( N IM ) as a form of implicit ementació n .
2. A Project Steering Committee that approved the Annual Work Plan and the Annual Budget.
3. Project coordination unit located at DIGECA.
4. Mixed integration of a management committee integrated into DIGECA, by staff from the project coordinating unit and DIGECA staff.
5. Leadership of DIGECA levels managerial and technical .
6. C oordina tion with the Unit DIGECA Chemicals and the Secretariat of Technical Coordination for the Management of Chemical Substances " .

**Adaptive management**

The g ement of the project was attached to the standards of the Convention and regulations of UNDP and the country for such projects . When r and s u lt it or necessary rev i saron alter n Ativas and changes to achieve results through management adaptive , among which are:

1. Do not build the centralized storage station and choose to condition temporary storage sites in the 8 participating companies .
2. Eliminate 16.1 tons of obsolete pesticides, within which they had inventoried 8.33 tons of DDT , under the custody of the Ministry of Health.
3. Incorporate a management committee with the participation of companies .
4. Extension for two year s additional is the per í odo execution .
5. Incorporation of private and institutional owners with the support of a call center for support, in the information system and inventory of PCB.

**To association ropes**

The a sane association that deserve to be mentioned, are noted at ministerial level between and MS and MINAE with UNDP. Among the partners (generators and distributors electric ), some were also given level of associativity formally , p ero ta m WELL - level casual , allowing cooperation through sharing experiences and make pr é loans of equipment and materials (JASEC and Coopesantos ) . Electric generators, assume the provision of services identification and guidance for the handling and disposal of PCB for large consumers ( center s commercial, industries, farms, hotel developments, benefits, mills, banana, ports, public institutions, etc .) .

**M onitoring and eval ua tion ( M & E )**

The monitoring and eval ua tion M & E were important for the Sumin is tro evidence for decision- making , not only in day to day , but also in time s important for the project , as a result he or the completion of the review substantive , d onde were taken deci if ones of management adaptive .

**Project financing**

The project would be executing US $ 1,613,775, 47 of the GEF resources ( 83.62 % ) . It would be getting run 9 6.61 % (US $ 10,279,577.93 ) of the total estimated resources (US $ 10.639.274.00) in the PRODOCs for the execution of the project. The cofinancing reached represents 99. 50 % of that projected in PRODOC (US $ 8,709,274.00); where the state contribution (US $ 296,921.25 ) exceeded 85.57 % over the commitment and the partners' contribution reached 97.8 8 % of the expected (US $ 8,549,274.00 ). See table 3. 2.

**Table 3. 2 . : Project Financing.**

| Co-financing (type / source) | UNDP's own funding (millions of USD) | | government (millions of USD) | | Associated organism (millions of USD) | | Total (millions of USD) | |
|---|---|---|---|---|---|---|---|---|
| | Planned | Real | Planned | Real | Planned | Real | Planned | Real |
| Grants | 1, .930,000.00 | 1,613,775.47 | | | | | 1,930,000.00 | 1,613,775.47 |
| Loans / grants | | | | | | | | |
| • Aid in kind | | | 160,000.00 | 296,921.25 | 8,549,274.00 | 8,368,881.24 | 8,709,274 , 00 | 8. 665 . 802 , 25 |
| • Other | | | | | | | | |
| Totals | | | | | | | 10,639,274.00 | 10. 279 . 577 , 93 |

**Monitoring and evaluation**

Monitoring and evaluation , h a result a strong function of the project, through the systems and mechanisms UNDP monitoring on land re aliza DIGECA. In addition, the progress of the project is monitored through the Program Analyst and the monitoring officer of the UNDP Office in Costa Rica and the Regional Technical Advisor (RTA) .

In addition, d os structures participatory in this matter what were the management committee and the committee Tea CNI co, which supported e n this field, as well as support decision deci if ones. No is the most mention the interest of the generators for the technical committee remains in operation once we finalize the project .

**Coordination of implementation and execution**

The coordination of implementation and execution of the project was carried out as established in PRODOC. At the beginning d the project, the executing agency, was formed as a team m ix to and integrated into the DIGECA, where staff hired by UNDP for this project and assigned by the DIGECA, assumed duties established in PRODOCs and management National Project, who was also the director of DIGECA . Turning out to be a management model that has worked properly .

The partners of the proj to qualify very good way the coordination of implementation and execution ; which h to facilitated the achievement of results; Thus, the mechanism created by the project fulfilled what was expected at PRODOC, where it was hoped that they could work together to comply with the requirements of the Stockholm Convention and the implementation of the National Plan of Elimination for the destruction of PCBs. Also at the DIGECA, UNDP and MS level, the coordination is considered to be adequate. There are no major setbacks or problems in management.

## 3.3. Results of the project

### 3.3.1. Overall results (achievement of objectives) (*)

Annex 6 includes the annotated logical framework. Where the evaluation of the results is also identified. Regarding the achievement of the project objectives, these were achieved in a ***highly satisfactory*** manner . The project achieved the expected global results, eliminated 1302.40 tons, which represents 96.4% of the original goal (1350 tons). They were increased the capacity of analysis and management of PCB, with 8 companies trained and equipped . In relation to this last point, the project prepared and accompanied the companies with specialized technical support and the financing of activities to correctly manage and eliminate PCBs, thus enabling them to comply with current legislation in the country. It contributed to modifying institutional practices , through the advice, support and awareness of operating personnel and managerial and decision-making positions .

At companies they will be supported with sampling s and chromatography tests to determine the presence of PCBs. Also with equipment: 1) L2000 equipment to carry out the tests to determine the existence of PCBs; 2) Handheld used for the collection and reporting and transfer of transformer information collected in the field; 3) Personal protective equipment; 4) Spill Containment Kit; 5) Spill containment tray; 6) Laboratory reagent materials (solvent material), and for labeling.

It contributed to the improvement of infrastructure in the storage areas and in the workshops where the analyzes were carried out to determine PCBs; Through the waterproofing of warehouse floors, the provision of traps in case of spills; as well as the construction, expansion or improvement of warehouse spaces , as part of the counterpart .

It provided knowledge, methodologies and tools for working with PCBs. A technical guide for PCB management; work methods and technical training of personnel in various topics: Identification, sampling, handling, treatment and management of spills; storage, transportation. Moreover, Brind or funding and support technician to decontamination and disposal of PCBs.

U n system information which has been an approx Imado of 139000 pieces of equipment, about 95% of the total, where inventory is updated national . The Executive Decree No. 4 0697 -MINAE-S , on the Regulation for the identification and elimination of environmentally safe polychlorinated biphenyls, effective and general technical management guide PCB . The person l of DIGECA and the industry public in General , as well as companies generators were trained.

3.3.2. Relevance (* )

E l project seeks ba break down the barriers that primarily involves ban the lack of regulations and standards for appropriate management of PCB and control of waste generators, awareness and lack of analytical capacity in the country to develop an inventory reliable that allows proper waste control and management. In addition, a lack of technical preparation of the operators of the electric company responsible for the maintenance of this type of equipment. In such a way that the relevance of the project is ***highly satisfactory*** , it contributed for the country to advance with the fulfillment of the international and national commitments established in various development instruments. Contributed to enable the country to respond effectively to the Stockholm Convention[4] for the management and destruction of PCBs and facilitates the presentation of COP reports. It was aligned to the Institutional Plan DIGECA and it poyo achieving the objectives D evelopment Sustainable (ODS), specifically the indicator pollutant on the target 3 (HEALTH). Especially in a context where the country lacked the capacities to face these obligations.

3.3.3. Effectiveness and Efficiency (*)

The effectiveness and efficiency of the project were ***highly satisfactory*** . For efficiency, in spite of to submit two extensions on deadlines, substantive reviews support extensions per í odo of execution, which was used to strengthen the achievement of results.

- COMPONENT 1. STRENGTHENING THE INSTITUTIONAL CAPACITY IN COSTA RICA FOR THE ENVIRONMENTALLY SOUND MANAGEMENT OF PCBS

  The institutional capacity in Costa Rica for the environmentally sound management of PCB was f ortaleci gives so ***highly satisfactory.***

  - *Result A. Strengthening of the legal framework.*

    The products were achieved in a ***highly satisfactory*** way . A through project managed to strengthen national legislation PCB with the enactment of the Executive Decree No. 40697-S MINAE on the Regulation for the identification and elimination Environmentally S egura of polychlorinated biphenyls ( PCB ) . Through this regulation creates a r official EGISTRATION to any holder that equipment (natural or legal persons), or waste oils with PCBs and makes it mandatory for companies or institutions that inventories are carried respect.

  - *Result* B. Greater execution capacity.

    The products were achieved in a ***highly satisfactory*** way . An institutional Technical Committee of DIGECA was established. And there is a team in DIGECA for supervision and control. Furthermore, CICA is in an advanced phase of the accreditation process for PCB tests , supported by the project through an accreditation commitment established in an agreement signed by both institutions.

  - *Outcome C. Improved institutional capacity to report PCBs to the Stockholm Convention Secretariat .*

    The products were achieved in a ***highly satisfactory*** way **.** An institutional Technical Committee of DIGECA was established. And it counted with a team for supervision and control within the DIGECA. The national inventory of PCBs was improved and developed the S ystem I nformation COP [5] , which facilitates the monitoring and traceability of PCBs . There are currently 414 companies registered in the COP information system, which have already entered information, which will allow evidence for decision-making and support in the processes of elimination and decontamination of PCBs.

- COMPONENT 2. ENVIRONMENTALLY RATIONAL MANAGEMENT AND PROVISIONAL STORAGE OF PCBS .

  The environmentally sound management and provisional storage of PCBs was achieved in a ***highly satisfactory*** manner .

  - *Result D. PCB management practices implemented and improved.*

    The products were achieved in a ***highly*** **satisfactory** way . It was published technical guidance for handling d and the PCBs [6] and management plans that are in operation were developed; staff were trained in Best Practices for PCB handling and technical standards for handling PCB equipment were improved .

  - *Result E. Adequate and centralized, established and operationalized provisional PCB storage .*

    The level of logr or was hit so **highly successful** strategy was changed and instead of building or n store provisional PCB centralized, it was decided to put up storage centers in each of the s 8 companies s , which are applied the rules techniques and safety for temporary storage . Centers ventilated, sealed floor, fitted with boxes of containment ng and whose use is restricted to store equipment with PCBs only.

- COMPONENT 3. ENVIRONMENTALLY RATIONAL DESTRUCTION OF PCBS AND THE MANAGEMENT OF CONTAMINATED EQUIPMENT

  The environmentally sound destruction of PCBs and equipment handling contaminated , was reached in a manner **satisfactory.**

  - *Result* F. Environmentally sound destruction of PCBs.

    The result was **satisfactory.** They are Knock aron 1302.40 tons of PCBs , for which a was established export scheme PCB and mechanisms of coordination between holders of PCB , the DIGECA, the MS and UNDP. The feasibility study for decontamination of equipment using a Public-

Private Partnership modality was not carried out. Given that in the country there is a local company duly authorized by the Environmental Technical Secretary ( SETENA ) and registered with the Ministry of Health, it was not necessary to carry out the feasibility study to assess whether PCB-contaminated oils (< 5,000 ppm) can be destroyed locally where ODSs are destroyed.

- COMPONENT 4. AWARENESS, COMMUNICATION, MONITORING AND EVALUATION.

The sensitization, communication, monitoring and evaluation obtained ***highly satisfactory*** .

Result G. There are publications and video. The DIGECA website, where information about the Project is located, was improved. Greater awareness was achieved among the counterparts , especially in the generating companies where important changes were developed through the training and sensitization of the personnel directly involved with the PCBs and the information to the rest of the personnel, also including the political and managerial levels. . The monitoring of the actions with the companies occurred at the coordination level of the project and DIGECA. In relation to the project in general at the UNDP level . The companies communicated awareness to the staff about PCBs and the actions carried out .

3.3.4. D appropriating the country

The ownership of the country is ***high*** . The actors involved have made positive commitments to the country. They are developing actions consistent with the objectives of the project and in compliance with e l regulatory framework on the management and disposal of PCBs. Specifically, the electric generators made important changes that demonstrate the high level of appropriation indicated:

1. Cumplim i ent measures, even when there was no regulation of PCBs.
2. Creation of specific units for PCB detection.
3. Creating protocols , procedure s and mechanisms internal to the management of PCBs.
4. Budgeting for PCB management
5. Training of personnel on PCBs.
6. Development of a new service line for large consumers, aimed at enabling the proper management and disposal of PCBs, in accordance with current legislation.
7. The inventory allows better management of the transformers and prioritization for their intervention .
8. Creation of interdepartmental commissions .

