

Terminal (Final) Project Evaluation:

Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms

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Latin America, Costa Rica

Cross Cutting Capacity Development

GEF / UNDP / Ministry of Environment (MINAE)

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My sincere acknowledgements to the Ministry of Environment, particularly to the International Cooperation Directorate, the Climate Change Directorate, and to the Minister and Vice ministers. Also, to the UNDP CO team who oversaw the project, to the project team, and to all key partners who patiently and willingly took time to provide important feedback for this report.

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EXECUTIVE SUMMARY

TABLE 1: PROJECT SUMMARY TABLE

Project Title:	Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms			
GEF Project ID:	PIMS 5028	Budget	<u>at endorsement</u> (Million US\$)	<u>at completion</u> (Million US\$)
UNDP Project ID:	PIMS 5097 Atlas Project ID:00087842	GEF financing:	980,000 USD	N/A
Country:	Costa Rica	IA/EA own:	15,000	N/A
Region:	LAC	Government:	900,000 USD	N/A
Focal Area:	Multi Focal Areas	Other:	100,000 USD (LECB) 350,000 USD (GIZ)	N/A
FA Objectives, (OP/SP):	CD3 To strengthen capacities to develop policy and legislative framework	Total co-financing:	1,365,000 USD	N/A
Executing Agency:	PNUD	Total Project Cost:	2,345,000	N/A
Other Partners involved:	MINAE	Prodoc Signature (date project began):		17 Mar 2014
		(Operational) Closing Date:	Proposed: <u>17 Mar 2017</u>	Actual: 30 Mar 2018

PROJECT DESCRIPTION

The project Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms was financed as a medium sized project by the Global Environmental Facility and implemented by UNDP and Ministry of Environment of Costa Rica. This project was developed under the GEF-5 Cross-Cutting Capacity Development (CCCD) Strategy to meet two complementary outcomes: The first is Objective 3 of the CCCD Results Framework, which sets out to strengthen capacities for policy and legislation development for achieving global benefits. Objective 4 of the CCCD Results Framework complements Objective 3 by undertaking a set of capacity development activities to strengthen capacities for management and implementation of convention guidelines.

The project is also consistent with the main strategic lines of action of UNDP programming for Costa Rica, specifically with respect to environmental mainstreaming, strengthening environmental sustainability, and contributing to UN Development Assistance Framework (UNDAF) outcome 4.2 to adopting a more integrated approach to environmental management. Complementing the UNDAF outcomes, the project also conforms to the Millennium Development Goal 7 that seeks to ensure environmental sustainability. Civil society participation is also a key feature of this project, wherein their stakeholder representatives will be included in the consultative processes to ensure the relevancy, validity, and legitimacy of decision-making, and by extension the institutional sustainability of policy interventions.

This project set out to integrate and institutionalize inter-ministerial decision-making for MEA implementation in Costa Rica, with particular reference to the three Rio Conventions. The project's strategy emphasizes a long-term approach to institutionalize capacities to meet Rio Convention obligations through a set of learn-by-doing activities to integrate Rio Convention and other key related MEA obligations into a consultative and decision-making process, the revision of one or two select legislation, and the strengthening of management capacities to better implement and enforce the more than 30 pieces of environmental legislation. This project is innovative in that it will take a

counter-intuitive approach to meeting Rio Convention obligations by *not* developing any new legislation or policy, but rather, what is actually needed: to help Costa Rica better manage and enforce provisions of existing legislation.

The project has three main components:

1. Integrated inter-ministerial decision-making process for the global environment
2. Integrating cross-cutting Rio Convention provisions into environmental legislation
3. Strengthened technical and management capacities

With the long-term goal of integrating and institutionalizing inter-ministerial decision-making for effective and sustainable MEA implementation through existing national environmental legislation.

EVALUATION RATING TABLE

TABLE 2: EVALUATION RATING TABLE

Evaluation Ratings:			
1. Monitoring and Evaluation	<i>rating</i>	2. IA& EA Execution	<i>rating</i>
M&E design at entry	S	Quality of UNDP Implementation	S
M&E Plan Implementation	S	Quality of Execution - Executing Agency	S
Overall quality of M&E	S	Overall quality of Implementation / Execution	S
3. Assessment of Outcomes	<i>rating</i>	4. Sustainability	<i>rating</i>
Relevance	R	Financial resources:	ML
Effectiveness	S	Socio-political:	ML
Efficiency	S	Institutional framework and governance:	ML
Overall Project Outcome Rating	S	Environmental:	L
		Overall likelihood of sustainability:	ML

Source: Project Evaluator, based on format and guidelines by UNDP

SUMMARY OF CONCLUSIONS, RECOMMENDATIONS AND LESSONS

Conclusions

1. Clarity in the roles that the project management unit (including the project director) is very important for effective communication and articulation of activities.
2. Several instruments of public policy, supported with technical assistance from the project, have achieved the mainstreaming of provisions from the three Rio Conventions.
3. Structural elements within institutions can hinder institutionalization of coordination mechanisms.
4. The project can try to involve national actors, but that it is the institution's responsibility to assume that ownership.
5. Participatory policy-making was a key part of the project's strategy for capacity building, as was using the learning by doing approach. Both these tools help the promotion of institutional ownership and also foster sustainability.
6. Public-private partnerships must generate greater awareness about compliance with MEAs, as a responsibility of the State in the broader definition: it goes beyond any particular administration and civil society, private sector, NGOs, academia, and private citizens must assume their share of responsibility.
7. Partnerships with public research institutes and bodies from public universities generate an aggregate value and can foster sustainability.

Recommendations

1. Communication processes within the key stakeholders and actors must be improved and prioritized.
2. Focal points should identify common entry points to start developing a common working agenda, and support the institutionalization of the coordination mechanism, so that those more structural elements can be overcome.
3. A project management unit should give the correct degree of involvement to institutional representatives at the design and implementation levels and support the completion of intra and interinstitutional agreements.
4. Since project implementation may not give the be able to prioritize baseline building processes, due to financial or time constraints, baselines must be constructed or identified during the project design.
5. Projects must achievable targets, considering not only the ultimate objectives to be achieved, but elements of the current political, economic, social and institutional context.
6. Projects need a tailored strategy not only for the production but for the management of the information generated through its activities.
7. The direction of a project shouldn't be assumed by high-ranking officers such as ministers, since the load of work they normally experience may prove detrimental to their performance as project directors.
8. Validation and revision processes should comply with an established schedule, to give fluidity to the implementation of activities.
9. To sustain strategic interventions, financial and operational planning must be not only linked but part of programmatic priority planning.
10. A process to make sure that MEA convention focal points have greater negotiation skills and are able to devote more time to the responsibility of being the key player of the government for that convention should be determined.
11. MINAE, as the oversight body for the environmental sector, should build an institutional policy on open data, which articulates with the national policy on open data, and provides guidelines to other environmental institutions, or bodies that produce environmental information, on how to manage that information, and how to make it available

Lessons Learned

TABLE 3: SUMMARY OF BEST AND WORST PRACTICES

Best practices:	Worst Practices:
<ol style="list-style-type: none">1. The facilitation of partnerships with academic public institutions allows capacity building within public instances, value added for the expansion of a particular action and also assures sustainability.2. The identification of possible experiences for escalation/replication.3. The use of a learn-by-doing approach to facilitate policy-making.4. The use of democratic dialogue and participatory approaches for policy-making.5. Having a direct access to the office of the Minister provides support and facilitates the advancement of difficult issues.	<ol style="list-style-type: none">1. The generation of a lot of important information, that due to internal circumstances at the decision-making level, is not fully used as a tool for policy making.2. The lack of clarity in role establishment within de PMU and how it is projected to institutional counterparts can generate difficulties in implementation.3. Not enough involvement of technical institutional staff in the design/implementation of project activities can decrease institutional ownership.4. A perception of a "politicization" of the project, due to its director being a high level political officer, such as a minister can be a hindrance to project implementation.

Source: Project evaluator

ACRONYMS AND ABBREVIATIONS¹

4C	Consejo Científico para Cambio Climático / Scientific Council for Climate Change
5C	Consejo Consultivo Ciudadano para Cambio Climático / Citizens' Consultive Council for Climate Change
ALIARSE	Fundación Aliarse para el Desarrollo
AMAs	Acuerdos Multilaterales Ambientales
APR/PIR	Annual Project Review / Project Implementation Review
ASADAS	Asociaciones administradoras de los Sistemas de Acueductos y Alcantarillados comunales / Rural Aqueduct community-based Administration Associations
CADETI	Comisión Asesora sobre Degradación de Tierras
CBD	Convention on Biological Diversity
CC	Cambio Climático / Climate Change
CCCD	Cross-Cutting Capacity Development
CDB	Convención de Diversidad Biológica
CEGEA	Centro de Gestión y Educación Ambiental / Center of Environmental Management and Education
CENIGA	Centro Nacional de Información Geoambiental / National Center for Geo-environmental Information
CETAV	Centro de Tecnología y Artes Visuales / Center of Technology and Visual Arts
CMNUCC	Convención Marco de las Naciones Unidas sobre el Cambio Climático
CO ₂	Carbon Dioxide
CONAGEBIO	Comisión Nacional de Gestión de la Biodiversidad / National Commission for the Management of Biodiversity
COP	Conference of the Parts of an international convention
DCC	Dirección de Cambio Climático / Climate Change Directorate
DCI	Dirección de Cooperación Internacional / International Cooperation Directorate
DoA	Delegation of Authority
GEF	Global Environmental Facility
INDC	Intended Nationally Determined Contributions
M&E	Monitoring and Evaluation
MAG	Ministerio de Agricultura y Ganadería / Ministry of Agriculture and Livestock
MEAs	Multilateral Environmental Agreements
MEP	Ministerio de Educación Pública / Ministry of Education
MIDEPLAN	Ministerio de Planificación Nacional y Política Económica / Ministry of National Planning and Economic Policy
MINAE	Ministerio de Ambiente, Energía y Mares / Ministry of Environment
NAMA	Nationally Appropriate Mitigation Actions
NCSA	National Capacity Self-Assessment
OdD	Observatorio del Desarrollo / Development Observatory
OECD	Organization for Economic Co-operation and Development
PLL	Fundación Parque Metropolitano La Libertad / Foundation "Parque La Libertad"
PMU	Project Management Unit
PNUD	Programa de las Naciones Unidas para el Desarrollo
PPD	Programa de Pequeñas Donaciones del GEF / PNUD / UNOPS
Prodoc	Project Document
PSA	Programa de Pago por Servicios Ambientales / Programme of Payments for Environmental Services
SDG	Sustainable Development Goals

¹ Most acronyms are in Spanish and correspond to the actual acronyms used in Costa Rica for institutions, organizations or others. Next to the Spanish acronym, a translation is offered.

SEPLASA	Secretaría de Planificación Sectorial de Ambiente, Energía, Mares y Ordenamiento Territorial / Environment, Energy, Oceans and Land Planning Secretariat
SGP	Small Grants Programme
SINAC	Sistema Nacional de Áreas de Conservación / National System of Conservation Areas
SINIA	Sistema Nacional de Información Ambiental / National System on Environmental Information
TE	Terminal Evaluation
ToR	Terms of Reference
UCI	Universidad para la Cooperación Internacional / International Cooperation University
UCR	Universidad de Costa Rica / University of Costa Rica
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services

1. INTRODUCTION

PURPOSE OF THE EVALUATION

This terminal (final) evaluation has the main purpose of determining if the project has achieved the proposed results set out in the project document. Also, it aims to identify best practices and lessons learnt that not only strengthen project results and contribute to both national ownership and sustainability of these results but support the overall programming framework of the United Nations Development Programme in Costa Rica, by identifying design and implementation issues that must either be strengthened, changed or replicated.

The report derived of this evaluation process must provide credible, reliable, relevant and evidence-based information that supports decision-making processes, provides elements for financial resources allocation, identifying possible problems emerging from this intervention, and to contribute in the design of new interventions that support sustainability of the results achieved through this project.

Also, according to the UNDP Evaluation Guidance for GEF-financed projects, evaluations for GEF financed projects have the following complementary purposes:

- To promote accountability and transparency, and to assess and disclose the extent of project accomplishments.
- To synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities.
- To provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues.
- To contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit.
- To gauge the extent of project convergence with other priorities within the UNDP country programme, including poverty alleviation, and reducing disaster risk and vulnerability, as well as cross-cutting imperatives on empowering women⁴ and supporting human rights⁵.

SCOPE & METHODOLOGY

The scope of the intervention is the objective evaluation of project design, implementation and results achieved, structured around the criteria of Relevance, Effectiveness, Efficiency, Results and Sustainability.

To develop this intervention, the approach undertaken is consistent with the methodology developed for terminal evaluations of projects implemented by UNDP and financed by GEF. It aims to integrally evaluate the project in an objective manner, determining the scope of the results achieved, and providing evidence-based information to support all the findings reported.

The tools used to collect the pertinent data are:

- document reviews
- stakeholder interviews

Due to time and financial constraints, no focus groups or other information gathering workshops were planned. Field visits were not necessary due to the nature of the project, which was mostly based at the Ministry of Environment. The stakeholder interviews were mostly in the interested party's office, in the project's office in the main building of the Ministry of Environment or in a location convened between the stakeholder and the evaluator, such as a hotel lobby or a cafeteria.

The document review contemplated all the documents listed in the ToR, and additional documents requested by the evaluator due to information missing in the aforementioned documents, or to complete information provided by key stakeholders not available in the documents first provided by the project team. The complete list of reviewed documents can be found in Annex 4.

The semi-structured interview allowed the evaluator the opportunity of candidly speaking with the main stakeholders, from private consultants that facilitated key processes, to Rio Convention focal points, to institutional stakeholders from different directorates and departments of the Ministry of Environment, to high-ranking officials who had an interest in the project. This method also assured a participatory approach, giving equal voice to all stakeholders and assuring that the different perspectives of multiple stakeholders were assessed to come to conclusions about the different processes undertaken by the project.

These interviews were structured in accordance to the evaluation question matrix (Annex 5), so that all 5 criteria were addressed in the interviews without necessarily asking one question per criteria or mentioning these criteria in the interviews.

Accompanied with document review, these two methods yielded important, evidence-based information that was analyzed to carefully extract conclusions, lessons, and findings about all the stages of the project. Also, this method allowed for cross-referencing all the assessments from different perspectives: every issue raised was addressed from the project / document side, from the government's perspective and from stakeholders in the private sector and civil society, strengthening the evaluator's understanding on how processes were carried out, which stakeholders were key, how the government and civil society were involved, and the possible impact and sustainability the main results of the project can yield in the coming years.

STRUCTURE OF THE EVALUATION REPORT

This report follows the structure outlined in the Terms of Reference for this terminal evaluation, which corresponds to the specifications detailed in the UNDP Evaluation Guidance for GEF-financed projects:

- **Executive Summary**, including the project summary table, a brief project description, the evaluation rating table, and a summary of conclusions, recommendations and lessons learnt.
- **Introduction**, detailing the purpose of the evaluation, the scope and methodology, and the structure of the report
- **Project Description and development** context, explaining the project start and duration, the problems it sought to address, the immediate and development objectives of the project, the baseline indicators established, main stakeholders and the expected results
- **Findings of the evaluation process**, detailing a descriptive assessment of design and formulation, project implementation and project results, as well as rating the criteria indicated in the ToR.
- **Conclusions**, recommendations and lessons, all evidence based, credible, reliable and relevant, inferred from both document review and semi-structured interviews with key stakeholders.
- **Annexes**, including the ToR, the timetable of the evaluation, the evaluation consultant agreement form, lists of documents reviewed and persons interviewed, the evaluation question matrix and the questionnaire used.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

PROJECT START AND DURATION

The project document (Prodoc) was signed in March 2014, for a period of 3 years, originally from January 2014 until December 2016.

Even though the DoA authorizing UNDP Resident Representative to sign the Prodoc was received at the end of January 2014, the signature and validation process with the national authorities was delayed, and the Prodoc was finally signed in March. The political context was difficult, with an electoral second round within a month of the signature of the Prodoc, in which the party in government had no option of winning, having withdrawn from campaigning for the second round. This circumstance forced to delay project start, as the Ministry of Environment would not approve any ToR to move forward and conform a project team.

The new administration waited until August 2014 to name a project Director, institutional liaisons, and an interim project coordinator, after two bidding processes to hire a project coordinator were declared vacant. This first coordinator was tasked with the implementation of several changes in the Prodoc, mainly in the organizational arrangements.

In November 2014, the project assistant was hired, becoming the first consultant engaged for the project. A few months later, a new bidding process was held, and a new project coordinator hired in 2015. By August 2015, the project team had consolidated, and implementation of the project's activities was normalized.

In September 2016, the Ministry of Environment formally requested a no-cost extension until March 2018, extension that was approved.

PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS

During the last 25 years environmental policies have been aimed at consolidating the efforts of use, protection and conservation of natural resources, with a strong focus on protected areas and in electricity generation from renewable sources. Policy coordination and planning mechanisms are currently weak within the Ministry of Environment (MINA) and between the relevant institutions with specific responsibilities in environmental matters, which often overlap in coverage. In addition to these, coordination is poor with the municipalities and other local communities, which are not effectively represented or engaged in environmental decision-making processes.

Mechanisms to share national and international best practices and lessons learned are unfortunately inadequate. Despite the many experiences and achievements that exist to integrate global environmental priorities and objectives into national policy frameworks, these best practices are neither adequately disseminated nor replicated in Costa Rica. There is a need to establish/strengthen policy and programmatic coordination efforts with international and regional NGOs and research institutes, which play an important role in facilitating and catalyzing international cooperation as well as guaranteeing the effectiveness of investments. The government is committed to ensuring that the country's development plans are environmentally sustainable, but the lack of access to these national and international experiences obstructs their implementation.

The priority capacity constraints encountered by MINA are related to the development and implementation of the required cross-sectoral mechanisms and instruments. One opportunity is to consolidate existing consultative mechanisms and strengthen them as a regular part of the National Planning System. The capacity constraints that prevail at a national level on that regard are posing barriers to the effective implementation of the conventions and hence to addressing global environmental issues of priority concern in Costa Rica.

One challenge for consultative and decision-making processes is information, without which there is no real participation. Currently there is no platform to make the information coming from the Rio Conventions available for decision-making processes and planning. The information is usually kept by the Focal Points and there are no reporting mechanisms for sharing that information. Another challenge is that the information coming from these conventions is quite technical and complex and not sufficiently (if at all) adapted for different audiences, further marginalizing non-governmental stakeholders from their effective participation in decision-making, especially for local communities, small farmers and indigenous people.

Although mandated by law, public participation is still thus a challenge for Costa Rica's environmental management system. There are a number of consultative mechanisms, mainly in the form of commissions, where there is some participation of the private sector and NGOs, but decision-making remains mainly a government process. And even with this, the current consultative mechanisms are not formal mechanisms for the structured and managed coordination and preparation for negotiations at the various conferences of the parties of the Rio Conventions, including as mechanisms to strategically disseminate information on new conventions.

The majority of these barriers to achieving global environmental objectives in Costa Rica are mostly the result of the lack of awareness and understanding of the Rio Conventions' value at all levels. The high levels of bureaucracy aggravate this situation, as does legal uncertainty due to overlapping and, at times, conflicting responsibilities between institutions. The capacity constraints that prevail at a national level on that regard are posing barriers to the effective implementation of the conventions and hence to addressing global environmental issues of priority concern in Costa Rica.

Counter-intuitively, the high priority that Costa Rica has historically attached to environmental issues is also the cause for inefficient institutional responses to the global environment. Decision-makers and planners are overly occupied with participating in various environment-related consultative and coordination mechanisms that all such mechanisms have atrophied due to competing demands. A clear consensus among decision-makers and planners is to address this unanticipated barrier to effective decision-making by further global environmental mainstreaming and reconciling existing policy and programme coordination mechanisms.

Despite Costa Rica's history of advancing the environmental conservation agenda globally, institutionally from a MINAE perspective, it does not enjoy the same level of institutional leadership as the other ministries that are more directly responsible for economic development, such as agriculture, energy, and transportation.

Related to these systemic and institutional barriers, is the relatively high work demand of the Rio Convention Focal Points. This role is in addition to their regular job requirements, the time demands of which are underestimated. As a result, MINAE's organizational and staff structure does not appear to adequately reflect the increasing demand of monitoring and reporting on the Rio Conventions. As a result, Focal Points are challenged in their ability to monitor the fulfillment of the obligations and to communicate and coordinate with the different stakeholders, to prepare national reports to the Rio Conventions, and to effectively participate in the related conferences of the parties. Focal Points do not report on a formal basis to a specific authority in MINAE, thus follow up and accountability is scarce. The issues and positions the Focal Points bring to the COPs are not always the result of a consensus built by different stakeholders or even an official governmental directive. How the Focal Points manage their agenda depends more on their personal interest and skills.

Another technical challenge identified in the NCSA and a barrier that remains current today is the technical nature of the subject matter, making it not easily accessible to multiple audiences. There have been an important number of training initiatives, but the capacity built remains insufficient. This is exacerbated by the lack of a mechanism that takes the policy and technical information from the conventions and makes it available to the public. Despite the many environmental NGOs working in Costa Rica, public participation in decision-making mechanisms remains a challenge.

Finance is a challenge that is faced by many countries, and Costa Rica is no exception, especially in the later years. The budget is also increasingly tight for delegations' participation in the on-going discussions and deliberations of

the Rio Conventions due to competing and pressing national priorities as well as to fulfill all the obligations and priorities set by the international agenda. As a result, delegations to the COPs are relatively small and with limited capabilities, constraining the opportunities to get the most out of the conferences.