3.3.5. The integration

The project manages to integrate the fulfillment of commitments and the needs of the country , the strategies of UNDP and GEF, and O BJECTIVES of D evelopment Sustainable ( ODS ) . As a way that enables the enterprise to s meet proper handling of PCBs.

3.3.6. Sustainability (*)

Sustainability turns out to be ***highly satisfactory*** .

*Institutional framework and governance*

The institutional framework and governance was strengthened, because DIGECA and the generating companies were strengthened in their capacities. F also avorecen sustainability , l to commissioning of regulations and methodologies that improve the management of PCBs ; he training and the creation of tools such as the information system and updating the inventory. In addition, DIGECA maintains the institutional program on the PCB and the interest of maintaining a space for communication , training activities and maintenance of the C ommittee T echnical Advisory gift of participating companies, which are committed to continuous r with the processes initiated . The developed capacities allow to handle PCBs and other highly polluting substances. Inventory is p e rm an entity and the information generated by the S ystem I nformation COP, it will define evidence-based future actions . DIGECA has the server where the information system is hosted and has the strength to manage, maintain and modify the system.

*Financial aspects*

In general for firms to p reoccupy not yet complete inventory restrictions and financial provoked by the recently approved tax reform they can affect . However, they are also willing to budget resources to provide continuity to pending actions .

*Environmental aspect*

The elimination and management based on good practices and the commitment to Social Responsibility of electricity generating companies , strengthens environmental sustainability . In addition, this to Specto will be helped by the monitoring and control performed by the MS and DIGECA to ensure compliance of the management by the company s , with respect to the Plan of Integrated Waste Management and Plan of Environmental Management .

3.3.7. Impact

E l project achieved results highly significant , from which is expected to be lograd or in the future a greater contribution towards the expected impacts. E l project succeeded in reducing rie s go to the health of people who directly work with PCB and contributes to an avoided pollution that promotes the health of the general population.

Regarding the results that are to be generated in the future, if conditions are maintained at least, the impact may increase, since inventories suggest the future availability of PCBs for disposal.

Therefore, it is clear that the country is progressing towards achieving the objective of "... *minimizing the risks of PCB exposure to Costa Ricans, including vulnerable populations, and the environment, while promoting Costa Rica's compliance with the requirements of the Stockholm Convention for the management and destruction of PCB* s . ”

## 9. Conclusions, recommendations and lessons learned .

CONCLUSIONS

- The project was highly satisfactory in its relevance in relation to the needs of the country and also in its effectiveness in creating the necessary national conditions for proper management based on international good practices (determination, measurement, handling, storage, internal mobilization, cross-border transportation export and disposal), regulation, inventory, monitoring and control of PCBs; With this, the capacities to fulfill the commitments acquired by the country under the Stockholm Convention were strengthened, also creating the conditions for companies to comply with the national legal framework on the management and elimination of PBC.
- DIGEGA today has better tools for information management for evidence-based decision-making, as well as monitoring and control of the management carried out by PCB companies.
- Looking ahead, the sustainability of the results obtained is highly satisfactory, contributing the project with a public institutionality and a strengthened technical and operational capacity of the generators (public and private); as well as the forecast of a sustainability strategy that indicates the route to follow after the completion of the project.
- The support of UNDP and the GEF together with the capacity of the country's institutions and the high level of commitment shown by the electric generators were key to successfully complete the project.
- Political management, communication, adequate coordination and due attention to the needs of the partners became factors of success for the achievement of the objectives pursued by the project.
- The decision-making in the substantive reviews were effective, because they supported the project in which it achieved its objectives; They also allowed time to verify the operation and for the implementation of regulations (decree and manuals), technical and operational capacities, and management instruments (COP information system).
- A challenge for the future for DIGECA consists in supporting the management to be carried out by large consumers of electricity that could have equipment contaminated with PCBs . In the framework of good governance in this regard, the leadership of DIGEGA and the participation of generating companies occupy a relevant role for this sector to achieve adequate PCB elimination.

RECOMMENDATIONS

- For the future , maintain support for DIGECA, by UNDP, MINAE and MS for the development of future actions, taking into account the dynamism of sectors , including the possibility that can be implemented OTR for intervention in the line of PCB or COP'S .
- The task for DIGECA at the end of the project will be arduous. Support and assistance to the s enterprise s , after the completion of the project becomes a success factor. In the same way, companies must move forward with pending actions.
- DIGECA must maintain a favorable environment for governance, with the support of generating companies and support service delivery models so that they advise, accompany, and present other services for the management and elimination of PCBs in the hands of large consumers.
- Maintain the technical committee, as a technical support and monitoring group, that allows the feasibility to carry out future actions with the PCBs.
- Companies generating , can constitute a coordination platform apoy ada by DIGECA , so that the handling of an appropriate volume scale PCB, is achieved in the future a level cost efficient for removing PCB , which is achieved inventorying after the end of the project.
- The certification process should detail the way it is is structured supply and demand for this service , to promote the generation of new service providers in this area.
- DIGECA should provide follow - up the process of accrediting tion of the PCB analysis test of the CICA and thus develop national capacity in this area.
- Generating companies , in the future, may carry out activities that allow sharing experiences and knowledge, and particularly the development of a financial scheme for the elimination of PCBs , both from their own equipment and that of large consumers.
- The support of DIGECA will be essential for generating companies to develop services aimed at supporting PCB management by large consumers.

LEARNED LESSONS.

- A design that is understandable for the partners, that correctly interprets the structure of the executing agency and that is also understandable for the partners, turns out to be a success factor in achieving highly satisfactory results.
- A correct diagnosis and a participatory project design that is understandable and supported by the sectors involved strengthen from the outset the relevance of the actions, a feasible operating framework and clear rules for their implementation.
- The proper functioning of the implementation and execution structures, together with effective decision-making, support the achievement of the expected results.
- The success of a project can be achieved with the leadership of the executor and the effective coordination oriented to the conditions of the partners and recipients of the projects.

- When a project includes the enactment of legislation, rules or regulations, it is important that the approach is carried out urgently from the beginning for the time it may take to become a reality.
- The PCB elimination action involves specialized procedures, from the political, technical and legal fields, and also high financial costs ; leading to state facilitation intervention, within an appropriate governance framework .
- The success of the project depended on an adequate implementation structure, which facilitated management, the functioning of a culture of governance and collaboration supported by internal and external partners .

## 10. Annexes

### 10.1. Annex 1. Terms of reference (TDR)

**UNITED NATIONS DEVELOPMENT PROGRAM**

**PROJECT No . 84331 - COMPREHENSIVE MANAGEMENT OF PCBS (POLY CHLORINATED BIPHENYLS) IN COSTA RICA**

**TERMS OF REFERENCE**
**(Consecutive Acquisitions 6)**

**Consulting for the Final Evaluation of the Integrated Management of PCBs ( Poly Chlorinated Biphenyls ) Project in Costa Rica.**

**1. OBJECT OF THE CONTRACTING**

Carry out a final evaluation in English of the project, following the attached evaluation guide Annex 1.

**2. TASKS AND RESPONSIBILITIES**

**In addition to the activities listed in Annex 1 is requi e re the person hired note the following action** :

Promote in the development of their tasks and responsibilities, the promotion of Human Rights, gender equality and the empowerment of women and girls, as well as the search for compliance with the sustainable development goals and the 2030 agenda

**3. PROFILE OF THE REQUIRED PERSON :**

**Requirements and qualifications** :

- Professional with a Bachelor's degree, preferably Master in Monitoring and Evaluation, Environmental management, Chemistry, Engineering, Administration, Exact Sciences, Sustainable Development, Economics, Social Sciences or other related careers)
- At least 2 years of experience in matters related to POPs ( POP's )
- At least 5 years of professional experience in the area of Development, Environment, Sustainable Development, with technical knowledge in the GEF focal areas, and multi-focal areas and transversal capacities for Multilateral Environmental Agreements.
- At least 5 years of experience in evaluation, monitoring or implementation of projects in a results-based management and adaptive management framework with demonstrated achievements in the evaluation of international organizations, preferably from UNDP-GEF
- Demonstrated knowledge of GEF Monitoring and Evaluation
- Knowledge of the Environmental sector of Costa Rica
- Excellent writing and report writing skills in English
- Good communication skills

Other requirements:

- **Desirable** knowledge in Human Rights, gender equality and empowerment of women and girls
- **Desirable** knowledge about the 2030 Agenda for sustainable development

**Corporate competencies**

- *Demonstrate integrity with the values of ethical standards of the United Nations*
- *Demonstrates commitment to the mission, vision and values of the United Nations*
- *Demonstrates adaptation and sensitivity to cultural, gender, religion, race, nationality and age aspects*
- You *have a fair deal for all people*
- *Has creativity and innovation for the coordination and management of activities*
- *Has excellent organizational skills and the ability to multitask effectively*

• *Has a sense of confidentiality*

**4. CONSULTING PERIOD**

The contract will have a duration of **two months is** (with 15 working days within this period), starting from the signing of the respective contract.

**5. FEES AND METHOD OF PAYMENT**

The workplace for this consulting is from home. In the event that the person hired is not a resident of the area, the project does not assume the costs of transfer and stay in the work area.

The bidders must present a financial offer in colones for the total value of their professional services for the tasks requested by the consultancy. The costs of activities such as workshops, reproduction of materials, local travel for site visits and communities in the role of the consultancy, are borne by the project and should not be included in the financial offer. All travel and transportation expenses are borne by the consulting person. It will be the responsibility and responsibility of the person hired, the support and field staff that need to be hired to carry out the final evaluation. The costs incurred by the use of technological tools (software, hardware) and other tools to carry out the evaluation will be borne by the responsibility and responsibility of the contracted person .-

The fees will be paid in colones and will be made in 3 tracts, each tract will be paid, **10 days after the approval** by the National Project Coordinator , of each of the products and upon presentation of the stamped and / or electronic invoice as appropriate . The maximum term of the consultancy is **2** months, but the products can be presented before the stipulated deadlines.

This Consultancy will be carried out under the supervision of the National Project Coordinator and the UNDP Office of Sustainable Development.

| PRODUCTS | DELIVERY TERM | Total Payout Percentage |
|---|---|---|
| **First Product** : Work Plan / mission ( Mission Work -plan.) According to the detail of the product specified on page 16 of these TORs | *10 days after signing the contract* | *10%* |
| **Second Product** : First evaluation draft (Following submission and approval of the 1ST draft terminal evaluation report ) according to the product detail specified on page 16 of these TORs | *3 weeks after the evaluation mission* | *30%* |
| **Third Product** : Final Evaluation Report (approved by UNDP CO and RTA) (Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report ) according to the product detail specified on page 16 of these TORs | *1 week after the revision of the evaluation draft.* | *60%* |

**6. EVALUATION OF OFFERS**

- For the evaluation of the proposals, a procedure consisting of two stages is used, through which the evaluation of the technical proposal is carried out prior to the opening and comparison of any economic proposal. Only the economic proposal of the offers that obtain at least **700** of the total qualification of **1000** points corresponding to the evaluation of the technical proposals will be opened .
- The technical proposal will be evaluated based on its correspondence or adequacy with respect to the Terms of Reference ( TDR's ).
- In the second stage, the economic proposals of all bidders who have obtained the minimum score of 700 points in the technical evaluation will be compared. The maximum score for the price factor that can be obtained is 300 points. This score will be awarded to the lowest economic offer. All remaining bids will be scored in inverse proportion to the lowest financial bid.
- The Economic Offer must include a detail of each activity listed separately, in order to reflect the breakdown of costs for each product.

The Price Factor (Economic Offer) score will be determined using the following formula [1] :

PFP = ( POMB / PO) * 300

Where:

PFP = Price Factor Percentage

POMB = Lowest Offer Price

PO = Offer Price

Criteria Evaluation qualities and experience.

| Assessment of qualities and experience Form 1 | | Top Score | Offerer | | | | |
|---|---|---|---|---|---|---|---|
| | | | TO | B | C | D | AND |
| Qualities and experience of the offeror | | | | | | | |
| | | | | | | | |
| one | • Professional with a | Bachelor : 75 pts | | | | | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Bachelor's degree, preferably Master in Monitoring and Evaluation, Environmental management, Chemistry, Engineering, Administration, Exact Sciences, Sustainable Development, Economics, Social Sciences or other related careers) | Master or PhD: 100 pts | | | | | | |
| 2 | • At least 2 years of experience in matters related to POPs ( POP's ) | Max. 100 pts<br>3 or more years exp . 100pts<br>2 years of experience 50 pts<br>Less than 2 years 0 points | | | | | | |
| 2 | • At least 5 years of professional experience in the area of Development, Environment, Sustainable Development, with technical knowledge in the GEF focal areas, and multi-focal areas and transversal capacities for Multilateral Environmental Agreements. | Max. 100 pts<br>8 or more years exp . 100pts<br>Between 5 and 7 years of experience 75 points<br>Under 5 years 0 points | | | | | | |
| | • At least 5 years of experience in evaluation, monitoring or implementation of projects in a results-based management and adaptive management framework with demonstrated achievements in the evaluation of international organizations, preferably from UNDP-GEF | Max. 200 pts<br>7 or more years exp . 200pts<br>Between 5 and 6 years of experience 150 pts<br>Under 5 years 0 points | | | | | | |
| | • Demonstrated knowledge of GEF Monitoring and Evaluation<br>• Knowledge of UNDP and GEF Monitoring and Evaluation Policies **(10%)** | Max: 100 pts<br>More than 6 years of work experience demonstrates GEF Monitoring and Evaluation Knowledge: 100pts<br>4-5 years of work experience demonstrates GEF Monitoring and Evaluation Knowledge : 70pts<br>2-3 years of work experience demonstrates GEF Monitoring and Evaluation Knowledge: 50pts<br>1 year of work experience demonstrates GEF Monitoring and Evaluation Knowledge: 20pts | | | | | | |
| | • **Knowledge of the** | Max: 200 pts | | | | | | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | **Environmental sector of Costa Rica**<br><br>• Knowledge of Environmental Sector in Costa Rica (preferably MINAE). **(twenty%)** | More than 6 years of work experience demonstrates Knowledge of the environmental sector in Costa Rica: 200pts<br><br>4-5 years of work experience demonstrates Knowledge of the environmental sector in Costa Rica: 150pts<br><br>2-3 years of work experience demonstrates Knowledge of the environmental sector in Costa Rica: 100pts<br><br>1 year of work experience demonstrates Knowledge of the environmental sector in Costa Rica: 50pts | | | | | | |
| | • Excellent writing and report writing skills in English<br>• Excellent English Writing and reporting skills (present at least 3 references of documents prepared). **(10%)** | Max: 100pts<br><br>Three examples of reports written in English have very high writing quality:<br>100pts<br><br>Three examples of reports written in English have good writing quality:<br>75pts<br><br>Three examples of reports written in English have satisfactory writing quality:<br>50pts<br><br>Three examples of reports written in English have unsatisfactory writing quality:<br>25pts | | | | | | |
| | • Good communication skills:<br>• Good communication skills and positive interrelation. **(10%)**<br>• Submit an example assessment document above | Max: 100pts<br><br>Sample evaluation document demonstrates Very good clarity of approach and good communication skills: 100pts<br><br>Sample evaluation document demonstrates good clarity of approach and good communication skills: 75pts<br><br>Sample evaluation document demonstrates Satisfactory | | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | clarity of approaches and communication skills: 50pts<br><br>Sample evaluation document demonstrates poor clarity of weak communication skills and approaches: 0pts | | | | | |
| | TOTAL points 1000Pts | | | | | | |

The bidder must submit a detailed economic proposal in colones for the total value of the product / service, which must include the amounts for fees, lodging, food, transportation, materials and any other expenses including their travel expenses if apply.

The offer with the highest total score will be awarded.

**7. APPLICATION REQUIREMENTS**

People who wish to apply for this consultancy must present the following documentation:

1. **Letter from the person presenting the offer to UNDP** confirming interest and availability using the model provided by UNDP ( **Attached Format** ) a paragraph should be included indicating how their work and this consultancy will accelerate the achievement of the sustainable development goals and strengthen the gender equality.
2. **Resume** updated to provide the information necessary to demonstrate academic qualifications, knowledge and experience that empower them to perform the tasks requested in these terms of reference.
3. **Economic offer in US $ dollars,** indicating the total fixed price of the contract, all inclusive, supported by a breakdown of expenses, according to the format provided. If the Bidder works for an organization / company / institution, and he / she expects his / her employer to charge an administration fee in the process of releasing him / her to UNDP under a Repayable Loan Agreement (RLA), the Bidder must indicate at this point, and ensure that all expenses are duly incorporated in the financial proposal submitted to UNDP.
4. **Copies of university degrees** and the necessary supporting documents to demonstrate the requested qualifications.
5. **Work proposal** with a sufficient level of detail to understand the approach strategy and approach and a schedule of activities, taking into account what is indicated in these terms of reference.
    - Technical proposal in Spanish.
    - Economic Proposal in Spanish.

The presentation of all the requirements described above is mandatory, the lack or omission of any of the requirements invalidates the offer, as it is considered incomplete .

Applications should only be addressed to the electronic address acquisiciones.cr@undp.org , indicating in the email subject: **CI / CRI / 2019 / No. 8 4331 / FINAL EVALUATION PCBs.**

The technical offer and the financial offer must be attached in **separate documents .**

Each document must be sent in separate files , not exceeding 35Mb , identified by the name of the document and the offeror, attached in a single email. If you exceed 35MB, please send the attachments distributed in several emails.

This process is aimed at natural persons on an individual basis. Any offer received from a legal entity or from two (2) or more persons will be rejected

The deadline for receipt of applications this consultancy is the day **February 24, 2019, until 23:59 when Costa Rica.**

Technical or administrative queries will not be answered by telephone and should be addressed only to acquisitions.cr@undp.org no later **than February 18, 2019 until 11:59 p.m. in Costa Rica.**

**Only selected people will be contacted**

**Annex I**

Date: January 2018

**Services required:** Consultancy services to carry out the Terminal Evaluation of the project "Environmentally Sound Management and Destruction of Poly Chlorinated Biphenyls in Costa Rica".

**Time of contract:** 2 months **Begins:** 01/03/2019 **Ends:** 04/30/2019

**Number and project Name:** 00084331 Environmentally Sound Management and Destruction of PCBs in Costa Rica

**Objective:** The overall objective of the Terminal Evaluation is to analyze the implementation of the project, review the achievements made by the project to deliver the specified objectives and outcomes. It will establish the relevance, performance and success of the project, including the sustainability of results.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. http://web.undp.org/evaluation/documents/guidance/gef/undp-gef-te-guide.pdf

**Name of supervisor of products and services:** Kifah Sasa, Program Officer - UNDP / Jose Alberto Rodriguez - DIGECA - Ministry of Environment and Energy

**Travel requirements:** Travel to Costa Rica City (1)
**Work place :** Home-based and Costa Rica City
**Payments:** According to TOR's

## 1. BACKGROUND

In accordance with the United Nations Development Program (UNDP) and the Global Environment Fund's (GEF) monitoring and evaluation policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation.

These terms of reference set out the expectations for a Terminal Evaluation (TE) of the Environmentally Sound Management and Destruction of PCBs in Costa Rica Project.

**Project Information**

| | |
|---|---|
| Country: | COSTA RICA |
| ATLAS Award ID: | 00070216 |
| PIMS Number : | 4092 |
| GEF Focal Area | POPs |
| GEF Strategic Objective : | POPs SP-1 and POPs SP-2 |
| GEF Budget (USD): | $ 1,930,000 |
| Co- Financing Budget (USD): | $ 8,709,274 |
| Project Document Signature date: | Costa Rica, |
| Date of first disbursement : | November 2013 |
| Original Planned Closing Date: | December 2017 |
| Executing Agency: | DIGEGA-MINAE |
| Date Mid Term Evaluation took place: | February -April, 2017 |

**Objective and Scope**

This Terms of Reference is for the conduct of a Terminal Evaluation UNDP project-- Environmentally Sound Management and Destruction of PCBs in Costa Rica, funded by the Global Environment Facility (GEF), with a grant of US $ 1,930,000 . UNDP is the GEF implementing agency for the project.

The central objective of this project is to minimize risks of exposure from PCBs to Costa Ricans, including vulnerable populations, and to the environment, while promoting Costa Rica's compliance with Stockholm Convention requirements for PCB management and destruction.

The project, led by Costa Rica's Ministry of Environment and Energy (DIGECA), would achieve this objective through creation of an enabling environment for decommissioning and destruction of Costa Rica's remaining estimated inventory of 1,350 tons of PCB wastes. PCB wastes to be destroyed during the project period would include Costa Rica's official (reported) inventory of 1350 tons and part of those wastes identified and decommissioned within three industrialized states and one municipality. The enabling environment would be established via four project components: (1) development and implementation of strategies and activities for strengthening Costa Rica's institutional capacity within central and state governments for environmentally sound management and destruction of PCBs, including legislation and enforcement (2) facilitation of expansion and / or upgrading of interim storage so that Costa Rica has adequate safe central and regional interim PCB storage facilities for its national PCB inventory, with particular emphasis on access to facilities by small- and medium-size enterprises (SMEs) (3) establishment and demonstration of a nationally-coordinated, comprehensive servicing system for PCB management, and (4) raising awareness of legal obligations and best practices for PCB management and destruction in the private and public sectors through outreach and training.

**The main stakeholders of this TE are:**

- DIGECA- Ministry of Environment
- Electric Service Provision Companies (Coopelesca, Coopealfaroruiz, Coopesantos, Coopeguanacaste, Heredia Public Services Company, Administrative Board of the Municipal Electric Services of Cartago, Instituto Costarricense de Electricidad, Compañía Nacional de Fuerza y Luz.
- Final users of Project results: enterprises, organizations, universities

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

**Evaluation approach and method**

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluators are expected to use the criteria of relevance, effectiveness, efficiency, sustainability, and impact in the evaluation, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed projects. A suggestive set of questions covering each of these criteria have been drafted and are included in Annex D, however the evaluators are expected to amend, complete, discuss, validate, justify and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, UNDP Country Office, DIGECA, project country teams, UNDP GEF staff (both in the region and at HQ) and other key stakeholders. The evaluator is expected to conduct field missions to the selected project countries - identified in Annex A. Interviews will be held with the key organizations and individuals, a list of stakeholders to consult will be provided for the evaluators, and consultations will be held with key stakeholders on the ground. If possible, the consultants will liaise with M&E consultants that are assisting the PACC and PACC + country project management units. The evaluator will review all relevant sources of information, such as the project document, log frames, project reports - including project implementation reviews (PIR), project budget revisions, midterm review and associated management response, progress reports, GEF focal area tracking tools, project files and any other materials that the evaluator considers useful for the conduct of an evidence-based Terminal Evaluation. A list of documents that the project team will provide to the evaluator for review is included in Annex C of this Terms of Reference. Any additional documentation that the evaluator seeks will be made available by UNDP and its partners where available. If any are not available, the evaluator will be provided an explanation as to why the requested documentation is not available and this will also be taken into account in the final terminal evaluation including rating for overall performance of the project.

The project evaluation will be undertaken in accordance with UN evaluation norms and policies and should maintain a clear focus on results. The evaluation team is responsible for revising the approach as necessary and present its methodological proposal as part of their inception report to UNDP on the progress of the terminal evaluation. Evaluation methods should be selected for their rigor in producing conclusions based on evidence against the evaluation criteria. The evaluation team will also respond to the questions and comments raised on the evaluation by internal and external reviewers of the results ascertained.

**Evaluation criteria & ratings**

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework / Results Framework (see Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: relevance, effectiveness, efficiency, sustainability and impact.

Ratings must be provided on the following performance criteria. The competed table must be included in the evaluation executive summary. The obligatory rating scales are included in TOR Annex D.

| **Rating Project Performance** | | |
|---|---|---|
| Criteria | | Comments |
| **Monitoring and Evaluations: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)** | | |
| Overall quality of M&E | (rate 6 pt. scale) | |
| M&E design at project start up | (rate 6 pt. scale) | |
| M&E plan implementation | (rate 6 pt. scale) | |
| **IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)** | | |
| Overall Quality of Project Implementation / Execution | (rate 6 pt. scale) | |
| Implementing Agency Execution | (rate 6 pt. scale) | |
| Executing Agency Execution | (rate 6 pt. scale) | |
| **Outcomes: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)** | | |
| Overall Quality of Project Outcomes | (rate 6 pt. scale) | |
| Relevance: relevant (R) or not relevant (NR) | (rate 6 pt. scale) | |
| Effectiveness | (rate 6 pt. scale) | |
| Efficiency | (rate 6 pt. scale) | |
| **Sustainability: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U)** | | |
| Overall likelihood of risks to Sustainability | (rate 6 pt. scale) | |
| Financial resources | (rate 6 pt. scale) | |
| Socio-economic | (rate 6 pt. scale) | |
| Institutional framework and governance | (rate 6 pt. scale) | |
| Environmental | (rate 6 pt. scale) | |
| **Impact: Significant (S), Minimal (MS), Negligible (N)** | | |
| Environmental Status Improvement | (rate 6 pt. scale) | |
| Environmental Stress Reduction | (rate 6 pt. scale) | |
| Progress towards stress / status change | (rate 6 pt. scale) | |
| Overall Project Results | (rate 6 pt. scale) | |

**Project finance / co-finance**

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures.

Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator (s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

| Co-financing (type / source) | UNDP own financing (mill. US $) | | Government (mill. US $) | | Partner agency (Mill. US $) | | Total (Mill. US $) | |
|---|---|---|---|---|---|---|---|---|
| Grants | Planned | Current | Planned | Current | Planned | Current | Planned | Current |
| Loans / Concessions | | | | | | | | |
| In-kind support | | | | | | | | |
| Other | | | | | | | | |
| Totals | | | | | | | | |

**Mainstreaming**

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programs . The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender. In addition, the evaluation will be included in the country office evaluation plan.

**Impact**

The evaluator will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, or c) demonstrated progress towards these impact achievements.

**Conclusions, recommendations & lessons**

The evaluation report must include a chapter providing a set of conclusions, recommendations and lessons.

**Implementation arrangements**

The main responsibility for managing this evaluation resides with the UNDP CO in Costa Rica. The evaluator will be responsible for liaising to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

**Evaluation timeframe**

The total duration of the evaluation will be 30 days according to the following plan:

| Activity | Timing | Deliverables |
|---|---|---|
| Preparation | 3 days including travel time | • **Acquaintance with the project document and other relevant materials with information about the project (PIRs and other evaluation reports, products, etc.);**<br>• **Familiarization with overall development situation of country (based on reading of UNDP- Common Country Assessment and other reports on the country).**<br>• **Detailed mission program preparation, including methodology, in cooperation with the UNDP Country office.**<br>• **Initial telephone discussion with UNDP CO and UNDP-GEF Regional Technical Advisor** |
| Evaluation Mission | 5 days<br><br>**The dates for the mission have to be: 8 to 12 April 2019** | • **Meeting with UNDP Country office team and DIGECA staff;**<br>• **Meetings with key stakeholders in country**<br>• **Joint review of all available materials with focused attention to project outcomes and outputs**<br>• **Interviews with key beneficiaries and stakeholders, including representatives of local authorities, local environmental protection authorities, local community stakeholders, etc.** |
| Draft Evaluation Report | 7 days | • **Final interviews / cross checking with UNDP CO, UNDP RCU and DIGECA.**<br>• **Drafting of report in proposed format**<br>• **Telephone review of major findings with DIGECA, UNDP CO and UNDP-GEF RTA**<br>• **Completing of the draft report and presentation of draft report for comments and suggestions within 2 weeks.** |
| Final Report | 2 days | • **Presentation of final evaluation report within 1 week.** |

**Evaluation deliverables**

The evaluation team is expected to deliver the following:

| Deliverable | Content | Timing | Responsibilities |
|---|---|---|---|
| Inception Report | Evaluator provides clarifications on timing and method | No later than 2 weeks before the evaluation mission | Evaluator submits to UNDP CO |
| Presentation | Initial Findings | End of evaluation mission | To project management, UNDP CO |
| Draft Final Report | Full report, (per annexed template) with annexes | Within 3 weeks of the evaluation mission | Sent to CO, reviewed by RTA, PCU, GEF OFPs |
| Final Report * | Revised report | Within 1 week of receiving UNDP comments on draft | Sent to CO for uploading to UNDP ERC. |

* When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

**Evaluator Ethics**

Evaluation consultant will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations'.

**S pecifications**

| | |
|---|---|
| 10% | Following approval of work and mission plan after contract signature. |
| 30% | Following submission of first drat terminal evaluation report and an oral presentation of main findings of the evaluation to UNDP CO and Project Team before the mission is concluded in order to allow for clarification and validation of evaluation findings:<br>• Review key documentation of the project. UNDP Guidelines for Evaluations and carry out a meeting with DIGECA and UNDP to agree on dates and other issues to develop and inception report.<br>• Review documentation, prepare and carry out interviews with key actors, and present a first draft of the evaluation reports a well as an oral presentation of the main findings. |
| 60% | Following submission and approval (UNDP CO and UNDP RTA) of the final terminal |

| | |
|---|---|
| | evaluation report:<br>• Integrate comments received from DIGECA and UNDP into the final Evaluation Report.<br>• Evaluation Report which is to be in line with the Report Outline described in the UNDP Evaluation Guidance for GEF Financed Projects (approved by UNDP and DIGECA) |

Annex A - Project logical framework

| |
|---|
| **This project will contribute to achieving the following Country Program Outcome as defined in CPAP or CPD:**<br>**Consolidate the national capacities to promote environmental sustainability, the management of disaster risks and sustainable territorial planning.** |
| **Country Program Outcome Indicators:**<br>**Public institutions and civil society strengthen capacities to address and reduce the negative impact of climate change, the reduction of the ozone layer, solid waste management, integrated management of water resources, and persistent organic pollutants in accordance with international agreements.** |
| **Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):**<br>**Catalyzing environmental finance** |
| **Applicable GEF Strategic Objective and Program: 1. Phase out of POPs and reduce POP releases.** |
| **Applicable GEF Expected Outcomes: 1.4 POPs waste prevented, managed and disposed of, and POPs contaminated sites managed in an environmentally sound manner. 1.5 Country capacity built to effectively phase out and reduce releases of POPs.** |
| **Applicable GEF Outcome Indicators: 1.4.1. Amount of PCBs and PCB- related waste disposed of, or decontaminated, measures in tons as recorded in the POPs tracking tool. 1.5.1. Progress in developing and implementing a legislative and regulatory framework for environmentally sound management of PCBs, and for the sound management of chemicals in general, as recorded through the POPs tracking tool.** |

| | Indicator | Baseline | Targets<br>End of Project | Source of verification | Risks and Assumptions |
|---|---|---|---|---|---|
| **Project Objective**[7]<br>**Minimize risks of exposure from PCBs to people and the environment in Costa Rica.**<br>**(equivalent to output in ATLAS)** | Quantity of PCBs (liquids and solids) destroyed in the project period (2013-2017).<br><br>Quantity of PCB material safeguarded. | 1000 MT PCBs destroyed pre- project through exports and in-country treatment.<br><br>National inventory but outdated . | 1350 MT of PCBs (liquids and solids) disposed of in an environmentally sound manner.<br><br>All known PCBs safely stockpiled. | Certificate of destruction.<br><br>National database on stockpiled PCBs. | The assumption is that 1350 MT would be available for destruction and that national disposal solutions (if relevant) would be accepted by the civil society as a result of the project.<br><br>**Risk** : Low |
| | Number of environmental, health and customs authorities' personnel trained to monitor compliance of Stockholm Convention requirements and national norms. | Environmental, health and customs authorities' personnel do not have the knowledge and training to execute control and monitoring of the PCB stockpiles in the country. | 30 officials of the environmental, health and commerce authorities trained to control the commerce, storage, transport, treatment and final disposal of PCBs,<br><br>1 Norm developed and validated<br><br>4 guidelines / manuals developed by end of the project | Lists of attendance of workshops and training sessions.<br><br>1 norm validated<br><br>Manuals and guidelines on PCB management published. | Costa Rica has an inter-ministerial committee that deals with Chemical related issues and are expected to have a high interest in receiving proper training.<br><br>**Risk :** Low |
| | Number of safe PCB management and disposal options<br><br>Number companies trained and implementing the new regulatory guidelines<br><br>Number of inspectors / enforcement officers | The country has no centralized facility for treatment PCB contaminated transformers.<br><br>No guidelines for PCB management in place.<br><br>Limited knowledge about PCB management among environmental inspectors. | At least one treatment / disposal alternative (interim storage / transfer station) in operation at the end of the project.<br><br>8 companies trained and implementing the new regulatory guidelines.<br><br>20 maintenance and other personnel at PCB holders trained in safe PCB handling.<br><br>4 inspectors / enforcement officers trained to enforce | Disposal Certificates. Natio nal and international consultants' reports on the establishment / operation of interim storage / transfer station.<br><br>Monitoring reports<br><br>Reports from training of inspectors | Regulatory framework and permits for operation of interim storage / transfer station in place<br><br>Agreement among Electrical Utility and Distribution companies to develop a common centralized solution.<br><br>**Risk :** Medium |

| | | | | | |
|---|---|---|---|---|---|
| | trained to enforce national laws / norms on PCB management | | national laws / norms on PCB management. | | |
| **Outcome 1**[8]<br><br>**Strengthened Institutional Capacity in Costa Rica for the environmentally sound management of PCBs.** | Number of PCB management regulations developed and validated by regulating institution.<br><br>Number of inspectors trained to conduct site visits for the verification of compliance of the regulations for PCB management.<br><br>Number of inspections carried out during project implementation (2013-17)<br><br>Number of potential contaminated sites<br><br>Number of national inventories updated on line with information from electrical companies on contaminated equipment and oils identified and inventories eliminated.<br><br>Number of reports submitted to the Stockholm Convention Secretariat<br><br>National PCB Management and Elimination Plan | PCB management is not established by regulations and norms that guarantee their environmentally sound management.<br><br>The regulating institution does not have trained inspectors that can evaluate the environmentally sound management of PCBs.<br><br>Currently contaminated sites have not been identified.<br><br>The national inventory was done in 2005 and was based on out of service equipment and primarily with Clor -N-Oil testing.<br><br>Currently one annual report is submitted to the SC Secretariat. | PCB management regulations and environmentally sound management norms developed and validated.<br><br>At least 4 inspectors trained in PCB management evaluation and enforcement.<br><br>At least1 inspection made by inspectors to each electrical sector company per semester.<br><br>A preliminary inventory of potentially PCB contaminated sites.<br><br>PCB data base operating with on line reporting from electrical sector companies with inventory update information.<br><br>1 annual report on PCBs submitted to the Stockholm Convention Secretariat.<br><br>National PCB Management and Elimination Plan approved and in implementation process | PCB management regulation developed, validated, and distributed among the electrical sector companies and other interested stakeholders.<br><br>Training completion certificates.<br><br>Semester Inspection reports<br><br>Reports from quarterly updated PCB inventory<br><br>.<br><br>Stockholm Convention report with updated and verifiable information on PCB inventory and contaminated equipment and oil elimination.<br><br>National PCB Management and Elimination Plan | The formulation and approval of regulations and norms could be a slow process due to political pressure and the Ministry of Health as national authority would have to approve the regulation also.<br><br>There may be resistance from PCB holders against approval of new norms and regulations for PCB management.<br><br>It is assumed that sites where PCB equipment has been storage could represent potentially contaminated sites.<br><br>It is assumed that updated inventories will include the equipment that belong to private entities or individuals that are under the distribution companies supervision.<br><br>**Risk** : Low |
| **Outcome 2**<br><br>**Environmentally sound management and interim storage of PCBs,** | Number of Electrical sector companies with PCB management plans, developed and presented to national authority for approval.<br><br>Number of Guidelines and technical standards for the environmentally sound management of PCBs approved.<br><br>Number of Occupational health and safety guidelines issued and implemented by electrical sector companies.<br><br>Number of trainers trained on Best practices for PCB Management | There is a lack of a national environmental management plan that includes an elimination plan so that electrical companies can use as guidelines for their activities, regarding their PCB issues.<br><br>No guidelines and technical standards are currently being used.<br><br>Occupational health and safety issues are important when evaluating potential risk for workers who have already been exposed to PCBs in the past and to prevent future incidents<br><br>No trainers trained . | PCB environmentally sound management practices implemented in at least 7 electrical sector companies.<br><br>7 PCB owners with management plans presented to regulating institution and compliance verified.<br><br>1 set of Guidelines and technical standards for management of PCB equipment established and implemented (transportation, storage, management and disposal).<br><br>1 set of national occupational health and safety standards for PCB management formulated for national application, approved by regulating authority and in operation in electrical sector companies.<br><br>A minimum of 10 trainers trained on Best Practices for | Copy of PCB management plans<br><br>Copy of Guidelines and technical standards.<br><br>Copy of Occupational Health and safety guidelines<br><br>Reports from train the trainers seminars. | The national authority for approval of hazardous waste management plans is the Ministry of Health which could be a slow process.<br><br>National guidelines and technical standards will be approved by both Ministry of Health and Environment.<br><br>The local communities may be against the establishment of a hazardous waste interim storage / transfer station in their area.<br><br>The Environmental Impact Assessment could be a slow process due to the interim storage / transfer station being a hazardous waste and decontamination center. |