IMMEDIATE AND DEVELOPMENT OBJECTIVES OF THE PROJECT, BASELINE INDICATORS ESTABLISHED AND EXPECTED RESULTS

The goal of this project is to integrate and institutionalize inter-ministerial decision-making for effective and sustainable MEA implementation through existing national environmental legislation. To this end, the objective of this project is to mainstream the international commitments derived from the Rio Conventions into targeted national environmental legislation, and to do so by a learn-by-doing process that will institutionalize a long-term process for effective environmental governance. The objective of this project is in line with the CCCD strategy of mainstreaming Rio Conventions into the national sustainable development baseline as a strategic approach to institutionalize national efforts that deliver global environmental benefits.

Expected Outcomes

At the end of the project, activities will have resulted in a *targeted set of improved capacities to meet and sustain Rio Convention objectives*. This project will have *strengthened and helped institutionalize commitments under the Rio Conventions by demonstrating practicable and cost-effective approaches to better implementing, monitoring and enforcing national environmental legislation to increase delivery of global environmental benefits*. Another project outcome is the *revision of existing (not the drafting of new) national development and environmental strategies, plans, and programmes that will support a more harmonized approach to implement existing environmental legislation*. Guidelines will be developed to help decision-makers and planners apply legislation, and these will be tested for two select pieces of legislation.

Through its learn-by-doing approach, the project will strengthen the technical capacities of government staff on their understanding of the various environment-related legislation, their overlap, conflicts, synergies, and how to reconcile these with Rio Convention priorities and obligations. The project will strengthen and institutionalize a process by which government staff themselves are better able to continue long-term analyses and follow-up with appropriate actions. Another institutional barrier that limited sharing, collaboration, and coordination is through the mandates of the relevant departments and agencies. This process will be reflected in two ways: the first is by strengthening the inter-agency coordination and information sharing. A second institutional outcome is the strengthened networking that the project will have facilitated by formalizing a more effective way for NGOs and civil society to make a better contribution to the decision-making process on environmental issues, with the expectation that the global environment will be better conserved.

TABLE 4: PROJECT STRATEGY, INDICATORS, BASELINE AND TARGET VALUE AND DATE

Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Long-term goal: To integrate and institutionalize inter-ministerial decision-making for effective and sustainable MEA implementation through existing national environmental legislation			
Project objectives: A. To mainstream the international commitments derived from the Rio Conventions into targeted national environmental legislation	Outcome indicators: ▪ A targeted set of improved capacities to meet and sustain Rio Convention objectives is improved ▪ Commitments under the Rio Conventions will have been strengthened and institutionalized	<ul style="list-style-type: none"> ▪ Capacities to implement the Rio Conventions are not sustainable, requiring donor-funded projects ▪ Commitments to implement the Rio Conventions are measured through Rio Convention-specific 	By the end of the project: <ul style="list-style-type: none"> ▪ Rio Convention obligations are being better implemented through existing environmental legislation, 15% increase in survey value response ▪ A year-end analysis of environmental legislation shows an improvement in institutional responses to monitoring and enforcing environmental legislation for the Rio Conventions.

	<ul style="list-style-type: none"> Existing national development strategies, plans and programmes will better support a more harmonized approach to implementing existing environmental legislation 	<ul style="list-style-type: none"> instruments National environmental policy instruments contain provisions that counteract each other and are weakly implemented 	<ul style="list-style-type: none"> There is a minimum of 20% increase in the understanding of the Rio Convention mainstreaming among government staff There is a minimum of 15% increase in the appreciation of the Rio Conventions among the general public
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Outcome 1: Integrated inter-ministerial decision-making process for the global environment strengthened			
Output 1.1 Strengthened MEA technical Committees	<ul style="list-style-type: none"> Awareness and understanding of Rio Convention (MEA) technical committee members Frequency of MEA technical committee meetings Policy recommendations submitted by MEA technical committee to Inter-Ministerial Council Technical recommendations submitted to line ministries and agencies 	<ul style="list-style-type: none"> Advisory commissions exist as equivalents of MEA technical committee, but they meet on an ad hoc basis and there is communication and coordination among them There is some representation of non-state actors in the advisory commission for biodiversity, but not for the climate change or land degradation The work of the advisory commissions does not effectively contribute to government actions due to unclear attribution of responsibilities 	<ul style="list-style-type: none"> Baseline survey of decision-makers' and planners' awareness carried out with N>100 participants, completed by month 4 of the project. Year-end survey of decision-makers' and planners' awareness carried out with N>250 participants, completed by month 32 of the project. Three (3) MEA technical committees (CBD, CCD, and FCC) are created by month 4 with a membership of expert stakeholder representation of at least 10 different stakeholders (government, NGOs, academia, private sector, and civil society). The technical committees will meet at least three (3) times per year. MEA technical committees submit policy recommendations to the Inter-Ministerial Council twice (2) a year, the first by month 9.
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Output 1.2: Strengthened information sharing agreements with academia and civil society	<ul style="list-style-type: none"> Baseline analysis of information needs for the global environment Feasibility study for the strengthening of an electronic information-sharing mechanism An information-sharing agreement signed by MINAE and key non-state actors (same as in output 2.2) 	<ul style="list-style-type: none"> Much data and information relevant to the Rio Conventions exists, but for the most part is not in a form that readily lends itself to sharing electronically. Data and information is largely accessible on an ad hoc basis There are multiple electronic sources of information, but do not contain all useful data and information 	<ul style="list-style-type: none"> In-depth baseline analysis substantively peer reviewed by at least 8 national experts, and completed by month 5 of the project Feasibility study for the strengthening of an existing electronic platform and internet interface prepared and completed by month 7. Independent assessment of the performance of the electronic information system as implemented under 3.5.1 by month 30. Agreement signed by MINAE and key non-state actors on the sharing of information by month 18
Output 1.3:	<ul style="list-style-type: none"> Cooperative 	<ul style="list-style-type: none"> There is no formal 	<ul style="list-style-type: none"> Key ministries sign relevant

Re-invigorated Inter-Ministerial Council meetings	<p>agreements on legislative oversight with Inter-Ministerial Council members and other line ministries</p> <ul style="list-style-type: none"> Meetings of the Inter-Ministerial Council Inter-Ministerial Council supports MEA technical committee recommendations 	<p>agreement among ministries to reconcile overlapping oversight of environmental and related legislation</p> <ul style="list-style-type: none"> The Inter-Ministerial Council only meets to discuss climate change issues. 	<p>agreements by month 12.</p> <ul style="list-style-type: none"> Inter-Ministerial Council meets twice (2) per year to discuss and approve MEA technical committee recommendations, and before month 9 At least 80% of the MEA technical committee recommendations are supported by appropriate inter-ministerial decisions by month 34
Outcome 2: Cross-cutting Rio Convention provisions are integrated into environmental legislation			
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Output 2.1: In-depth analysis of environmental legislation and its governance	<ul style="list-style-type: none"> Roster of expert peer reviewers on the global environment created Rio Convention analytical framework Targeted analytical reports on environmental governance per the Rio Conventions Stakeholder consultations on Rio Convention governance at the national level Regional and non-state representation in stakeholder constituent dialogues Consensus agreements from MEA technical committee on recommendations for improved environmental governance 	<ul style="list-style-type: none"> There are many experts working on most, if not all, aspects of the Rio Conventions There are many analyses pertaining to the Rio Conventions, but most all are focused on reporting requirements There are numerous stakeholder consultations, but most all are either targeted to focal area or sustainable development objectives Regional and non-state stakeholders participate in many government-sponsored consultative dialogues, but these are nearly all very targeted to focal area or sustainable development interventions Technical recommendations by the advisory commissions do not take into account similar technical recommendations by other advisory commissions 	<ul style="list-style-type: none"> A roster of peer reviewers with minimum 50 experts is created by month 3 Analytical framework prepared and completed by month 6 At least five (5) independent peer reviewers rate the framework of high quality Four (4) in-depth analyses targeting Costa Rica's environmental governance from a Rio Convention perspective completed by month 10 Synthesis analysis is endorsed by all members of the MEA technical working groups and the MEA technical committee by month 12 MEA technical committee drafts policy recommendations for the Inter-Ministerial Council by month 14 All reports are discussed and validated at open-ended stakeholder dialogues within two months of their completion Each stakeholder constituent dialogue is attended by at least 30 representatives that cover the range of stakeholder views and perspectives. Each stakeholder constituent dialogue endorses the analyses and offers broad support for endorsement by the MEA technical committee and subsequent approval by the Inter-Ministerial Council. At least two (2) stakeholder representatives from each of the seven (7) provinces have participated in at least one of the stakeholder constituent dialogues by month 33.
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date

Output 2.2: Learn-by-doing integration of Rio Conventions into select environmental legislation	<ul style="list-style-type: none"> Three Rio Convention technical working groups established under the MEA Technical Committees Draft agreement on information sharing (see output 1.2) Modified enforcement of existing national environmental legislation per Rio Convention obligation High quality progress reports and independent assessment of legislative reforms. Expert workshops convened to regularly assess conflicts between environmental legislation Best practice and lesson learned reports 	<ul style="list-style-type: none"> Technical working groups and workshops under Rio Conventions are not institutionalized by rather temporary organizational mechanisms under focal area projects There is no formal or institutional agreement on the sharing of information across ministries, agencies or non-state actors Numerous progress reports are prepared and submitted resulting in an over-burdening of government staff and low commitment, but these remain targeted to focal area priorities Expert meetings do not adequately address the cross-cutting barriers to effective implementation of national environmental legislation Development partners in Costa Rica are committed to supporting the country's improved access to better data and information on innovative approaches to meeting global environmental objectives. 	<ul style="list-style-type: none"> Three Rio Convention technical working groups are created and meet by month 7 of the project and at least twice (2x) per year. Technical working groups present their findings and recommendations to the MEA technical committees by month and subsequently within one month of convening. Technical working group draft a non-legally binding agreement on the mutual sharing of information among each other and with the government by month 12 of the project Three policy recommendations piloted and completed by month 26 Government agencies and departments responsible for testing policy recommendations submit quarterly progress reports to the MEA technical committees every three months with the first no later than month 12. Two (2) expert workshops with at least 30 relevant key actors each, organized and concluded by month 18 Three (3) best practice and lessons learned reports are prepared on targeted regional Rio Convention mainstreaming activities by month 12, month 23, and month 33 Technical guidelines are drafted and finalized by month 24 Policy recommendations to legitimize these guidelines, as appropriate, are prepared, submitted, and approved by the Inter-Ministerial Council by month 28
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Output 2.3: Strengthened monitoring and compliance	<ul style="list-style-type: none"> Monitoring and compliance indicators Monitoring and compliance assessment reports Monitoring and compliance guidelines and tools Policy decisions on legislative and institutional reforms to reconcile and harmonize environmental and related legislation to conform with Rio 	<ul style="list-style-type: none"> There are no clear monitoring or compliance indicators to assess the extent to which Rio Convention obligations are being delivered through existing national environmental legislation Monitoring reports are internal documents that have unclear value to planners and decision-makers Monitoring and compliance guidelines and tools are not widely 	<ul style="list-style-type: none"> Clear monitoring and compliance reforms submitted to the MEA technical committee after three monitoring phases: by month 12, by month 23, and by month 33 Quarterly progress reports are submitted to the MEA technical committees every three months, beginning by month 15 Lessons learned of pilot monitoring and compliance reforms discussed in a stakeholder constituent dialogue by month 22 Survey of N>100 experts and other stakeholders by month 22 and a second survey by month 33 rate successful piloting of monitoring and

	<p>Convention obligations</p> <ul style="list-style-type: none"> ▪ Training workshops on monitoring of and compliance with environmental legislation ▪ Number of relevant government staff having clear present and potential future roles in monitoring and compliance 	<p>known among planners and decision-makers</p> <ul style="list-style-type: none"> ▪ Inter-Ministerial Council focuses on climate change, but there is no equivalent policy decision-making mechanism that is as effective on biodiversity or land degradation ▪ Trainings to take place on environment-related issues, however these remain targeted to focal area issues, with inadequate attention to environmental legislative reforms 	<p>compliance reforms</p> <ul style="list-style-type: none"> ▪ MEA technical committee proposes monitoring and compliance reforms to institutionalize best practice monitoring and compliance procedures by month 32 ▪ Inter-Ministerial Council authorizes at least 80% of MEA technical committee recommended reforms by month 34 ▪ Report on guidelines, tools and resources for the effective interpretation, supervision and enforcement of environmental legislation completed by month 8 ▪ New guidelines, tools, and other resources are available through the electronic platform by month 12 ▪ Comprehensive training programme drafted by month 18 and endorsed by the MEA technical committees by month 20 ▪ Four (4) training workshops and related exercises begin by month 20 ▪ At least 80 government staff members that are directly implicated in the planning and decision-making process to monitor and enforce environmental legislation have participated in training workshops by month 33 ▪ Operational guidelines are drafted and finalized by month 24 and validated by month 26 ▪ Policy recommendations to legitimize these guidelines, as appropriate, are prepared, submitted, and approved by the Inter-Ministerial Council by month 28
Outcome 3: Strengthened technical and management capacities			
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Output 3.1: Kick-Off and Project Results Conferences	<ul style="list-style-type: none"> ▪ One-day Kick-Off Conference to raise high profile of project ▪ One-day Project Results Conference to showcase lessons learned and best practices ▪ Four (4) expert panel discussions on Rio Convention sub-themes 	<ul style="list-style-type: none"> ▪ The environmental movement in Costa Rica is relatively strong compared to other countries, and there is an overall strong interest among the NGO community and population to learn about innovative opportunities to catalyze environmental action ▪ Development partners in Costa Rica are committed to supporting 	<ul style="list-style-type: none"> ▪ One-day Kick-Off Conference is held by month 3 ▪ One-day Project Results Conference is held by month 34 ▪ Over 200 participants attend both the Kick-Off and Project Results conferences, representing a good diversity of stakeholders, including representation from other regions of Costa Rica ▪ At least four (4) expert panel discussions present the lessons learned to deliver Rio Convention obligations through existing national

		the country's improved access to better data and information on innovative approaches to meeting global environmental objectives.	environmental and related legislation <ul style="list-style-type: none"> At least 30 participants attend each of the panel discussions
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Output 3.2: Public awareness campaign, survey, and educational materials	<ul style="list-style-type: none"> Analysis of Costa Rica's environmental values (survey results) Public awareness plan on national environmental legislation and Rio Conventions Articles on legislative responses to implement Rio Conventions High School competition plan Education module on environmental legislation and Rio Conventions implemented Public Service Announcement airings on television and radio that promote compliance with existing environmental legislation 	<ul style="list-style-type: none"> Awareness and understanding of the Rio Conventions in Costa Rica is relatively good compared to other countries. However, this is not as effectively translated into compliance with environmental legislation, further exacerbated by conflicting provisions of environmental and natural resource management legislation and regulation 	<ul style="list-style-type: none"> Two broad-based surveys (N>500) completed by month 3 and by month 34 Expert and independent analysis of the survey results completed by month 35 A comprehensive public awareness plan developed to completed by month 6 At least nine (9) articles on legislative responses for Rio Convention implementation in Costa Rica published in popular literature with high circulation before the end of the project. By month 6, at least one article should be published. By month 18, at least four (4) articles should be published. By month 30, at least seven (7) articles should be published. Each article edited and published as a brochure, with at least 100 copies each and distributed to at least two high value special events High school competition plan for completed by month 9 At least two (2) high schools carry out high school competitions by month 20; at least six (6) by month 33 Education module prepared for high schools completed by month 8 At least two (2) high schools have implemented education module by month 20 and at least one high school in each of the seven provinces by month 33 One PSA completed for both television and radio (audio version) by month 12, with the first airing by month 15. At least 50 airings of the PSA on television and at least 100 airings of the PSA on radio, both by month 34
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
Output 3.3:	<ul style="list-style-type: none"> Awareness workshops 	<ul style="list-style-type: none"> Media professionals 	<ul style="list-style-type: none"> Three (3) panel discussions, with at

<p>Awareness-raising dialogues and workshops</p>	<p>targeted to the private sector, journalists, local and regional government representatives on national environmental legislation and the Rio Conventions</p> <ul style="list-style-type: none"> Survey data on environmental attitudes and values (activity 3.2.1) Expert MEA legislative mainstreaming workshops (complements learn-by-doing workshops of output 2.2) Cutting-edge panel discussions by leaders in the environmental field on environmental legislation for meeting Rio Convention obligations 	<p>generally have no special training of Rio Convention issues, in particular of the linkages between non-compliance of national environmental legislation and global environmental impacts</p> <ul style="list-style-type: none"> The private sector is primarily focused on traditional approaches to maximizing profits, seeing environmental issues as an added transaction cost that reduces profits Public dialogues take place through the construct of donor-funded projects on focal areas and do not adequately address the conflicting impacts on other environmental priorities Regional government representatives are not adequately familiar with approaches to meet Rio Convention obligations given their heightened obligations to meet socio-economic development priorities within their short-term regional development plans The general public in Costa Rica is generally aware and concerned about global environmental issues, but increasingly behaviour is detached from these values due to increasing socio-economic pressures and in the absence of innovative approaches to comply with existing environmental legislation 	<p>least 20 private sector representatives the completed by month 8; the second by month 18; and the third by month 28</p> <ul style="list-style-type: none"> At least three (3) journalist awareness workshops held, each with at least 10 representatives the first completed by month 9; the second by month 19; and the third by month 29 By month 33, reporting on Rio Convention mainstreaming in the popular media shows a 10% increase over forecasted trends using baseline data and past trends At least three (3) workshops of MEA legislative mainstreaming are convened with at least 20 expert practitioner participants the first completed by month 10; the second by month 20; and the third by month 30 At least three (3) regional workshops are convened, with local and regional government representatives with at least one representative from each of the seven Costa Rican provinceshaving participated in at least one workshop. Each workshop should be attended by at least 20 local/regional representatives. The first regional workshop should be completed by month 11; the second by month 21; and the third by month 31 Three (3) cutting-edge policy dialogues with invited leaders in the field of environmental governance the first dialogue convened by month 7; the second by month 17; and the third by month 27.
<p>Project Strategy</p>	<p>Objectively verifiable indicators</p>		
	<p>Indicator</p>	<p>Baseline value</p>	<p>Target value and date</p>
<p>Output 3.4: Resource mobilization strategy</p>	<ul style="list-style-type: none"> Resource mobilization strategy report Feasibility study on financial and economic instruments to advance 	<ul style="list-style-type: none"> Costa Rica benefits from significant interest from the donor community to finance capacity development actions to meet global 	<ul style="list-style-type: none"> Analytical report drafted, peer reviewed, and finalized by month 12 Feasibility study on financial and economic instruments to advance the monitoring and compliance of

	<p>monitoring and compliance of existing environmental legislation to meet Rio Convention obligations</p> <ul style="list-style-type: none"> ▪ Expert working group established 	<p>environmental objectives</p> <ul style="list-style-type: none"> ▪ Government of Costa Rica is very committed to taking a uniquely innovative and transformative approach to meeting Rio Convention obligations within existing environmental legislative frameworks to reduce the dependence of official development assistance, which is not sustainable. 	<p>environmental legislation for the global environment completed by month 18</p> <ul style="list-style-type: none"> ▪ Expert working group is made up of at least 20 rotating members, who will undertake a desk review of the drafts of the analytical report and feasibility study, and meet at least once to discuss the findings of each within one month of their completion, i.e., by months 13 and 19
Project Strategy	Objectively verifiable indicators		
	Indicator	Baseline value	Target value and date
<p>Output 3.5:</p> <p>Internet visibility of integrated and streamlined environmental legislation</p>	<ul style="list-style-type: none"> ▪ Website promotes Rio Convention obligations through existing national environmental and natural resource management legislation ▪ Facebook page on environmental legislation for the Rio Conventions 	<ul style="list-style-type: none"> ▪ There are a number of websites promoting environmental issues in Costa Rica. However, none are specific to environmental legislation. MINAE is committed to strengthen a comprehensive website that will provide a one-stop shop for understanding how to better interpret existing environmental and related legislation to meet both sustainable development and global environmental priorities. ▪ Development partners in Costa Rica are committed to supporting the country's improved access to better data and information on innovative approaches to meeting global environmental objectives. 	<ul style="list-style-type: none"> ▪ Feasibility study for the creation of a comprehensive environment legislation website prepared and completed by month 4 ▪ Website architecture completed and endorsed by the MEA technical working group by month 6 ▪ Website is updated at least once a month with new information, articles, and resources ▪ Website statistical data rank the quality of the website (unique users, visit sessions, and page views) as a consistent top ten site of all Costa Rican websites by the twelfth month of being online and throughout the project's three years of implementation. ▪ Facebook page created by month 3 and updated on a weekly basis, at minimum ▪ At least 2,000 Facebook likes by month 32

Source: Logical Framework, PRODOC

MAIN STAKEHOLDERS

During the project development phase, key project stakeholders were identified and consulted. Taking an adaptive and collaborative management approach to execution, the project was supposed to ensure that key stakeholders are involved early and throughout project execution as partners for development. This includes their participation in the Project Board, review of project outputs such as recommendations for amendments to policies, plans, programmes and legislation, as well as participation in monitoring activities.

Given the project strategy, the key project stakeholders are government ministries and their subsidiary agencies and departments that are authorized to oversee compliance with key environmental legislation. These stakeholder representatives participated in activities to negotiate the improved interpretation of environmental and natural resource legislation, which is structured as learn-by-doing exercises. In addition to these governmental stakeholders, there are non-governmental stakeholders from academia, the private sector, and civil society organizations. During the establishment of technical working groups on the three Rio Conventions, these non-state organizations were invited to participate in project activities to share their comparative expertise, but also to undertake selected project activities.