| | | | | | |
|---|---|---|---|---|---|
| | | | PCB management. | | |
| | Number of Designs for Interim storage / transfer station.<br><br>Number of Environmental Impact Assessments for Interim storage / transfer station.<br><br>Number of Technical standards developed for interim storage / transfer station.<br><br>Interim storage / transfer station built and ready for operation. | No design for interim storage / transfer station exists currently.<br><br>No EIAs prepared.<br><br>No Technical standards for interim storage / transfer station have been developed.<br><br>No interim storage / transfer station in operation. | 1 Design for interim storage / transfer station developed according to international best practices.<br><br>1 Environmental impact assessment developed and approved.<br><br>Technical standards developed and implemented according to national conditions for Interim storage / transfer station, including design, operation, interim storage, and management of hazardous substances.<br><br>.<br><br>1 Interim storage / transfer station in operation according to developed standards and national law. | Copy of design<br><br>Copy of approval of EIA<br><br>Interim storage / transfer station operation permitting approved.<br><br>Copy of approved Technical standards for interim storage,<br><br>.<br><br>Copy of operation license / permit for Interim storage / transfer station. | EIA will be approved by the Technical Environmental Secretariat, which could be a long lasting process.<br><br>It is understood that the interim storage may be in each electrical company and the transfer station could be operated virtually or that a centralized interim storage / transfer station could be established depending on the existing conditions at the time of its planning.<br><br>Risk : Medium |
| **Outcome 3**<br><br>**Environmentally sound destruction of PCBs and management of contaminated equipment.** | National Coordination mechanism established among PCB holders and government companies in operation.<br><br>Environmentally sound destruction of existing PCB inventory.<br><br>Feasibility study for interim storage / transfer station administration completed.<br><br>Number of agreements between PCBs holders to develop interim storage / transfer station. | The only option for the decontamination, treatment and disposal of PCB contaminated equipment and oils is through exportation to installations at very high cost.<br><br>There is no technically and economically viable alternative to exporting which needs to be developed, in order for the PCB owners to complete the elimination process and fulfill the Stockholm Convention goals<br><br>No formal agreement exists among the 7 PCB holders in the country. | National Coordination mechanism operating.<br><br>A feasibility study completed to determine the best available technological alternative and the interim storage / transfer station options.<br><br>Environmentally sound alternative for decontamination, treatment and disposal of PCB contaminated equipment and oils made available for electrical sector companies and other PCB owners.<br><br>Public Private Partnership developed for the interim storage / transfer station administration.<br><br>1 agreement reached between interested parties regarding interim storage / transfer station operation. | Meeting minutes and attendance lists.<br><br>Environmentally sound destruction of 1350 tons of PCB equipment and oils (> 50 ppm ) ..<br><br>Destruction or treatment certificates presented to national authority.<br><br>Public private partnership feasibility study completed to analyze the alternative for interim storage / transfer station operation and results implemented.<br><br>Copy of agreement | There may be insufficient financial resources available, for PCB environmentally sound disposal, among the electrical sector companies due to present national budget constraints. |
| | Number of feasibility studies to determine if low concentration PCB oils s can be destroyed locally. | Low concentration PCB oils cannot be destroyed locally and no study has been conducted to evaluate the feasibility. | 1 study to determine if PCB contaminated oils with less than 5,000 ppm are destroyed locally (where ODS will be destroyed). | Copy of final report . | |
| **Outcome 4**<br><br>**Awareness raising and communication.** | Number of Awareness raising and communications strategies developed.<br><br>Number of workshops with populations living close to Interim storage / transfer station. | Currently no awareness raising and communication strategy has been developed regarding PCBs and the risk it poses to the people and the environment.<br><br>Physical location of interim storage / transfer station has not yet been determined, and therefore no communication exists | 1 Awareness raising strategy developed and implemented with the main stakeholders (electrical sector companies, regulating institutions and general public).<br><br>4 Community workshops carried out for population living close to the interim storage / transfer station to inform about the benefits of interim storage / transfer station in terms of environmental protection | Awareness raising publications distributed among electrical sector companies and interested communities.<br><br>Copy of workshop reports and random interviews with relevant population. | There may be concerned among the population about the approval of the environmental viability of a hazardous waste interim storage / transfer station. |

| | | | | | |
|---|---|---|---|---|---|
| | | with potentially affected population. | and technical safeguards put in place for the operation. Regular workshops on a yearly basis as follow up this activity. | | |
| **Monitoring, adaptive feedback, outreach and evaluation.** | Number of high quality monitoring and evaluation documents prepared during project implementation | No documents in baseline situation. | 4 Quarterly Operational Reports submitted to UNDP each year<br>1 annual APR / PIR submitted to UNDP each year.<br>1 Mid-term evaluation.<br>1 Final evaluation<br>MTE and FE must include an lessons learned section and a strategy for dissemination of project results. | Reports submitted to UNDP | It is assumed that the project manager will prepare all the reports that are required by the GEF and UNDP.<br>Risk : Low |

Annex B - List of documents to be reviewed by the evaluator

- Project Document
- Cooperation agreements signed between UNDP and donors
- Project Technical Reports
- Annual work plans including budgets
- Annual Project Reports (APR)
- Project Implementation Review (API / PIR)
- Quarterly / six monthly Progress Reports (QPRs) and quarterly Financial Reports (FRs)
- Multipartite Review Meeting (MPR) Reports
- Project board meetings / Project board meeting minutes,
- Mid-term evaluation report

Annex C - Evaluation questions

Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?

Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?

Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?

Sustainability: To what extent are there financial, institutional, social-economic, and / or environmental risks to sustaining long-term project results?

Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and / or improved ecological status?

Annex D - Ratings

| Rating scores | | |
|---|---|---|
| Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution | Sustainability ratings:<br>Relevance ratings | Relevance ratings |
| 6: Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency<br>5: Satisfactory (S): There were only minor shortcomings<br>4: Moderately Satisfactory (MS ): there were moderate shortcomings<br>3. Moderately Unsatisfactory (MU): the project had significant shortcomings<br>2. Unsatisfactory (U): there were major shortcomings in the achievement of project | 4. Likely (L): negligible risks to sustainability<br>3. Moderately Likely (ML ): moderate risks<br>2. Moderately Unlikely (MU): significant risks<br>1. Unlikely (U): severe risks | 2. Relevant (R)<br>1. Not relevant (NR)<br><br>Impact Ratings:<br>3. Significant (S)<br>2. Minimal (M)<br>1. Negligible (N) |

| | | |
|---|---|---|
| objectives in terms of relevance, effectiveness, or efficiency<br>1. Highly Unsatisfactory (HU): The project had severe shortcomings | | |

Annex E - Evaluation Consultant Code of Conduct and Agreement Form

| |
|---|
| **Evaluators:**<br>1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.<br>2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.<br>3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.<br>4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.<br>5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.<br>6. They are responsible for their performance and their product (s). They are responsible for the clear, accurate and fair written and / or oral presentation of study imitations, findings and recommendations.<br>7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation |
| **Evaluation Consultant Agreement Form**<br>Agreement to abide by the Code of Conduct for Evaluation in the UN System<br>Name of Consultant: _____<br>Name of Consultancy Organization (where relevant): _____<br>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.<br>Signed at (place) on date<br>Signature : |

Annex F - Evaluation Report Outline

i. Opening page:

- Title of UNDP supported GEF financed project
- UNDP and GEF project ID # s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program / Strategic Program
- Implementing Partner and other project partners
- Evaluation team members
- Acknowledgments

ii . Executive Summary

- Project Summary Table
- Project Description ( brief )
- Evaluation Rating Table
- Summary of conclusions, recommendations and lessons

iii. Acronyms and Abbreviations (See: UNDP Editorial Manual)

1. Introduction

- Purpose of the evaluation
- Scope & Methodology
- Structure of the evaluation report

2. Project description and development context

- Project start and duration
- Problems that the project sought to address
- Immediate and development objectives of the project
- Baseline Indicators established
- Main stakeholders
- Expected Results

3. Findings

(In addition to a descriptive assessment, all criteria marked with (*) must be rated[9].)

3.1 Project Design / Formulation

- Analysis of LFA / Results Framework (Project logic / strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (eg, same focal area) incorporated into project design
- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

The Report length should not exceed 40 pages in total

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country / region)
- Feedback from M&E activities used for adaptive management
- Project Finance :
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

3.3 Project Results

Overall results (attainment of objectives) (*)

- Relevance ( *)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions , Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

10.2. Annex 2. Complementary evaluation questions

The complementary evaluation questions:

1. How has the project contributed to strengthening Costa Rica's institutional capacity for environmentally sound management and destruction of PCBs?
2. How has the project contributed to the environmentally sound management of PCBs and their temporary storage?
3. How did the project contribute to a nationally coordinated comprehensive service system for PCB management?
4. How has the project contributed to raising awareness for PCB management and destruction through outreach and training?

10.3. Annex 3: Evaluation matrix

| Evaluation criteria - Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| Relevance: How does the project relate to the main objectives of the UNDP, GEF area of interest and to environmental and development priorities at the local, regional and national levels? | | | |
| • How does the project support the strategic priorities of UNDP and the GEF? | • Existence of a clear relationship between the project's objectives and the strategic priorities of UNDP and the GEF. | • Project documents.<br>• UNDP and GEF strategies and documents. | • Document analysis.<br>• Interviews with UNDP and project staff. |
| • How does the project support environmental and development priorities at the national level?<br>• What has been the level of stakeholder participation in project design?<br>• Does the project take into account national realities (policy and institutional framework) in both its design and implementation?<br>• What has been the level of ownership of stakeholders in the implementation of the project? | • Extent to which the project supports national environmental policies.<br>• Key stakeholder appreciation regarding the adequacy level of project design and implementation to existing national realities and capabilities.<br>• Coherence between the needs expressed by national stakeholders and the UNDP-GEF criterion.<br>• Level of involvement of government officials and other partners in the project design process.<br>• Level of involvement of government officials and other partners in the project implementation process. | • Project documents.<br>• Key partners and stakeholders of the project. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| • Are there logical links between expected project results and project design (in terms of project components, choice of partners, structure, implementation mechanisms, scope, budget, use of resources, etc.)?<br>• Is the project duration long enough to achieve the proposed results?<br>• How does the theory of change expressed in the PRODOC correspond to the structure and composition of the project, the context and the needs of the country? | • Level of coherence between the expected results and the design of the internal logic of the project.<br>• Level of coherence between the project design and its implementation approach.<br>• Level of correspondence of the theory of change, with the structure and composition of the project, the context and the needs of the country. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| | | | |
| **Effectiveness:** To **what extent have the expected results and objectives** of the project **been achieved** ? | | | |
| • Has the project been effective in achieving the expected results? | • Analysis of indicators in the strategic results framework / logical framework of the project, in relation to resources and time invested. | • Project documents.<br>• Quarterly and annual progress reports.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| • How were project risks and assumptions managed?<br>• What has been the quality of the mitigation strategies developed?<br>• How has adaptive management contributed to achieving the results and expanding the expected services? | • Integrity of the identification of risks and assumptions during project planning and design.<br>• Quality of the information systems established to identify emerging risks. | • Project documents.<br>• Quarterly and annual progress reports.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |

| Evaluation criteria - Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| • What changes (if any) could have been made to the project design to improve achievement of the expected results? | Changes improve the achievement of project results. | • Data collected during the evaluation. | • Analysis of data. |
| Efficiency: Was the project implemented efficiently in accordance with international and national norms and standards? | | | |
| • How has adaptive management contributed to achieving the results and expanding the expected services?<br>• Have the **logical framework** , work plans or any changes made to them been used as management tools during project implementation ?<br>• Have the financial and accounting systems been adequate for project management and for producing accurate and timely financial information?<br>• Have the progress reports been accurate and timely? Do they respond to reporting requirements? Do the changes include adaptive management?<br>• Has project execution been as effective as originally proposed (planned vs. current)?<br>• Has the co-financing been as planned?<br>• Have the financial resources been used efficiently? Could they have been used more efficiently?<br>• Have the acquisitions been made in such a way that efficient use is made of the project's resources?<br>• How has the results-based management approach been used during project implementation? | • Adaptive management was used or needed to ensure efficient use of resources.<br>• Availability and quality of financial and progress reports.<br>• Timeliness and adequacy of the reports delivered.<br>• Level of discrepancy between planned and executed expenditure.<br>• Planned co-financing vs. current.<br>• Cost based on the results achieved compared to the costs of similar projects of other organizations.<br>• How appropriate the options selected by the project have been based on context, infrastructure, and cost.<br>• Quality of the results-based management report (progress reports, monitoring and evaluation).<br>• Occurrence of changes in project design or implementation approach when necessary to improve project efficiency.<br>• Cost associated with the delivery mechanism and management structure, compared to other alternatives. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| **Sustainability: To what extent are there financial, institutional, socio-economic or environmental risks to sustain the project's results in the long term?** | | | |
| • Have sustainability aspects been integrated into the design and implementation of the project? | • Evidence / quality of the sustainability strategy.<br>• Evidence / quality of the actions carried out to ensure sustainability. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| • Does the project adequately address aspects of financial and economic sustainability? | • Level and source of financial support to be provided in the future to relevant sectors and activities after the end of the project.<br>• Evidence of commitment from international partners, governments and other stakeholders to financially support relevant sectors / activities after project completion. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff , project partners and UNDP and the project. |
| • Is there evidence that project partners will continue activities beyond project completion?<br>• What is the degree of political commitment to continue working on the results of the project? | • Extent to which project activities and results have been assumed by counterparts.<br>• Level of financial support to be provided by the government, once the project ends. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| • What are the main challenges that may hinder the sustainability of the efforts?<br>• Have they been addressed during project management?<br>• What potential measures could contribute to the sustainability of the efforts achieved by the project? | • Changes that could mean challenges to the project. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |
| **Impact: Are there indications that the project has contributed to reducing environmental stress or improving ecological status, or that it has allowed progress towards these results?** | | | |

| Evaluation criteria - Questions | Indicators | Sources | Methodology |
|---|---|---|---|
| • Is the project expected to achieve its objective of minimizing the risks of PCB exposure to Costa Ricans, including vulnerable populations, and the environment, while promoting Costa Rica's compliance with the requirements of the Stockholm Convention for the management and destruction of PCB ?? | • Costa Rica's institutional capacity for environmentally sound management and destruction of PCBs was strengthened.<br>• Companies manage PCBs and their temporary storage in an environmentally sound way.<br>• There is a nationally coordinated comprehensive service system for PCB management.<br>• Raising awareness for PCB management and destruction was achieved through outreach and training. | • Project documents.<br>• DIGECA, project partners and UNDP and project staff. | • Document analysis.<br>• Interviews with DIGECA staff, project partners and UNDP and the project. |

10.4. Annex 4. Institutions and people consulted (interview)

**Table of actors (** in the case of which I have to telephone and address **)**

| Name and surname | Institution (telephone and address) | Market Stall |
|---|---|---|
| Kifah Sasa Marín | UNDP, La Virgen Building, Pavas. | Environment Officer |
| Shirley Soto Montero | General Directorate for Environmental Quality Management (DIGECA) | National Project Director |
| Elidier Castro Vargas | General Directorate for Environmental Quality Management (DIGECA) | Institutional coordinator |
| José Alberto Rodríguez | General Directorate for Environmental Quality Management (DIGECA) | Institutional coordination of the project |
| An na Ortiz | General Directorate for Environmental Quality Management (DIGECA) | Project coordinator |
| Carlos Mora | General Directorate for Environmental Quality Management (DIGECA) | IT |
| Michelle C Orrales | General Directorate for Environmental Quality Management (DIGECA) | Legal Advisor |
| Marilyn Rivera | General Directorate for Environmental Quality Management (DIGECA) | Assistant A DMINISTRATIVE |
| Greivin Pérez Rojas | Center for Research in Environmental Pollution (CICA), University of Costa Rica (UCR) | Member of the Technical Committee. Investigator |
| Clemen s Ruepert | The Regional Institute for Studies on Toxic Substances of the National University (IRET-UNA | Member of the Technical Committee. Investigator |
| Victor Castro | Costa Rican Electricity Institute (ICE) | Marketing and distribution coordinator |
| Luis Diego Carballo | Company servi ci ublic de Heredia (ESPH) | Network and transformer maintenance manager |
| Rocío Chávez | National Company of Force and Light (CNFL) | Head of environmental management |
| Estefany Hidalgo Sánchez | Company S ervi ci ublic de Heredia (ESPH) | In charge of waste management. Environmental management department. |
| Ronald Ilama Hernández | Cooperativa de Electrificación Rural de los Santos ( COOPESANTOS RL .) | Head of the Transformer Division |
| Mauren Rojas Monge | Cooperativa de Electrificación Rural de los Santos (COOPESANTOS RL) | Administrative assistant. Transformer Division |
| Edgar Blanco Mora | Cooperativa de Electrificación Rural de los Santos (COOPESANTOS RL) | Maintenance technician for transformers. Transformer Division |
| | | |
| Minor Hernández, | Administrative Board of the Cartago Electric Service ( JASEC ) | Head of the Transformers Division |
| Carlos andres | Alfaro Ruiz Rural Electrification Cooperative (COOPEALFARORUIZ RL) | Assistant. Engineering department. |
| Gerald González Victor | Alfaro Ruiz Rural Electrification Cooperative ( COOPEALFARORUIZ RL) | Gang boss |
| Maikol Gamboa | Cooperativa de Electrificación Rural de San Carlos ( COOPELESCA RL ) | Environmental manager |
| Pilar Campos | Rural Electrification Cooperative of Guanacaste (COOPEGUANACASTE RL) | Environmental manager |
| Bladimir Castillo | Rural Electrification Cooperative of Guanacaste (COOPEGUANACASTE RL) | Manager of the electrical workshop |
| Eugenio Androvetto | Ministry of Health (MS) | Director of protection of the human environment |

10.5. Annex 5. Documents consulted

Among the documents consulted are the following:

1. PRODOC project document
2. Cooperation agreements signed between UNDP and donors
3. Technical reports (final consulting reports) of the project
4. Annual work plans including budgets
5. Strategy of sotenibilidad of the project
6. Mid-term evaluation of the project
7. Annual project reports (APR)
8. Project implementation review (API / PIR)
9. Quarterly / Semiannual Progress Reports (QPR) and Quarterly Financial Reports (FR)
10. Substantive review 2014, 2017 and 2018
11. Evaluation report mid-term (mid - term)

10.6. Annex 6: Logical framework
(Taken from PRODOC)

| This project will contribute to achieving the following results of the Program National as it is defined in CPAP or CPD:<br>Strengthen the capacities national to promote the sustainability environmental, the management of the risks of disasters and the planning territorial sustainable. | | | | |
|---|---|---|---|---|
| Indicators of results of the National Program :<br>Capacity strengthened the institutions public and society civil to address and reduce the impact negative of the changing climate, the reduction of the layer of ozone, the handling of waste solids, the management integrated of the resources water, and the polluting organic persistent, of accordance with the agreements worldwide. | | | | |
| Developing environmental and sustainable applied primarily to the areas of result key. (as well as it is on the cover):<br>Powering the finance environmental. | | | | |
| Objective strategic and program of GEF: 1. Get rid of the COPs and reduce their emissions. | | | | |
| Results expected from GEF : 1.4 Wastes of the COPs prevented , managed and disposed, sites contaminated with POPs handled in one way environmentally sound. 1.5 Capacity effective in the country to eliminate effectively and reduce the release of POPs . | | | | |
| Indicators of Results of GEF: 1.4.1. Amount of PCBs and waste decontaminated or eliminated related to the PCB measured in tons according consists in the tool of monitoring of the COP. 1.5.1. Progress in the development and implementation of one frame legislative and regulatory for the management environmentally rational of the COPs , and for the management rational of chemicals in general as it recorded a through of the tool of tracking of the COP. | | | | |
| | **Indicator** | **Reference** | **Objectives End of the Project** | **Level as of June 31, 2019** |
| **Objective of the project 2**<br>**Minimize the risk of exposure to PCBs to people and the environment of Costa Rica.**<br>**(equivalent to the result in ATLAS)** | Quantity of PCBs (liquid and solid) destroyed during the execution of the project in the period (2013-2017 ).<br><br>Amount of material with protected PCB . | 1000 TM of PCBs prior to the project by means of the export and the treatment in the country.<br><br>Outdated national inventory . | 1350 MT of PCBs (liquid and solid) disposed of in an environmentally sound way .<br><br>All the PCBs known stored in shape safely. | The total elimination of PCBs to date is 1302.40 tons, which represents 96.4% of the original goal (1,350 tons).<br><br>1854 square meters of floors in storage areas of potentially contaminated equipment, distributed among 8 electricity companies; They were sealed, to avoid contamination by oil spillage. |
| | | | | The personnel of the eight companies were provided with protective equipment and containment of contaminating materials, to ensure their safety during the handling of contaminating substances.<br>Additionally, to the 1,300 tons of PCBs eliminated, 10 tons of DDT were also exported to France for disposal, |

| | | | | | |
|---|---|---|---|---|---|
| | | | | which were contracted in the Ministry of Health warehouse.<br>A total of 308 oil samples and 2 two soil samples were made by gas chromatography (USD $ 29550).<br>The information system has registered approx. Of 139,000 pieces of equipment, approximately 95% of the total electrical equipment inventory for the 8 electrical companies. In addition to the private sector electricity companies , the public sector institutions are in the process of registering information in the base data. This sector has a total of 30. | |
| | | | | The national inventory has been updated with the results of these oil samples.<br>These results facilitated the determination of the 140 tons of equipment contaminated with PCBs, oils and solid waste eliminated.<br>The PCB information system, which can be accessed online, has a total of approx. 139,000 pieces of equipment, representing about 95% of the total inventory of electrical equipment for the 8 electrical companies.<br>In addition, electric companies, the private sector and public institutions are also registering their corporate, personal or institutional information in the database. There are currently 340 registered companies. This system allows the traceability of the equipment. The inventory is continuous, because it is currently estimated that they can currently process 6 tons. | |
| | Authorities customs, of health and of environment trained to monitor the compliance of the requirements of the Convention of Stockholm and the standards nationals. | Authorities environmental, of health and of customs, do not have knowledge or training to perform the monitoring and tracking of the stocks of PCBs in the country. | 30 officers of the authorities of environment, health and commerce able to control the trade, storage, transportation, treatment, and disposal end of the PCBs. | Regulation 40697 for the Identification and Elimination of PCBs was approved and entered into force on February 10, 2018.<br>Three training sessions were held to introduce Regulation 40697 Environmentally sound identification and elimination of PCBs. The sectors covered were: private sector (companies, individuals) 35 participants, public institutions 41 participants. General coordinators | |

| | | | | | |
|---|---|---|---|---|---|
| | | | 1 regulation developed and | of the participants in the Institutional Environmental Management Plans. | |

2 *objectives (Atlas output) monitored quarterly in the ERBM and annually in the APR / PIR*

| | | | | | |
|---|---|---|---|---|---|
| | | | validated.<br><br>4 guides / manuals developed at the end of the project. | Private sector companies, individual owners and public institutions have a period of 3 months to register in the information system and 30 months to include their inventory and verification of possibly contaminated equipment and oils.<br><br>Along with these workshops, the project coordinator provided three individual training sessions to public institutions that were unable to attend the workshops and were interested in receiving information and training on how to identify potentially contaminated equipment and how to register in the information system. Each session had approximately 10-15 participants.<br><br>During this period, a technical manual was developed for users of the information system, which is located on the DIGECA website for use by all owners of electrical equipment.<br><br>The general technical guide for PCB management can be found on the DIGECA website and has been distributed in some of the regulatory training sessions. | |
| | | | | During this period, a technical manual was developed for users of the information system, which is located on the | |

| | | | | | |
|---|---|---|---|---|---|
| | | | | DIGECA website for use by all owners of electrical equipment. The general technical guide for PCB management can be found on the DIGECA website and has been distributed in some of the regulatory training sessions. | |
| | Number of options for handling and disposal of PCBs. | The country does not have a centralized facility for the treatment of transformers contaminated with PCBs.<br><br>There are no guidelines for the management of PCB regulations.<br><br>Limited knowledge about the handling of PCB between the inspectors. | A the least one alternative of treatment / removal (station of transfer / storage provisional) in operation to the end of the project.<br><br>8 companies trained and implementing the new regulatory guidelines .<br><br>20 officials of maintenance and other owners trained in the handling insurance of PCB.<br><br>4 inspectors / officers in charge of to enforce the law trained to apply the laws / regulations national over management of the PCB | A substantive review, approved in June 2017 by the RTA, the Resident Representative, and the Minister of Environment and Energy, to remove the transfer station. Although the transfer station will not be built, the 8 power companies have established temporary storage areas. The project supported updating this equipment with containment materials and personal protective equipment.<br>The current disposal options are: local decontamination for PCB concentrations below 500 ppm and export for PCB concentrations above 500 ppm. | |
| | Number of companies trained and implementing the new regulatory guidelines . | | | A training session was held at one of the meetings of the Technical Advisory Committee of Polyeco (an international waste management company) to illustrate proper packaging forms and general PCB management | |

| | | | | | |
|---|---|---|---|---|---|
| | | | | practices in the disposal process. A total of 44 people from the 8 electricity companies attended.<br>The members of the Technical Advisory Committee (the 8 representatives of the company) share experiences in managing their PCBs in most of the meetings.<br>The technical guidelines for PCB management can be found on the DIGECA website. | |
| | Number of inspectors / law enforcement authorities trained to apply national laws / regulations on PCB management. | | | The goal of 20 maintenance personnel from the 8 companies in the electricity sector was met and completed.<br>A total of 3 DIGECA law enforcement inspectors / officers were trained to enforce national laws on chemical handling and in particular PCB identification and disposal. These 3 people are all from the DIGECA staff: 2 chemists and 1 institutional project coordinator. | |
| | Number of regulations on | The management of the PCB not is | Standards of management of PCB and | Regulation 40697 MINAE-S for the | |

| | | | | | |
|---|---|---|---|---|---|
| **3**<br>**Result 1**<br>***Strengthening the capacity institutional in Costa Rica for handling environmentally sound PCB*** | management of PCB developed and validated by the institution regulator.<br><br>Number of inspectors trained to carry to out visits to the field for the verification of the compliance of the rules of management of PCB. | established by regulations and standards to ensure their handling environmentally sound.<br><br>The institution regulator not have inspectors trained who can assess the management environmentally rational of the PCB.<br><br>Currently no they will have identified the sites contaminated. | the rules of handling rational developed and validated.<br><br>At the least four inspectors trained to evaluate and implement the management rational of the PCB.<br><br>At the least one inspection every six months made by the inspectors to every company in the industry electric.<br><br>A preliminary inventory of | Identification and Environmentally Sound Elimination of PCBs was approved and entered into force on February 10, 2018.<br><br>Currently, there are 2 chemists and 1 institutional project coordinator, who will be DIGECA staff who will be responsible for the supervision and control of the implementation of the regulation and its compliance by the interested parties.<br><br>Since the beginning of this project, an Institutional Technical Committee was established with DIGECA staff members, particularly chemists who have learned and have been sent to training abroad on the | |