TABLE 5: MAIN STAKEHOLDERS IN THE PROJECT

MINAE (Ministry of Environment and Energy)	MINAE will guide the process of how global environmental concerns, priorities and objectives would be integrated into Costa Rica's key national development policy framework, including poverty reduction strategies and programmes, and associated management capacities strengthened. The MINAE is the focal point of the GEF. Both the CC (through its National Institute of Meteorology, IMN) and the BD Focal Points (through its Protected Areas System, SINAC) are hosted at this Ministry.
MEP (Ministry of Education)	The MEP will play a key role in the inclusion of MEAs objectives into the national environmental education plans. It advises on the assessment of capacity in training and awareness at all levels.
MAG (Ministry of Agriculture and Livestock)	The Cattle and Agriculture Ministry is the lead institution of the agricultural sector. MAG will guide the integration of environmental priorities into the agro-industry productive sectors, including concerns related to low carbon climate resilient development strategies. It is the national focal point for land degradation and organic production.
MIDEPLAN (Ministry of Planning and Political Economy)	MIDEPLAN is in charge of national and regional development plans, improving governance in the short, medium and long terms, advising the executive power in decision-making strategies. It plays a key role in the project promoting national debate and coordinating the project objectives into the National Planning System.
MREC (Ministry of External Relations)	In charge of international cooperation. This project will benefit from the Foreign Affairs guidance ensuring it is at all times in harmony with national priorities and the principles of foreign policy of CR.
CONAI (National Commission of Indigenous Affairs)	CONAI is the public institution that promotes the social, economic and cultural improvement of indigenous people in Costa Rica. It is a governmental institution whose objectives include the development of participatory strategies for the sustainable management and use of water, flora, fauna and biodiversity in indigenous reserves.

Source: Prodoc

3. FINDINGS

3.1 PROJECT DESIGN / FORMULATION

The project design is consistent with a careful analysis of previous initiatives, including the National Capacity Self-Assessment, held in 2007 in the Country. Overall, the design was satisfactory, despite several faults and limitations, which are analyzed in depth in the following paragraphs. The project design failed to consider key issues in structural institutional make-up, including staffing issues, some reluctance to share information or to work through a cross/cutting approach, rather than just working in specific niches within the institutions. Even with these limitations, project design allowed for the implementation of key actions, served as a guide for the project's strategy implementation, and the achievement of good results.

ANALYSIS OF LFA/RESULTS FRAMEWORK

The long-term goal of the project was to integrate and institutionalize inter-ministerial decision-making for effective and sustainable MEA implementation through existing national environmental legislation, with the objective of mainstreaming the international commitments derived from the Rio Conventions into targeted national environmental legislation.

To achieve this goal and objective, the project strategy was composed of three outcomes:

1. Integrated inter-ministerial decision-making process for the global environment strengthened.
Under this outcome, the planned outputs were: the strengthening of MEA technical committees, the strengthening of information sharing agreements with academia and civil society, and re re-invigoration of Inter-Ministerial Council meetings.
2. Cross-cutting Rio Convention provisions are integrated into environmental legislation
Outputs under this outcome were the in/depth analysis of environmental legislation, the learn-by-doing integration of Rio Conventions into select environmental legislation, and the strengthening of monitoring and compliance.
3. Strengthened technical and management capacities
Outputs of this final outcome included the kick-off and project results conferences, the public awareness campaign, survey and educational materials, the awareness raising dialogues and workshops, the resource mobilization strategy, and the internet visibility of integrated and streamlined environmental legislation.

This strategy was centered on the premise that existing environmental legislation is somewhat excessive (over 30 laws and decrees identified by the NCSA), and its application can be ineffective and may lead to confusion. Also, it is difficult for decision makers and other public officials to be well versed on every piece of legislation, even more so for civil society and academia.

In general, the strategy of the project was well designed, focusing on the then identified needs of the country: improved management of obligations derived from Rio Conventions, the dissemination of information, the inclusion of participatory approaches in policy making, the generation of information for evidence-based policy making, and the learn-by-doing integration of Rio Conventions in select pieces of legislation.

As part of the logical framework developed during the design stage, several baselines were to be determined and constructed during the first months of project implementation. This element is considered as a flaw in project design, since during at the implementation stage, other set of unforeseen circumstances may difficult the process of baseline identification. This is exactly what happened with this project: delays and difficulties to get the project started made

it impossible to carry out that baseline identification process, and hindered M&E throughout project implementation.

Another key design issue was that the development of the project based on the previous NCSA, finalized in 2007 did provide some continuity to previous processes, but the amount of time between the NCSA final report and the development of this project is too long, and changes in institutional and external contexts may render some of the previous finding no longer relevant or appropriate. This should have been better considered while developing the strategy for this project, particularly, when it comes to institutional rigidities or structural issues in the system. The lack of consideration of changes in these factors, coupled with a change in how the project was to be implemented, from an institutional stand point, made for some very ambitious outcomes and targets. Despite efforts to achieve those targets, some were just a little outside of the scope of an international cooperation project like this one, and had to be adjusted to more realistic and achievable targets.

Despite these hindrances, the project management unit managed to, overall, direct the project's work toward the long-term goal and objective, and to comply in broad terms with the logical framework as established.

ASSUMPTIONS AND RISKS

In general terms, the assumptions and risks outlined in the logical framework are pertinent and focus on institutional interest, ownership and participation, on governmental support of the activities planned by the project, and on the feasibility (institutional and financial) of carrying out agreements and actions. Mainly, assumptions on institutional interest were a cornerstone of many of the planned actions, particularly with regards to Outcome 1 outputs, which centered around inter and intra-institutional coordination.

These assumptions were correct as long as the concerned institution or department perceived they would get some sort of trade-off for their inputs and participation. This is a structural issue within many ministries in the Country, and MINAE is no exception. The public sector has faced challenges derived from the economic context and high fiscal deficit, which limits to the extreme the resources, both human and financial, with which they operate. This hampers institutional appropriation at the technical level, since public officers that should lead these processes are already overworked, and new responsibilities are just another thing in an already overflowing to do list. Many institutions and other stakeholders were interested in collaborating, as long as they could find a way to incorporate the new responsibilities in their daily work. Other factors that challenge ownership include the usual mechanisms of working in specific niches, reluctance to share information (which can be perceived by institutions or technical staff as relinquishing their advantages in a specific field), or overall, resistance to change.

Also, not explicitly considered, and a factor that proved to affect the start of the project, is that political circumstances affect institutional support of the project. When the project was finally signed in March 2014, the Environment Minister new that a change in political parties for the administration assuming on the following May was almost sure, and hence decided to delay the start of the project. This situation, although complicated the first year of implementation (only \$13.749 USD of delivery, under 4.4% of the original financial implementation programmed for that year), proved a wise decision, since it allowed the new administration to appropriate themselves of the project.

LESSONS FROM OTHER RELEVANT PROJECTS (E.G., SAME FOCAL AREA) INCORPORATED INTO PROJECT DESIGN

This project built on the lessons derived from the National Capacity Self-Assessment, completed in 2007. This NCSA was part of the GEF vision in the early 2000's of "helping countries find the best way to frame resources by first determining their own capacity development needs to implement conventions related to biodiversity, climate change, desertification and other global challenges"². The NCSA for Costa Rica prioritized in its final report

² GEF – UNDP. 2010. National Capacity Self-Assessments, Results and Lessons Learned for Global Environmental Sustainability.

development actions in the three Rio Conventions, as well as the needs in cross-cutting capacity development among the Conventions. Particularly, Costa Rica prioritized the need of achieving a better understanding of how to effectively implement all three of the Rio Conventions, and elements from other multilateral environmental agreements within the framework of the existing legislation.

It was this NCSA which identified an excess of 30 pieces of environmental legislation, sometimes causing confusion and often diminishing country capacity to effectively comply with Convention agreements and dispositions. As a result, the implementation of these legal instruments is often not effective, and they may even counteract each other. These effects are heightened by the lack of information displayed by decision-making and planning officials, not well-versed on the excessive environmental legislation, due to several reasons, among them the high turnover of staff, or lack of proper training.

All these issues were taken into account when the project strategy was formulated and were a key factor in the decision to propose an innovative approach of not developing new legislation or policies but focusing on the improvement of management and assure a more effective compliance of the existing legislation.

PLANNED STAKEHOLDER PARTICIPATION

Other than the Ministry of Environment (MINAE) 18 ministries and two autonomous institutions with some participation or role in environmental policy, and many of these institutions also have focal points for international instruments. Despite this fact, interinstitutional coordination for the compliance with Rio Conventions were practically non-existent at the design stage of this project. Also, research and development must play an important role, creating a space for the participation of academia and private sector. Also, in the last decade, environmental initiatives have been championed by environmental NGOs, associations, small scale producer unions, entrepreneurial chambers, community-based organizations, and indigenous groups. Key stakeholders for this project are ministries and organisms authorized to supervise the compliance of environmental legislation. Other than these governmental actors, academia, private sector and civil society organizations are critical stakeholders that must be participated of project activities. All of these stakeholders were played a role in the implementation of the project.

REPLICATION APPROACH

As it was designed, the project expected to impact at a public policy implementation level, hoping to achieve the institutionalization and appropriation of coordination mechanisms to facilitate the compliance with multilateral environmental agreements. The project contributed to key, innovative achievements, with great replication potential. However, in some cases, this evaluation finds that proper mechanisms to ensure that replication or escalation must be finalized before the project ends.

Appropriate communication, education and training processes to inform all national stakeholders on the importance of compliance with cross-cutting provisions of the MEA can not only create awareness on how everyone can support national environmental goals from their particular sphere of action, but also can start a cultural transformation, with deeper impacts in environmental policy implementation. Replication of a virtual course for private sector, mainly small and medium business, was developed with technical know-how of MINAE and through the partnership with ALIARSE. This course provides information on the three Rio Conventions, under the guiding principle of adaptation and mitigation to the effects of climate change; and identifying best practices from the private sector. To replicate this important initiative, a formal agreement should be signed between MINAE and ALIARSE.

Providing tools to primary and secondary school teachers, so they can transmit elements of the new science plan which radically changes how children and adolescents learn about the environment, and more importantly, the impact of human actions and behavior on the environment, represents a key opportunity to generate an impact in cross-cutting environmental policy. Training opportunities at CEGEA were provided to teachers from a canton neighboring the Parque La Libertad. Replicating and escalating these opportunities to other cantons, seems an interesting and innovative way to provide teachers with new ways to implement science plans in their classrooms.

Both MEP and CEGEA are interested in continuing with these activities, for which a formal follow-up mechanism should be designed. It is also key for replication, to sign a formal agreement between MEP and MINAE for the revision of contents of future educational plans.

Continuing work at the local level, through the replication of pilot planning efforts at the municipal level that incorporate cross-cutting provisions of MEAs can facilitate environmental management at the local level. Incorporating environmental provisions at the planning stage, not only creates awareness of the importance of environmentally sustainable development, but allows the allocation of resources, both human and financial, to carry out specific activities that contribute to the national implementation at the local level of international provisions. A good practice to support the replication, was the partnership with the Institute of Municipal Training and Local Development of UNED. This partnership has the important added value that the Institute incorporated an additional module to its municipal planning training and has integrated this into their strategic plan for the 2016-2021 period.

Information generation and management are important means for effective decision-making processes. The contribution to the production of a first report on the “State of the Environment”, though another key partnership with a public university research entity (OdD), is a key achievement for which a presidential decree was signed, operationalizing the implementation of a periodical report.

UNDP COMPARATIVE ADVANTAGE

UNDP was selected by the government of Costa Rica as the implementing agency for this project due to a comparative advantage displayed by the agency, both in the topics addressed in the project and as an implementing agency of GEF financed projects. The Costa Rica Country Office has a comparative advantage in capacity development (biological conservation, climate change policy, capacity building in community-based organizations, sustainable use of resources, adoption of best practices, support of financial sustainability).

Also, the CO has developed a programmatic line of supporting participatory approaches to policy-making, and of supporting the strengthening of environmental institutions to better implement policies and achieve the country's environmental goals. Finally, UNDP has a comparative advantage in the coordination of multi-actor platforms (institutions, private sector, academia, civil society, NGOs, community-based associations) as proven with the development of the Responsible production and commercialization of pineapple platform.

LINKAGES BETWEEN PROJECT AND OTHER INTERVENTIONS WITHIN THE SECTOR

Coordination and linkages with other programmes and activities during the project implementation were facilitated by meetings of the Project Board and the Inter-Ministerial Council, as well as the work of the project management unit, ensuring that there is no duplication of donor resources and catalyzing cost-effectiveness through synergies.

There are a number of development projects underway in Costa Rica, a few of which are directly relevant and complementary to this project. This includes the Low Emission Capacity Building project that will support the implementation of the National Climate Change Strategy by formulating Nationally Appropriate Mitigation Actions (NAMAs) and developing Measurement, Reporting and Verification (MRV) systems in selected sectors. Also, the first Biennial Update Report to the UNFCCC also contributes with the improving their national Greenhouse Gas inventory.

This cross-cutting capacity development project was transcendent in the finalization of the National Biodiversity Strategy and the National Biodiversity Policy, working in the development of communication materials, technical support, and the facilitation of intra-institutional alliances between SINAC and CONAGEBIO.

Another project linked to this initiative is the conservation, sustainable use of biodiversity, and maintenance of ecosystem services of internationally important protected wetlands. This project includes trainings directed to protected area officials, judges, prosecutors, police and other authorities on national legislation for the control of introduced species. This training is directly related to and complementary to the training activities under this CCCD project that will help improve a better understanding and interpretation of legislative authorities towards their

improved monitoring and enforcement. Finally, the project managed to create synergies with the SGP programme, developing joint workshops in the degraded land basins of the Jesus Maria and Barranca basins.

MANAGEMENT ARRANGEMENTS

UNDP is the GEF Implementing Agency for this project, with the UNDP Country Office responsible for transparent practices, appropriate conduct and professional auditing. The Executing Agency is the Ministry of Environment (MINAE), which assigned a National Project Director (NPD) and provided its staff and network of experts as support to Project Management Unit (as part of government co-financing). The project was implemented in line with established government and UNDP procedures in Costa Rica. MINAE took overall responsibility for implementation of the project, and for the project success. It established the necessary planning and management mechanisms to oversee project inputs, activities and outputs.

3.2 PROJECT IMPLEMENTATION

ADAPTIVE MANAGEMENT (CHANGES TO THE PROJECT DESIGN AND PROJECT OUTPUTS DURING IMPLEMENTATION)

The project was executed in a transparent, holistic, adaptive, and collaborative manner. Initially, however, several issues arose, particularly with the conformation of the project team. The first issues arose with a slight delay in project approval. When the project was finally signed by the Environment Minister, the second round of National Elections was to be carried out within a couple of months, and a change in governing parties seemed imminent. Considering this circumstance, the Minister delayed the hiring process for the Project Management Unit (PMU) until a new Minister assumed office. This delayed the start of the project, until the new Minister decided to move the direction of the project into his office (he was named as project director with one of his vice ministers as alternate), and after a couple of bidding processes to hire a project coordinator were declared vacant, the new Minister named a project coordinator a.i. in August 2014. This process resulted in an initial delay of over seven months in the implementation of the project, which eventually had to be made up in the end, with the request of a no cost extension for an additional year (from March 2017 until March 2018).

This first project coordinator had participated in the initial process of the NCSA, and decided to undertake a PRODOC revision, changing a few issues, particularly in the management arrangements. This second process further delayed the start of proper project activities. A project assistant was finally hired in November 2014. After a few months of little progress, the Project Board considers that a new coordinator must be hired, process which was completed in February 2015.

Under this second coordinator, project activities begin implementation. An unforeseen circumstance forced the hiring of a new project assistant, and with the hiring of a technical assistant, the project finally started to fully implement activities in the second semester of 2015. All of these changes proved that an adaptive management approach is the best way to implement projects which face constantly changing institutional environments and external and internal contexts.

Furthermore, the decision of having such a high-ranking official as project director brings a new set of circumstances to the table: several minor decisions may take a long time (approval for small purchases, for specific consultants, or other daily issues), but substantive issues that require political support come to fruition due to the direct access to the Minister's office. Also, the project had to deal with requests from high-level officials to finance or support particular issues (all within the scope of the project, even though some of these requests did not correspond to planned activities). Another important issue raised is the perception of "politicization" of the project by other stakeholders, mainly within the same MINAE.

An important issue that was raised by several stakeholders in their interviews was the delicate balance that the PMU had to establish with institutional MINAE representatives on one hand and with other, NGO, private or academic stakeholders. In some occasions, this balance was achieved and the PMU had the role of facilitator between MINAE and other instances, but in some cases, the PMU was viewed as a key stakeholder separate from MINAE, which caused concerns and difficulties with some MINAE officials (these were specific issues, in particular situations, but were raised independently from several high ranking officials as well as other stakeholders, and therefore are important to consider).

This issue stems from all the different roles the PMU had to assume in the course of the implementation of widely different activities with several different stakeholders. Despite these issues, the PMU managed to adapt to institutional and external contexts and to overcome initial difficulties to accomplish the implementation of all project activities.

At the end, staff turnover and delays may have resulted in rushed processes to manage to comply with the delivery of expected results. This affected how the technical advisory committee participated in the different activities

proposed by the project, and in the manner on engaging the different stakeholders and key actors. A very important consequence of these delays was that the proposed construction of baselines for expected indicators through the use of surveys was impossible to achieve due to time constraints, and also due to the changes in circumstances, particularly on what was perceived as a priority to be addressed with limited project resources (financial, time constraints and human).

PARTNERSHIP ARRANGEMENTS (WITH RELEVANT STAKEHOLDERS INVOLVED IN THE COUNTRY/REGION)

The partnership arrangements the project managed to implement varied among stakeholders, according to the degree and the nature of the involvement required for every specific situation. The project succeeded in engaging the academia for research and investigation, in engaging private sector for awareness-raising and communication activities, to engage public officers from different ministries in collaborative spaces, to work together and further common objectives, and in involving civil society in participatory policy-making spaces.

In an effort to build public-private alliances to further involve private sector in environmental issues, a key partnership was sought with the ALIARSE foundation, an organization that specializes in public-private partnerships for development. Through this partnership, key information on Rio Convention, best practices for the private sector and trainings on climate change related issues were distributed to a private sector platform already established for said purposes.

The engagement of academic and research institutions belonging to public universities provided the project with value-added, since these bodies internalize processes facilitated through the project, and provide support beyond what was initially requested, bringing sustainability and ownership to strategic activities. Such was the case of the UNED, and the efforts of incorporating environmental elements relating to the Rio Conventions into municipal planning, through their Institute of Municipal Training and Local Development. The Institute succeeded not only in piloting environmental planning in two of their key municipalities, but in producing educational material to be used in the future with other local governments.

FEEDBACK FROM M&E ACTIVITIES USED FOR ADAPTIVE MANAGEMENT

M&E activities were carried out by the PMU, in direct coordination with UNDP. Quarterly progress reports were requested, and financial information updated on a monthly basis.

This constant revision provided elements for the PMU to determine the need of changing focus or to implement different activities. It also showed the need to request a no-cost extension in 2016, since the rhythm of financial and technical implementation the PMU was reporting was consistently alerting that additional time was required to complete several key activities and to more effectively articulate the different results.

It was the lack of progress displayed during the first few months of the project which prompted the discussion in the project board to change project coordinators. This process resulted in the conformation of a project management unit with a more hands on approach towards implementation, and a renewed impulse for the project.

Also, M&E feedback on slow financial implementation for 2015 prompted a closer follow-up strategy within UNDP for 2016 and 2017, to improve implementation and increase delivery and implementation rates in compliance with the timeframes established in annual plans.

The yearly PIR (Project Implementation Review) yielded important information for adaptive management. For one, they revealed the need to boost project implementation, both technical and financial (mainly 2015 and 2016), since progress was difficult to measure, particularly when trying to report vis-à-vis a target. Another important issue highlighted in the PIRs was the more than necessary possibility of extending the project due to initial delays, to allow the achievement of project goals. Also, the PIR yielded important clues as to how to manage several key situations, such as the roles played the key PMU members, like the project coordinator, who also had an important role as advisor for the Environment Minister in climate change issues.

PROJECT FINANCE

Total project delivery of GEF funds until 1 March 2018 was of US \$929,227.07. This represents a 95% of total project resources.

TABLE 6: YEARLY DELIVERY OF GEF FUNDS

Year	Budget (USD) ORIGINAL	Budget (USD) Revised	Delivery (USD)	Delivery rate (%)
2014	\$312,750	\$66,300	\$13,749.37	21%
2015	\$320,700	\$320,700	\$272,989.07	85%
2016	\$420,000	\$400,000	\$310,760.74	78%
2017	\$364,197	\$338,261	\$292,069.87	86%
2018	\$90,430.95	\$90,430.95	\$39,658.02*	44%
TOTAL**	\$980.000	\$980.000	\$929,227.07	95%

* Until 1 March 2018

**Total amounts for the budget columns correspond to the total grant of the project

Source: Project evaluator, based on information provided by the PMU

The impact in financial implementation of delays at the beginning of the project are evident in table 6, above, with year one of implementation closing with an implementation rate of 21% over a revised budget close to 20% of the original budget for year one, as stated in the project document. This was the fundamental reason for requesting a no cost extension in 2016, which was approved.

It is important to note that strong financial monitoring was implemented, allowing the project financial resources to be used in an efficient way, identifying synergies among actors, and recognizing in which instances could the project benefit from actions/activities carried out by other projects or with other projects (UNDP or other), such as workshops on land degradation with the SGP in the Barranca and Jesús María river basins.