*3*

*All the results are monitored annually in the APR / PIR. It is recommended not to have more than 4 results.*

| | | | | | |
|---|---|---|---|---|---|
| | Number of inspections carried out during the execution of the project (2013-17) | | | on the most important topics of PCB Administration.<br><br>2 inspections were carried out by the project coordinator and DIGECA staff at the two interim transfer stations that were carried out at the ICE site and in Coopelesca for the packing and export process.<br>During the preparation and packaging of equipment contaminated with PCBs, oils and solid wastes, the power companies took their waste to a temporary transfer station and it was carried out in an orderly and environmentally friendly manner. | |
| | Number of possible contaminated sites.<br><br>Number of inventories national | The inventory national was made in the 2005 and based on the equipment out of service and was conducted mainly with | sites potentially contaminated with PCBs. | In 2017, a consultation was carried out with a company that specialized in taking soil samples at | |

| | | | | | |
|---|---|---|---|---|---|
| | updated in line with information from the companies power on equipment and oils contaminated those which have been identified and removed from the inventory.<br><br>Number of reports submitted to the Secretariat of the Convention of Stockholm<br><br>National Plan for the Management and Elimination of PCBs. | the evidence of Clor - N- Oil .<br><br>Currently it has one single annual report to the Secretariat CE. | Base of data of PCB operating with information in line with the companies of the industry electric with inventory updated.<br><br>1 report annually on the PCB presented to the Secretariat of the Convention of Stockholm<br><br>Plan Nacional of Management and disposal of PCB approved and in process of implementation. | different priority sites determined from the previous study (2016). A total of 8 sites were evaluated with a total of 18 samples collected. The study results indicate that 6 sites obtained PCB concentrations that were above the national regulation for soil contamination. This is not a confirmatory study and is not part of the objectives of this project. What this contributes is a wake-up call to companies on actions to be taken in the future. The Ministry of Health and electricity companies will be informed of the results. | |
| **Outcome 2**<br>***Management environmentally sound and storage provisional of the PCBs*** | Number of companies in the industry power with plans for management of PCB, developed and presented to the national authority responsible for their approval.<br><br>Number of guidelines and standards techniques adopted for the environmentally management rational of the PCB.<br><br>Number of standards of safety and health occupational issued and executed by the | Does lack one plan national of management environment that includes one plan of elimination that the companies power can be used as a guide for their activities, with regard to their problems of PCB.<br><br>The issues of health and safety occupational are important to the assessing the risk potential for the workers who already have been exposed to the PCB in the past and to prevent future incidents.<br><br>There are no coaches | Practices of management environmentally rational of the PCB implemented in at least seven companies in the industry power.<br><br>7 owners of PCB with plans of management presented to the institution regulatory and the compliance verified.<br><br>1 set of guidelines and technical standards for the management of equipment with PCBs established and implemented (transport, storage, management and disposal). | All 8 companies are implementing a management plan in their operations for the rational management of PCBs.<br><br>The 8 public sector electricity companies are implementing their institutional management plans in their maintenance operations in the workshop and in the field. They are using the technical guidelines that have been published.<br><br>There is a set of technical guidelines that were distributed among the 8 electricity companies in the public sector and are found at DIGECA. | |

| | | | | | |
|---|---|---|---|---|---|
| | companies in the electricity sector .<br><br>Number of instructors trained in the best practices for the management of PCB | trained | 1 set of rules national of safety and health occupational for the management of PCB formulated for its implementation nationally, approved by the authority regulating and in effect for companies in the industry power.<br><br>A minimum of 10 instructors trained in the best practices for the management of PCB | There is a set of technical guidelines that were distributed among the 8 public sector electricity companies and are found on the DIGECA website for public consultation by anyone.<br><br>Private sector companies are using them to better understand the need for environmentally sound management of their electrical equipment. | |
| | | | 1 Design for the storage provisional / station to transfer developed in accordance with | During 2017, the Project Director and the Resident Representative | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | Number of designs for station of transfer / temporary warehouse .<br><br>Number of and assessments of impact environmental to the station for transfer / storage provisional<br><br>Number of standard techniques developed for the storage provisional / station for transfer.<br><br>Station of transfer / Storage provisional constructed and ready to work | Currently no there is one design for the station of transfer / storage provisional.<br>No studies of impact environmental preparations<br><br>They not have developed standards techniques for the storage provisional / station for transfer.<br><br>No station of transfer / storage provisional in operation | the best practices worldwide.<br><br>1 assessment of the impact environmental drawn up and approved.<br><br>Standards techniques developed and implemented in accordance with the national conditions for the station of transfer / storage provisional, including the design, operation, storage provisional and the handling of substances hazardous.<br><br>.<br>1 store provisional / station to transfer operating in accordance with the standards developed and the legislation national. | made the decision not to build the interim storage as a centralized transfer station. This 386/5000<br><br>initiative was approved by the RTA. and a Substantive Review was presented and approved.<br><br>Instead, it was decided that since the 8 power companies had their temporary storage areas for potentially contaminated equipment, the project would reinforce this initiative with the sealing of floor protection and the emission of containment materials and personal protective equipment.<br><br>This indicator is not necessary in light of the approved disposal of the transfer station.<br><br>This indicator is not necessary in light of the approved disposal of the transfer station.<br><br>This indicator is not necessary in light of the approved disposal of the transfer station . | |

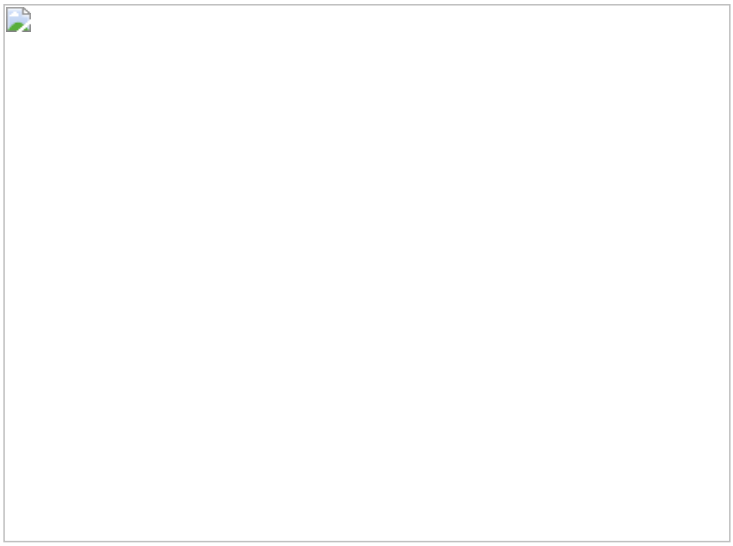
| **Outcome 3** | | | | | |
|---|---|---|---|---|---|
| ***Destruction environmentally rational of the PCBs and handling of equipment contaminated.*** | National coordination mechanism established between the owners of PCB and business government in operation.<br><br>Destruction environmentally | The only option for the treatment of decontamination and disposal of equipment and oils contaminated with PCBs is to through of the export to facilities at a cost very high.<br><br>There is no alternative technical and economically feasible for the export the which needs to be developed, with the purpose of that owners of PCB complete the process of elimination and thus meet the objectives of the Convention of Stockholm | National Cooperation Mechanism operating.<br><br>A study of feasibility conducted to determine the best alternative technology available and the options of storage provisional / station for transfer.<br><br>Alternative environmentally sound for the decontamination, treatment and disposal of equipment and oils contaminated with PCBs at the disposal of the companies of the sector , electricity and other owners of PCB. | There is a national coordination mechanism that works and is held with meetings every 1 or 2 months. This committee is called the Administrative Technical Committee and it has met twice in this period. The meetings during this period were suspended due to the activities in which each company participated during the packing and export process. The meetings will be held again from the second semester of 2018 monthly.<br><br>A feasibility study has not been required because there will be no | |

| | | | | | |
|---|---|---|---|---|---|
| | rational of the inventory of PCB existing.<br><br>Study of feasibility completed for the administration of the store provisional / station for transfer.<br><br>Number of agreements between the holders of the PCB to develop the warehouse provisional / station for transfer. | No there is one agreement formally among the seven holders of PCB that there are in the country. | Association public-private developed for the management of the store / station for transfer.<br>1 according reached between the parties concerned in relation to the store provisional / station of transfer. | centralized interim storage / transfer station.<br>Currently, a technology is available from a national waste management company. This alternative is dechlorination and has limitations regarding the concentrations of PCB contamination in the oil that can be treated. The other best available technology is the export to authorized incineration waste management companies according to the protocol of the Basel Convention.<br><br>A public-private partnership will not develop due to the change in the decision not to build the interim storage / transfer station. | |
| | Number of studies of feasibility to determine if the oils of low concentration of PCB s can be destroyed to level locally. | Oils of low concentration of PCB not can be destroyed locally and not is has been to place any study to assess the viability. | 1 study to determine the oils contaminated with PCB with less than 5,000 ppm are destroyed to level locally (in which it destroyed the SAO) | During this period, the cement company issued a statement stating that they will not receive PCB-contaminated oils for incineration in cement kilns.<br><br>There is 1 existing local company that treats PCB contaminated oils for concentrations below 2000-3000 ppm PCB. | |
| **Outcome 4**<br>**Awareness and communication.** | Number of strategies of awareness and of communication developed.<br><br>Number of workshops with the populations | Currently no it has developed awareness and strategy of communication with respect to the PCB and the risk that implies for the people and the middle atmosphere.<br><br>The physical location of the transfer station / interim warehouse has not yet been determined, and therefore there is no communication with the potentially affected population. | 1 strategy of awareness developed and implemented with the main actors (companies in the industry electric, institutions regulatory and the public in general).<br><br>4 community workshops held for the population living near the transfer station<br>/ provisional storage in order to report on the benefits of these in terms of environmental protection and technical guarantees put into operation. Annual periodic workshops as a follow-up to this activity. | Two videos were produced as part of the communication strategy developed during the implementation of the project.<br>The purpose of the videos is to raise awareness and communicate the project's success in the phase-out process during the end of 2017. One is a technical illustration and the other is general information on what the project has been working on during 2014-2017.<br>These videos are in their final stages of approval by MINAE and are pending approval by UNDP for publication on the two institutional websites.<br><br>There will be no interim storage / transfer station , but there will be briefings with the public sector (companies, | |

| | | | | | |
|---|---|---|---|---|---|
| | that live close to the storage provisional s / workshops for transfer. | | | individuals, and representatives of public institutions) who are interested in learning about the potential occupational and health impacts that should be protected if they contaminate the equipment. | |

| **Outcome 5** | | | | | |
|---|---|---|---|---|---|
| ***Monitoring, adaptive feedback , extension and evaluation.*** | Number of documents of evaluation and monitoring of high quality made during the execution of the project. | There are no documents on the initial situation . | 4 quarterly operational reports submitted annually to UNDP.<br>As 01 April APR / PIR presented annually to the UNDP.<br>1 the assessment of medium term.<br>1 final evaluation .<br>MTE and FE should include a section on lessons learned and one strategy for dissemination of the results of the project. | Reports submitted to UNDP | Monitoring meetings are held with the UNDP Monitoring and Evaluation Officer. This is the third PIR project submitted for the period from July 2017 to July 2018. Quarterly reports are submitted to UNDP. The last one was in March 2018. The risk management analysis was also presented in March 2018. |

10.7. Annex 7 : Co-financing of the Electric Companies



Source: Project records.