As part of a broader sustainability strategy, several agreements were worked with public institutions or publicly funded university research centers, which generated a lot of work administratively speaking, since the transfer of funds to these institutions require a lot of compromises in several key clauses in agreement mechanisms, such as microgrants. These issues can sometimes delay the transfer of funds. In this case, issues were resolved without significant impact to the financial implementation of the project.

In addition to the Grant amount provided by GEF, UNDP committed \$115,000 US in co-finance, \$15,000 in cash, and \$100,000 in-kind contributions through the articulation of activities with the LECB project (Phase 1). This co-finance was implemented as expected, and the planned amount actually increased by developing strategic synergies with other projects, including the Small Grants Programme, and Finance for Biodiversity, Biofin.

The German international cooperation agency, GIZ, also agreed to provide \$350,000 of in-kind co-finance, which was implemented through awareness raising for non-state actors on joint legislation issues. However, these activities were developed under the framework of GIZ projects, and little coordination among the initiatives is observed.

The other key stakeholder to provide co-financing for the project was the Government of Costa Rica provided \$900,000 of in-kind contributions, which had been implemented almost entirely (99,9%) by December 2017, as confirmed by letters signed by the International Cooperation Director of MINAE. This contributions amount to the number of hours several officials dedicated to project related activities, to materials used, radio and t.v. MINAE timeslots used to communicate materials from the project, among others.

These amounts are detailed in the following table:

TABLE 7: PROJECT CO-FINANCING

Co-financing (type/source)	UNDP own financing (USD)		Government (USD)		Strategic Partnership (GIZ) (USD)		Total (USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	\$15,000	\$15,000	\$0	\$0	\$0	\$0	\$15,000	\$15,000
Loans/Concessions	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
In-kind support	\$100,00	\$100,000	\$900,000	\$899,922*	\$350,000	\$350,000	\$1,350,000	\$1,350,000
Other	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Totals	\$15,000	\$15,000	\$900,000	\$899,922	\$350,000	\$350,000	\$1,365,000	\$1,365,000

*until 31 December 2017

Source: Project Evaluator, based on format and information provided by the PMU

MONITORING AND EVALUATION: DESIGN AT ENTRY AND IMPLEMENTATION

The M&E is ranked as “satisfactory”. Monitoring and evaluation activities were undertaken by the PMU and UNDP, since the project management arrangements did not contemplate a M&E specialist, nor did the budget allowed for it. These actions were carried out in compliance with UNDP rules and procedures, and under its guidance. The PMU developed all monitoring activities using their own instruments, adapted from those provided by UNDP, and the lack of an M&E specialist yielded no negative consequences, due to the diligence with which PMU and UNDP Staff managed the monitoring of the project.

An important finding is that the monitoring of progress of several activities using SMART indicators, as explained in the PRODOC was impossible, due to the lack of established baselines for those indicators. The original plan was to construct, through surveys, those baselines during the first year of implementation of the project. However, this did not happen, due to the delays in the beginning of the project previously detailed. By the time the project actually had an established PMU and started accelerating implementation, it was too complicated and not an adequate moment to carry-out that process.

The original Monitoring and Evaluation Plan was conceived according to UNDP/GEF regulations for a medium-sized project. It was designed according to the foreseen needs of the project and allowed enough maneuverability to adapt as necessary. In complying with the M&E Plan, all important milestones were attained: the inception workshop and terminal evaluation were all carried out in a timely manner, annual revisions were undertaken, APR/PIR forms were completed and submitted to the corresponding regional technical advisor (and are consistent with the findings of this TE), periodical progress reports were submitted, and an external audit was performed. Also, information generated through M&E tools and periodical monitoring visits allowed the PMU the planning of continued processes and allowed evidence-based decision making to improve the implementation of the project by key stakeholders, mainly those directly involved in the project implementation, such as the Focal Points for the three Rio Conventions and other Environment Ministry officials.

UNDP AND IMPLEMENTING PARTNER IMPLEMENTATION / EXECUTION COORDINATION, AND OPERATIONAL ISSUES

UNDP and implementing partner implementation is rated as “satisfactory”. UNDP has accompanied the PMU constantly and provided technical and administrative support whenever necessary. The support from the procurement specialist in UNDP, and particularly from the Sustainable Development Programme Officer constituted an important asset for the implementation of the project.

Also, UNDP support went beyond the normal support for administrative and financial concerns, and also beyond the accompaniment from the Programme Officer, but constituted an integral support of project links, facilitating access

to expertise, linkages between projects, development of synergies and identification of shared costs and activities with other projects.

Specifically, the few issues that arose were related to the management of agreements and contractual modalities between UNDP and stakeholders, particularly academia, which often has their own timing and tends to slow down processes.

There were some difficulties in the coordination of inter and intra-institutional involvement, sometimes due to lack of clarity between institutional needs and what issues can a project of this nature effectively address. This may sometimes lead to higher expectations on what the project can deliver, a process that may hamper already difficult institutional relationships. Another important factor to consider when trying to articulate process within the Ministry of Environment is its own institutional structure. Several officers within MINAE, across different departments or directorates have expressed that they have more difficulties coordinating within the ministry than with external actors. This lack of coordination mechanisms, of fluid communication, and mainly the perception that several departments can comply with their responsibilities without involving the rest of the ministry, has a direct impact in how the PMU articulated and communicates among the different ministerial actors. Another important aspect is the perception several officials within MINAE have of the Minister acting as project director for the first half of the project, which is that the project is politicized, and this impacts how officers interact and coordinate actions.

Finally, another operational issue stems from the fact that PMU is not often regarded as UNDP or MINAE representatives, leaving them in a no man's land when it comes to coordinating or facilitating processes. Sometimes, as the element that links MINAE and other institutions, is important to understand that they are acting on behalf of MINAE, the implementing partner in the project, and the national institution that it's ultimately responsible for the project, jointly with UNDP.

3.3 PROJECT RESULTS

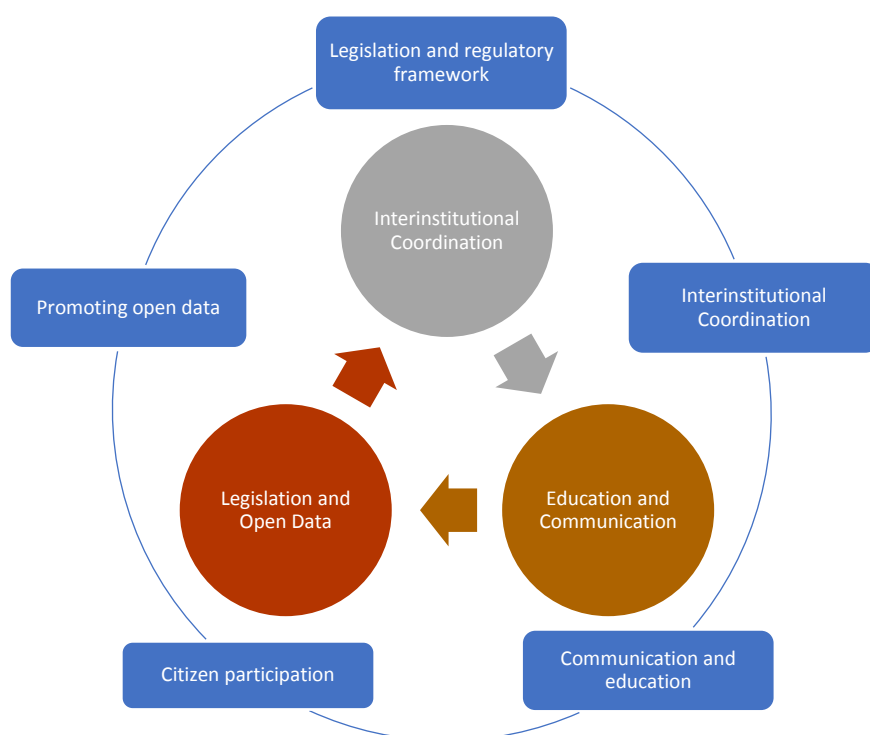
OVERALL RESULTS (ATTAINMENT OF OBJECTIVES)

The expected results for this project are described in the PRODOC, in the section **C.2.d Project Components, Outputs, and Activities**.

The overall results achieved by the project are rated as “satisfactory”, the project having achieved significant progress towards the long-term goal of the project. Despite this fact, it’s important to note that some results were only partially achieved, including the institutionalization of a coordination mechanism for the three Rio Conventions, which was the main objective of the project.

This should not take away from important results achieved by the project, mainly as part of a technical support provided to different stakeholders, or as information generated or processed to reach varied groups.

The project strategy was operationalized by the PMU (after the second project coordinator was hired in 2015), by determining three main components from the three outputs and identifying five key areas of action, as shown in the following figure:



Within these five areas of action, the project articulated their actions to comply with outputs and outcomes, through the opening of participatory spaces, building spaces for open dialogue of national stakeholders to help develop true participative policy-making, and also supporting the production and management of information, so that participation in those spaces is effective.

It is important to note that further institutional work is needed to guarantee sustainability and better communicate these results.

Detailed Results by Outcome:

Outcome 1: Integrated inter-ministerial decision-making process for the global environment strengthened

This first outcome aimed to achieve the institutionalization of a coordination mechanism for the three Rio Conventions. Despite several efforts to fully complete this outcome, as of this moment, this has not happened. However, several instruments of public policy do show that elements from the three conventions have been mainstreamed, the focal points designated for each convention have acknowledged the need for stronger coordination, and to start working on issues together instead of adopting issues from other conventions into their daily work.

The project provided technical support to the different conventions, many times separately, as they continued working in silos, despite the institution of an advisory council with bimonthly meetings, in which they were informed of the progress and results of the different activities undergoing to comply with annual work plans and contributed with technical advice and coordination within their institutions to achieve the desired results. Despite these meetings, and constant information being exchanged via email, communication within the project key institutional stakeholders could've been improved, maybe with different communication mechanisms, but also with better communication at the different stages of the implementation of activities. A more fluent communication would've fostered more institutional appropriation and stimulated more participation from other directions or departments within the institutions. An example of this was the case of the DCC, which would've liked more participation in the mainstreaming of climate change topics in municipal planning, which the project coordinated with UNED. These kinds of facilitation processes can be improved when multiple stakeholders are involved during several stages of the process and not only in the validation or final stages.

These meetings were often postponed or not exactly bimonthly to try to adjust to the different agendas of the focal points and other members of the advisory committee, so that the meetings that were held had high levels of participation. These difficulties underline the institutional rigidities that contribute to the lack of coordination. It is important to highlight that the focal point designation for the three Rio Conventions (and often for other MEAs) is an added function to a public officer who already is overloaded in its tasks. Therefore, sometimes assuming the functions of a focal point demands more time than these officers have to perform all their duties, calling into question the need to determine how to designate these focal points considering the technical and soft skills necessary to successfully negotiate in the country's best interests in international forums, meetings and conferences of the parts.

A very important achievement, that requires following up and greater appropriation from the focal points and the DCI was the drafting of 5 different models of legal instruments to institutionalize the coordination mechanism. Due to institutional factors, and lack of support from advisors in law and planning for the Minister, none of these models have been signed into legislation. However, if the DCI and focal points can provide support and leadership in the required lobbying process, maybe one of these models will be approved and implemented, thus completing the main objective of the project.

Separately, the project provided technical assistance the development of country positions for the COPs in 2016 and 2017, which was of great importance to the focal point and to SINAC. The project also joined forces with the Small Grants Programme and CADETI to organize workshops with civil society, community-based organizations and small-scale farmers in the Jesus María and Barranca river basins, to discuss efforts to fight land degradation.

With climate change, the support was maybe more evident, since the project coordinator was also a trusted advisor on climate change for the Minister, and his knowledge and expertise were of great use in the development of the INDCs and the National Adaptation Policy.

With regards to information needs, the project provided support to CENIGA, the institutional body in charge of environmental information management. The development of environmental indicators, disaggregated to small geographical units is an important tool not only to follow-up progress of environmental sustainability, but are an important tool for decision and policy making.

Also, partly because of the support of the project, MINAE complied with an institutional debt of 23 years: the production of the first official report on the State of the Environment, a very complete report produced by the ministry, which provides official data and baselines for the environmental information system (SINIA) and helps the strengthening of the environmental statistical production. This report is an important milestone that also contributes to national compliance with OECD recommendations about information production and dissemination.

Finally, the DCI has started the development of a coordination platform with convention focal points, that can be used as a monitoring mechanism, and can provide support to focal points in the coordination and development of country positions and in the compliance with these multilateral environmental agreements, as well as verification of national implementation.

Outcome 2: Cross-cutting Rio Convention provisions are integrated into environmental legislation

In this second outcome, several important results were achieved. For one, an important legal analysis of strengths, weaknesses, opportunities and threats of environmental legislation on the three Rio Conventions, and how they are interrelated and can generate synergies among them. This analysis was based on the application of legislature by environmental courts and provides important information on their linkages with trade agreements and OECD requirements. From these analyses, it was determined that the convention on land degradation and desertification is the least developed in terms of legislature and jurisprudence, and that the courts apply joint legislation on the different conventions when making their rulings.

The incorporation of cross-cutting Rio Conventions has been very clear in several public policy instruments. The process through which the government constructed their intended nationally determined contributions to climate change mitigation was an example of participatory policy making, convening different sectors with sometimes radically different economic interests. Through this project, participatory mechanisms and methodologies were implemented and documented to finally produce an INDC document approved by all stakeholders, fostering appropriation and sustainability of the commitments, since it goes beyond the interests of a particular administration or sector, but rather reaching commitments to be implemented and monitored by all key stakeholders.

As an audit mechanism to ensure compliance with INDCs, two participation and advisory councils were institutionalized: the Scientific Council for Climate Change or 4C, by its initials in Spanish, and the Citizens' Advisory Council for Climate Change or 5C. These two bodies have been constituted and institutionalize with the purpose of providing advisory services and to ensure compliance with goals set in public policy to achieve mitigation and adaptation to the effects of climate change, to which Costa Rica is especially vulnerable. The 5C is a participatory body with 25 representatives of 9 different sectors.

The construction of the INDC also proved a transformative force for the climate policy of the country, which was previously focused on compensation of emissions to achieve carbon neutrality to an expanded agenda including elements of adaptation and emission reduction. This process had been long in the making but finally came to fruition with the INDCs presented to the UNFCCC in the COP 21 in Paris. The need for emission reduction in key sectors, including transportation, agrochemicals and changes in productive landscapes proved a big challenge, but was managed through participatory approaches, which allowed all stakeholders to voice their concerns and to be a part of the construction of the goals to be met. This process also considered the different geographical levels, allowing local stakeholders, like local governments or locally managed rural aqueducts (ASADAS) to participate and provide information, mostly in adaptation to climate change.

Another important achievement was the contribution to intra-institutional coordination, mostly among different directorates, departments and commissions within MINAE. The mainstreaming of Rio Convention provisions in the National Adaptation (to Climate Change) Policy, or in the National Biodiversity Policy and the National Biodiversity Strategy. This was achieved by facilitating communication among different entities within MINAE, in the case of adaptation to climate change between the DCC and SINAC, and in the case of biodiversity between SINAC and CONAGEBIO. This last process facilitated not only the appropriation of the topics within the policy, but the appropriation of each instance of the targets set in the strategy, allowing for appropriate monitoring to ensure achievement of said targets.

Finally, the compilation and analysis of best practices under implementation for the mainstreaming of Rio Convention provisions on the field provided an instrument for the prioritization of actions that can either be scaled or replicated. In this area, one has to be careful with the analysis, since financial restrictions set by the high fiscal deficit context, hampers the implementation of initiatives that show promising result at a larger scale or in larger geographical areas. However, with the prioritization of these best practices, there are interesting clues as to where can fund allocations can be prioritized to achieve the mainstreaming of MEA provisions, with a bottom-up approach, using as starting point practices that have been successfully tried in the past. Important examples of these are the development of the NAMAS in coffee and livestock, or the SDG programme, which has successfully mainstreamed elements from climate change adaptation and mitigation, biodiversity conservation and sustainable use and practices to prevent and revert land-degradation into community-based livelihood initiatives.

Outcome 3: Strengthened technical and management capacities

Another important issue that the project achieved and has not necessarily been properly communicated is the production of information, that, if harnessed correctly can provide elements for evidence-based decision-making processes. A good example is the environmental perception survey, which yielded results on the importance of environmental protection, the possibility of continued and sustained growth in low-carbon and sustainable economies, tax reductions for electric vehicles, the willingness to recycle and knowledge on climate change, its effects and mechanisms for adaptation and mitigation. This information in the hands of policy and decision-makers can be the difference between an effective or ineffective environmental policy.

Information sharing in environmental issues is very important, since reliable information is the basis of sound decision-making, and MINAE, as the institution with the environmental oversight mandate, must lead efforts in production and management of key information for cross-cutting policy making, since environmental policy must permeate into all other sectors.

Another important information-related achievement was the contribution to the National Policy on Open Data, which norms how public institutions must make information available timely and easily. Through a strategic alliance with the Vice-ministry of Presidency, the project attempted to contribute in the discussion of how data can add value in policy and decision-making. Also, the project contributed through the joint organization of several workshops to explore how information related to the SDG 13 (Climate Action) can be shared. Finally, the project supported several efforts to comply with international open data initiatives, including OECD requirements, providing elements of sustainability to the initiatives.

Strongly related to the need of sharing information for policy making, is the need to incorporate that strategic information into institutional planning. Planning processes have structural flaws that go beyond a particular directorate, institution or administration. The lack of fluidity and linkages between institutional strategic elements, the operationalization into activities and actions and the budgeting in planning processes is obvious. Sometimes, institutional planning is completely separate from financial resource allocation, which makes it difficult to achieve goals and targets in effective and efficient ways. The project attempted to address this issue, by trying to bridge the divide between programmatic planning (strategic planning) and financial planning. However, it was clear that this separation is structural rather than just institutional, and a few workshops in the framework of a project are not an effective way to address the underlying issue.

In terms of communication and awareness raising, the project developed several products, such as infographics, radio spots and other, using a strategic partnership with the CETAV. These communication products were socialized and must be further disseminated to reach broader audiences. The process through which these materials were prepared showcased difficulties in management arrangements within the project's structure, since timeframes for the review and approval of the materials got out of hand, lasting more than a year. This situation is problematic due to the nature of the materials produced, these long periods between the actual creative process and the final approvals hinder not only the use, but the relevance of the materials in a determined moment. These delays could even render communication materials ineffective or outdate them, making them no longer useful.

Other important materials produced with the support of the project were several virtual courses. One, produced in a public-private partnership with the foundation ALIARSE (an NGO that works to mainstream sustainable development issues among private small businesses) and the University for International Cooperation (UCI), aimed to create awareness among small businesses of the importance of compliance with MEA provisions, and the role that private sector has in achieving environmental goals. The first edition of the course was highly successful, having almost twice of the planned enrollment. Both ALIARSE and UCI have plans to continue the course at least twice a year. This course has a completion certificate signed by the DCI Director of MINAE.

Another important effort to produce virtual education materials was facilitated through a strategic alliance with UNED. It is aimed for local governments at the planning stage. It mainstreams environmental issues, mostly related to Rio Conventions provisions, into municipal planning processes. This material was developed jointly with the Institute of Municipal Training and Local Development of UNED, which incorporated these elements into their regular strategic planning, assuring sustainability and institutional ownership of the initiative. Within this initiative, also, two different local governments, chosen from 14 priority municipalities identified by the institute, piloted the implementation of mainstreaming environmental elements into municipal planning. This pilot experience will be escalated in future years by the institute, once again stressing the importance of alliances with public academic institutions.

Finally, the last virtual course, currently under development is an effort to provide primary and secondary school teachers with self-actualization materials in technical environmental elements related to the effects of human interaction with the environment. This as part of an important joint initiative between MEP and MINAE to have the new science plans reviewed by experts to ensure the quality of the programme that will be taught to primary and secondary students. The project aided in the process of reviewing the science plans, and then facilitated an alliance with the Center of Environmental Management and Education, CEGEA, of the Parque La Libertad Foundation, for the mediation of the revised science plans, and the preparation of virtual resources and workshops for the teachers, to give them tools and examples on how to present the new topics to their students. Both MEP and CEGEA have expressed willingness to find ways to continue with the workshops to teachers, which provides some sustainability to the process.

A final achievement in information generation and awareness was a workshop with the forest sector, a sector that does not have clarity in the role they play in the compliance with Rio Conventions provisions, other than their role in mitigation of CO₂ emissions through environmental services payment programs (PSA). The workshop was a forum for the entire sector, both at the institutional and private levels, to come together and try to identify how they can go beyond mitigation in compliance with MEA provisions.

RELEVANCE

The rating for relevance is R. The project is considered to be relevant with regards to the GEF Cross-Cutting Capacity Development, a programme in which projects are measured by output, process, and performance indicators that are proxies to the framework indicators of improved capacities for the global environment. To this end, CCCD projects look to strengthen cross-cutting capacities in the five major areas of stakeholder engagement, information and knowledge, policy and legislation development, management and implementation, and monitoring and evaluation. This project conforms to the GEF-5 Cross-Cutting Capacity Development (CCCD) Strategy, Programme Framework C, which calls for the strengthening of capacities of individuals and organizations to plan and develop

effective environmental policy and legislation, related strategies, and plans based on informed decision-making processes for global environmental management, to meet Rio Convention objectives. More precisely, this CCCD framework provides the vision for CCCD projects to integrate and mainstream Rio Convention (among other MEA) obligations into a country's policy and legislative frameworks, and to underpin these strengthened capacities with strengthening improved management and compliance.

In relation to UNDP's Country Programme, this project was framed within Outcome 25 of the 2013-2017 CPAP (A national strategy on Climate Change that allows advancement towards a low-carbon economy and the reduction of climate change related vulnerabilities is implemented). This project is also part of a programmatic effort to strengthen environmental institutions in the country, and to provide support in participative policy-making through democratic dialogue initiatives. The project also supports the National Development Plan, as a catalyst to its implementation in a way that not only meets national socio-economic priorities, but also delivers global environmental benefits.

The Technical Steering Committee served as an advisory board that not only approved and validated results but provided technical assistance in the development of tools and the guiding of activities implemented, which provided an important filter into many of the actions carried out by the project, providing strategic insights as to the kind of results those activities should yield.

The project contributed with important technical support in the elaboration of public policy instruments (national Climate Change Adaptation Plan and Policy; National Strategy on Biodiversity, Intended Nationally Determined Contributions to the UNFCCC), both through participatory approaches and learn-by-doing methods. In the first topic, it is important to note, that building upon the previous experience of democratic dialogue tables used with the National Energy Plan (through the LECB Project implemented by UNDP), the project helped to build a methodology for the building of true participatory policy-making.

EFFECTIVENESS & EFFICIENCY

The level of **effectiveness** of the project is rated as "satisfactory". The project was effective in the achievement of results, adapting to changing circumstances and with a good management of risks and assumptions (starting on the second year of implementation). The multi-stakeholder approach and the development of alliances among public institutions contributed not only to increase effectiveness, but to install capacities and assure sustainability (as is the case of Municipal work with UNED, or the alliance with OdD to produce information for the first "State of the Environment" report). However, a very important result was not achieved, though important progress was made. The final element for the institutionalization of the coordination mechanism resides on the final approval of one of the models designed for this. Whether or not the result is finally achieved will depend on the appropriation of Rio Conventions focal points and the DCI, who have the ultimate challenge of lobbying for the institutionalization of the mechanism.

The **efficiency** level of the project is "satisfactory". The project was managed through an adaptive approach, managing to overcome design faults as well as unforeseen context limitations. This was managed through the adaptation of Annual Work Plans in compliance with UNDP requirements, to include elements that were behind on planning (after year one, there were significant delays); the development of actions that were not planned in the Prodoc, but were identified as key to accomplish results; the prioritization of democratic dialogue and participatory approaches, generating several dialogue processes; and the technical assistance in policy making, despite the fact that initially the project was not supposed to produce any new legislation.

The financial monitoring tools were satisfactory, in compliance with UNDP requirements, and allowed the correct tracking and allocation of resources throughout the project, including the no-cost extension. The logical framework was used as a guidance tool to the implementation of activities, following up on its execution and aiding in the monitoring of results, reported in quarterly reports and in the APR/PIR required by GEF.

The financial implementation of the project was efficient, with the exception of the first year, which faced delays for circumstances already explained. The second project coordinator had to adapt the project to new circumstances and a governance structure slightly different. However, the project managed to comply with the expected results without any additional resources, despite the delays.

The project achieved capacity building within the Climate Change Directorate, CONAGEBIO, and the Ministry as a whole, with its approach of learning-by-doing and through participatory schemes.

COUNTRY OWNERSHIP

As identified by the NCSA, the legal and institutional context in which this project has developed is full of complexities. A hindrance to institutional ownership, is that project implementation was considered “political”, since the director of the project was initially the Minister of Environment, and sometimes political support can’t provide the necessary technical expertise for the Ministry to exercise leadership in certain topics. Also, several departments do not appropriate themselves of activities/actions, unless they see a payoff or benefit in doing so, which hinders country ownership.

Stakeholders external to the Ministry of Environment (Ministry of Education, UNED, Parque La Libertad, OdD, ALIARSE, and several of the national consultants) had less issues with ownership of the different activities and decided that the value added of proposed project activities enhanced their daily work and adopted actions into their own institutional planning. A very good example of this has been the work the UNED, through its Institute of Municipal Training and Local Development, which included training with two pilot municipalities on how to mainstream compliance with Rio Conventions at the planning stage, into their institutional plan for the 2016-2020 period, which guarantees sustainability, both working with these two municipalities and in their efforts to replicate with other priority municipalities in the future.

Another good example of country ownership is derived from public policy exercises. With the learn-by-doing approach undertaken with the elaboration of the National Policy on Climate Change Adaptation, DCC staff have technical capacities to implement, and monitor the implementation of the policy. And with the participative process to construct the INDCs Costa Rica presented in Paris (at COP 21), the agreement among a wide variety of actors, including private sector, civil society and academia facilitates not only ownership of the commitments, but assures that they are apolitical, in the sense that they are not a commitment of a particular administration, but the commitments of the Country.

MAINSTREAMING

All GEF financed and UNDP implemented projects are key elements in country programming for UNDP, and as such, they must be aligned with corporate, national and country office priorities. This project is consistent with the main strategic lines of action of UNDP programming for Costa Rica, specifically with respect to environmental mainstreaming, strengthening environmental sustainability, and contributing to UN Development Assistance Framework (UNDAF) 2013-2017 outcome 4.2 to adopting a more integrated approach to environmental management. The design of this project takes into account the Costa Rica’s National Development Plan (NDP), which currently serves as the over-arching planning instrument to achieve sustainable development.

Within this framework, the integration of Rio Convention provisions into environment legislation and regulation through better approaches for their implementation and oversight will serve as a catalyst to implement the NDP in a way that not only meets national socio-economic priorities, but also delivers global environmental benefits. This CCCD project will be closely coordinated with key GEF-financed projects, including Costa Rica's work to pursue low-emission and climate-resilient development (LECRD); as well as other projects as previously mentioned.

The project has incorporated other key issues of UNDP programming (human rights, gender and poverty topics) in the approach with which the different activities were planned and carried out. The virtual course in development for the professional actualization of primary and secondary school teachers includes a holistic view of the impact of

human behavior on natural resources, considering gender roles in the use of these resources, and how environmental degradation affects vulnerable populations. The guidelines for participatory policy making (the project led the participatory consultation for the preparation of Costa Rica's INDCs) were an example on how to include a participatory approach into policy making, which not only guarantees a broader vision of the issue at hand but facilitates ownership and sustainability of issues.

SUSTAINABILITY

Overall likelihood of sustainability for the project is "moderately likely". This because there are risks that several of the most important outputs the project produced are not properly institutionalized and therefore won't continue other time. Also, a significant risk for project sustainability in general is the financial constraints the government is facing, with a fiscal deficit closing in on 7% of GDP.

These risks are analyzed in four dimensions:

Financial

Financial sustainability is rated "moderately likely". There is a lack of connection between planning and budgeting, at the institutional level. This is a structural issue, inherent of how the entire public sector is managed between MIDEPLAN and the Treasury Ministry. However, this lack of connection between the strategic planning and the assignment of resources to achieve those strategic results hinders the ability of institutions to find duplicities, be effective and efficient in the execution of their budgets. To achieve that level of effectiveness is particularly important in the context of fiscal deficit and reduction of budgets. This complicated context makes it very difficult to foresee if the different ministerial departments will be allocated enough resources to continue the actions necessary to attain sustainability through institutional appropriation.

Socio-political

Socio political sustainability is ranked "moderately likely". A key issue at this point is the uncertainty in the coming second round of general elections. This was evident in the delay experienced at the start of the project, which can be directly linked to the change in administrations, that brought about a change on how the project would be implemented. Support from the political authorities within the Ministry is key to achieve sustainability. In this particular case, the project design was agreed under one administration, with a specific focus on how the project would be implemented. In reality, by the time the project was finally signed in March 2014, that administration was ending, and project implementation fell to the current administration, which adopted the project, adapted the implementation strategy to better suit their policy line, and provided a lot of support to the implementation process. The continued support is important for the sustainability and appropriation, which at the political level may influence appropriation at the technical level.

Institutional framework and governance

The institutional framework and governance is rated "moderately likely". In this component, sustainability faces a very important challenge: the lack of appropriate levels of institutional ownership within several directorates in the Ministry of Environment. Despite the fact that the project has a lot of support at the political level, this has not permeated through to the technical levels, and across the different directorates and departments.

Several factors hampered proper ownership, such as lack of communication at different stages of implementation of the different actions. If institutional technical staff is only notified of the progress of different actions or are asked to validate results instead of asked to provide inputs into how those actions should be implemented, ownership becomes more difficult. Another issue is the lack of clarity in the role played by project personnel. The PMU has a difficult role, in the coordination and facilitation of strategic actions on behalf of the project, which is implemented jointly between MINAE and UNDP. This means that all actions are approved by or coordinated with MINAE institutional personnel. Therefore, how the PMU acts, and how those actions are perceived by institutional personnel, especially at the technical level, also affects ownership, and therefore sustainability.

The structure of MINAE makes coordination processes among directorates and departments complicated, and this lack of communication and coordination mechanisms hampers ownership as well. Differences between directorates or bodies within the ministry, their perceived responsibilities and how they are held accountable whether to oversight bodies or at the political levels, complicates how these entities interact, and which responsibilities they assume. Sustainability among these conditions is not guaranteed.

Another important issue raised was that there was a timid involvement of key technical institutional departments with a particular responsibility in the design and implementation of project activities. Such is the case of the little involvement of SINAC's Environmental Education personnel in the reviewing of the science plans. This due to different factors, including limited time to properly conform a taskforce, the location of the institutional liaison with MEP in the Meteorological Institute (IMN) and not in SINAC, not enough interest from SINAC to participate in meetings and or activities. This also complicates sustainability in the long term, since the institution with direct responsibilities is not part of the process, and therefore may not even be aware of the follow-up that it is responsible for.

The perception within the ministry that the project is politicized, due to the fact that the minister assumed the direction, can hamper ownership of the project at a technical level, since officers interpret that some of the actions undertaken to achieve project objectives may be more political than technical, and once the administration changes, sustainability.

Environmental

Environmental sustainability is rated "Likely". The implementation of policy instruments, such as the National Biodiversity Policy, INDCs, or the National Adaptation Plan seem to assure environmental sustainability for the project. The consolidation of mechanisms such as the 4C and 5C to provide some measure of oversight in the compliance of targets established in public policy instruments, facilitates environmental sustainability.

All these issues are somewhat mitigated by the creating of alliances that allow the mainstreaming of certain elements into the strategic planning processes of other instances (private sector, municipalities, foundations or academia), and therefore providing a small measure of sustainability.

IMPACT

It is very important to note that impact is not measurable in such a short-term period of time, and that it escapes the scope of this evaluation.

However, a few elements with regards to potential impacts were discussed in key stakeholder interviews and are worth noting in this report:

- The official report on the "State of the Environment" will provide key, evidence-based information on environmental issues and will promote accountability on environmental management.
- The incorporation of technical, environmental topics into the learning plan for primary and secondary students has a potential to change the environmental culture of Costa Rican society in the long term. Workshops and virtual courses for teachers on how to present this knowledge to students can improve how children and adolescents understand the impact of their actions in the environment.
- National policies, such as INDCs, and the National Policy on Climate Change Adaptation are technically sound instruments, built with participatory approaches and can shape the future of Costa Rica's response to climate change effects, including measures to protect and compensate vulnerable populations.
- The National Strategy on Biodiversity and the respective policy is not only attempting to guide the implementation of measures to support conservation of natural resources, but sustainable use of those

resources, with an approach of ecosystemic services, supporting communities in buffer areas and who benefit from natural resources in different protected areas.

- Information yielded from the survey implemented with the Programa Estado de la Nación has the potential to provide decision-makers elements of public policy voids or necessary adjustments to improve its effectiveness.
- The virtual course designed with the ALIARSE Foundation can influence private sector stakeholders and strengthen their knowledge on environmental topics strengthening public-private alliances.

4. CONCLUSIONS, RECOMMENDATIONS & LESSONS

This CCCD project aimed to integrate and institutionalize inter-ministerial decision-making for effective and sustainable MEA implementation through existing national environmental legislation, with the objective of mainstreaming the international commitments derived from the Rio Conventions into targeted national environmental legislation; through three outcomes centered around 1) the strengthening of decision-making processes, 2) reviewing legislation and integrating Rio Convention provisions and 3) strengthening technical and management capacities.

This TE has important findings in terms of project results. The first is that, overall, the project made **significant progress towards the achievement of the long-term goal**, despite the fact that several results were only partially achieved, including the formal institutionalization of a coordination mechanism for the Three Rio Conventions. The project, and how it was operationalized for implementation by the PMU after August 2015, articulated 5 areas of action across the three outcomes, which favored the achievement of results and provided an articulation for all the activities developed. Setting the framework for the construction of participatory mechanisms to environmental policy-making, accompanied by generation and management of information to make citizen participation effective are the two processes underlining the work of the project.

The project was found to be relevant, both in terms of GEF Cross Cutting Capacity Development Programme, and with regards to national priorities, as expressed in UNDP planning instruments and more importantly, in the National Development Plan. One aspect underlining the delays experienced at the beginning of the project is the effort made by the current administration to make sure that the project's implementation would be part of a wider, national strategy on capacity/building within the Ministry. In terms of effectiveness and efficiency, the PMU managed to build synergies among institutions, civil society and other key actors to increase effectiveness and sustainability, while adapting to continuous change in context, and overcoming design limitations to efficiently use the available resources.

Sustainability is an important challenge for the project. Financial constraints faced by a government with a fiscal deficit approaching over 7% of GDP, poses a risk towards the sustainability of not only this project, but any project. Furthermore, planning mechanism at the national institutional level complicate the efficient allocation of financial resources, since planning and budgeting are often separate processes that are not converging. The impending change of Administration in May is a socio/political risk to sustainability, mitigated by participation of research institutions, public universities, and civil society, helping ownership at the institutional level. In terms of institutional ownership, there is a great challenge: the lack of appropriate level ownership within several directorates in the Ministry of Environment. Improvement in communication processes and timely involvement of ministry officials may prove key to improve sustainability in the future.

In terms of impact, any measurement of long term impact escapes the scope of this TE. However, several elements foreshadowing potential impacts have been mentioned in chapter 3, such as partnerships with key, public funded research institutions, public-private alliances, or interinstitutional agreements with other ministries. Also, the use of learning-by-doing and participatory approaches to policy building provide clues as to the scope of potential impacts of the project.

The findings around the main evaluation criteria (relevance, effectiveness, efficiency, sustainability and impact), previously mentioned and detailed in chapter 3, allowed the evaluator to extract the following conclusions, recommendations and lessons.

CORRECTIVE ACTIONS FOR THE DESIGN, IMPLEMENTATION, MONITORING AND EVALUATION OF THE PROJECT

1. **Baseline building must be prioritized in project design.** The project design was such that during the first year of implementation several surveys should've provided baselines for several indicators. However, this did not happen, due to unforeseen delays in the start of project implementation. When the project finally consolidated its management unit, and started accelerating implementation, it was not feasible to start surveying key actors to develop a baseline. **The recommendation is that since, project implementation may not give the be able to prioritize these issues due to financial or time constraints, baselines must be constructed or identified during the project design, not its implementation.**
2. The determination of targets must consider institutional and external contexts. Very ambitious targets, that do not consider complexities of interinstitutional coordination, or political context in particular moments may hinder the implementation of the project and make monitoring progress an unsurmountable task. **It is recommended that the project has achievable targets, considering not only the ultimate objectives to be achieved, but elements of the current political, economic, social and institutional context.**
3. Communication is a key element in project implementation. However, communication is not only sending emails and convening meetings, but transmitting key information through the appropriate channel at the adequate stage and conveying the message that is intended. **One important conclusion is that clarity in the roles that the project management unit (including the project director) is very important for effective communication and articulation of activities. A recommendation for future projects is that communication processes within the key stakeholders and actors must be improved and prioritized.**
4. The generation of information within a project can contribute to evidence-based policy and decision-making. However, due to different circumstances, information can be lost, not properly managed, or it simply may not reach its intended target. **An important recommendation is that projects need a tailored strategy not only for the production but for the management of the information generated through its activities.**
5. The role of the project director is a key role. The project director is the ultimate national officer responsible for the achievement of results and must be a present force in the daily implementation of the project. This dynamic means that the national officer selected for that role will be assuming several time-consuming responsibilities in addition to their institutional work. **A recommendation is that project directions shouldn't be assumed by high-ranking officers such as ministers, since the load of work they normally experience may prove detrimental to their performance as project directors.**
6. Partnerships among key stakeholders mean that both interested parties must achieve common ground when it comes to coordination and operational issues. Sometimes, it is difficult to agree on timing, since private sector has a different rhythm than universities or research facilities, which is different to the one of public institutions such as ministries. **It is recommended that validation and revision processes comply with an established schedule, to give fluidity to the implementation of activities.**

ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT

1. **One of the most important conclusions of this project is that several instruments of public policy, supported with technical assistance from the project have achieved the mainstreaming of provisions from the three Rio Conventions.** This achievement is very important and must be sustained through continued work between ministerial bodies and hopefully, through the institutionalization of a coordination mechanism.

2. The institutionalization of coordination mechanisms is something that goes beyond technical assistance and project support. An interinstitutional mechanism can only be formalized with political support, but also with the complicity of those technical bodies that must participate in that mechanism. **An important conclusion is that structural elements within institutions can hinder that institutionalization. It is recommended that focal points identify common entry points to start developing a common working agenda, and support the institutionalization of the coordination mechanism, so that those more structural elements can be overcome.**
3. The project must foster institutional ownership throughout its implementation. An international cooperation project must always have clarity that it has financial resources to contribute to a national priority for a limited time, and then the project must end, and institutional actors must continue with the follow-up of actions and priorities. **An important conclusion regarding national ownership is that the project can try to involve national actors, but that it is the institution's responsibility to assume that ownership. It is recommended that the project management unit give the correct degree of involvement to institutional representatives at the design and implementation levels, and to support the completion of intra and interinstitutional agreements.**
4. **Participatory policy-making was a key part of the project's strategy for capacity building, as was using the learning by doing approach. Both these tools help the promotion of institutional ownership and also foster sustainability.**
5. An important issue to assure sustainability of any action is that proper resources be allocated for its continuity. Though the disconnection of strategic planning and operational and financial planning is a structural issue of the entire public sector, **an important recommendation is that to sustain strategic interventions, financial and operational planning must be not only linked but part of programmatic priority planning.**

PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES

1. Partnerships among key stakeholders are pivotal to project implementation. **A conclusion regarding public-private partnerships is that they must generate greater awareness about compliance with MEAs, as a responsibility of the State in the broader definition: it goes beyond any particular administration and civil society, private sector, NGOs, academia, and private citizens must assume their share of responsibility.**
2. **Another key conclusion about partnerships with the public research institutes and bodies from public universities generate an aggregate value and can foster sustainability.** These institutions provide expertise, knowledge and commitment to issues of national priorities and devote their own resources to build upon a particular strategic partnership and give it continuity beyond a particular intervention from an international cooperation project.
3. **An important recommendation moving forward is identifying how make sure that MEA convention focal points have greater negotiation skills and are able to devote more time to the responsibility of being the key player of the government for that convention.** Currently, convention focal points are designated within the ministerial entity that has the mandate to manage the issues of the particular convention, such as SINAC or DCC. However skilled these technical officers are, they are not professional negotiators, and they also have other responsibilities that may hinder how the country prepares and defends its best interests in COPs.
4. **A final recommendation, is that MINAE as the oversight body for the environmental sector, should build an institutional policy on open data, which articulates with the national policy on open data, and provides guidelines to other environmental institutions, or bodies that produce environmental information, on how to manage that information, and how to make it available.**

BEST AND WORST PRACTICES IN ADDRESSING ISSUES RELATING TO RELEVANCE, PERFORMANCE AND SUCCESS

Best practices:

1. The facilitation of partnerships with academic public institutions allows capacity building within public instances, value added for the expansion of a particular action and also assures sustainability.
2. The identification of possible experiences for escalation/replication.
3. The use of a learn-by-doing approach to facilitate policy-making.
4. The use of democratic dialogue and participatory approaches for policy-making.
5. Having a direct access to the office of the Minister provides support and facilitates the advancement of difficult issues.

Worst Practices:

1. The generation of a lot of important information, that due to internal circumstances at the decision-making level, is not fully used as a tool for policy making.
2. The lack of clarity in role establishment within de PMU and how it is projected to institutional counterparts can generate difficulties in implementation.
3. Not enough involvement of technical institutional staff in the design/implementation of project activities can decrease institutional ownership.
4. A perception of a “politicization” of the project, due to its director being a high level political officer, such as a minister can be a hindrance to project implementation.

5. ANNEXES

Annex 1: Terms of Reference

Annex 2: Itinerary

Annex 3: List of persons interviewed

Annex 4: List of documents reviewed

Annex 5: Evaluation Question Matrix

Annex 6: Questionnaire used and summary of results

Annex 7: Evaluation Consultant Agreement Form

Annex 8: UNDP-GEF TE Report Audit Trail

ANNEX 1: TERMS OF REFERENCE

PROGRAMA DE LAS NACIONES UNIDAS PARA EL DESARROLLO ESTRATEGIA NACIONAL PARA LA SUSTITUCIÓN DE PLÁSTICOS DE UN SOLO USO

TERMINOS DE REFERENCIA

Evaluación Final del Proyecto: Creación de capacidades de Acuerdos Multilaterales Ambientales (*Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms*. (PIMS # 5097))

1. ANTECEDENTES Y JUSTIFICACIÓN

Costa Rica completó su Autoevaluación de Capacidades Nacionales (ACN) en 2007. En el informe final de dicho proceso se incluye una propuesta de mecanismos y priorización de las acciones de desarrollo de capacidades por área focal, así como aquellos esfuerzos transversales requeridos para mejorar el desempeño del país en la atención de los AMAs. En particular, Costa Rica priorizó el fortalecimiento de las capacidades nacionales de organización necesarias para obtener una mejor comprensión del alcance y la magnitud de la influencia de los AMAs dentro del marco de su legislación y procesos de planificación vigentes. Las actividades recomendadas incluyen una mejor formación y sensibilización de los tomadores de decisiones gubernamentales responsables de la aplicación de las normas y programas de trabajo relevantes, así como el fortalecimiento de la cooperación interinstitucional y sus mecanismos para mejorar la planificación de un desarrollo sostenible.

La justificación de este proyecto surge a partir de los hallazgos de la ACN, que reflejan la existencia de un gran número (>30) de decretos y leyes ambientales que generan mucha confusión, no facilitan una acción interinstitucional concertada y dificultan la capacidad de Costa Rica para cumplir eficazmente con los objetivos de las Convenciones. Como consecuencia, muy pocos de estos instrumentos jurídicos se aplican o ejecutan eficazmente y, en ciertos casos, se contrarrestan entre sí. Esta situación se agrava cuando los tomadores de decisiones y los planificadores no están versados debidamente en la excesiva y dispersa legislación. Esto es debido a una variedad de razones, incluyendo los cambios en el personal, capacitación insuficiente y ausencia de mecanismos formales de dirección política y coordinación apropiados.

Este proyecto se desarrolló dentro del marco de la estrategia de Desarrollo de Capacidades Transversales (CCCD, por sus siglas en inglés) del GEF-5 para cumplir con dos resultados complementarios: el primero es el Objetivo 3 del Marco de Resultados CCCD, que busca fortalecer las capacidades para la elaboración de políticas y la legislación para lograr beneficios ambientales mundiales. El Objetivo 4 del Marco de Resultados CCCD complementa al Objetivo 3 mediante la realización de un conjunto de actividades de capacitación para fortalecer las capacidades de gestión y aplicación de las directrices de las Convenciones

2. OBJETO DE LA CONTRATACIÓN

Realizar una evaluación final en inglés del proyecto seguimiento la guía de evaluaciones finales adjunta.

3. PERFIL DEL (DE LA) CONSULTOR (A):

- Profesional con grado universitario de Maestría en Monitoreo y Evaluación, gestión Ambiental, Biodiversidad, desarrollo Sostenible, Economía, Ciencias Sociales u otras carreras afines)
- Al menos 7 años de experiencia profesional en el área de Desarrollo, medio Ambiente, Desarrollo Sostenible, con conocimiento técnico en las áreas focales del GEF, y áreas multi-focales y capacidades transversales para Acuerdos Multilaterales Ambientales.
- Al menos 5 años de experiencia en evaluación, monitoreo o implementación de proyectos en un marco de gestión basada en resultados y manejo adaptativo con logros demostrados en la evaluación de organizaciones internacionales, preferiblemente del PNUD-GEF
- Conocimiento demostrado de Monitoreo y Evaluación de GEF

- Conocimiento del sector Ambiental de Costa Rica
- Excelentes destrezas de redacción y escribir reportes en inglés
- Buenas destrezas de comunicación:

4. PERÍODO DE LA CONTRATACIÓN Y CONDICIONES

El contrato tendrá una duración de 3 meses.

5. LUGAR DE TRABAJO

El/la consultor(a) trabajará desde casa y por productos (entregables).

6. SUPERVISIÓN DEL TRABAJO

El (la) consultor (a) trabajará bajo la supervisión del Coordinador Nacional del Proyecto y del oficina de Desarrollo Sostenible del PNUD

Correrá por cuenta y responsabilidad del consultor(a) el personal de apoyo y de campo que necesite contratar para realizar la evaluación final.

Correrá por cuenta y responsabilidad del consultor (a) los gastos en que incurra por el empleo de herramientas tecnológicas (software, hardware) y otras herramientas para realizar la evaluación. Todos los gastos de viáticos y transporte corren por cuenta del consultor(a).

7. FORMA DE PAGO Y PRODUCTOS ESPERADOS

Se cancelará contra producto entregado. El pago realizará en colones, contra recibido conforme de cada informe y recibido a conforme por el Coordinador Nacional de la Estrategia y contra presentación de factura timbrada y/o electrónica según corresponda.

Producto	Porcentaje de Pago total
Contra presentación de Plan de Trabajo/misión posterior a firma de contrato (At contract signing and presentation of Mission Work-plan.)	10%
Posterior a remisión de primer borrador de evaluación (Following submission and approval of the 1ST draft terminal evaluation report)	40%
Posterior a remisión de reporte de Evaluación Final (aprobado por PNUD CO y RTA) (Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report)	50%

8. EVALUACION DE LAS OFERTAS

- Para la evaluación de las propuestas se utiliza un procedimiento que consta de dos etapas mediante el cual la evaluación de la propuesta técnica se realiza con anterioridad a la apertura y comparación de cualquier propuesta económica. Sólo se abrirá la propuesta económica de las ofertas que obtengan al menos **700** de la calificación total de **1000** puntos correspondiente a la evaluación de las propuestas técnicas.
- La propuesta técnica se evaluará sobre la base de su correspondencia o adecuación con respecto a los Términos de Referencia (TDR's).
- En la segunda etapa se compararán las propuestas económicas de todos los oferentes que hayan obtenido la calificación mínima de 700 puntos en la evaluación técnica. El puntaje máximo por el factor precio que se puede obtener es de 300 puntos. Este puntaje será adjudicado a la oferta económica más baja. Todas las ofertas restantes recibirán puntaje en proporción inversa a la oferta económica menor.
- La Oferta Económica deberá incluir un detalle de cada actividad cotizada por separado, de manera que se refleje el desglose de costos para cada producto.

El puntaje del Factor Precio (Oferta Económica) se determinará por medio de la siguiente fórmula:

$$\text{PFP} = (\text{POMB} / \text{PO}) * 300$$

Donde:

PFP = Porcentaje del Factor Precio

POMB = Precio Oferta Más Bajo

PO = Precio Oferente

Criterios Evaluación calidades y experiencia.

Evaluación de calidades y experiencia Formulario 1	Puntaje Máximo	Oferente				
		A	B	C	D	E
Calidades y experiencia del oferente						

1	<ul style="list-style-type: none"> Profesional con grado universitario de Maestría en Monitoreo y Evaluación, gestión Ambiental, Biodiversidad, desarrollo Sostenible, Economía, Ciencias Sociales u otras carreras afines) (Master degree in M&E, environmental management, biodiversity, sustainable development, economics, social sciences and/or other related fields) 	Master: 100 pts PhD: 150 pts					
2	<ul style="list-style-type: none"> Al menos 7 años de experiencia profesional en el área de Desarrollo, medio Ambiente, Desarrollo Sostenible, con conocimiento técnico en las áreas focales del GEF, y áreas multi-focales y capacidades transversales para Acuerdos Multilaterales Ambientales. Minimum 7 years of relevant professional experience in the area of Development, Environment and Sustainable Development with required technical knowledge in the targeted GEF focal areas: Multi-Focal Areas and Cross Cutting Capacity Development for MEAs (20%) 	Max. 200 pts 9 o más años exp. 200pts Entre 7 y 8 años de experiencia 150 pts Menos 7 años 0 puntos					
	<ul style="list-style-type: none"> Al menos 5 años de experiencia en evaluación, monitoreo o implementación de proyectos en un marco de gestión basada en resultados y manejo adaptativo con logros demostrados en la evaluación de organizaciones internacionales, preferiblemente del PNUD-GEF Minimum of 5 years of project evaluation, monitoring and/or implementation experience in the result-based management framework and adaptive management, with proven accomplishments in undertaking evaluation for international organizations, preferably with UNDP-GEF. (20%) 	Max. 200 pts 7 o más años exp. 200pts Entre 5 y 6 años de experiencia 150 pts Menos 5 años 0 puntos					
	<ul style="list-style-type: none"> Conocimiento demostrado de Monitoreo y Evaluación de GEF 	Max: 100 pts					

	<ul style="list-style-type: none"> Knowledge of UNDP and GEF Monitoring and Evaluation Policies (10%) 	<p>Más de 6 años de experiencia laboral demuestra Conocimiento en Monitoreo y Evaluación de GEF: 100pts</p> <p>4-5 años de experiencia laboral demuestra Conocimiento en Monitoreo y Evaluación de GEF: 70pts</p> <p>2-3 años de experiencia laboral demuestra Conocimiento en Monitoreo y Evaluación de GEF: 50pts</p> <p>1 año de experiencia laboral demuestra Conocimiento en Monitoreo y Evaluación de GEF: 20pts</p>					
	<ul style="list-style-type: none"> Conocimiento del sector Ambiental de Costa Rica Knowledge of Environmental Sector in Costa Rica (preferably MINAE). (20%) 	<p>Max: 200 pts</p> <p>Más de 6 años de experiencia laboral demuestra Conocimiento Del sector ambiental en Costa Rica: 200pts</p> <p>4-5 años de experiencia laboral demuestra Conocimiento Del sector ambiental en Costa Rica: 150pts</p> <p>2-3 años de experiencia laboral demuestra Conocimiento Del sector ambiental en Costa Rica: 100pts</p> <p>1 año de experiencia laboral demuestra Conocimiento Del sector ambiental en Costa Rica: 50pts</p>					
	<ul style="list-style-type: none"> Excelentes destrezas de redacción y escribir reportes en inglés Excellent English Writing and reporting skills (present at least 3 references of documents prepared). (10%) 	<p>Max: 100pts</p> <p>Tres ejemplos de reportes escritos en inglés tiene muy alta calidad de redacción: 100pts</p>					

		<p>Tres ejemplos de reportes escritos en inglés tienen buena calidad de redacción: 75pts</p> <p>Tres ejemplos de reportes escritos en inglés tienen calidad de redacción satisfactoria: 50pts</p> <p>Tres ejemplos de reportes escritos en inglés tienen calidad de redacción poco satisfactoria: 25pts</p>					
	<ul style="list-style-type: none"> Buenas destrezas de comunicación: Good communication skills and positive interrelation. (10%) 	<p>Max: 100pts</p> <p>Propuesta Técnica demuestra <u>Muy Buena</u> claridad de planteamientos y buenas destrezas de comunicación: 100pts</p> <p>Propuesta Técnica demuestra <u>buen</u>a claridad de planteamientos y buenas destrezas de comunicación: 75pts</p> <p>Propuesta Técnica demuestra <u>Satisfactoria</u> claridad de planteamientos y destrezas de comunicación: 50pts</p> <p>Propuesta Técnica demuestra <u>poca</u> claridad de planteamientos y destrezas de comunicación débiles: 0pts</p>					
	TOTAL de puntos 1000Pts						

El(a) oferente deberá presentar una propuesta económica detallada en colones por el valor total del producto/servicio, en la cual deben estar incluidos los montos por concepto de honorarios, hospedaje, alimentación, transporte, materiales y cualquier otro gasto incluyendo sus viáticos si aplica.

Se adjudicará la oferta que obtenga el puntaje total más alto.

9. REQUISITOS DE LA APLICACIÓN

Las personas que deseen postularse para esta consultoría deben presentar la siguiente documentación:

- Carta de interés indicando fecha en que contaría con disponibilidad para iniciar la consultoría. (máximo 1 página), así mismo debe indicar como esta consultoría puede aportar en temas de los Objetivos de Desarrollo del Milenio (ODM).
- Hoja de vida actualizada del (la) consultor(a), en un máximo de cuatro páginas, incluyendo información que permita evaluar y verificar las características del perfil solicitado. (debe incluir tres ejemplos de reportes escritos o co-escritos en inglés)

- Formulario P11. Los interesados deberán llenar el formulario P11 disponible en [www.cr.undp.org/Operaciones/ Centro de servicios/ Formulario P11](http://www.cr.undp.org/Operaciones/Centro de servicios/Formulario P11). También se adjunta a esta publicación.
- Propuesta técnica.
- Propuesta Económica

La no presentación de alguno de los documentos solicitados, será motivo suficiente para no tomar en cuenta la aplicación.

Dicha documentación (archivos electrónicos separados) deberá ser remitida, vía correo electrónico a la siguiente dirección: adquisiciones.cr@undp.org indicando en el asunto del correo: **Final Evaluation MEAS**

La oferta técnica y la oferta económica deberán adjuntarse en **documentos separados**.

En caso de que los adjuntos superen los 6MB, favor remitir los documentos mediante varios correos.

La fecha límite para la recepción de aplicaciones a esta consultoría es el día **15 de febrero del 2018**.

Cualquier consulta técnica o administrativa deberá dirigirse únicamente a la dirección electrónica adquisiciones.cr@undp.org. No se atenderán consultas vía telefónica. La fecha límite para el envío de consultas técnicas o administrativas es el 12 de febrero del 2018

Se invita a las mujeres a participar

A continuación se detalla, en inglés, los términos de referencia

Terminal Evaluation Terms of Reference

1. INTRODUCTION

In accordance with UNDP and GEF M&E 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 (TOR) sets out the expectations for a Terminal Evaluation (TE) of the **Project Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms**. (PIMS # 5097)

The essentials of the project to be evaluated are as follows:

Project Summary Table

Project Title: Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms.				
GEF Project ID:	PMIS 5028		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	PIMS 5097 Atlas Project ID:00087842	GEF financing:	980,000 USD	917.152 USD *as of December, 31, 2017.
Country:	Costa Rica	IA/EA own:	15,000	15,000
Region:	LAC	Government:	900,000 USD	350.000 USD (to be confirmed)
Focal Area:	Multi Focal Areas	Other:	100,000 USD (LECB) 350,000 USD (GIZ)	10.000 (to be confirmed) (to be confirmed)

FA Objectives, (OP/SP):	CD3 To strengthen capacities to develop policy and legislative framework	Total co-financing:	1,365,000 USD	360.000 USD
Executing Agency:	PNUD	Total Project Cost:	2,345,000	1,292,152USD
Other Partners involved:	MINAE	ProDoc Signature (date project began):		17 Mar 2014
		(Operational) Closing Date:	Proposed: <u>17 Mar 2017</u>	Actual: 30 Mar 2018

2. Objective and Scope

The project was designed to: *“This project sets out to integrate and institutionalize inter-ministerial decision-making for MEA implementation in Costa Rica, with particular reference to the three Rio Conventions. The project’s strategy emphasizes a long-term approach to institutionalize capacities to meet Rio Convention obligations through a set of learn-by-doing activities to integrate Rio Convention and other key related MEA obligations into a consultative and decision-making process, the revision of one or two select legislation, and the strengthening of management capacities to better implement and enforce the more than 30 pieces of environmental legislation. This project is innovative in that it will take a counter-intuitive approach to meeting Rio Conventions by not developing any new legislation or policy, but rather, what is actually needed is to help Costa Rica better manage and enforce provisions of existing legislation.”* (PRODOC, page 1)

“This project was developed under the GEF-5 Cross-Cutting Capacity Development (CCCD) Strategy to meet two complementary outcomes: The first is Objective 3 of the CCCD Results Framework, which sets out to strengthen capacities for policy and legislation development for achieving global benefits. Objective 4 of the CCCD Results Framework complements Objective 3 by undertaking a set of capacity development activities to strengthen capacities for management and implementation of convention guidelines.”(Idem, page 6)

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.

3. Evaluation approach and method

An overall approach and method³ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (*fill in Annex C*). The evaluator is expected to amend, complete 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, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to **Costa Rica, San José Province, in a radio of 10 kilometers from the principal offices of MINAE including the following project sites** /Interviews will be held with the following organizations and individuals at a minimum:

- Meetings with key counterparts:

³ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

- MINAE: Minister's Office, Vice-ministry of Environment, Vice Ministry of Water, International Cooperation Directorate, Climate Change Directorate, SEPLASA, Planning Directorate, CONAGEBIO, SINAC, Finance Directorate, CENIGA
- MEP: Academic Vice-Ministry, National Science Advisor, National Advisor to the Vice Minister, Bandera Azul Programme Coordinator
- MIDEPLAN: Vice Minister, Planning Directorate
- MAG: Vice-Ministry, Senior Advisors, SEPSA, INTA
- Ministry of the Presidency: Vice-Minister and Advisors
- Universidad de Costa Rica-Observatorio del Desarrollo
- Universidad Estatal a Distancia-Instituto de Desarrollo Local y Fortalecimiento Municipal
- Parque La Libertad: CETAV, CEGEA
- CONARE: Programa Estado de la Nación
- Aliarse

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

4. 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 completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	rating
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

5. Project finance / cofinance

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\$) GIZ		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants	15.000 \$	15.000 \$	900.000 \$	350.000 \$ tbc	350.000	tbc	1265000 \$	730000 \$ tbc
Loans/Concessions	N/A				N/A	N/A	N/A	N/A
• In-kind support								
• Other								
• Totals	15.000 \$	15.000 \$	900.000 \$	350.000 \$ tbc	350.000	tbc	1265000 \$	730000 \$ tbc

6. Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. 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.

7. Impact

The evaluators 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, and/or c) demonstrated progress towards these impact achievements.⁴

8. Conclusions, recommendations & lessons

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

9. Implementation arrangements

The principal responsibility for managing this evaluation resides with the UNDP CO in Costa Rica. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government and other project partners.

10. Evaluation timeframe

The total duration of the evaluation will be 25 days according to the following plan:

Activity	Timing	Completion Date
Preparation	4 days	09/02/2018
Evaluation Mission	8 days	23/02/2018
Draft Evaluation Report	9 days	07/03/2018
Final Report	3 days	28/03/2018

11. 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.

⁴ A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

12. Team Composition

The evaluation team will be composed of (1 evaluator). The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications:

- Master degree in M&E, environmental management, biodiversity, sustainable development, economics, social sciences and/or other related fields. **(10%)**
- Minimum 7 years of relevant professional experience in the area of Development, Environment and Sustainable Development with required technical knowledge in the targeted GEF focal areas: Multi-Focal Areas and Cross Cutting Capacity Development for MEAs **(20%)**
- Minimum of 5 years of project evaluation, monitoring and/or implementation experience in the result-based management framework and adaptive management, with proven accomplishments in undertaking evaluation for international organizations, preferably with UNDP-GEF. **(20%)**
- Knowledge of UNDP and GEF Monitoring and Evaluation Policies **(10%)**
- Knowledge of Environmental Sector in Costa Rica (preferably MINAE). **(20%)**
- Excellent English Writing and reporting skills (present at least 3 references of documents prepared). **(10%)**
- Good communication skills and positive interrelation. **(10%)**

13. Evaluator Ethics

Evaluation consultants 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'](#)

14. Payment modalities and specifications

(this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)

%	Milestone
10%	At contract signing and presentation of Mission Work-plan.
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

15. Application process

Applicants are requested to apply online to adquisiciones.cr@undp.org by **15 February 2018**. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete **C.V. in Spanish or English** with indication of the e-mail and phone contact. Please submit technical and economic proposal in separate files.

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

Annex A: Project Logical Framework

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Long-term goal: To integrate and institutionalize inter-ministerial decision-making for effective and sustainable MEA implementation through existing national environmental legislation					
Project objectives: A. To mainstream the international commitments derived from the Rio Conventions into targeted national environmental legislation	Outcome indicators: <ul style="list-style-type: none">A targeted set of improved capacities to meet and sustain Rio Convention objectives is improvedCommitments under the Rio Conventions will have been strengthened and institutionalizedExisting national development strategies, plans and programmes will better support a more harmonized approach to implementing existing environmental legislation	<ul style="list-style-type: none">Capacities to implement the Rio Conventions are not sustainable, requiring donor-funded projectsCommitments to implement the Rio Conventions are measured through Rio Convention-specific instrumentsNational environmental policy instruments contain provisions that counteract each other and are weakly implemented	By the end of the project: <ul style="list-style-type: none">Rio Convention obligations are being better implemented through existing environmental legislation, 15% increase in survey value responseA year-end analysis of environmental legislation shows an improvement in institutional responses to monitoring and enforcing environmental legislation for the Rio Conventions.There is a minimum of 20% increase in the understanding of the Rio Convention mainstreaming among government staffThere is a minimum of 15% increase in the appreciation of the Rio Conventions among the general public	<ul style="list-style-type: none">Meeting Minutes⁵Working Group meeting reportsUNDP quarterly progress reportsIndependent final evaluation reportsRio Convention national reports and communicationsInter-Ministerial Council decisionsGEF Cross-Cutting Capacity Development ScorecardStatistical analyses of surveys carried out under activities 1.1.1 and 3.2.1	<ul style="list-style-type: none">The various government authorities maintain commitment to negotiate and agree on differential enforcement of environmental legislation to more effectively meet Rio Convention obligationsThe project will be executed in a transparent, holistic, adaptive, and collaborative mannerNon-state stakeholder representatives, in particular project champions, remain active participants in the projectPolicy, legislative and institutional reforms are politically, technically, and financially feasible, and are approved by the Inter-Ministerial Council
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Outcome 1: Integrated inter-ministerial decision-making process for the global environment strengthened					
Output 1.1	<ul style="list-style-type: none">Awareness and	<ul style="list-style-type: none">Advisory commissions	<ul style="list-style-type: none">Baseline survey of decision-	<ul style="list-style-type: none">Survey analysis	<ul style="list-style-type: none">Members of the MEA

⁵Meeting minutes includes records of key meetings such as local, regional and national consultations regarding inputs on the design and implementation of the relevant output and associated activities. Meetings may be individual or group meetings, with government officials or non-state stakeholders.

Strengthened MEA technical Committees	<ul style="list-style-type: none"> understanding of Rio Convention (MEA) technical committee members Frequency of MEA technical committee meetings Policy recommendations submitted by MEA technical committee to Inter-Ministerial Council Technical recommendations submitted to line ministries and agencies 	<ul style="list-style-type: none"> exist as equivalents of MEA technical committee, but they meet on an ad hoc basis and there is communication and coordination among them There is some representation of non-state actors in the advisory commission for biodiversity, but not for the climate change or land degradation The work of the advisory commissions does not effectively contribute to government actions due to unclear attribution of responsibilities 	<ul style="list-style-type: none"> makers' and planners' awareness carried out with N>100 participants, completed by month 4 of the project. Year-end survey of decision-makers' and planners' awareness carried out with N>250 participants, completed by month 32 of the project. Three (3) MEA technical committees (CBD, CCD, and FCC) are created by month 4 with a membership of expert stakeholder representation of at least 10 different stakeholders (government, NGOs, academia, private sector, and civil society). The technical committees will meet at least three (3) times per year. MEA technical committees submit policy recommendations to the Inter-Ministerial Council twice (2) a year, the first by month 9. 	<ul style="list-style-type: none"> Meeting minutes Tracking and progress reports⁶ Peer review ratings 	<ul style="list-style-type: none"> technical committees will be comprised to proactive experts and project champions Survey results will show an increased awareness and understanding of the Rio Conventions' implementation through national environmental legislation over time.
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 1.2: Strengthened information sharing agreements with academia and civil society	<ul style="list-style-type: none"> Baseline analysis of information needs for the global environment Feasibility study for the strengthening of an electronic information-sharing mechanism An information-sharing agreement signed by MINAE and key non-state actors (same as in output 2.2) 	<ul style="list-style-type: none"> Much data and information relevant to the Rio Conventions exists, but for the most part is not in a form that readily lends itself to sharing electronically. Data and information is largely accessible on an ad hoc basis There are multiple electronic sources of information, but do not contain all useful data and information 	<ul style="list-style-type: none"> In-depth baseline analysis substantively peer reviewed by at least 8 national experts, and completed by month 5 of the project Feasibility study for the strengthening of an existing electronic platform and internet interface prepared and completed by month 7. Independent assessment of the performance of the electronic information system as implemented under 3.5.1 by month 30. Agreement signed by MINAE and key non-state actors on the sharing of information by month 18 	<ul style="list-style-type: none"> Formal communications Meeting minutes Tracking and progress reports Meeting minutes Signed agreement 	<ul style="list-style-type: none"> An agreement to share information between government and non-state actors is realistic
Output 1.3:	<ul style="list-style-type: none"> Cooperative 	<ul style="list-style-type: none"> There is no formal 	<ul style="list-style-type: none"> Key ministries sign relevant 	<ul style="list-style-type: none"> Formal 	<ul style="list-style-type: none"> Agreement to

⁶Tracking and progress reports include UNDP Quarterly Reports, Annual Performance Reports (APRs), and Project Implementation Reports (PIRs). Each output will be tracked by a report that records the activities and milestones of each output using tools such as Gantt or PERT charts.

Re-invigorated Inter-Ministerial Council meetings	<ul style="list-style-type: none"> agreements on legislative oversight with Inter-Ministerial Council members and other line ministries Meetings of the Inter-Ministerial Council Inter-Ministerial Council supports MEA technical committee recommendations 	<p>agreement among ministries to reconcile overlapping oversight of environmental and related legislation</p> <ul style="list-style-type: none"> The Inter-Ministerial Council only meets to discuss climate change issues. 	<p>agreements by month 12.</p> <ul style="list-style-type: none"> Inter-Ministerial Council meets twice (2) per year to discuss and approve MEA technical committee recommendations, and before month 9 At least 80% of the MEA technical committee recommendations are supported by appropriate inter-ministerial decisions by month 34 	<p>communications</p> <ul style="list-style-type: none"> Meeting minutes Tracking and progress reports Inter-Ministerial Council decisions 	<p>cooperate on modifying existing mandates and authorities on legislative oversight is realistic</p>
Outcome 2: Cross-cutting Rio Convention provisions are integrated into environmental legislation					
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 2.1: In-depth analysis of environmental legislation and its governance	<ul style="list-style-type: none"> Roster of expert peer reviewers on the global environment created Rio Convention analytical framework Targeted analytical reports on environmental governance per the Rio Conventions Stakeholder consultations on Rio Convention governance at the national level Regional and non-state representation in stakeholder constituent dialogues Consensus agreements from MEA technical committee on recommendations for improved environmental governance 	<ul style="list-style-type: none"> There are many experts working on most, if not all, aspects of the Rio Conventions There are many analyses pertaining to the Rio Conventions, but most all are focused on reporting requirements There are numerous stakeholder consultations, but most all are either targeted to focal area or sustainable development objectives Regional and non-state stakeholders participate in many government-sponsored consultative dialogues, but these are nearly all very targeted to focal area or sustainable development interventions Technical recommendations by the advisory commissions do not take into account similar technical recommendations by other advisory commissions 	<ul style="list-style-type: none"> A roster of peer reviewers with minimum 50 experts is created by month 3 Analytical framework prepared and completed by month 6 At least five (5) independent peer reviewers rate the framework of high quality Four (4) in-depth analyses targeting Costa Rica's environmental governance from a Rio Convention perspective completed by month 10 Synthesis analysis is endorsed by all members of the MEA technical working groups and the MEA technical committee by month 12 MEA technical committee drafts policy recommendations for the Inter-Ministerial Council by month 14 All reports are discussed and validated at open-ended stakeholder dialogues within two months of their completion Each stakeholder constituent dialogue is attended by at least 30 representatives that cover the range of stakeholder views and perspectives. Each stakeholder 	<ul style="list-style-type: none"> Formal communications Meeting minutes, including list of participants Analytical reports Tracking and progress reports 	<ul style="list-style-type: none"> National experts agree to be expert reviewers and provide timely feedback on project analyses Regional and non-state stakeholder representation in project activities legitimately reflect their stakeholder constituent views and priorities
Output 2.1: In-depth analysis of environmental legislation and its governance					

(continued)			<p>constituent dialogue endorses the analyses and offers broad support for endorsement by the MEA technical committee and subsequent approval by the Inter-Ministerial Council.</p> <ul style="list-style-type: none"> At least two (2) stakeholder representatives from each of the seven (7) provinces have participated in at least one of the stakeholder constituent dialogues by month 33. 		
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 2.2: Learn-by-doing integration of Rio Conventions into select environmental legislation	<ul style="list-style-type: none"> Three Rio Convention technical working groups established under the MEA Technical Committees Draft agreement on information sharing (see output 1.2) Modified enforcement of existing national environmental legislation per Rio Convention obligation High quality progress reports and independent assessment of legislative reforms. Expert workshops convened to regularly assess conflicts between environmental legislation Best practice and lesson learned reports 	<ul style="list-style-type: none"> Technical working groups and workshops under Rio Conventions are not institutionalized by rather temporary organizational mechanisms under focal area projects There is no formal or institutional agreement on the sharing of information across ministries, agencies or non-state actors Numerous progress reports are prepared and submitted resulting in an over-burdening of government staff and low commitment, but these remain targeted to focal area priorities Expert meetings do not adequately address the cross-cutting barriers to effective implementation of national environmental legislation Development partners in Costa Rica are committed to supporting the country's improved access to better data and information on innovative approaches to meeting global environmental objectives. 	<ul style="list-style-type: none"> Three Rio Convention technical working groups are created and meet by month 7 of the project and at least twice (2x) per year. Technical working groups present their findings and recommendations to the MEA technical committees by month and subsequently within one month of convening. Technical working group draft a non-legally binding agreement on the mutual sharing of information among each other and with the government by month 12 of the project Three policy recommendations piloted and completed by month 26 Government agencies and departments responsible for testing policy recommendations submit quarterly progress reports to the MEA technical committees every three months with the first no later than month 12. Two (2) expert workshops with at least 30 relevant key actors each, organized and concluded by month 18 Three (3) best practice and lessons learned reports are prepared on targeted regional Rio Convention mainstreaming activities by month 12, month 23, and 	<ul style="list-style-type: none"> Formal communications Meeting minutes, including list of participants Analytical reports Tracking and progress reports Inter-Ministerial Council decisions 	<ul style="list-style-type: none"> Best practices and lessons learned from other countries are appropriately used GoCR officials at all levels remain committed to the modified interpretation of environmental legislation The right representation from the various government ministries, departments and agencies participate in project activities Pilot implementation of select modified interpretation and enforcement of environmental legislation
Output 2.2: Learn-by-doing integration of Rio Conventions into select environmental legislation (continued)					

			<p>month 33</p> <ul style="list-style-type: none"> ▪ Technical guidelines are drafted and finalized by month 24 ▪ Policy recommendations to legitimize these guidelines, as appropriate, are prepared, submitted, and approved by the Inter-Ministerial Council by month 28 		
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<p>Output 2.3:</p> <p>Strengthened monitoring and compliance</p>	<ul style="list-style-type: none"> ▪ Monitoring and compliance indicators ▪ Monitoring and compliance assessment reports ▪ Monitoring and compliance guidelines and tools ▪ Policy decisions on legislative and institutional reforms to reconcile and harmonize environmental and related legislation to conform with Rio Convention obligations ▪ Training workshops on monitoring of and compliance with environmental legislation ▪ Number of relevant government staff having clear present and potential future roles in monitoring and compliance 	<ul style="list-style-type: none"> ▪ There are no clear monitoring or compliance indicators to assess the extent to which Rio Convention obligations are being delivered through existing national environmental legislation ▪ Monitoring reports are internal documents that have unclear value to planners and decision-makers ▪ Monitoring and compliance guidelines and tools are not widely known among planners and decision-makers ▪ Inter-Ministerial Council focuses on climate change, but there is no equivalent policy decision-making mechanism that is as effective on biodiversity or land degradation ▪ Trainings to take place on environment-related issues, however these remain targeted to focal area issues, with inadequate attention to environmental legislative reforms 	<ul style="list-style-type: none"> ▪ Clear monitoring and compliance reforms submitted to the MEA technical committee after three monitoring phases: by month 12, by month 23, and by month 33 ▪ Quarterly progress reports are submitted to the MEA technical committees every three months, beginning by month 15 ▪ Lessons learned of pilot monitoring and compliance reforms discussed in a stakeholder constituent dialogue by month 22 ▪ Survey of N>100 experts and other stakeholders by month 22 and a second survey by month 33 rate successful piloting of monitoring and compliance reforms ▪ MEA technical committee proposes monitoring and compliance reforms to institutionalize best practice monitoring and compliance procedures by month 32 ▪ Inter-Ministerial Council authorizes at least 80% of MEA technical committee recommended reforms by month 34 ▪ Report on guidelines, tools and resources for the effective interpretation, supervision and enforcement of environmental legislation 	<ul style="list-style-type: none"> ▪ Formal communications ▪ Meeting minutes, including list of participants ▪ Analytical reports ▪ Tracking and progress reports ▪ Inter-Ministerial Council decisions 	
<p>Output 2.3:</p> <p>Strengthened monitoring and compliance</p> <p><i>(continued)</i></p>					

			<p>completed by month 8</p> <ul style="list-style-type: none"> ▪ New guidelines, tools, and other resources are available through the electronic platform by month 12 ▪ Comprehensive training programme drafted by month 18 and endorsed by the MEA technical committees by month 20 ▪ Four (4) training workshops and related exercises begin by month 20 ▪ At least 80 government staff members that are directly implicated in the planning and decision-making process to monitor and enforce environmental legislation have participated in training workshops by month 33 ▪ Operational guidelines are drafted and finalized by month 24 and validated by month 26 ▪ Policy recommendations to legitimize these guidelines, as appropriate, are prepared, submitted, and approved by the Inter-Ministerial Council by month 28 		
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Outcome 3: Strengthened technical and management capacities

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 3.1: Kick-Off and Project Results Conferences	<ul style="list-style-type: none"> ▪ One-day Kick-Off Conference to raise high profile of project ▪ One-day Project Results Conference to showcase lessons learned and best practices ▪ Four (4) expert panel discussions on Rio Convention sub-themes 	<ul style="list-style-type: none"> ▪ The environmental movement in Costa Rica is relatively strong compared to other countries, and there is an overall strong interest among the NGO community and population to learn about innovative opportunities to catalyze environmental action ▪ Development partners in Costa Rica are committed to supporting the country's improved access to better data 	<ul style="list-style-type: none"> ▪ One-day Kick-Off Conference is held by month 3 ▪ One-day Project Results Conference is held by month 34 ▪ Over 200 participants attend both the Kick-Off and Project Results conferences, representing a good diversity of stakeholders, including representation from other regions of Costa Rica ▪ At least four (4) expert panel discussions present the lessons learned to deliver Rio Convention 	<ul style="list-style-type: none"> ▪ Conference registration lists ▪ Expert panelist participation ▪ Meeting minutes ▪ Tracking and progress reports 	<ul style="list-style-type: none"> ▪ Participation to the conference assumes that most all stakeholders are adequately represented at the conferences ▪ Conferences will further enhance support for pursuing Rio Convention obligations

		and information on innovative approaches to meeting global environmental objectives.	obligations through existing national environmental and related legislation <ul style="list-style-type: none"> At least 30 participants attend each of the panel discussions 		
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 3.2: Public awareness campaign, survey, and educational materials	<ul style="list-style-type: none"> Analysis of Costa Rica's environmental values (survey results) Public awareness plan on national environmental legislation and Rio Conventions Articles on legislative responses to implement Rio Conventions High School competition plan Education module on environmental legislation and Rio Conventions implemented Public Service Announcement airings on television and radio that promote compliance with existing environmental legislation 	<ul style="list-style-type: none"> Awareness and understanding of the Rio Conventions in Costa Rica is relatively good compared to other countries. However, this is not as effectively translated into compliance with environmental legislation, further exacerbated by conflicting provisions of environmental and natural resource management legislation and regulation 	<ul style="list-style-type: none"> Two broad-based surveys (N>500) completed by month 3 and by month 34 Expert and independent analysis of the survey results completed by month 35 A comprehensive public awareness plan developed to completed by month 6 At least nine (9) articles on legislative responses for Rio Convention implementation in Costa Rica published in popular literature with high circulation before the end of the project. By month 6, at least one article should be published. By month 18, at least four (4) articles should be published. By month 30, at least seven (7) articles should be published. Each article edited and published as a brochure, with at least 100 copies each and distributed to at least two high value special events High school competition plan for completed by month 9 At least two (2) high schools carry out high school competitions by month 20; at least six (6) by month 33 Education module prepared for high schools completed by month 8 At least two (2) high schools have implemented education module by month 20 and at least one high school in each of the seven provinces by month 	<ul style="list-style-type: none"> Survey instrument Survey responses Statistical and sociological analysis reports (2x) Analytical reports Popular press High school curricula Television and radio 	<ul style="list-style-type: none"> Survey respondents contribute their honest attitudes and values Changes in awareness and understanding of national environmental legislation contribution to meeting Rio Convention obligations can be largely attributed to project activities (survey questionnaire can address this issue) Socio-economic pressures do not de-value environmental attitudes and concern
Output 3.2: Public awareness campaign, survey, and educational materials <i>(continued)</i>					

			33 <ul style="list-style-type: none"> One PSA completed for both television and radio (audio version) by month 12, with the first airing by month 15. At least 50 airings of the PSA on television and at least 100 airings of the PSA on radio, both by month 34 		
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 3.3: Awareness-raising dialogues and workshops Output 3.3: Awareness-raising dialogues and workshops <i>(continued)</i>	<ul style="list-style-type: none"> Awareness workshops targeted to the private sector, journalists, local and regional government representatives on national environmental legislation and the Rio Conventions Survey data on environmental attitudes and values (activity 3.2.1) Expert MEA legislative mainstreaming workshops (complements learn-by-doing workshops of output 2.2) Cutting-edge panel discussions by leaders in the environmental field on environmental legislation for meeting Rio Convention obligations 	<ul style="list-style-type: none"> Media professionals generally have no special training of Rio Convention issues, in particular of the linkages between non-compliance of national environmental legislation and global environmental impacts The private sector is primarily focused on traditional approaches to maximizing profits, seeing environmental issues as an added transaction cost that reduces profits Public dialogues take place through the construct of donor-funded projects on focal areas and do not adequately address the conflicting impacts on other environmental priorities Regional government representatives are not adequately familiar with approaches to meet Rio Convention obligations given their heightened obligations to meet socio-economic development priorities within their short-term regional development plans The general public in Costa Rica is generally aware and concerned about global environmental issues, but increasingly behaviour is detached 	<ul style="list-style-type: none"> Three (3) panel discussions, with at least 20 private sector representatives the completed by month 8; the second by month 18; and the third by month 28 At least three (3) journalist awareness workshops held, each with at least 10 representatives the first completed by month 9; the second by month 19; and the third by month 29 By month 33, reporting on Rio Convention mainstreaming in the popular media shows a 10% increase over forecasted trends using baseline data and past trends At least three (3) workshops of MEA legislative mainstreaming are convened with at least 20 expert practitioner participants the first completed by month 10; the second by month 20; and the third by month 30 At least three (3) regional workshops are convened, with local and regional government representatives with at least one representative from each of the seven Costa Rican provinceshaving participated in at least one workshop. Each workshop should be attended by at least 20 local/regional representatives. The first regional workshop should be completed by month 11; the second by month 21; 	<ul style="list-style-type: none"> Meeting minutes Tracking and progress reports Participant registration lists Awareness and sensitization workshop reports Public dialogue meeting reports Survey results Newspaper citations 	<ul style="list-style-type: none"> Public attitudes towards environment are not too negative and socio-economic pressures not too great that they are willing to participate in awareness raising activities There is sufficient commitment from policy-makers to maintain long-term support to public awareness raising activities Media representatives and private sector representatives are open to learn about Rio Convention values and opportunities, and will actively work to support project objectives Participation to the public dialogues attracts people that are new to the concept of Rio Convention mainstreaming, as well as detractors, with the assumption that dialogues will help convert their attitudes in a positive way

		from these values due to increasing socio-economic pressures and in the absence of innovative approaches to comply with existing environmental legislation	and the third by month 31 <ul style="list-style-type: none"> Three (3) cutting-edge policy dialogues with invited leaders in the field of environmental governance the first dialogue convened by month 7; the second by month 17; and the third by month 27 		
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Output 3.4: Resource mobilization strategy	<ul style="list-style-type: none"> Resource mobilization strategy report Feasibility study on financial and economic instruments to advance monitoring and compliance of existing environmental legislation to meet Rio Convention obligations Expert working group established 	<ul style="list-style-type: none"> Costa Rica benefits from significant interest from the donor community to finance capacity development actions to meet global environmental objectives Government of Costa Rica is very committed to taking a uniquely innovative and transformative approach to meeting Rio Convention obligations within existing environmental legislative frameworks to reduce the dependence of official development assistance, which is not sustainable. 	<ul style="list-style-type: none"> Analytical report drafted, peer reviewed, and finalized by month 12 Feasibility study on financial and economic instruments to advance the monitoring and compliance of environmental legislation for the global environment completed by month 18 Expert working group is made up of at least 20 rotating members, who will undertake a desk review of the drafts of the analytical report and feasibility study, and meet at least once to discuss the findings of each within one month of their completion, i.e., by months 13 and 19 	<ul style="list-style-type: none"> Meeting minutes Tracking and progress reports Participant registration lists Workshop reports Letters confirming pledges of co-financing from national sources 	<ul style="list-style-type: none"> Global financial and economic pressures do have significantly adverse impacts on the opportunities to mobilize resources from national sources, such as raising park entrance fees, increased enforcement and collection of fees and fines. Compliance with environmental legislation can be politically and expediently pursued in tandem with socio-economic development plans and programmes, in particular green economy policies Champions for innovative approaches to finance the enforcement and compliance of environmental legislation are not outdone by champion detractors
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		

<p>Output 3.5:</p> <p>Internet visibility of integrated and streamlined environmental legislation</p>	<ul style="list-style-type: none"> Website promotes Rio Convention obligations through existing national environmental and natural resource management legislation Facebook page on environmental legislation for the Rio Conventions 	<ul style="list-style-type: none"> There are a number of websites promoting environmental issues in Costa Rica. However, none are specific to environmental legislation. MINAE is committed to strengthen a comprehensive website that will provide a one-stop shop for understanding how to better interpret existing environmental and related legislation to meet both sustainable development and global environmental priorities. Development partners in Costa Rica are committed to supporting the country's improved access to better data and information on innovative approaches to meeting global environmental objectives. 	<ul style="list-style-type: none"> Feasibility study for the creation of a comprehensive environment legislation website prepared and completed by month 4 Website architecture completed and endorsed by the MEA technical working group by month 6 Website is updated at least once a month with new information, articles, and resources Website statistical data rank the quality of the website (unique users, visit sessions, and page views) as a consistent top ten site of all Costa Rican websites by the twelfth month of being online and throughout the project's three years of implementation. Facebook page created by month 3 and updated on a weekly basis, at minimum At least 2,000 Facebook likes by month 32 	<ul style="list-style-type: none"> Meeting minutes Tracking and progress reports Survey results Website and unique site visits using site meters Facebook 'likes' 	<ul style="list-style-type: none"> Interest in environmental issues can be assumed to contribute to improved attitudes and values in meeting national environmental priorities, and that these translate into increased environmental-friendly behaviour that also produce increased global environmental benefits The increased popularization of environmental-friendly attitudes, values and behaviour does not have the unintended consequence of mobilization a counter-acting anti-environmental movement from Rio Convention detractors
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Annex B: List of Documents to be reviewed by the evaluators

General Background information

- GEF 5 Capacity Development Strategy 2013
- GEF approved Project Document (Prodoc) January 2014
- PIR Reports 2015,2016,2017

Project Results related products

Result 1 Project Coordination and Governance

- Quarterly Reports
- Annual Reports
- MEA Focal Point Steering Committee Meetings Minutes
- Ministerial Committee Meetings Minutes and PPTs
- Financial Audit 2015

Result 2 Legal Framework and Information Management

- Legal Consultants Reports (Synergies between MEA, Protected Areas Governance)
- INDC Consultation Process (Workshops Report, INDC Proposal by CR, UNFCCC COP21 Delegation Report, Agriculture Agreement on Emissions Reduction)
- Environmental Indicators and Strategic Information Management (Reports for 2015, 2016 and State of the Environment Report 2018, Open Data Conference (CONDATOS-LATAM), Information Platform for International Cooperation)
- Civil Society Participation (5C, 4C, National Biodiversity Strategy Consultation)
- Mainstreaming SGDs and Institutional Planning (with MIDEPLAN and MINAE)

Result 3 Training, Education and Communications

- Support to Curricular Reform at the Ministry of Public Education (2016,2017)
- Training of teachers on MEAs with Parque La Libertad
- Training platform on MEAs for distance learning by municipal governments
- Training course on MEAs for private sector organizations
- Communications products developed by CETAV-Parque La Libertad
- Local exchanges on Sustainable Land Management with SGP in Barranca and Jesús María
- Best practices and knowledge management on Synergies between MEAs

Annex C: Evaluation Questions

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

Evaluative Criteria Questions	Indicators	Sources	Methodology
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?			
• Is the project relevant to Costa Rica's environmental policies?	•	•	•
• Is the project relevant to UNDP objectives in the country?	•	•	•
• How is the project complementary to the actions/project of other stakeholders active in the city/country/region?	•	•	•
• Is the project internally consistent in its design?	•	•	•
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
• Are the activities and outputs of the project consistent with the project's goals and objectives?	•	•	•
• To what extent have the delivered outputs contributed to the achievement of the project's expected outcomes?	•	•	•
• How was risk managed during the project?		•	•
• Which are the lessons learnt from the project in terms of effectiveness?		•	•
• Which changes could have been made in project design to improve its effectiveness?		•	•
• How could the project have been more effective in achieving results?		•	•
• How flexible was the project management in order to achieve results?		•	•
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
• Adaptive Management: How flexible was the project management in order to achieve results?	•	•	•
• Were the accounting and financial systems in place adequate?	•	•	•

• Were progress reports produced timely and in compliance to project reporting requirements?	•	•	•
• Was project implementation as cost-effective as originally envisaged?	•	•	•
• Was the expected co-finance leveraged as initially expected?	•	•	•
• Were the reported lessons learnt shared among project stakeholders for subsequent improvement of project implementation?	•	•	•
• Was local capacity and know-how adequately mobilized?	•	•	•
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
• Were sustainability issues adequately addressed at project design?	•	•	•
• Is there evidence that some partners and stakeholders will continue their activities beyond project termination? Which ones?	•	•	•
• Which are the main risks to the continuation of policies and actions initiated by the projects? (financial, institutional, socioeconomic, environmental)	•	•	•
• Are project actions and results being scaled up or replicated in the city or elsewhere in the country or region?	•	•	•
• How is the beneficiary planning to mainstream the lessons learnt within municipal governments and private sector?	•	•	•
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
• How likely is for the project to achieve its long-term goal?	•	•	•
• Are stakeholders more aware about MEAs, SDGs and environmental challenges and policies? Which ones?	•	•	•
• What has been the overall policy impact of the project to address these challenges, particularly climate change?	•	•	•
• What role has the use of environmental statistics and strategic information management had in achieving progress towards improved ecological status?	•	•	•
• What role has stakeholder capacity development and formal and non-formal education on MEAs had to improve the understanding of sustainable development challenges?	•	•	•

Annex D: Rating Scales

<p><i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i></p> <p>6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems</p>	<p><i>Sustainability ratings:</i></p> <p>4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks</p>	<p><i>Relevance ratings</i></p> <p>2. Relevant (R) 1.. Not relevant (NR)</p> <p><i>Impact Ratings:</i></p> <p>3. Significant (S) 2. Minimal (M) 1. Negligible (N)</p>
<p><i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)</p>		

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. 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 Form⁷

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

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*

Signature: _____

⁷www.unevaluation.org/unegcodeofconduct

Annex F: Evaluation Report Outline⁸

- 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
 - Acknowledgements
- 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 Manual⁹)
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 rated¹⁰)
- 3.1 Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., 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
- 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)

⁸The Report length should not exceed 40 pages in total (not including annexes).

⁹ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

¹⁰ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- 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

Annex G: Evaluation Report Clearance Form

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by
UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____

ANNEX 2: TIME TABLE FOR THE EVALUATION

ANNEX 3: LIST OF PERSONS INTERVIEWED

<i>Institution / Organization</i>	<i>Person Interviewed</i>	<i>Position / Role</i>	<i>Date of Interview</i>
Ministry of Environment	Dr. Edgar Gutiérrez	Minister of Environment	March 9, 10am
	Mr. Ruben Muñoz	Director, International Cooperation Directorate GEF Operational Focal Point Project Director	March 1, 7am
	Ms. Patricia Madrigal	Vice minister of Environment	March 15, 11am
	Ms. Enid Chaverri	International Cooperation Directorate	March 1, 10am
	Ms. Eugenia Agüero	Focal Point – Convention on Biological Diversity, National System of Conservation Areas (SINAC)	March 5, 2pm
	Mr. Mariano Espinoza	Former Focal Point – UN Convention to combat Desertification (Retired, National System of Conservation Areas, SINAC)	March 1, 12:30pm
	Ms. Ángela González	Director, National Commission for Biodiversity (CONAGEBIO)	March 8, 1:30pm
	Mr. Iván Delgado	Climate Change Directorate	March 2, 8am
Development Observatory – University of Costa Rica	Mr. Agustín Gómez	Statistics Unit Coordinator	February 26, 2pm
Fundación Parque Metropolitano La Libertad	Ms. Laura Pacheco	Director – Centro de Tecnología y Artes Visuales, CETAV	February 27, 9am
	Ms. Jennifer Sánchez	Centro de Gestión y Educación Ambiental – CEGEA	February 27, 8am
ALIARSE Foundation for Sustainability and Equity	Ms. Natalia Gamboa	Environmental Projects Manager	February 28, 9:30am
Universidad Estatal a Distancia (Distance State University)	Ms. Florangel Villegas	Health Services Administration	March 2, 2pm
	Mr. Javier Ureña	Director, Municipal Institute for Training and Local Development	March 7, 3:30 pm
Ministry of Education	Mr. Jose Pablo Zarate	Academic Office	March 12, 1:30pm
Ministry of Planning	Ms. Pilar Garrido	Vice-minister of Planning	March 8, 11am
Independent Consultants	Mr. Jorge Umaña	Former aide at the Ministry of Presidency, Open Data	February 27, 1pm
	Mr. Luis Diego Oreamuno	Specialist in Open Data	March 1, 11:30am
	Mr. Jorge Polimeni	Ecologist, director of the Ecological Blue Flag Program	March 2, 9:15am
	Mr. Ricardo Vindas	Consultant in Planning and Information Technologies	March 5, 8am
	Mr. Franklin Paniagua	Consultant in facilitation of Dialogue Processes	March 5, 9:15am
	Mr. Carlos Brenes	Consultant on Best Practices	March 7, 1:30pm
	Mr. Mario Peña	Consultant – Environmental Law	March 9, 11am
	Mr. Carlos Borge	Consultant on Environmental workshops	March 12, 5pm
	Mr. Mario Peña	Consultant – Environmental Law	March 9, 11am
Programa Estado de la Nación (State of the Nation Programme)	Mr. Leonardo Merino	Investigation General Coordinator	March 9, 2pm

UNDP	Mr. Kifah Sasa	Programme Officer Sustainable Development	Several consultations during the evaluation timeframe
Project Management Unit	Mr. Pascal Girot	Project Coordinator	Several consultations during the evaluation timeframe
	Ms. Heidy Jiménez	Project Technical Assistant	
	M. Rolando Fernández	Project Administrative Assistant	

ANNEX 4: LIST OF DOCUMENTS REVIEWED

a. General Background information

- GEF 5 Capacity Development Strategy 2013
- GEF approved Project Document (Prodoc) January 2014
- PIR Reports 2015,2016,2017
- UNDP Evaluation Guidance for GEF-financed projects
- Letters confirming the amount of Government Co-finance
-

b. Project Results related products

Result 1 Project Coordination and Governance

- Quarterly Reports
- Annual Reports
- MEA Focal Point Steering Committee Meetings Minutes
- Ministerial Committee Meetings Minutes and PPTs
- Financial Audit 2015

Result 2 Legal Framework and Information Management

- Legal Consultants Reports (Synergies between MEA, Protected Areas Governance)
- INDC Consultation Process (Workshops Report, INDC Proposal by CR, UNFCCC COP21 Delegation Report, Agriculture Agreement on Emissions Reduction)
- Environmental Indicators and Strategic Information Management (Reports for 2015, 2016, and State of the Environment Report 2018, Open Data Conference (CONDATOS-LATAM), Information Platform for International Cooperation)
- Civil Society Participation (5C, 4C, National Biodiversity Strategy Consultation)
- Mainstreaming SGDs and Institutional Planning (with MIDEPLAN and MINAE)

Result 3 Training, Education and Communications

- Support to Curricular Reform at the Ministry of Public Education (2016,2017)
- Training of teachers on MEAs with Parque La Libertad
- Training platform on MEAs for distance learning by municipal governments
- Training course on MEAs for private sector organizations
- Communications products developed by CETAV-Parque La Libertad
- Local exchanges on Sustainable Land Management with SGP in Barranca and Jesús María
- Best practices and knowledge management on Synergies between MEAs

ANNEX 5: EVALUATION QUESTION MATRIX

Evaluation Criteria Questions	Indicators	Sources	Methodology
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?			
<ul style="list-style-type: none"> Is the project relevant to Costa Rica's environmental policies? 	<ul style="list-style-type: none"> Priorities of national policies incorporated into project design Degree of coherence between project and national priorities, policies and strategies 	<ul style="list-style-type: none"> Project documents National policies and strategies Key government officials 	<ul style="list-style-type: none"> Document analysis Interviews with senior ministry officials, project team, and UNDP
<ul style="list-style-type: none"> Is the project relevant to UNDP objectives in the country? 	<ul style="list-style-type: none"> Existence of clear relationship between project objectives and UNDP objectives 	<ul style="list-style-type: none"> Project documents UNDP planning documents Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team and UNDP
<ul style="list-style-type: none"> How is the project complementary to the actions / projects of other stakeholders active in the country? 	<ul style="list-style-type: none"> Degree to which project was coherent and complementary to other donor / stakeholder programming 	<ul style="list-style-type: none"> Project documents National policies and strategies Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project stakeholders
<ul style="list-style-type: none"> Is the project internally consistent in its design? 	<ul style="list-style-type: none"> Level of coherence between project expected results and project design internal logic Level of coherence between project design and project implementation approach 	<ul style="list-style-type: none"> Project documents Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team and UNDP
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
<ul style="list-style-type: none"> Are the activities and outputs of the project consistent with the project's goal and objectives? 	<ul style="list-style-type: none"> Level of coherence between project goal and objective and 	<ul style="list-style-type: none"> Project documents Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project stakeholders

	project outputs and deliverables	<ul style="list-style-type: none"> Key project team members, UNDP 	
<ul style="list-style-type: none"> To what extent have the delivered outputs contributed to the achievement of the project's expected outcomes? 	<ul style="list-style-type: none"> Level of coherence between project expected outcomes and project outputs and deliverables 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project stakeholders
<ul style="list-style-type: none"> How was risk managed during the project? 	<ul style="list-style-type: none"> Completeness of risk identification and assumptions during project planning and design Quality of existing information systems in place to identify emerging risks and other issues Quality of risk mitigation strategies developed and implemented 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project stakeholders
<ul style="list-style-type: none"> Which are the lessons learnt from the project in terms of effectiveness? 	<ul style="list-style-type: none"> Degree to which lessons learnt were incorporated into project implementation 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP and project implementing partners (Ministry of Environment)
<ul style="list-style-type: none"> Which changes could have been made in project design to improve its effectiveness? 		<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project implementing partners (Ministry of Environment)
<ul style="list-style-type: none"> How could the project have been more effective in achieving results? 		<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners (Ministry of Environment) and project stakeholders
<i>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</i>			

<ul style="list-style-type: none"> Adaptative Management: How flexible was the project management in order to achieve results? 	<ul style="list-style-type: none"> Degree to which project management changed proposed actions to achieve results 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project implementing partners (Ministry of Environment)
<ul style="list-style-type: none"> Were the accounting and financial systems in place adequate? 	<ul style="list-style-type: none"> Availability and quality of financial reports Availability and quality of financial systems 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team and UNDP
<ul style="list-style-type: none"> Were progress reports produced timely and in compliance to project reporting requirements? 	<ul style="list-style-type: none"> Timeliness of reporting provided 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team and UNDP
<ul style="list-style-type: none"> Was project implementation as cost-effective as originally envisaged? 	<ul style="list-style-type: none"> Cost in view of results achieved compared to costs of similar projects from other organizations Level of discrepancy between planned and utilized financial expenditures 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team and UNDP
<ul style="list-style-type: none"> Was the expected co-finance leveraged as initially expected? 	<ul style="list-style-type: none"> Planned vs actual co-finance leveraged 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project implementing partners (Ministry of Environment)
<ul style="list-style-type: none"> Were the reported lessons learnt shared among project stakeholders for subsequent improvement of project implementation? 	<ul style="list-style-type: none"> Degree to which lessons learnt were circulated among stakeholders 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project implementing partners (Ministry of Environment)
<ul style="list-style-type: none"> Was local capacity and know-how adequately mobilized? 	<ul style="list-style-type: none"> Proportion of expertise utilized from international 	<ul style="list-style-type: none"> Project documents Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and

	experts compared to national experts <ul style="list-style-type: none"> Quality of analysis done to assess local capacity potential 	<ul style="list-style-type: none"> Key project team members, UNDP 	project implementing partners (Ministry of Environment)
<i>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</i>			
<ul style="list-style-type: none"> Were sustainability issues adequately addressed at project design? 	<ul style="list-style-type: none"> Quality of exit strategy / sustainability in project document 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, and project implementing partners (Ministry of Environment)
<ul style="list-style-type: none"> Is there evidence that some partners and stakeholders will continue their activities beyond project termination? Which ones? 	<ul style="list-style-type: none"> Number of stakeholders that will continue activities beyond project termination 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners (Ministry of Environment) and project stakeholders
<ul style="list-style-type: none"> Which are the main risks to the continuation of policies and actions initiated by the projects? (financial, institutional, socioeconomic, environmental) 		<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners (Ministry of Environment) and project stakeholders
<ul style="list-style-type: none"> Are project actions and results being scaled up or replicated in the country? 	<ul style="list-style-type: none"> Number of project actions being scaled up or replicated 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners and project stakeholders
<ul style="list-style-type: none"> How is the beneficiary planning to mainstream the lessons learnt within municipal governments and private sector? 		<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners (Ministry of Environment) and project stakeholders
<i>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</i>			

<ul style="list-style-type: none"> How likely is for the project to achieve its long-term goal? 	<ul style="list-style-type: none"> Progress towards the achievement of long term goal for the project 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners (Ministry of Environment) and project stakeholders
<ul style="list-style-type: none"> Are stakeholders more aware about MEAs, SDGs, and environmental challenges and policies? Which ones? 	<ul style="list-style-type: none"> Number of stakeholders incorporating MEAs, SDGs and environmental challenges in their activities 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners (Ministry of Environment) and project stakeholders
<ul style="list-style-type: none"> What has been the overall policy impact of the project to address these challenges, particularly climate change? 	<ul style="list-style-type: none"> Degree to which climate change policy has been impacted by the project 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners and project stakeholders
<ul style="list-style-type: none"> What role has the use of environmental statistics and strategic information management had in achieving progress towards improved ecological status? 	<ul style="list-style-type: none"> Relevance of environmental statistics in environmental policy making 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners and project stakeholders
<ul style="list-style-type: none"> What role has stakeholder capacity development and formal and non-formal education on MEAs had to improve the understanding of sustainable development challenges? 	<ul style="list-style-type: none"> Number of stakeholders providing education on MEAs 	<ul style="list-style-type: none"> Project documents Key project stakeholders Key project team members, UNDP 	<ul style="list-style-type: none"> Document analysis Interviews with project team, UNDP, project implementing partners and project stakeholders

ANNEX 6: QUESTIONNAIRE USED AND SUMMARY OF RESULTS

Questions	Criteria addressed	Results
What was your experience with the project?	Effectiveness Efficiency	<ul style="list-style-type: none"> • People interviewed explained candidly their relationship with the project team and how interactions were handled • They mentioned whether they had any issues with how the project was managed • Some questioned how the team, the organizational arrangements and the staff of the project were selected, organized and their roles defined • Political influence in the project management was also addressed, mainly by institutional key stakeholders
Which issues were addressed?	Relevance	<ul style="list-style-type: none"> • Each person interviewed explained in detail their role with the project, what they worked on under the project's framework and how it was important for their institution / organization, the Ministry of Environment, national priorities or policies
How was the coordination with the project team? And with other institutions?	Effectiveness Efficiency	<ul style="list-style-type: none"> • Important mentions to the role of the project team as facilitators of different processes • The issue of the sudden change in coordinator was mentioned as a hindrance to the normal development of the project • Private sector and NGO stakeholders praised the role of coordination of the project team • Institutional stakeholders are not satisfied with the role undertaken by the project team in the coordination and facilitation of processes, which were not conducive to institutional ownership
How have these issues impacted public policy?	Impact Relevance	<ul style="list-style-type: none"> • The project addressed a wide variety of issues relating thematically with the Rio Conventions • Most issues were important to key stakeholders and to national priorities and policies in general

		<ul style="list-style-type: none"> • There is a potential impact if sustainability of key actions is achieved • Some issues generated immediate impact in policy making
Going beyond the project, now that its ending, how are you planning to follow-up on these issues?	Sustainability	<ul style="list-style-type: none"> • The widespread action may not necessarily be conducive to sustainability or ownership • Institutional ownership within several departments of the Environment Ministry is questioned • Sustainability of several actions has been guaranteed by decrees or new normative at the Ministerial and Presidential levels
Any additional comments?	-	<ul style="list-style-type: none"> • Interviewees were very candid, expressing their opinions on every issue raised by the project • Some expressed concerns about political influence in project management • Some expressed lack of satisfaction with some former or current members of the project team, noting that they impaired the normal action of the project

ANNEX 7: EVALUATION CONSULTANT AGREEMENT FORM

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

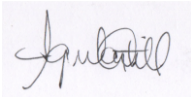
Name of Consultant: Ana Laura Aguilar Castillo

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 *San José* on *February 27, 2018*

Signature:

A handwritten signature in black ink, appearing to read 'Ana Laura Aguilar Castillo', is written over a light purple rectangular background.

ANNEX 8: UNDP-GEF TE REPORT AUDIT TRAIL

To the comments received on April 19, 201 from the Terminal Evaluation of Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms (UNDP Project ID-PIMS #5097)

The following comments were provided in track changes to the draft Terminal Evaluation report; they are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	#	Para No./ comment location	Comment/Feedback on the draft TE report	TE team response and actions taken

No written comments in Track Changes were received.

However, the following comments were received from the Quality Review Team in HQ:

Page #	Section	Comment
Title Page	Title Page	Change "GEF PIMS ID 5097" to "UNDP PIMS ID 5097" Also include the GEF ID 5028 on the title page
10-11	Scope and Methodology	Provide information on how the assessments were cross-referenced between the various sources of data. This would strengthen the integrity of the evaluation.
28	Adaptive Management	Typo in second line – "fist" should be "first"
28	Adaptive Management	How did the delays, turnover of project staff, etc. affect the expected project outcomes and results?
29	Feedback from M&E Activities Used for Adaptive Management	Was any feedback from the annual PIRs used for adaptive management?
29-30	Project Finance	This section should also assess whether there were strong financial controls allowing project management to make informed decisions regarding the budget and allowing for the timely flow of funds and payments. (This is touched upon in the Efficiency paragraph but should also be included here)
30-31	M&E Design at Entry and Implementation	Consider including the following: -analysis of M&E plan at start up; was it well conceived? -were there any negative implications because there was no M&E specialist? -were results from M&E tools discussed with stakeholders? -was the last PIR ratings consistent with TE findings?
42-44	Conclusions, Recommendations and Lessons	Although it is not specifically explained in the TE guidance, I would recommend starting with a paragraph on Findings. The Findings could be structured around the evaluation questions, providing direct answers and substantiating them by the data that was gathered. Include detailed

		<p>explanations. The Conclusions would then build on the Findings. The Conclusions would highlight the strengths and weaknesses of the project, draw upon the Findings and be in reference to the project's objectives and evaluation's objectives.</p>
Annexes	Annexes	<p>Add the following to the Annexes:</p> <ul style="list-style-type: none"> • Report Clearance Form • <i>Annexed in a separate file</i>: TE Audit Trail <p>The Audit Trail should not be part of the final Word/PDF file of the TE report which will eventually be posted on the ERC. The ERC is public and the Audit Trail should not be public. Also, in the 'Author' column of the Audit Trail enter the commentator's organization and not her/his name.</p>

These comments were integrated into the TE Report on April 22, 2018.