10.8. Annex 8 : Trace of audit of changes

Table 10.8 ., Contains the audit trail, R nswer of the final evaluation team , to comments and portaci ones received on the draft report .

Comments (column “No. 3 ) were provided in the form of editing changes to the draft report (output 2); They are referenced by institution (column "Author") and change / comment number (column " No. 4 "):

**Table 10.8 .: Change Audit Trail**

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 12, on another problem identified in the Mid-term Evaluation. | UCP | I do not understand this reference.<br><br>When this evaluation was made, the companies' inventory was fairly well underway, not fully updated but what was on the ground.<br><br>I do not understand this.<br><br>This does not seem correct to me, but if it is something that is said in the EMP it is acceptable. | The quote taken from the midterm evaluation was removed. |
| Page 12, on the other identified problems in the evaluation of medium per í odo. | DEIGECA | where he gets this fact, Costa Rica has not reported to the Convention is to top these figures.<br><br>I do not understand, in our country the laws are national, so there is no lack of harmonization between the national and the provincial, as for example happens in countries like Brazil or Argentina.<br><br>Please look for this law, I am not aware that this law, nor that in Costa Rica we have enacted a law indicating the date to remove the contaminated transformers from operation.<br><br>In Costa Rica we do not have problems to mobilize PCBs between provinces, as long as it is done according to national legislation.<br><br>What barriers are you referring to, please explain. | The quote taken from the midterm evaluation was removed. |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 15, point 3.1, paragraph 1 | DIGECA | I do not know if it is prudent here to indicate that component E establishes the establishment of a centralized provisional warehouse, which was replaced by the strengthening of the storage capacities of the equipment-owning companies, since the construction of a storage facility was not feasible. centralized<br>Thus, the initial design of the project was not feasible for legal reasons. But the goal of having improved storage capacity and operating nationwide was met .<br><br>This change could then be indicated and justified under the concept of adaptive management. | It was adjusted as follows: " *The project design in general remains viable ...* "<br><br>In addition, the suggested topic was included in the adaptive management item, as indicated below: " *Do not build the centralized storage station and choose to condition temporary storage sites in the 8 participating companies .* " |
| Page 16 , paragraph 8 . | Project coordination | This does not seem correct to me. | Drafting is maintained, because once the project is completed, the comparative advantages of UNDP, as project implementer, are proven. This includes the organization's own resources, such as those corresponding to the project coordination unit and expert personnel hired for specific topics. On the other hand, acknowledgments to UNDP were expressed by all the actors consulted. |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 18, Paragraph on " *comparative advantage of UNDP* " | UCP | I don't know about this because UNDP doesn't have much knowledge about PCB and its management. | It was expanded as follows: *"... UNDP, through the hiring, provided specialized personnel with knowledge of PCBs and their management. In addition, the following segment was added: The role of UNDP was very important for the accompaniment of the processes, the convening of various actors, support with knowledge and experiences, work methodologies, and support in financial management "* |
| Page 19, paragraph 5 | UCP | How it seems to me that this topic should be explained a little more. | The explanation was developed in a comprehensive way. |
| Page 19. Table 3.2. | Coordination unit | Please review with information provided by Marilyn Rivera | The amount contributed by the partners was adjusted with the new data: US $ 8,665,802.49 |
| Page 20. Paragraph 4 | Coordination unit | Here is logical framework and previously referred to result framework? | Both terms are used to call the same object, |
| Page 21, paragraph 4 | UCP | I think the comment or justification for this other lg or summarized and does not speak of electric public enterprises. | The information was expanded as follows: " *Currently, there are 414 companies registered in the COP information system, which have already entered information, which will allow evidence for decision-making and support in the processes of elimination and decontamination of PCBs."* |
| Page 21. Paragraph 3 | DIGECA | The project did not finance constructions, this was a counterpart from the distribution companies. | The following text was added: "... as part of the counterpart. " |
| Page 21. Paragraph 4 | DIGECA | More than support, the project financed decontamination. I don't know if that can be so clear. | It was worded as follows: "... financing and technical support ..." |
| Page 22 point 3.3.4. first paragraph | DIGECA | Is the same evaluation scale maintained? | Scale not maintained. |
| Page 22, paragraph 4 | UCP | We do not know this, but the firm must explain in what context it obtained this information. | The phrase was removed, as it was not related to the topic. |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 22, paragraph 4 | DIGECA | There are only two cement manufacturing companies in the country, which are not in a position to destroy PCB-contaminated oils (less than 50 ppm) | The information was incorporated as follows: " *Given that there is a local company in the country duly authorized by the Environmental Technical Secretary (SETENA) and registered with the Ministry of Health, it was not necessary to carry out the feasibility study ...* ". |
| Page 22, paragraph 4. | UCP | We do not know this, but the firm must explain in what context it obtained this information. | |
| Page 22, paragraph 4. | | It was not evaluated because there is already a local company duly authorized by SETENA for these purposes and registered with the Ministry of Health. | The information was incorporated as follows: " Given that there is a local company in the country duly authorized by SETENA and registered with the Ministry of Health, the study was not necessary either ..." |
| Page 22. Paragraph 5 | Coordination unit | This is not real. The landlords registry is in effect for this date but the regulation itself uses the dates of the Basel Convention 2025 and 2028 as final. | The paragraph was deleted: "… which has been mandatory since February 10, 2018. " |
| Page 24 Paragraph 1 | UCP | It seems to me that the phrase is incomplete . | It was completed as follows: *"... electric generating companies ...* " |
| Page 25. Paragraph 2 | Coordination unit | It is an incomplete phrase. | The phrase was complemented with the following content: "… strengthens environmental sustainability. " |
| Page 26, first recommendation | UCP | Without having a second phase of this project or any other in this line of PCBs or COP'S, the participation of UNDP will be difficult. | The following segment was incorporated " *… including the possibility that a second phase of this project or some other could be implemented in the PCB or COP'S line .* " |
| Page 26, point 3.3.7 , on Impact, paragraph one, | UCP | Check wording | The wording was adjusted as follows: *"… it is expected that a greater contribution towards the expected impacts will be achieved in the future .* " |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 27. Paragraph 5 | Coordination unit | I don't understand this… | The following paragraph was drafted "... for the implementation of the regulations ..." |
| Page 27. Paragraph 7 | Coordination unit | This should say something like the large consumers of electricity that could have PCB-contaminated equipment. | The following wording was included: "… the large consumers of electricity that could have equipment contaminated with PCBs. " |
| Page 27. Paragraph 7 | DIGECA | I recommend in the writing,<br><br>… Large consumers as potential PCB owners | The following wording was included: "... large consumers of electricity that could have equipment contaminated with PCBs." |
| Page 28. Paragraph 2 | Coordination unit | Please clarify which is the company. Improve writing | It was changed to the plural "... to companies, " |
| Page 28. Paragraph 4 | DIGECA | it is not clear. | The text "… facilitate from the …" was removed |
| Page 28. Paragraph 5 | Coordination unit | What is an appropriate volume of PCB scale | The one that allows companies the cost-efficient level for PCB elimination |
| Page 28. Paragraph 6 | | CICA is already in the process of certifying this PCB analysis test. | The following wording was included: " DIGECA must monitor the accreditation process of the PCB analysis test and thus develop national capacity in this area. " |
| Page 28. Paragraph 7 | Coordination unit | This doesn't tell me anything. | The paragraph was deleted. |
| Page 4 , t Abla summary of the project | DIGECA | Is this the amount executed as of the evaluation date? because the project has budgeted for the execution of a larger amount.<br>If these data are taken from the prodoc which is the document at the time of approval in this table should indicate 8,549.274.00<br>Should the proposed counterpart sum not be indicated in the PRODOC here?<br>In the case of MINAE it corresponds to $ 160 thousand, it was overcome due to the fact that the project lasted two years | The table was adjusted according to the observations and new data provided. |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 49, project summary table and Table 3.1. about project financing | UCP | Need to include the MINAE | Contribution from MINAE / DIGECA was included in the project summary table and in Table 3.1. on the financing of the Project. |
| Page 5,<br>Table section "<br>Project information " | DIGECA | MINAE's counterpart exceeds 160 thousand dollars initially committed, since the project was extended two years, which would add $ 200,000.00 | DIGECA's counterpart amount of US $ 200,000.00 was included |
| Page 7, evaluation evaluation table .<br>About the executing agency | UCP | It seems to me that it does not contribute anything to what management was. | It was clarified in the following way: “ DIGECA, appropriated and supported the execution of the project, managing the corresponding actions with leadership from the political-administrative sphere. It achieved high recognition of electric generators. ” |
| Page 8, paragraph 2. | coordination | In which activities in particular.<br>What kind of accompaniment<br>This platform already exists in the CTA.<br>This doesn't tell me anything specific. | The wording corresponds to that of a summary. For more detail or extension of what is requested, you should look at chapter 9. |
| Page 8, paragraph 2. | coordination | In what and for what. | The text “ Systematizing institutional experiences ” was eliminated, as well as the corresponding recommendation in chapter 9. |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 8, paragraph 2. | DIGECA | CICA is in an advanced phase of the accreditation process, so this could be clarified in the recommendations, I agree with the appreciation that at least one must be accredited, but the project has invested resources (time and money) in CICA with the Accreditation commitment established in an agreement signed by both institutions. | It was incorporated as a result as follows: "In addition, CICA is in an advanced phase of the accreditation process for PCB tests, supported by the project through an accreditation commitment established in an agreement signed by both institutions. "<br><br>The recommendation was restated as follows:<br>"DIGECA must monitor the accreditation process of the CICA PCB analysis test and thus develop national capacity in this area."<br><br>In addition, the summary of recommendations was modified as follows:<br>"DIGECA follow-up to the accreditation process of the CICA PCB analysis test" |
| Page 8, paragraph 3 . | Coordination of | This doesn't tell me anything specific. | The wording corresponds to that of a summary. For more detail or extension of what is requested, you should look at chapter 9. |
| Page 8, summary of recommendations | UCP | How or in what way this support is materialized and to whom.<br>The project exit strategy was made since last year and has been implemented since then. DIGECA management is committed and has started to take some steps in this direction.<br>It is not a university center that must be accredited, but rather it is the PCB analysis test | This section includes a summary of the recommendations, which can be seen in more detail in section 9, on conclusions, recommendations and lessons learned. |
| Page 8, summary of conclusions | Project coordination unit (UCP) | In this section it seems to me that a lot of content is missing . It is too simplistic. | This section includes a summary of the conclusions, which can be seen in more detail in section 9, on conclusions, recommendations and lessons learned. |

| Page | Author | Comment / Contribution to the draft report | Final evaluation team response |
|---|---|---|---|
| Page 8, Summary of Lessons Learned | UCP | This lesson learned falls short. There are many lessons learned that are missing here. Some of them were reviewed during the interview with this coordination. | This section includes a summary of the lessons learned, which can be seen in more detail in section 9, on conclusions, recommendations and lessons learned . |
| Page 8, Assessment table. | DIGECA | What do you mean? What are the risks for sustainability? Pending the comment in this box. | With the project the country has been strengthened and there are no insignificant risks for sustainability. |

10.9. Annex 9: Compliance form and code of conduct

Annex E - Evaluation Consultant Code of Conduct and Agreement Form

**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. They are responsible for their performance and their product (s). They are responsible for the clear, accurate and fair written and / or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation

**Evaluation Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System
Name of Consultant: Ronny Ricardo Muñoz Calvo
Name of Consultancy Organization (where relevant): _____
I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.
Signed at (place) on date : San José, Costa Rica, June 14 , 2019

| | |
|---|---|
| Signature : |  |

[1] Through a donation of US $ 1,930,000

[2] Indicator 1.4.1. Quantity of PCBs and decontaminated or discarded wastes related to PCBs measured in tons according to the POP monitoring tool.

[3] 2017 substantive review.

[4] As part of the implementation of the National Plan for the Implementation of the Stockholm Convention: http://www.digeca.go.cr/sites/default/files/documentos/pni_documento.pdf

[5] The project provided support to companies in the enrollment process, in addition to a manual that provides guidelines for achieving enrollment, which can be found at the following address: http://www.digeca.go.cr/ sites / default / files / documents / manual-steps_of_inscription_of_users.pdf

[6] Which can be consulted at the following address: http://www.digeca.go.cr/documentos/guia-rapida-para-la-identificacion-de-aceites-con-pcb-en-equipos-electricos

[7] *Objective (Atlas output) monitored quarterly ERBM and annually in APR / PIR*

[8] *All outcomes monitored annually in the APR / PIR . It is highly recommended not to have more than 4 outcomes.*

[9] Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally, Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory