



"PROMOTING THE APPLICATION OF THE NAGOYA PROTOCOL THROUGH THE DEVELOPMENT OF NATURAL PRODUCTS, THE DISTRIBUTION OF BENEFITS AND CONSERVATION OF BIODIVERSITY IN COSTA RICA"

Final evaluation of the project

Photo: Genetic and biochemical resources testing in pineapple. Monreri labs – Cota Rica

UNDP - GEF

Evaluation period: August - September 2018

Costa Rica

This project contributes to the Effect of Environmental Sustainability and Risk Management of the United Nations Development Cooperation Framework (UNDAF)

Partner for the execution: INBIO (2014-2015) and UNDP (2016 - 2018)

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Executive Summary

Synoptic table of the project

Title of the project:	"PROMOTING THE APPLICATION OF THE NAGOYA PROTOCOL THROUGH THE DEVELOPMENT OF PRODUCTS BASED ON NATURE, THE DISTRIBUTION OF BENEFITS AND CONSERVATION OF BIODIVERSITY IN COSTA RICA"			
Identification of the GEF project:	5420		<i>Budget at the time of approval (millions of USD)</i>	<i>at the time of completion (millions of USD)</i>
Identification of the UNDP project:	PIMS 4962/00090102	GEF financing:	979,566	N/A
Country:	Costa Rica	ECOS:	1,615,000	N/A
Region:	LAC	INBIO	1,726,000	N/A
Area of interest:	Biodiversity	Formuquiza	963,009	N/A
Operational programme:	GEF 4, SO-2 (SP4, SP5)	Monreri	233,000	N/A
Executing Agency:	Initially, INBIO, at the end UNDP	Total project cost:	5,517,375	N/A
Other partners involved:		The signing of the project document (project start date):		03 /2015
		Closing date (Operational):	Planned: 03/2018	Revised: 12 / 2018

Source: Project Files

Project description



The Project was designed to implement the Nagoya Protocol on ABS through the development of crop protection products based on nature and strengthening the capacity of the national authority. These protection products are based on plant and fungal compounds, and licensing conditions that will be established for future agreements with the parties interested in their commercialization. The agreements can be identified as the second generation due to the contractual relationship, participation, and contributions of the companies involved and the knowledge generated through the research. These studies have been carried out entirely in Costa Rica by Costa Rican professionals. These two potential products, whose active ingredients are chemically characterized, have been evaluated in vitro, in the greenhouse, and in the field, but at the level of preliminary tests on crops. Technically, the project seeks to validate the effectiveness of these crop protection agents and promote the conditions for the extension and licensing of new natural products, generating economic benefits that will be shared among the different stakeholders and used to support conservation. At the same time, it will improve the skills and capabilities of the private sector to negotiate good access models and benefit-sharing contracts. Finally, the project will update and strengthen the national ABS legal framework, in light of the provisions of the Nagoya Protocol, and develop new mechanisms to improve the administrative permit system and the decision-making process.

This solution rests on four main pillars.

1. Proof of concept of crop protection agents based on nature.
2. Optimization, scaling and licensing of crop protection agents.
3. Benefit sharing from genetic resources.
4. Increase in national capacity to ratify and implement the Nagoya Protocol.

Evaluation score table

Project performance rating			
1. Monitoring and evaluation	<i>qualification</i>	2. Execution of the IA and EA:	<i>qualification</i>
M&E input design	Satisfactory	Quality of UNDP enforcement	Satisfactory
M&E Execution plan	Satisfactory	Quality of execution: executing agency (INBio)	Unsatisfactory
M&E overall quality	Satisfactory	Overall quality of enforcement and execution	Moderately Unsatisfactory
3. Evaluation of the results	<i>qualification</i>	4. Sustainability	<i>Qualification</i>
Relevance	Relevant	Financial resources:	Moderately unlikely
Effectiveness	Satisfactory	Socio-politicians:	Moderately unlikely
Efficiency	Satisfactory	Institutional framework and governance:	Likely
Overall rating of project results	Moderately Satisfactory	Environmental:	Likely
Impact	Significant	The overall probability of sustainability:	Moderately unlikely

Summary of conclusions, recommendations, and lessons

Findings and Conclusions

- The evaluation concludes that the project was relevant from the onset and continues to be so because it focuses on an environmental and development priority that is aligned with the interests of Costa Rica, UNDP, GEF, the environment in general, the agricultural sector, and local producers.
- The initial design assumed several postulations and hypotheses, as political factors outside the control of the project, which affected the implementation because the contexts and the dynamics are changing, the priorities and the stakeholders involved were also changing over time.
- The design of the project was very ambitious due to the magnitude of the goals in three significant areas: the creation of products from biogenetic resources, application of the protocol of Nagoya and the negotiation of distribution of benefits in the country as a demonstrative experience.
- The main risk that affected the performance of the project was the political will in the case of the ratification of the Nagoya Protocol, and also the institutional crisis of INBIO, the field experiments have not yet been concluded to determine if there is adequate control of diseases or pests or an increment in crops resistance deriving from biological products.

These risks are beyond the project and could not be mitigated without changing the structural design of the project.

- The comparative advantage of UNDP was the technical capacity in the implementation of projects for the conservation of the environment and biodiversity, and also the vision that of the potential of Costa Rica to be one of the leaders in the world in the application of the Nagoya protocol.
- The project included standard tools for the M&E of the GEF budget, with quality outcome indicators. The most prominent results of the project were: technical and scientific progress in the development of biological products for the control of pests, scientific information of great use on the process, and the agreement between different stakeholders to share benefits between users and producers of biological resources. It is important to highlight that this project managed to involve companies from the private sector (with working experience in agrochemical sectors), academia, NGOs and international cooperation around an initiative of biological products to reduce the use of agrochemicals. Despite some delays, the expected results, goals and indicators were mostly achieved.
- The project delivered a series of high-quality products that can be used by stakeholders, the government or third parties to generate positive changes and more favorable conditions for the use of biological diversity in reducing the chemical load for synthetic agricultural products.
- The project had to extend its execution period (18 months) due to implementation problems due to financial problems and administrative management of the INBIO implementing agency.
- The project supports a multi-year research initiative, managing to reduce the learning curve in a sector of research that is characterized by many years and high amounts of investment to achieve viable, active ingredients.
- Sustainability is the main concern of the evaluation of this project; at the date of the conclusion of the evaluation there is no hard data to affirm the commercial viability of the biological products and therefore their use. The financial situation of INBIO is also an

adverse factor of sustainability, which although it can be overcome, there is no guarantee of its continuity.

Design and programming recommendations for future interventions (UNDP - GEF):

- Regarding the design and programming of similar interventions in the future, the evaluation recommends establishing the specific problem to be solved from the beginning, with a theory of change according to where the route is visualized from the inputs, activities, and products to the expected results or effects.
- Investments must be made in products that can be achieved through projects that do not depend on external factors or political will (for example, ratification of treaties). Considering the political swings is essential.
- During the design phase, it is essential to analyze the experience of the Nagoya project by including different organizations from different sectors, but especially by linking the private sector and civil society.
- For future interventions that require an implementing agency, it is important to analyze the financial solvency in detail¹, as well as the technical capacity, experience, and prestige.
- All GEF interventions need to consider gender mainstreaming strategies from the onset, as well as a clear link to the achievement of the SDGs.

Short-term operational recommendations:

- Dissemination and communication: the project should make a compilation of the lessons learned and good practices in the process of negotiating the distribution of benefits, focusing on the active participation of different organizations, the incentives to keep an active collaboration, and the human process of Biological products. This information can be translated into a common language, identifying key messages and narratives to disseminate through the UNDP website, email lists, media, and social networks. Likewise, this information can be used for the systematization of Nagoya experiences.

¹ The risk analysis was complex to perform for the implementing agency, since it was an organization with more than 20 years, positioned not only nationally but internationally with political and financial support from the governments for the last 20 years. In terms of financial solvency, the micro evaluation (HACT) had shown low risk.

- The project needs to elaborate a detailed exit strategy, establishing the steps to be taken and pending issues (for example, the appropriation of the project by the stakeholders involved, viability strategies for INBIO, management of missing data on commercial viability and economic, possible investment by the actors involved and / or third parties, possible linking of the lessons of this project to the portfolio of UNDP projects).

Lessons learned

- Every design must include from the beginning a clear theory of change that allows identifying the chain of results from the inputs, through the activities, products and expected results.
- The number of goals and objectives, as well as their scope, must be carefully contemplated to avoid ambitious designs.
- Projects should not include expected results or impacts that depend mainly on external factors.

Abbreviations and acronyms

ABS	Access and Benefit Sharing
BAR	Activator of Bioactive Resistance (Bioactive Activation Resistance)
CONAGEBIO	National Commission for Biodiversity
CENBIOT	National Center for Biotechnology Research
CBD	Convention on Biological Diversity
CO	Country Office
INBio	National Institute of Biodiversity
MICITT	Ministry of Science, Technology, and Telecommunications
MINAE	Ministry of Environment and Energy
NIM	National Implementation Modality
NGO	Non-Governmental Organization
IP	Intellectual property
PIR	Project Implementation Review
NP	Nagoya Protocol
UNDP	United Nations Development Programme



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Introduction

Purpose of the evaluation

According to the ToR, the Final Evaluation will analyze the results of the project, draw lessons that can improve the sustainability of the benefits of this project and help improve overall UNDP programming.

The evaluation is carried out with the purpose of assessing (i) the performance of the project in terms of its relevance, effectiveness (results, products) and efficiency; (ii) sustainability and the expansion of results; and (iii) the real and potential impact of the project; as well as compliance with the UNDP evaluation policy mandate on the contributions of development results in the area of human development. The objective is to provide information on the status of project implementation, which generates evidence and objective information to allow managers to make informed decisions to define new strategic lines. The final evaluation of the project will inform, to strategic partners and the beneficiaries, the results of the exercise, thus ensuring accountability.

Scope and methodology

The objective of the consultancy is to develop a comprehensive assessment of the project, considering the achievements, lessons learned and good practices from the support of UNDP, counterparts, as well as identifying existing gaps or areas with potential for improvement.

The Final Term Evaluation seeks to improve the effectiveness of the project support by making decisions based on evidence and knowledge, avoiding duplication of efforts, the repetition of errors and the incorporation of good practices that allow a reduction of the learning curve. It is necessary to capture the knowledge, experiences, and knowledge of the stakeholders.

An integral and participatory reflection allows interpreting the experiences and information gathered to create new ideas about the UNDP's opportunities to support the Country's needs in Biodiversity and more specifically to optimize ABS. The objective of the evaluation is to extract from the experience those lessons that are transferable on a larger scale, that is, that may have a broader application in the country.

For conducting the evaluation, 4 phases would be developed:

Phase 1 - start-up phase and design

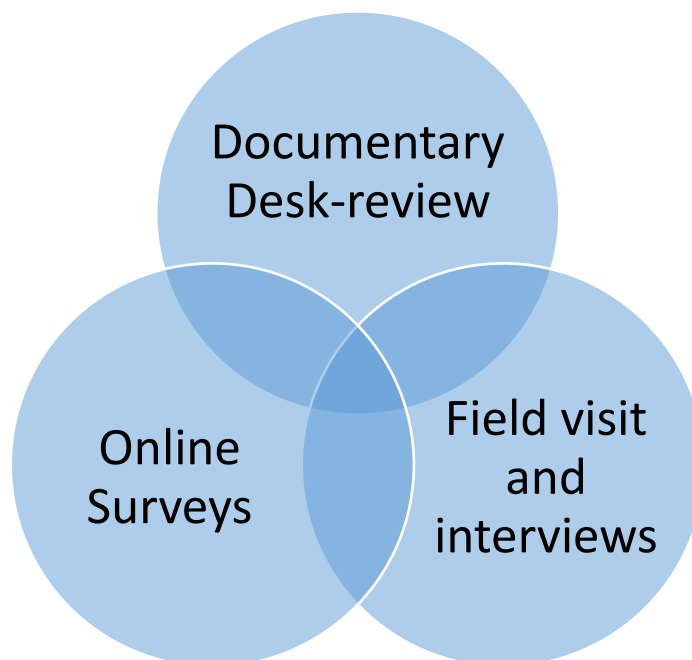
Phase 2 - documentary review

Phase 3 - field work

Phase 4 - analysis and synthesis

These four phases allow for a participatory process where the evaluator was able to consult with stakeholders in each of the phases to ensure maximum relevance to UNDP, GEF and key stakeholders. This is part of the participatory process.

ILLUSTRATION 1. METHODOLOGY OF EVALUATION



Evaluation phases description

As previously mentioned, the evaluation will contribute to institutional learning by promoting the active participation of key actors during the different stages of the mission.

Phase 1 - start-up phase and design

During this phase, the evaluator made initial approaches with UNDP and the project coordinator to align the mission approach, agree on the scope and set specific expectations. Also, the context diagnosis, the draft agenda and the evaluation framework were addressed. With this, the process, the structure of the actors involved, and the conceptual design of the assessment tools were planned, based on the evaluation questions in the ToR.

Phase 2 - documentary review

Before the visit, all documents were delivered to the consultant by the UNDP Country Office and by the Project Coordinator.

Documentary analysis of the project was made regarding its objectives, results, products, and activities to determine if the original design presented problems in its formulation, had monitoring indicators, assumptions, baselines, goals.

Content Analysis helped to find configurations and relationships in Reports and texts, contributing in interpretations and establishing a coherent conceptual scheme that allows making judgments about the project regarding the achievements of products and results concerning the objectives in the context of the context of what happened and its initial design.

Phase 3 - field work

The field mission was developed from August 6 to 10, 2018. It started with the kick-off meeting with the Reference Committee formed by UNDP (CO and Technical Team) and INBIO for the discussion of this proposal, the content of the technical proposal, exchange of ideas, prioritization of the most important issues and tasks, finalization of the schedule, logistics and definition of coordination modalities with UNDP and INBIO.

The evaluation used qualitative methods common to this type of research, structured and semi-structured interviews were conducted mainly. For field visits to Costa Rica, the methodology was

based on a theoretical and practical scheme developed in 1994 by Alforja² for the popular education sector, which has gained much recognition in Latin America, and whose basic principles have been taken up and applied by various organizations such as IFAD³, the GiZ⁴, IICA⁵, AECID⁶ y FAO, among others.

The methodology is participative and dynamic, for which, the participation of the groups/sectors that have been part of the project, and that have lived the experience, was sought. Additionally, a survey was designed and distributed to collect perceptions and opinions.

Phase 4 - analysis and report

In this phase, the evaluator compiled and added all the collected data about lessons learned and good practices were dedicated to the verification of the data and the articulation of results, lessons learned, conclusions and good practices. At this point the evaluator reviewed the results, identified trends integrating the strategic elements obtained in the document review and fieldwork. It was ensured that the information collected was triangulated correctly and the result of a rigorous collection process.

Once the evaluation has been approved, the Reference Committee will proceed to elaborate a response strategy to the recommendations and make the socialization that is required. This phase is an excellent opportunity to reflect on the lessons learned, but also on how to scale up or replicate the good practices identified, how to communicate achievements, and how to avoid past mistakes. Additionally, to discuss future recommendations regarding UNDP support.

² "To systematize experiences", Oscar Jara (1994).

³ "Sistematización de experiencias locales de desarrollo agrícola y rural: Guía metodológica", Julio Berdegú y otros (2002).

⁴ Formando sistematizadores: Una guía para desarrollar competencias y generar conocimientos", Ruth Varela y otros (2005).

⁵ "Develando experiencias: Otra mirada hacia la sistematización", Cecilia Díaz y otros (2010).

⁶ "Guía metodológica de sistematización: Programa Especial para la Seguridad Alimentaria PESA en Centroamérica"



Project description⁷

This project seeks to promote the sustainable use of genetic and biochemical resources through research and development and a national framework of Access and Benefit Sharing (ABS) strengthened. Costa Rica must increase its capacity to add value to genetic resources through the development of scientific practices and procedures that facilitate the flow of these resources from their natural habitat to the market. This process should be legitimized by a strengthened national ABS framework that incorporates the obligations of the Nagoya Protocol, including benefit-sharing agreements that socialize the value of genetic resources and compensate relevant stakeholders.

⁷ From the ToR and other project documents

Findings

Design and formulation of the Project

Analysis of the logical framework (AML) and the results framework (logic and project strategy, indicators)

The evaluation has been able to find that the design of the project is robust by clearly defining the results, effects, and outputs, as well as measurement indicators, baselines, and targets. The design is based on technical and scientific developments dating back to the 90s in the development of active ingredients for the protection of crops from the genetic and biological material.

The project developed a logical framework in the project document, with specific links between the inputs, activities, outputs and expected results. That is, the project did have a specific theory of change that allows identifying a chain of results and causality in the intervention.

However, while 3 results are related to the production of crop protection agents and the distribution of benefits, the fourth result focuses on national capacity and the ratification of the Nagoya protocol, which although it is a related issue, does not have an explicit agreement with the other results and the ratification of the NP is a result that escapes the control of the project because it depends on external political and institutional factors.

The project design did not include SDG contribution nor gender analysis. Nevertheless the project team did carry out specific sessions to analyze gender contributions (direct or indirect) as well as SDG contribution that may be summed up as follows:

"Agriculture plays a relatively strong role in the economy, contributing 5.3% to the country's GDP and employing 12.7% of its labor force. There is a strong link between the agricultural sector and rural poverty by income, which represents approximately 25.7% of households in those areas (SDG 1). During the last decade there has been an increase in the area devoted to permanent crops, generally linked to export products (such as pineapple or oil palm) and a decrease in areas destined for livestock. Regarding agro-exports, the share of agri-food exports in total exports has fluctuated around 40% since 2010. Almost half of Costa Rica's agricultural exports are primary crops for final consumption, such as bananas, coffee, and pineapple. The crops with the greatest expansion of their cultivation area were oil palm, pineapple, sugar cane, cassava, and citrus fruits. There have

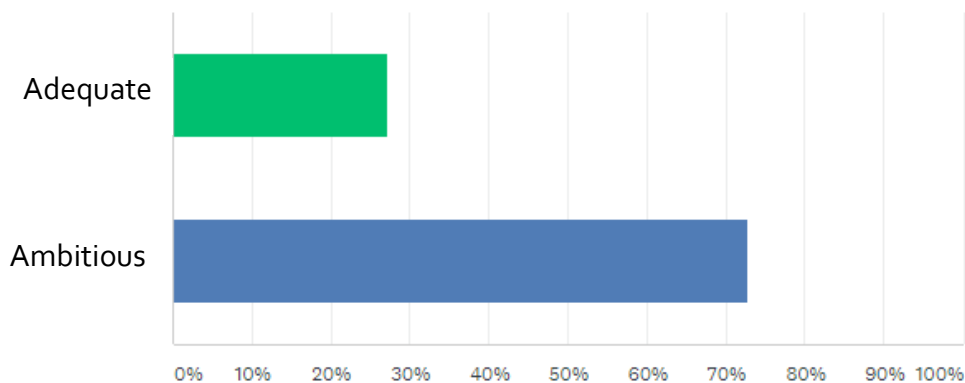
been changes in areas of crops such as coffee and pineapple since 1997, with a drastic decline in total coffee areas and an increase in the pineapple sector. This increase in pineapple areas is a threat to the stability of mature forest and secondary cover of the country. The State Phytosanitary Service (SFE) reported that, in 2016, 6.7 million kilograms of active pesticide ingredient was imported and 5.6 million kilograms were formulated. It is estimated that 8.9 million kilograms of pesticides were used in that year, which put considerable pressure on ecosystems, particularly soil and water. The impact of finding a nature-based solution such as the DMDP compound (SDG 9) with a low toxicological profile is of great relevance to reduce the use of synthetic agrochemicals in the market and directly contributes to SDG 12 to ensure sustainable consumption and production, also reducing contamination of freshwater, marine and terrestrial ecosystems (SDGs 14 and 15).“(Costa Rica: Using genetic resources to develop a crop-protection agent for the agriculture sector, Draft Chapter from ABS UNDP GEF Publication)

There are usually fewer women in technical careers such as sciences, math, and engineering, the Project who was co-lead by women in these fields sets out a good reference for other young professionals. This and the way the project might impact vulnerable women and children that depend on the health of ecosystems that are currently being contaminated by the excessive use and run-off of agrochemicals is critical to analyze the contribution of implementing more sustainable practices such as substitution of pesticides once results are confirmed for the crops.

All the sources consulted stated that the design of the project was relevant, although a little ambitious due to the magnitude of the goals regarding achieving a distribution of benefits scheme, the production of biological products to protect crops with the most significant economic impact in the country, that are affected by high-impact diseases. Along the same lines, the survey shows that the majority of respondents consider the project ambitious.

Figure 1. The Design of the Project was Adequate or Ambitious

Answered: 11 Skipped: 0



Source: Online Survey

The goal of the project was "the promotion of the sustainable use of genetic and biochemical resources through research and development and a strengthened national framework for Access and Participation of Benefits (ABS)."

The results of the project were:

1. Proof of concept of crop protection agents based on nature.
2. Optimization, scaling and licensing of crop protection agents.
3. Benefit sharing from genetic resources.
4. Increase in national capacity to ratify and implement the Nagoya Protocol.

In total 18 activities or actions were going to generate four products and four (4) great results. This design makes the project manageable and facilitates the monitoring of activities, as well as the monitoring and evaluation of results, influencing, in turn, the planning and decision making. The initially selected indicators, in general, are relevant because they are directly related to the results products and because they have specific metrics, baselines, and goals.

As noted previously, the project covers technical and scientific issues that involve a series of specific challenges, including economic and commercial viability. The project team has technical

knowledge and experience in scientific developments with the memory of the process in the country, but it took human teams with different knowledge in the commercial and economic aspects.

Assumptions and risks

According to the consulted sources, the main risk that affected the performance of the project was the political risk and the financial crisis of INBIO, however, the latter was difficult to foresee from the design phase of the project. The financial situation of organizations is not usually a topic of analysis and even less when it is a highly reputable institution.

The evaluation found that these risks escaped the project and could not be mitigated without changing the structural design of the project. This design suffered from an evaluation of institutional capacities by the executing agency, a diagnosis of the institutional political context, which changed radically between the design and execution phase of the project, and a risk framework with clear mitigation and improvement strategies.

Lessons from other relevant projects (e.g., the same area of interest) incorporated into the project design

As mentioned above, the project design is based on decades of research on the BAR and the DMDP. For example, since 1993 the DMDP obtained a patent for use as a nematicide and INBio obtained the right of local exploitation since 1992.

UNDP does not have similar experiences in the country because it is an innovative initiative due to the scientific process but also due to the ABS process involved. The Nagoya protocol is relatively recent, and there are not many backgrounds or previous application experiences available at the project start date.

Stakeholders planning participation

One of the favorable points of the project is that the design of the project pointed to a high level of participation of different institutions and organizations. The participants are providers of the genetic resource, users of the genetic resource and competent national authorities. In general, the



project managed to bring together Government, Conservation Areas, Private Enterprise and Research Centers - Universities.

This combination of actors is a case study worthy of analysis because participation remained active during the implementation of the project, including with organizations such as Formuquisa that has a history of synthetic product formulation mainly.

Replication approach

In the current circumstances, the possibility of replicating the experience of the project to other products, organizations or even countries, depends on the commercial viability that largely dictates its success. The project did not develop a specific knowledge management strategy to identify and share best practices, but a systematization is being developed to include the experience in a GEF global publication on the Nagoya protocol. It should be noted that the UNDP GEF has selected this case as a chapter in a global publication on ABS.

The legal context of the project regarding rights and confidentiality agreements, as well as the bad publicity due to the financial situation of INBIO, hinders the replication of the processes. Internally, the project made efforts to share knowledge and experiences, such as between producers and scientists, the laboratory and the formulating company, resulting in interesting joint learning.

The comparative advantage of UNDP

UNDP is an institution with experience and technical capacity in project management, and in initiatives that seek the conservation of the environment and biodiversity. The Project was initially implemented by INBio but was later executed under the responsibility of a program officer in the country and was closely followed by the country director and had the administrative support of that office. Likewise, the knowledge of the GEF and its administrative processes was an added value for the execution of the project, operational management and the approval of the extensions to the term of the same (see section execution of the project). The figure of the Project Coordination Unit, which is typical of UNDP projects, has a project coordinator, and two technical leaders in the areas of chemistry and biotechnology, who also fulfilled the role of monitoring the Project (in the case of the leader of Chemistry) and both assumed the role of administrative assistant with the support of the CO.

The project has also received technical support from the UNDP-GEF Regional Technical Advisor, and the entire monitoring and evaluation scheme, with tools to monitor the progress observed.

Project Execution

Adaptation management

The adaptation management corresponds to the level of flexibility that the project had to attend to the changing dynamics and the supervening needs. These are the adjustment mechanisms to improve the execution of the project, after an agreement between the UNDP, GEF and the organizations of Costa Rica.

Document findings show that there were no changes to the logical framework or the products or results 1, 2 and 3. If an adjustment was made to result in 4, which was managed by CONAGEBIO due to the impossibility of achieving ratification of the Nagoya protocol. A restoration of the project was also made, passing it from the country portfolio and the administration by the INBio, to the execution by UNDP.

This process involved some delays of up to 10 months and the scope of the goals, according to the current times and the possibilities of the project. Regarding the duration of the project, it started in March 2015, and due to the delays caused by the institutional environment and factors external to the project, an extension of time was made (without cost increase), being extended for 18 months until December 2018, when the original execution period was three years.

Monitoring and Evaluation: input and execution design.

The evaluation concludes that the monitoring and evaluation overall quality is satisfactory because there were minor short comings and quality of M&E design. The M&E implementation met the expectations since the M&E input design was satisfactory as well as the M&E Execution plan.

The project had different tools for monitoring and evaluation: logical framework matrix with results indicators, annual project implementation reports (PIR), tracking tools (GEF), follow-up with the UNDP Atlas administrative tool, and some follow-up meetings. The project did not have a mid-term evaluation, but it was included in an internal UNDP audit.

The indicators of the logical framework were measurable and specific, with clear units of measurement, baselines, and targets. The indicators are related to the products and results of the project, and the total number of indicators was manageable.

The final evaluation highlights the quality of the annual PIR project implementation reports because it contains qualitative information about the project and its progress, with assigned ratings, identified obstacles, risks, and adjustments.

There was not an expert in monitoring and evaluation, but until the end of the Project as a surcharge of the Leader in Chemistry for such purposes, and the UNDP team fulfilled these functions. It is important to emphasize that resources for these administrative and monitoring and evaluation functions were not included in the budget since these were original to be developed as functions of the INBio team, however, the UNDP team assumed these roles as a direct cofinancing when there was the change of management.

Feedback of M&E activities used for adaptation management

The project indicators are adequate at the output level, and the monitoring scheme shed light on the execution of resources, performance, and progress in the implementation of the project during the administration of INBio.

According to the implementation reports, the project reached unsatisfactory ratings and these low qualifications resulted in urgent actions and institutional agreements for the change in administration and the achievement of the expected results. Several of the recommendations or suggestions in these reports were addressed in subsequent periods.

Project financing

According to the data obtained, of the total **GEF** budget, to 2017, \$ 877,926.76 had been executed, corresponding to 89.62% of the total. By the end of 2018, it is planned to execute 100% between executed expenses and commitments made at the evaluation date.

Execution at the start of the project was delayed by ten months at the start of the project due to the financial situation of INBio, where the advancement of funds could not be initially executed



during this period when the INBio staff resigned due to lack of payments and liquidity. The institution. Later, during the implementation of the project that was already overdue, resources for the advancement were allocated to the operation of the institution and support to the project personnel that was reconstituted from competitive processes by UNDP. The decision at the time was to change the project modality and pass the administration to UNDP directly, requested by MINAE, with which it is possible to gradually speed up execution until it reaches almost 100% of implementation.

Coordination of the implementation and execution of UNDP and the partner for implementation and operational issues

The initial modality of the project is National Implementation (NIM, for its acronym in English). INBio is currently acting as an associate agency in the implementation, and however, given the situation raised, it became a DIM modality (Direct Execution by UNDP).

Project Results

In general, the expected results and the goals were fully achieved despite the delays of the project in the initial years, these were resolved in the last phase of implementation.

1. Proof of concept of crop protection agents based on nature.
2. Optimization, scaling and licensing of crop protection agents.
3. Benefit sharing from genetic resources.
4. Increase in national capacity to ratify and implement the Nagoya Protocol

Most of the indicators were achieved except for the ratification of the protocol and the escalation levels of the production of the active ingredients. It is also noted that to date there was not enough data or information on production costs, effectiveness and potential market for the commercial viability of the products.

Figure 5 below shows the scale of the general ratings assigned to the project of the annual implementation reports (PIR). As you can see, the project radically improved its ratings from moderately unsatisfactory, and highly unsatisfactory, to satisfactory.

	2016	2017
Overall DO Rating	Moderately Unsatisfactory	Satisfactory
Overall IP Rating	Highly Unsatisfactory	Satisfactory

FIGURE 2. GENERAL QUALIFICATIONS OF THE PROJECT IN THE PIR

Despite all the difficulties accumulated over time, it is important to note that the project did deliver a series of high-quality products and scientific information that can be used in the future to generate positive changes and more favorable conditions for biological diversity in Costa Rica. With the UNDP administration, the project coordinator and the technical staff were hired to give continuity to the research and development activities as of July 2015. Likewise, the agreements

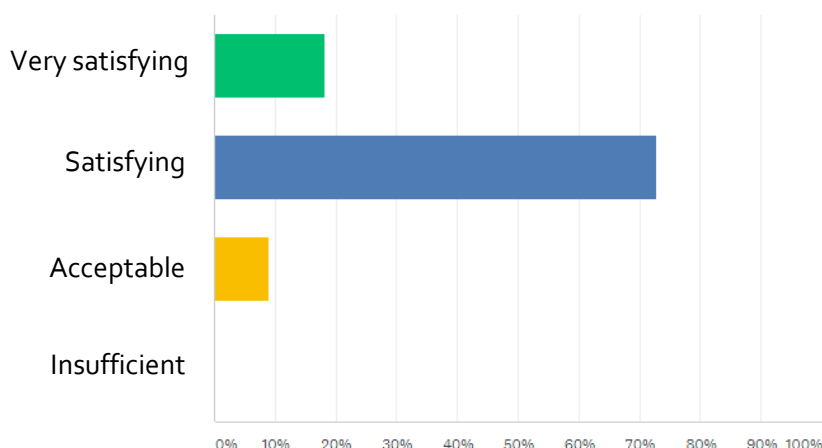
with FORMUQUISA and MONRERI S.A. they were updated for the execution of the offered services.

Effectiveness - General results (achievement of objectives)

The evaluation found that the project effectiveness was satisfactory because it achieved the expected outcomes:

FIGURE 3. IN ITS OPINION, THE RESULTS OF THE PROJECT WERE:

Answered: 11 Skipped: 0



Source: Online Survey

Result 1. Proof of concept of crop protection agents based on nature applied to two crops of economic importance for Costa Rica:

The project developed three formulations of crop protection compounds (i.e., 2 DMDP and 1 BAR) in 2 concentrations (each). The DMDP and BAR formulations were tested in 6 experiments in 1 banana culture. Moreover, field tests were also done in coffee.

The first results of the experiment with BAR in the banana fields do not show conclusive results against Sigatoka, being inferior to products such as Plandak, Vondozeb or oil in the emulsion. It also happened with coffee crops against rust. Additionally, the BAR showed levels of toxicity for the plants.

Regarding DMDP, it was not found to have nematocidal effects in banana plantations, but there are promising results in greenhouse crops in coffee although they are not definitive and are being replicated for other greenhouse crops including vegetables and pineapple.

Result 2. Optimization, expansion and licensing of crop protection agents

The project guaranteed a constant supply of DMDP and BAR needed for the tests. During the implementation of the project, the team had to overcome technical difficulties, such as lack of electricity supply, lack of maintenance and facilities, due to the financial crisis of INBio.

Despite this, the production of penicillic acid was increased, which succeeded in successfully supplying the quantities of BAR requested for the field trials and finishing the project with a backing of almost 1 kg of a compound. One of the main achievements, which was not an objective of the project but was necessary, was obtaining crystals of penicillic acid from a crude extract to be used as a reference in the HPLC quantifications, its purity is 98%.

Regarding the DMDP, the yield of the leaves was increased from 0.6% (value reported by INBio) to 1%. However it should be noted that the amount of extract could be higher if working with younger plantations.

The project produced 0.5kg of DMDP per month from 200kg of dry plant material and 4,000 mg of BAR or fungal metabolite per week from 2 liters of broth. The yield of the active compounds was adjusted to the requirements of formulation and experimentation.

Result 3. Distribution of benefits derived from genetic resources

Although the crop protection product does not yet have data for its commercial viability, the project has managed to negotiate monetary and non-monetary benefits with key stakeholders. The project strengthened the link with the EARTH University (original BAR provider) for the signing of a new Prior Informed Consent document (PIC) as required by the Costa Rica Biodiversity Law. Also, the request for access to genetic resources (i.e., DMDP and BAR) for commercial purposes was sent to CONAGEBIO. The project also promoted the dialogue of economic benefits between INBio and its partners (EARTH and La Pacifica).

Result 4. Increased national capacity to ratify and implement the Nagoya Protocol

Activities have been implemented to persuade Congress to have the Nagoya Protocol ratified by Costa Rica. MINAE and CONAGEBIO have led a multi-stakeholder process to raise awareness of the Nagoya Protocol and the need to move forward with a ratification process in Parliament. The Parliament's Environmental Commission has organized several working sessions, but a Parliament party that opposes the Nagoya Protocol had interposed measures and delayed the ratification process.

When the project was designed, the government's priority was this one, but it was changed, and it was determined that the modification of the Biodiversity Law was not the best measure and that some of the tasks necessary for the law to be coherent with the Nagoya Protocol. The development of a participatory consultation with indigenous groups for the access to genetic resources in indigenous territories and the development of a norm that protects traditional knowledge are expensive and long processes that couldn't be addressed by this project. Costa Rica still needs legal provisions to guarantee the protection of traditional knowledge, innovations, and practices of local communities and indigenous groups. This requires a legislative process that requires additional funding to be developed given its complexity and the need for participation and consultation with local communities and indigenous peoples.

The project contributed to institutional strengthening through the establishment of verification points and effective means of law enforcement, simplification of mechanisms for research permits, the establishment of an online platform for the management of permits, systematization of best practices. The project also contributed to the development of the following institutional mechanisms to facilitate access, benefit-sharing, and compliance with the Nagoya Protocol:

- Online procedures for ABS applications are already in place
- Database of permits granted
- Data information on collections and species registration are currently being systematized within the National Environmental Information System (SINIA).
- The ABS procedures are fully described in the online platform (as interactive procedures manual).

Relevance

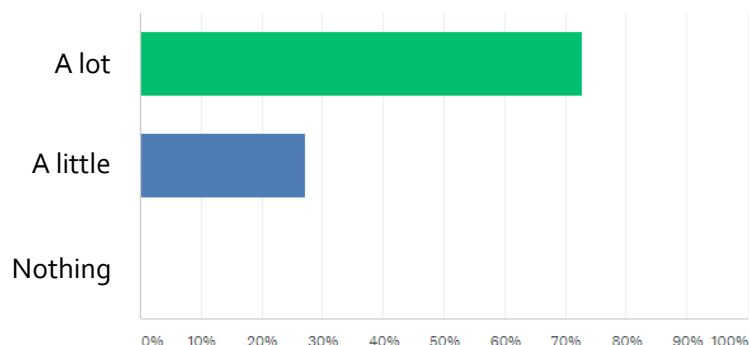
The evaluation concludes that the project was relevant from the beginning and continues to be so because it focuses on an environmental and local development priority that is aligned with the interests of UNDP, GEF, the environment in Costa Rica and agricultural producers.

The protection of diverse ecosystems ensures essential services for sustainable development, improvements in the well-being of human beings. The livelihoods of people and the economic productivity of companies are highly dependent on sustainable water supplies, fisheries, coral reefs, mangroves, ecosystems and other forms of biodiversity.

According to the sources consulted, the levels of stakeholder participation were favorable due to the call but also to the innovation of the initiative and its potential impact. The specific activities in the field were also consulted and endorsed by the communities and local actors.

FIGURE 4. THE PROJECT TOOK INTO CONSIDERATION NATIONAL NEEDS AND REALITIES (INSTITUTIONAL POLICY FRAMEWORK) BOTH IN ITS DESIGN AND IN ITS IMPLEMENTATION?

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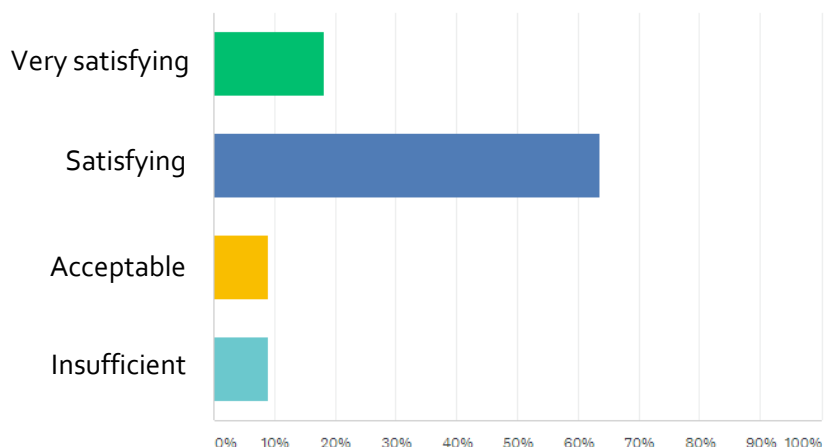
Source: Online Survey

According to the interviews in the field and the analysis of the available documents, the evaluation finds that the project did consider the national realities regarding the existing institutional framework for its design but was too optimistic to include public policy results as results in component 4 of the project. The project required the political will to translate the products into

specific results of public policy, plans, guidelines, and regulations. It is important to note that the national reality is very changing in Latin American countries and that the period that elapsed between the initial design of the project and its implementation took a few years. As an example, this project was designed in an administration ideologically very different from the political administration in which it was implemented, or in which it is closing (the government administrations have passed in parallel to the implementation of this project).

FIGURE 5. WHAT WAS THE LEVEL OF PARTICIPATION OF THE KEY ACTORS IN THE DESIGN OF THE PROJECT? IN ITS OPINION THE PARTICIPATION HAS BEEN:

Answered: 11 Skipped: 0



Source: Online Survey

Efficiency

The evaluation grants the project a Satisfactory rating since the implementation was cost-effective because the cost/time versus output/outcomes equation resulted positive compared to that of similar projects from the private sector or academia where this type of research takes decades (see Effectiveness section). The project faced some delays due to external factor out of the project the control, but in the end, managed to deliver the expected outputs.

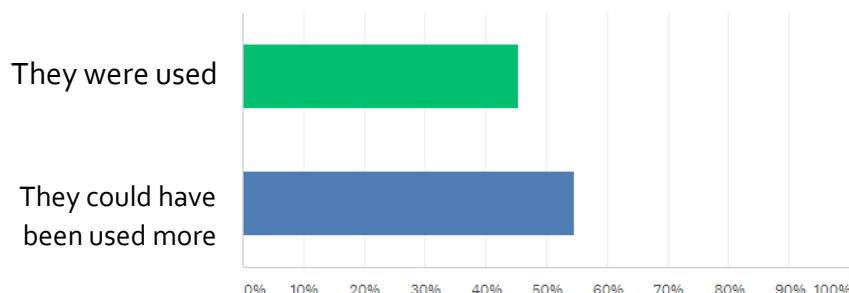
The project had to extend its execution period due to implementation problems already mentioned. The evaluation has found, as a success factor, the selection of the team that was key to give continuity to years of research.

The PIR reports are of good quality, and when alerts were raised about the execution of the project, the measures could be taken for an adequate adjustment and improvement of the implementation.

Regarding the gender and human rights approach and SDG contributions, the evaluation highlights that the project focused on scientific issues and therefore did not have a specific gender strategy. However, despite this weakness. UNDP made efforts to strengthen the integration of the gender perspective in its implementation, as intermediate measures, men and women seeking equal participation in project entities, and training was also carried out for all advisors to learn basic gender concepts and sensitize staff, documents were also prepared by each of the advisors responding to (i) role of women in the project and benefits for equality, (ii) implications and long-term impact that the project can have in the different populations.

FIGURE 6. WERE FINANCIAL RESOURCES EFFICIENTLY EXECUTED?

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Sustainability

The overall probability of sustainability is moderately unlikely because although there is now institutional governance that is likely to remain in time, the socio-political matters are moderately unlikely to be sustainable given INBIO situation.

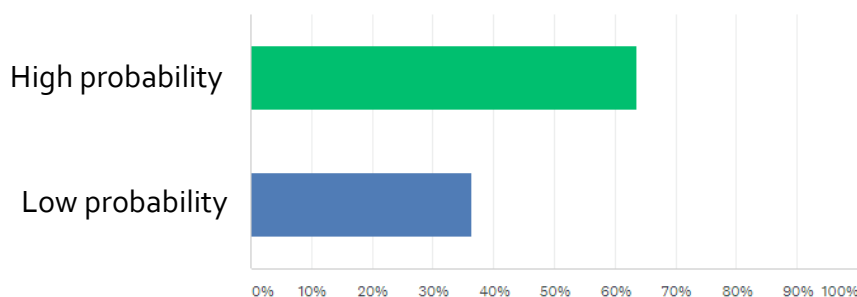
The project has a lot of potential impacts and therefore the environmental sustainability is likely,

but the financial resources are moderately unlikely to be sustainable given that commercial feasibility is not certain yet.

Sustainability is the main point of attention that the evaluation has about this project; If the political commitment of giving continuity to the products prepared in the framework of the project is not given, it is very likely that the expected results will not be achieved.

FIGURE 7. WHAT IS THE PROBABILITY THAT THE PROJECT AND ITS PRODUCT WILL BE MAINTAINED ON TIME? (SUSTAINABILITY OF THE PROJECT)

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Source: Online Survey

The evaluation found that the sustainability of the project has not been integrated into the project design, nor is there a clear exit strategy where specific goals and managers are established to continue the benefits achieved by the project.

Component 4 is aimed at the issues of institutionalization and improvement of the implementation of ABS processes with advances in these issues, achieving the increase of application and processing of access permits, as well as strengthening the capabilities of the national authority CONAGEBIO. The evaluation highlights the appropriation by CONAGEBIO of the processes supported by the Project as the web page, system of digitized permits, training, legal analysis that are of daily use in the ABS implementation issues.

Regarding the financial and economic sustainability of the production, components are the bulk of the project. The entities consulted during the field visit have expressed their interest in continuing

with the advanced processes, but this interest has been manifested mainly by the levels of technicians; as a remarkable fact is the confirmation of DMDP S.A. as responsible for the follow-up of the results obtained with the DMDP, but as mentioned above, the degree of financial impact due to the situation of INBio is a question to continue working on the results of the project, even more, if the InBio lack of operating is taken into account (problem that continues today).

There is no definitive evidence or final data on production costs, the effectiveness of the products or formal market studies that allow the deduction of the continuity of activities beyond the completion of the project. There are partial data and a first draft, but not definitive data. On the part of the BAR, they are not giving positive signals because the results are not promising, in the case of the DMDP more information is needed, but the results can be more hopeful.

Impact

The analysis of the impacts refers to the evaluation of the changes from the implementation of the project. The evaluation has been able to conclude that the project has generated impacts in two aspects: at the level of the institutional process, and at the level of technical and scientific research. For this reason, the evaluation considers the project impact as significant.

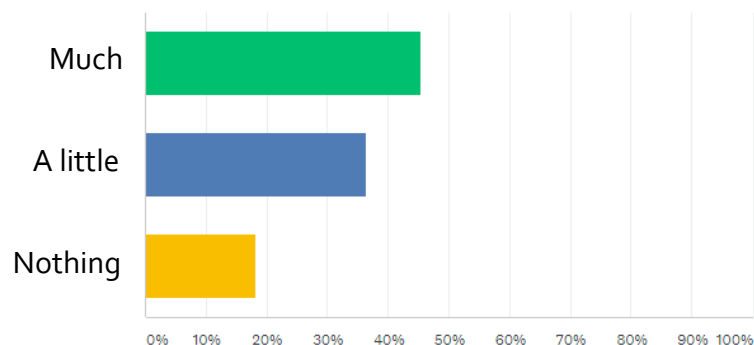
On the one hand, thanks to the project, an inter-institutional group has been formed with actors from the private agricultural sector, academia, international cooperation, and the public sector. This complementarity of institutions is also reflected in the diversity of disciplines that were involved in the development of the project: technical and scientific researchers, private formulation companies, universities and organizations of agricultural producers.

In this way, the project constitutes a paradigm shift by demonstrating that inter-institutional experiences are possible and that private companies can contribute their experience and resources to joint initiatives. The project constitutes a positive effect for achieving the integration of different groups and disciplines, but also for demonstrating that an agreement of the participation of benefits can be achieved from a positive experience of dialogue and negotiation. The impacts of the project were mostly presented at the process level because the project is a good practice of institutional participation and a replicable experience of ABS.

On the other hand, the project constitutes a milestone in the use of biodiversity in agriculture, which generated scientific information that can be used for future analyzes, since two products of natural origin have been developed with the potential to improve the health of plants (Biostimulants) that allow a better control of parasites such as nematodes and other diseases. The future advances in this initiative can generate very positive impacts in the reduction of agrochemicals, and it has also managed to reduce the learning curve in the scientific process of the laboratory, testing, and optimization of processes.

FIGURE 8. THE PROJECT CONTRIBUTED EFFECTIVELY TO THE APPLICATION OF THE NAGOYA PROTOCOL?

Answered: 11 Skipped: 0



Source: Online Survey

Conclusions

- The evaluation concludes that the project was relevant from the onset and continues to be so because it focuses on an environmental and development priority that is aligned with the interests of Costa Rica, UNDP, GEF, the environment in general, the agricultural sector, and local producers.
- The initial design assumed several postulations and hypotheses, as political factors outside the control of the project, which affected the implementation because the contexts and the dynamics are changing, the priorities and the stakeholders involved were also changing over time.
- The design of the project was very ambitious due to the magnitude of the goals in three significant areas: the creation of products from biogenetic resources, application of the protocol of Nagoya and the negotiation of distribution of benefits in the country as a demonstrative experience.
- The main risk that affected the performance of the project was the political will in the case of the ratification of the Nagoya Protocol, and also the institutional crisis of INBIO, the field experiments have not yet been concluded to determine if there is adequate control of diseases or pests or an increment in crops resistance deriving from biological products. These risks are beyond the project and could not be mitigated without changing the structural design of the project.
- The comparative advantage of UNDP was the technical capacity in the implementation of projects for the conservation of the environment and biodiversity, and also the vision that of the potential of Costa Rica to be one of the leaders in the world in the application of the Nagoya protocol.
- The project included standard tools for the M&E of the GEF budget, with quality outcome indicators. The most prominent results of the project were: technical and scientific progress in the development of biological products for the control of pests, scientific information of great use on the process, and the agreement between different stakeholders to share benefits between users and producers of biological resources. It is

important to highlight that this project managed to involve companies from the private sector (with working experience in agrochemical sectors), academia, NGOs and international cooperation around an initiative of biological products to reduce the use of agrochemicals. Despite some delays, the expected results, goals and indicators were mostly achieved.

- The project delivered a series of high-quality products that can be used by stakeholders, the government or third parties to generate positive changes and more favorable conditions for the use of biological diversity in reducing the chemical load for synthetic agricultural products.
- The project had to extend its execution period (18 months) due to implementation problems due to financial problems and administrative management of the INBIO implementing agency.
- The project supports a multi-year research initiative, managing to reduce the learning curve in a sector of research that is characterized by many years and high amounts of investment to achieve viable, active ingredients.
- Sustainability is the main concern of the evaluation of this project; at the date of the conclusion of the evaluation there is no hard data to affirm the commercial viability of the biological products and therefore their use. The financial situation of INBIO is also an adverse factor of sustainability, which although it can be overcome, there is no guarantee of its continuity.

Recommendations

- Regarding the design and programming of similar interventions in the future, the evaluation recommends establishing the specific problem to be solved from the beginning, with a theory of change according to where the route is visualized from the inputs, activities, and products to the expected results or effects.
- Investments must be made in products that can be achieved through projects that do not depend on external factors or political will (for example, ratification of treaties). Considering the political swings is essential.

- During the design phase, it is essential to analyze the experience of the Nagoya project by including different organizations from different sectors, but especially by linking the private sector and civil society.
- For future interventions that require an implementing agency, it is important to analyze the financial solvency in detail⁸, as well as the technical capacity, experience, and prestige.
- All GEF interventions need to consider gender mainstreaming strategies from the onset, as well as a clear link to the achievement of the SDGs.

Short-term operational recommendations:

- Dissemination and communication: the project should make a compilation of the lessons learned and good practices in the process of negotiating the distribution of benefits, focusing on the active participation of different organizations, the incentives to keep an active collaboration, and the human process of Biological products. This information can be translated into a common language, identifying key messages and narratives to disseminate through the UNDP website, email lists, media, and social networks. Likewise, this information can be used for the systematization of Nagoya experiences.
- The project needs to elaborate a detailed exit strategy, establishing the steps to be taken and pending issues (for example, the appropriation of the project by the stakeholders involved, viability strategies for INBIO, management of missing data on commercial viability and economic, possible investment by the actors involved and / or third parties, possible linking of the lessons of this project to the portfolio of UNDP projects).

⁸ The risk analysis was complex to perform for the implementing agency, since it was an organization with more than 20 years, positioned not only nationally but internationally with political and financial support from the governments for the last 20 years. In terms of financial solvency, the micro evaluation (HACT) had shown low risk.



Lessons learned

- Every design must include from the beginning a clear theory of change that allows identifying the chain of results from the inputs, through the activities, products and expected results.
- The number of goals and objectives, as well as their scope, must be carefully contemplated to avoid ambitious designs.
- Projects should not include expected results or impacts that depend mainly on external factors.

Annexes

Annex 1. Terms of reference

TERMINOS DE REFERENCIA

EVALUACIÓN-EXAMEN DE FIN DE PERÍODO (FTR) PROYECTO NAGOYA

Introducción

De acuerdo con las políticas y procedimientos de Seguimiento y Evaluación del PNUD GEF, un proyecto de mediano y gran tamaño deben llevar una evaluación final en su período final de implementación. Estos son los Términos de Referencia (ToR) del Examen de Final de Periodo (FTR por sus siglas en inglés) de PNUD-GEF para el proyecto de tamaño completo (full size) denominado

Promoviendo la aplicación del Protocolo de Nagoya a través del desarrollo de dos productos naturales, y la distribución de beneficios y conservación de la biodiversidad en Costa Rica⁹ PIMS 4962 ATLAS PROJECT # 90102 de ahora en adelante el Proyecto Nagoya, implementado a través del PNUD en alianza con el INBIO y como contraparte nacional del Componente 4 CONAGEBIO. El proyecto se inició en octubre 2014 y actualmente se encuentra en su año final de ejecución.

A continuación, se presentan algunos aspectos esenciales del proyecto:

Antecedentes e información del Proyecto

Project Title:	<i>Promoting the application of the Nagoya Protocol through the development of nature-based products, benefit-sharing, and biodiversity conservation in Costa Rica</i>			
GEF Project ID:	PIMS 4962		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	00080416	GEF financing:	979,566.00	
Country:	Costa Rica	IA/EA own:		
Region:	LAC	Government and municipalities:		
Focal Area:	Biodiversity	UNDP Other:		

⁹ Promoting the application of the Nagoya Protocol through the development of nature-based products, benefit-sharing and biodiversity conservation in Costa Rica

FA Objectives, (OP/SP):		Total co-financing:	4,537,809.00	
Executing Agency:	PNUD	Total Project Cost:	5,517,375.00	
Other Partners involved:		ProDoc Signature (date project began):		
		(Operational) Closing Date:	Proposed: December 2018	Actual: December 2018

OBJETIVO Y ALCANCE

El proyecto fue diseñado para: Implementar el Protocolo de Nagoya sobre ABS a través del desarrollo de productos de protección de cultivos basados en la naturaleza y el fortalecimiento de la capacidad de la autoridad nacional. Estos productos de protección se basan en compuestos de plantas y hongos y se establecerán condiciones de licencia para futuros acuerdos con las partes interesadas en su comercialización. Los acuerdos mencionados pueden identificarse como de segunda generación debido a la relación contractual, la participación y las contribuciones de las empresas involucradas y el conocimiento generado a través de la investigación. Estos estudios han sido realizados completamente en Costa Rica por profesionales costarricenses. Estos dos productos potenciales, cuyos ingredientes activos están químicamente caracterizados, han sido evaluados in vitro, en invernadero y en el campo, pero a nivel de pruebas preliminares en cultivos.

Técnicamente, el proyecto busca validar la eficacia de estos agentes de protección de cultivos y promover las condiciones de ampliación y licenciamiento de nuevos productos naturales, generando beneficios económicos que se compartirán entre los diferentes interesados y se utilizarán para apoyar la conservación. Al mismo tiempo, mejorará las habilidades y capacidades del sector privado para negociar buenos modelos de acceso y contratos de distribución de beneficios. Finalmente, el proyecto actualizará y fortalecerá el marco legal nacional de ABS, especialmente a la luz de las disposiciones del Protocolo de Nagoya, y desarrollará nuevos mecanismos para mejorar el sistema de permisos administrativos y el proceso de toma de decisiones.

El FTE se llevará a cabo de acuerdo con la orientación, las normas y los procedimientos establecidos por el PNUD y el FMAM tal como se reflejan en la Guía de evaluación del PNUD para los proyectos financiados por el FMAM¹⁰. Los objetivos de la evaluación son evaluar el logro de los

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<https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf>

<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

resultados del proyecto y extraer lecciones que puedan mejorar la sostenibilidad de los beneficios de este proyecto y ayudar en la mejora general de la programación del PNUD.

ENFOQUE Y MÉTODO DE EVALUACIÓN

Se ha desarrollado a lo largo del tiempo un enfoque general y un método para llevar a cabo evaluaciones finales de proyectos respaldados por el PNUD financiados por el FMAM-GEF. Se espera que el evaluador encuadre el esfuerzo de evaluación utilizando los criterios de *relevancia, efectividad, eficiencia, sostenibilidad e impacto*, tal como se define y explica en la Guía del PNUD para la realización de las evaluaciones terminales de los proyectos financiados por el FMAM financiados por el PNUD. Se ha redactado un conjunto de preguntas que cubre cada uno de estos criterios y se incluyen con este mandato (Anexo C). Se espera que el evaluador modifique, complete y envíe esta matriz como parte de un informe de inicio de la evaluación, y la incluirá como un anexo al informe final.

La evaluación debe proporcionar información basada en evidencia que sea creíble, confiable y útil. Se espera que el evaluador siga un enfoque participativo y consultivo que garantice un compromiso estrecho con contrapartes gubernamentales, en particular el punto focal operativo del FMAM, la oficina de país del PNUD, el equipo del proyecto, el asesor técnico del FMAM del PNUD con base en la región y las partes interesadas clave. El evaluador debe ser capaz de compilar y analizar los resultados y los hallazgos de todas las fuentes metodológicas de información y especialmente de las entrevistas con las partes interesadas (incluidas las entrevistas y los resultados del resumen relacionados con el anexo C, sin comprometer el anonimato de los informantes). Se espera que el evaluador realice una misión de campo al menos a la Rita Guápiles (pruebas en campo de banano, invernadero, laboratorio de Monreri), y quizás en Cartago o Alajuela si están en período de experimentación los cultivos. Las entrevistas se llevarán a cabo con las siguientes organizaciones e individuos como mínimo (Ver Anexo X para una lista más larga): Autoridades Institucionales (Director Ejecutivo CONAGEBIO), Coordinador del Proyecto, Director INBIO, Monreri, Formuquiza, EARTH, ECOS, La Pacífica, PNUD (ResRep, Adjunto, Oficial de Programas, Especialista en Biodiversidad).

El evaluador revisará todas las fuentes de información relevantes, como el documento del proyecto, informes de proyectos, incluyendo APR anual / PIR, revisiones del presupuesto del proyecto, revisión intermedia, informes de progreso, herramientas de seguimiento del área focal del FMAM, archivos del proyecto, documentos nacionales estratégicos y legales y cualquier otro material que el evaluador considere útil para esta evaluación basada en evidencia. Una lista de documentos que el equipo del proyecto proporcionará al evaluador para su revisión se incluye en el Anexo B de estos Términos de Referencia.

CRITERIOS Y VALORACIONES DE LA EVALUACIÓN

Se llevará a cabo una evaluación del desempeño del proyecto, basada en las expectativas establecidas en el Marco Lógico / Marco de Resultados del Proyecto (ver Anexo A), que proporciona indicadores de desempeño e impacto para la implementación del proyecto junto con sus correspondientes medios de verificación. La evaluación cubrirá como mínimo los criterios de:

relevancia, efectividad, eficiencia, sostenibilidad e impacto. Las calificaciones deben proporcionarse según los siguientes criterios de rendimiento. La tabla completa debe incluirse en el resumen ejecutivo de evaluación. Las escalas de calificación obligatorias se incluyen en el Anexo 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:	

FINANCIAMIENTO / COFINANCIAMIENTO DEL PROYECTO

La evaluación evaluará los aspectos financieros clave del proyecto, incluido el alcance de la cofinanciación planificada y realizada. Se requerirán datos sobre el costo y la financiación del proyecto, incluidos los gastos anuales. Las variaciones entre los gastos planificados y reales deberán evaluarse y explicarse. Los resultados de auditorías financieras recientes, según estén disponibles, deben tomarse en consideración. El (los) evaluador (es) recibirán asistencia de la Representación (CO) y del Equipo del proyecto para obtener datos financieros a fin de completar la tabla de cofinanciación que figura a continuación, que se incluirá en el informe de evaluación final.

Table 1

Tabla 2. Cuadro de Referencia para comparar el financiamiento y cofinanciamiento planificado y real a la fecha

Cofinanciación (tipo/fuente)	Organismo asociado INBIO (USD)		Organismo asociado ECOS (USD)		Organismo asociado Formuquiza (USD)		Organismo asociado Monreri (USD)		Total incluyendo financiamiento GEF 979,566 (USD)	
	Planificado	Real	Planificado	Real	Planificado	Real			Plan	Real
Subvenciones	226,800		328,000		123,000		104,000		1,761,375	
Préstamos/concesiones	N/A									
Ayuda en especie	1,500,000		1,287,000		840,000		129,000		3,756,000	
Totales									5,517,375	

INTEGRACION

Los proyectos financiados por el FMAM financiados por el FMAM son componentes clave de la programación por países del PNUD, así como de los programas regionales y mundiales. La evaluación evaluará en qué medida el proyecto se integró con éxito con otras prioridades del PNUD, incluido el aporte a los ODS, el alivio de la pobreza, la mejora de la gobernanza, la prevención y recuperación de los desastres naturales y la equidad de género.

IMPACTO

El/la profesional evaluará en qué medida el proyecto está logrando impactos o avanzando hacia el logro de los impactos. Los hallazgos clave que deben mencionarse en las evaluaciones incluyen si el proyecto ha demostrado: a) mejoras verificables en la implementación de disposiciones para el Acceso y Distribución de los Beneficios derivados recursos genéticos o bioquímicos de la biodiversidad, b) potenciales reducciones verificables en el estrés en los sistemas ecológicos por el uso de bio-protectantes, y / o c) progreso demostrado hacia estos logros de impacto¹¹.

Conclusiones y Recomendaciones

El informe de evaluación debe incluir un capítulo que proporcione un conjunto de conclusiones, recomendaciones y lecciones aprendidas.

ARREGLOS DE IMPLEMENTACIÓN

La responsabilidad principal de gestionar esta evaluación reside en el CO del PNUD en Costa Rica. El CO de PNUD contratará a los evaluadores, sin embargo el evaluador debe incluir en su oferta (como rubros separados, gastos de traslados y viáticos para la misión de campo). El Equipo del

¹¹ 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](#)

Proyecto será responsable de coordinar con el equipo de Evaluadores para organizar entrevistas con los interesados, organizar visitas de campo, coordinar con el Gobierno y otros socios del proyecto.

Periodo de evaluacion

El total de la evaluación será de 20 días según el siguiente plan

Activity	Timing	Completion Date
Preparación	3 days	19/07/2018
Misión evaluación	7 days	26/07/2018 – 3/08/18
Reporte preliminar	6 days	10/08/2018
Reporte final	4 days	16/08/2018

Entregables de la evaluación

#	Producto-Entregable	Descripción	Plazo	Responsabilidades
1	Informe de Iniciación del FTR	Evaluador(a) clarifica los objetivos y métodos del Examen de Final de Periodo	Como mínimo 1 semana antes de iniciarse la misión del MTR. 19 julio	El equipo del MTR lo presenta PNUD Costa Rica y a la Dirección del proyecto.
2	Presentación Conclusiones iniciales	Final de misión de evaluación	Final de la misión del MTR: 3 agosto	El equipo del MTR las presenta ante la Dirección del proyecto y Oficina de País PNUD
3	Borrador informe final	Informe completo (usar las directrices sobre su contenido recogidas en el Anexo B) con anexos	10 agosto	Enviado a la Oficina de País PNUD, examinado por el RTA, Unidad de Coordinación de Proyectos, OFP del GEF
4	Informe final**	Informe revisado con prueba de auditoría donde se detalla cómo se han abordado (o no) en el informe final del FTR todos los comentarios recibidos	16 agosto	Enviado a la Unidad Adjudicadora

*El informe final del MTR debe estar en inglés y español.

**Cuando se presente el informe final de evaluación, también se requiere que el evaluador proporcione un 'registro de la auditoría', donde se detalle cómo se han abordado (o no) todos los comentarios recibidos en el informe final de evaluación (Anexo).

Modalidades y especificaciones de pago

%	Hito
10% de los honorarios	Contra entrega y aprobación del plan de trabajo.
40% de los honorarios	Después de la presentación y aprobación del primer borrador del informe final de evaluación.
50% de los honorarios	Después de la presentación y aprobación (OP del PNUD y ATR del PNUD) del informe final definitivo de evaluación.

*El informe final del MTR debe estar en inglés y español.

**Cuando se presente el informe final de evaluación, también se requiere que el evaluador proporcione un 'registro de la auditoría', donde se detalle cómo se han abordado (o no) todos los comentarios recibidos en el informe final de evaluación (Anexo).

PERFIL REQUERIDO

La evaluación será desarrollada por un profesional en evaluación (1 evaluador(a) internacional o nacional con experiencia relevante). La persona deberá contar con experiencia previa en la evaluación de proyectos similares. La experiencia con proyectos financiados por el FMAM es una ventaja. La persona seleccionada no debería haber participado en la preparación y / o implementación del proyecto y no deberían tener conflicto de intereses con las actividades relacionadas con el proyecto.

Los miembros del equipo deben presentar las siguientes calificaciones:

Profesional en Gestión de Biodiversidad, ABS, Bioprospección, Agroindustria, Producción sostenible, Recursos Naturales, Humedales, Ciencias Ambientales, u otro campo estrechamente relacionado. Maestría de preferencia.

Mínimo 7 años de experiencia profesional relevante relacionada con la implementación de proyectos, monitoreo basado en resultados y metodologías de evaluación.

Experiencia en monitoreo, seguimiento y evaluación de proyectos aplicados por el GEF y/o PNUD.



Conocimiento técnico en el (los) área (s) focalizada (s): ABS, Biodiversidad, Bio-prospección, comprobado a partir de implementación de proyectos y/o investigaciones en dicha materia.

Conocimiento del sector ambiental en Costa Rica (preferiblemente CONAGEBIO, MINAE) a partir de implementación de proyectos, desarrollo de política pública y/o investigaciones en dicha materia.

Habilidades para escribir y reportar en español fluido e inglés profesional (presente al menos 3 referencias de documentos preparados y presentando oferta técnica en español e inglés).

Buenas habilidades de comunicación e interrelación positiva.

Deseable conocimiento en Derechos Humanos, igualdad de género y empoderamiento de las mujeres y las niñas.

Deseable conocimiento sobre la agenda 2030 para el desarrollo sostenible

ETICA DEL EVALUADOR

Los consultores de la evaluación asumirán los más altos niveles éticos y deberán firmar un Código de conducta (Anexo E) al aceptar la asignación. Las evaluaciones del PNUD se realizan de conformidad con los principios que se describen en las 'Directrices éticas para evaluaciones' del Grupo de Evaluación de las Naciones Unidas (UNEG).

consulta sobre términos de referencia

Las consultas aclaratorias sobre los TdR, naturaleza y alcances del trabajo a realizar u otros aspectos inherentes a la presente convocatoria, pueden realizarse al correo electrónico:

adquisiciones.cr@undp.org

CRITERIOS DE EVALUACIÓN

Para la evaluación de las ofertas recibidas se utilizará un procedimiento que consta de dos etapas:

La evaluación técnica que contempla la formación y experiencia del oferente y su correspondencia con los Términos de Referencia. El peso de la evaluación técnica es de 1000 puntos. Debe presentar la oferta técnica en español e inglés.

La evaluación económica, que contempla la propuesta económica presentada por el (la) oferente por el valor de la consultoría. El peso de la evaluación económica es de 300 puntos.

La oferta técnica se evaluará de acuerdo al siguiente cuadro:

Evaluación de propuesta técnica			Puntuación máxima	Consultor				
				A	B	C	D	E
Propuesta								
1	¿Entiende la naturaleza del trabajo?	50						
2	¿Ha desarrollado los aspectos relevantes del trabajo con un nivel de detalle suficiente?	100						
3	¿Ha adoptado un marco conceptual apropiado para el trabajo a realizarse?	100						
4	¿Tiene claramente definido el alcance del trabajo? ¿Está ajustado a los TDR?	100						
Perfil del Consultor								
5	Profesional en Gestión de Biodiversidad, ABS, Bioprospeccion, Agroindustria, Producción sostenible, Recursos Naturales, Humedales, Ciencias Ambientales, u otro campo estrechamente relacionado rofesional: 50pts Maestría o superior: 100ptsP	100						
6	Experiencia profesional relevante en el diseño, implementación, monitoreo y/o evaluación de proyectos relacionados con metodologías de evaluación de la gestión basada en resultados 7 años 75 pts Entre 8y 12 años 100 pts 13 años o más 150 pts	150						

7	<p>Conocimiento técnico en el (los) área (s) focalizada (s): ABS, Bioprospección, Biodiversidad, Agroindustria bioprotectantes</p> <p>De 1 a 3 proyectos: 50 pts.</p> <p>3-7 proyectos: 75 pts.</p> <p>Mas de 7 proyectos: 100</p>	100					
8	<p>Habilidades para escribir y reportar (presente al menos 3 referencias de documentos preparados y presentando oferta técnica en español e inglés).</p> <p>Incluye 3 referencias 50 puntos</p> <p>Incluye 3 referencias y traducción aceptable de la oferta técnica 100</p> <p>Incluye 3 referencias y traducción adecuada de la oferta técnica 150</p>	150					
9	<p>CV demuestra que el/la consultor tiene conocimiento sobre organizaciones gubernamentales, privadas y no gubernamentales relacionadas con el sector de medio ambiente y en particular de biodiversidad-ABS bioprospección del país. Conocimiento de la realidad ambiental, política y económica nacional.</p> <p>Cumple:150 pts</p> <p>Medianamente cumple:75pts</p> <p>No cumple:0pts</p>	150					
Total		1000					



La oferta económica se valorará de la siguiente manera:

El puntaje del Factor Precio (Oferta Económica) se determinará por medio de la siguiente fórmula¹²:

$$PFP = POMB * 300$$

¹² La Oferta económica debe indicar el honorario por día. Los costos por el transporte en el país y los viáticos deben de incluirse en la oferta económica.

PO

Dónde:

PFP = Porcentaje del Factor Precio

POMB = Precio Oferta Más Bajo

PO = Precio Oferente

Solamente se valorarán las ofertas económicas de las ofertas técnicas que adquieran al menos 700 de los 1000 puntos definidos en la tabla de Criterios para la Evaluación Técnica (ver tabla de asignación de puntajes). La consultoría se adjudicará a la oferta que obtenga el puntaje total más alto entre la Evaluación técnica y oferta económica.

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 (por ejemplo, honorarios, materiales de oficina, viáticos, boletos aéreos, transporte y otros). En caso de ser un consultor que resida en Costa Rica, la oferta económica debe ser presentada en colones y en caso de residir fuera de Costa Rica, esta deberá ser presentada en USD dólares. En la elaboración de la propuesta financiera deben contemplarse los costos referentes a viáticos para el período de evaluación y las visitas de campo (no hay necesidad de pernoctar para las visitas de campo se programan de un día para otro).

PROCESO DE APLICACION

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

Carta de interés (máximo 2 páginas) debidamente firmada.

Nota de interés (máximo 2 páginas), indicando como su labor y esta consultoría va a contribuir para acelerar el cumplimiento de los objetivos de desarrollo sostenible y fortalecer la igualdad de género.

Oferta económica detallada (mostrando honorarios, boletos aéreos, viáticos, costos talleres y logística, personal de apoyo si fuera necesario) la cual debe ser presentada en moneda nacional (colones costarricenses) para los consultores nacionales, y en dólares estadounidenses para los consultores internacionales.

Oferta técnica que indique como abarcarán la consultoría (metodología) para proporcionar los resultados solicitados en el plazo indicado. NOTA: La oferta técnica debe ser redactada en inglés ya que de esta manera se evaluará la capacidad de redacción en este idioma pues el informe final debe ser escrito tanto en inglés como español.

Hoja de vida actualizada en un máximo de cuatro páginas que refleje claramente los criterios a evaluar.

Formulario P-11 (localizable en www.cr.undp.org /Operaciones/ Centro de Servicios/Formularios P11). Este es un requisito indispensable para la aceptación de las ofertas.



Dicha documentación (archivos electrónicos separados) deberá ser remitida, vía correo electrónico a la siguiente dirección: adquisiciones.cr@undp.org, identificando el asunto del mensaje electrónico con “*Consultor Internacional Evaluación Final de Período Humedales*” o “*Consultor Nacional Evaluación Final Nagoya*”

La fecha límite para aplicar a esta consultoría es el día viernes 6 de junio de 2018., al correo electrónico: adquisiciones.cr@undp.org. En caso de que los adjuntos superen los 6MB, debe enviar la oferta mediante varios correos.

Para consultas comunicarse a adquisiciones.cr@undp.org a más tardar el 4 de junio de 2018.

Nota: Este proceso de licitación está dirigido a profesionales, que prestarán sus servicios de manera individual.



Annex A: MARCO LOGICO DEL PROYECTO

Objective/Outcome	Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at April 15 th , 2018
Objective	To implement the Nagoya Protocol on ABS through the development of nature-based crop-protection products and the strengthening of the capacity	<p>Monetary and non-monetary benefits received by stakeholders by project end</p> <p>Amendment law to align the Law of Biodiversity with the Nagoya Protocol</p>	<p>Monetary benefits: 0</p> <p>Non-monetary benefits: 0</p> <p>There is a legal and institutional framework but some of the mechanisms are weak and not all of the provisions of the NP</p>	<p>At least 1 monetary benefit (research funding, royalties or milestone payments)</p> <p>At least 2 non-monetary benefits (collaboration to education and training and sharing of research results)</p>	ABS contracts signed between INBio and its partners (ECOS / La Pacifica and EARTH University)

	of the national authority		are incorporated in the ABS legal framework	1 amendment law presented approved/validated by the CONAGEBIO.	<i>The Nagoya Protocol is still under Parliament examination.</i>
Outcome 1	Proof of concept for nature-based crop protection agents applied in two crops of economic importance to Costa Rica.	Number of formulations based on standardized lead extracts evaluated in crop protection assays for coffee and bananas at green house and field level	Previous activity results in green house with different concentrations of the extracts but not with standardized formulated products	At least 6 formulations evaluated in 2 selected crop models at green house level and at least 1 formulation validated (deliver positive results) in 1 crop model at field level.	<p><i>Achieved: 3 formulations (2 DMDP and 1 BAR) under 2 concentrations (each), Total: 6 experiments are currently being evaluated in the two main crops proposed (banana and coffee), there are also 3 blanks of the formulation component under each experiment; field testing are still in progress.</i></p> <p><i>Compatible and stable formulations with the active ingredients of natural origin (DMDP and BAR) prepared by FORMUQUISA. It has not represented a technical problem its application in field and greenhouse for the evaluations in banana and coffee.</i></p> <p><i>Update: A field trial was completed and one in a greenhouse in banana for DMDP and two in the field for BAR in banana as well. In addition, a greenhouse trial was completed in coffee for DMDP and another for BAR and a field trial for BAR; DMDP pending in field for coffee that is scheduled for May. The DMDP applied in greenhouse coffee plants has shown nematode control being the most relevant result until now. The overall results of this testing stage will be close to the end of 2018</i></p>
Outcome 2	Optimizing, scaling up and licensing crop protection agents	<p>Yield of active chemical compounds produced</p> <p>Number of crop protection products ready to be licensed to companies</p>	<p>0.5 kg of DMDP per month from 200 kg of dried plant material</p> <p>175 mg of fungal metabolite per week from 2 liters of ferm broth</p>	<p>0.75 kg of DMDP per month from 70 kg of dried plant material</p> <p>300 mg of fungal metabolite per week from 2 liters of ferm broth</p> <p>At least 1 crop protection product ready to be licensed to companies</p>	<p><i>DMDP: the original intention to keep the production of 0.75 kg per month was not possible to maintain it in reality. Technical limitations led to this, however, current production has not affected the supply of material to formulate or test.</i></p> <p><i>A rate of 4000 mg of fungal metabolite is maintained from 2 liters of broth in each fermentation.</i></p> <p><i>Not yet achieved due the field tests are still in progress for both compounds.</i></p>
Outcome 3	Sharing benefits derived from	Monetary and non-monetary benefits received by	Monetary benefits: 0	At least 1 monetary benefit (research funding,	<i>The Project promoted dialogue on economic benefits based on the possible commercialization of the</i>

	genetic resources	stakeholders by project end	Non-monetary benefits: o	royalties or milestone payments) At least 2 non-monetary benefits (collaboration to education and training and sharing of research results)	<i>products studied under this project.</i> <i>As mentioned previously, ABS contracts were finally signed between INBio and its partners (ECOS / La Pacífica and EARTH University) including monetary and non-monetary benefits.</i>
Outcome 4	Increasing national capacity to ratify and implement the Nagoya Protocol	International treaty on ABS ratified by Parliament	Nagoya Protocol text was presented to the Parliament	Nagoya Protocol ratified	<i>The Nagoya Protocol is still under study in the Parliament</i>
		Amendment law to align the Law of Biodiversity with the Nagoya Protocol	There is a legal and institutional framework but some of the mechanisms are weak and not all of the provisions of the NP are incorporated in the ABS legal framework	1 amendment law approved/validated by the CONAGEBIO	<i>CONAGEBIO requested this indicator to be changed to sensibilization and workshop sessions (delivered in prior PIR) with RCB-FECON and environmental commission of the Parliament to discuss the Nagoya ratification. The main reason for change is the risk involved in amending the biodiversity law that could open other changes that are not favorable to biodiversity conservation, sustainable use and equitable benefit sharing in CR, and the political timing is not favorable during election period.</i>
		Mechanisms institutionalized to facilitate access, benefit sharing and compliance under the Nagoya Protocol	One weak mechanism exists	1. Manual on ABS procedures; 2. On line procedures for ABS applications; 3. Data base of permits granted, applications, ex situ collections; etc	<i>CONAGEBIO has developed instruments that enable Nagoya Protocol implementation: 1. Pending, 2. Online Procedures to enhance biochemical and genetic resources permits and national registry, delivered. 2. Data base of permits granted and Ex Situ Collections and an enhanced institutional webpage, delivered.</i>

Annex B: List of Documents to be reviewed by the evaluators

Documento del proyecto (PRODOC)

Informes de progreso (PIRs)

Presupuestos

Planes de trabajo / Planes Operativos Anuales

Project Implementation Reports (PIRs)

Evaluaciones de la Efectividad de Gestión (METT, por sus siglas en ingles) y Sostenibilidad Financiera de ASP PNUD-GEF



Productos del proyecto

Materiales de comunicación sobre el proyecto

Documentos de planificación del PNUD (MANUD, CPD, CPAP)

Estrategia Nacional de Desarrollo

Legislación nacional relevante al proyecto y cualquier otro material que pueda considerarse de utilidad

Lista y detalles de contacto del personal del proyecto y de otros grupo de interés relacionados con el proyecto

Guía de Evaluación del PNUD para Proyectos Financiados por el FMAM

Minutas de Comité Director

Cualquier documentación adicional que se considere necesaria

Adicionalmente

Plataforma de Permisos CONAGEBIO

Prototipo de la plataforma de información para la Gestión del conocimiento e información de la biodiversidad

Capacitaciones Plataforma

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



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

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

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

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

Annex D: Rating Scales

<i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i> 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	<i>Sustainability ratings:</i> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<i>Relevance ratings</i> 2. Relevant (R) 1.. Not relevant (NR) <i>Impact Ratings:</i> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)		

Annex E: Evaluation Consultant Code of Conduct and Agreement Form

Evaluators:

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

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.

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.

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.

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.

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.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form¹³

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: _____

¹³www.unevaluation.org/unegcodeofconduct

Annex F: Evaluation Report Outline¹⁴

- 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 Manual¹⁵)
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

¹⁴The Report length should not exceed 40 pages in total (not including annexes).

¹⁵ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

Expected Results

3. Findings

(In addition to a descriptive assessment, all criteria marked with (*) must be rated¹⁶)

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)

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 (*)

¹⁶ 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.

- 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 2. List of people interviewed

Kryssia Brade	Representante Residente Auxiliar-PNUD	kryssia.brade@undp.org
Kifah Sasa	Oficial de Programa Desarrollo Sostenible y Resiliencia	kifaf.sasa@undp.org
Ana Lucía Orozco	Oficial Especialista en Biodiversidad y AbE-PNUD	anaorozco@undp.org
Allan Jiménez	Coordinador Proyecto Nagoya-PNUD	allan.jimenez@undp.org
Hellen Sánchez	Asesora Técnica Líder Química Proyecto Nagoya-PNUD	hellen.sanchez@undp.org

Silvia Soto	Líder Biotecnología Proyecto Nagoya-PNUD	sotomontero.silvia@gmail.com
Mariela Araya	Investigadora Química Proyecto Nagoya-PNUD	macopito@gmail.com
Ronald Herrera	Asistente de laboratorio Proyecto Nagoya-PNUD	herreraleopezronald@gmail.com
Isis Calderón	Investigadora Biotecnología Proyecto Nagoya-PNUD	isisct@gmail.com
Gustavo Ureña	Gerente General-HACIENDA LA PACÍFICA	gurena@pacificacr.com
Gerardo Rojas	Representante-Grupo ECOS	gerardo.rojas@aaa.com
Roger Ruiz	Director Comercial-EARTH	rruiz@earth.ac.cr
Rebeca Madrigal	MONRERI S.A.	Rebeca.madrigal@MONRERI.com
Ricardo Astúa	MONRERI S.A.	Ricardo.astua@MONRERI.com
Danilo Bolaños	Gerente General-FORMUQUISA	dbolanos@formuquisa.com
Elkin Mejía	Apoderado-FORMUQUISA	emejia@formuquisa.com
Carlos Chaverri	Químico-FORMUQUISA	cchaverri@formuquisa.com
Randall García	Director General-INBio	rgarcia@inbio.ac.cr

Annex 3. List of documents reviewed

- Documento del proyecto (PRODOC)
- Informes de progreso (PIRs)
- Presupuestos
- Planes de trabajo / Planes Operativos Anuales
- Project Implementation Reports (PIRs)
- Evaluaciones de la Efectividad de Gestión (METT, por sus siglas en inglés) y Sostenibilidad Financiera de ASP PNUD-GEF
- Productos del proyecto
- Materiales de comunicación sobre el proyecto
- Documentos de planificación del PNUD (MANUD, CPD, CPAP)
- Estrategia Nacional de Desarrollo
- Legislación nacional relevante al proyecto y cualquier otro material que pueda considerarse de utilidad
- Lista y detalles de contacto del personal del proyecto y de otros grupo de interés relacionados con el proyecto
- Guía de Evaluación del PNUD para Proyectos Financiados por el FMAM

- Minutas de Comité Director

Annex 4. Evaluation Question Matrix

Criterios de evaluación - Preguntas	Indicadores	Fuentes	Metodología
Relevancia: ¿Cómo se relaciona el proyecto con los objetivos principales del área de interés del FMAM y con las prioridades ambientales y de desarrollo a nivel local, regional y nacional?			
<ul style="list-style-type: none"> ¿Cómo apoya el proyecto el área focal de biodiversidad y las prioridades estratégicas del FMAM? 	<ul style="list-style-type: none"> Existencia de una clara relación entre los objetivos del proyecto y el área focal de biodiversidad del GEF. 	<ul style="list-style-type: none"> Documentos del proyecto. Estrategias y documento del área focal biodiversidad del GEF. 	<ul style="list-style-type: none"> Análisis de documentos. Entrevistas del personal del PNUD y del proyecto.
<ul style="list-style-type: none"> ¿Cómo el proyecto apoya las prioridades ambientales y de desarrollo a nivel nacional? 	Grado en el que el proyecto apoya el ambiente de la Plan Estratégico objetivo de manejo sostenible del medio	<ul style="list-style-type: none"> Plan Estratégico 	<ul style="list-style-type: none"> Análisis de documentos.
<ul style="list-style-type: none"> ¿Cuál ha sido el nivel de participación de los interesados en el diseño del proyecto? 	Apreciación de interesados clave con respecto al nivel de adecuación del diseño e implementación del proyecto a las realidades nacionales y capacidades existentes.	<ul style="list-style-type: none"> Documentos dproyecto. 	<ul style="list-style-type: none"> Entrevistas con personal del PNUD y del proyecto.
<ul style="list-style-type: none"> ¿El proyecto toma en consideración las realidades nacionales (marco de políticas e institucional) tanto en su diseño como en su implementación? 	Coherencia entre las necesidades expresadas por los interesados nacionales y el criterio PNUD-GEF.	<ul style="list-style-type: none"> Socios e interesados clave del proyecto. 	<ul style="list-style-type: none"> Análisis de documentos.
<ul style="list-style-type: none"> ¿Cuál ha sido el nivel de apropiación de los interesados en la implementación del proyecto? 	Nivel de involucramiento de funcionarios gubernamentales y otros socios en el proceso de diseño del proyecto.	<ul style="list-style-type: none"> Autoridades gubernamentales involucradas en el proyecto y en sus estructuras de gobernanza (MIAMBIENTE, ates ANAM, INBIO y ATP) 	<ul style="list-style-type: none"> Entrevistas con personal del PNUD y del proyecto. Entrevistas con funcionarios de la INBIO, MIAMBIENTE, ATP, MEF, MIRE.
<ul style="list-style-type: none"> ¿Existen vínculos lógicos entre resultados esperados de del proyecto y el diseño del proyecto (en términos componentes del proyecto, elección de socios, estructura, mecanismos de implementación, alcance, presupuesto, uso de recursos, etc.)? 	<ul style="list-style-type: none"> Nivel de coherencia entre los resultados esperados y el diseño de la lógica interna del proyecto. Nivel de coherencia entre el diseño del 	<ul style="list-style-type: none"> Documentos del proyecto. Interesados clave del proyecto. 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas coninteresados clave.

<ul style="list-style-type: none"> ¿Es la duración del proyecto suficiente para alcanzar los resultados propuestos? 	<p>proyecto y su enfoque de implementación.</p>		
Efectividad: ¿En qué medida se han logrado los resultados y objetivos previstos del proyecto?			
<ul style="list-style-type: none"> ¿Ha sido el proyecto efectivo en alcanzar los resultados esperados? 	<ul style="list-style-type: none"> Ver indicadores en el marco de resultados estratégicos/marco lógico del proyecto. 	<ul style="list-style-type: none"> Documentos del proyecto. Reportes de avance trimestral y anual. Equipo del proyecto e interesados clave. 	<ul style="list-style-type: none"> Análisis de documentos. Entrevistas con interesados clave Entrevistas con el equipo del proyecto.
<ul style="list-style-type: none"> ¿Cómo se manejaron los riesgos y supuestos del proyecto? ¿Cuál ha sido la calidad de las estrategias de mitigación desarrolladas? 	<ul style="list-style-type: none"> Integridad de la identificación de riesgos supuestos durante la planeación y el diseño del proyecto. Calidad de los sistemas de información establecidos para identificar riesgos emergentes y otros aspectos relevantes. 	<ul style="list-style-type: none"> Documentos del proyecto. Reportes de avance trimestral y anual. Equipo del proyecto e interesados clave. 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas.
<ul style="list-style-type: none"> ¿Qué cambios pudieron haberse hecho (de haberlos) al diseño del proyecto para mejorar el logro de los resultados esperados? 		<ul style="list-style-type: none"> Datos recabados durante la evaluación. 	<ul style="list-style-type: none"> Análisis de datos.
Eficiencia: ¿El proyecto se implementó de manera eficiente en conformidad con las normas y los estándares internacionales y nacionales?			
<ul style="list-style-type: none"> ¿Se utilizó o necesitó el manejo adaptativo para asegurar un uso eficiente de los recursos? ¿Han sido utilizados como herramientas de gestión durante la implementación del proyecto el marco lógico, los planes de trabajo o cualquier cambio realizado a estos? ¿Han sido los sistemas financieros y contables adecuados para la gestión del proyecto y para producir información financiera precisa y a tiempo? ¿Han sido los reportes de progreso precisos y puntuales? Responden a los requerimientos de reporte? Incluyen los cambios por manejo adaptativo? 	<ul style="list-style-type: none"> Disponibilidad y calidad de los reportes financieros y de progreso. Puntualidad y adecuación de los reportes entregados. Nivel de discrepancia entre el gasto planeado y el ejecutado. Cofinanciamiento planeado vs. actual. Costo en función de los resultados alcanzados en comparación con los costos de proyectos similares de otras organizaciones. 	<ul style="list-style-type: none"> Documentos del proyecto. Equipo del proyecto PNUD 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas claves.

<ul style="list-style-type: none"> • ¿Ha sido la ejecución del proyecto tan efectiva como fue propuesta originalmente (planeado vs. real)? • ¿El cofinanciamiento ha sido según lo planeado? • ¿Los recursos financieros han sido usados eficientemente? ¿Han podido haberse usado más eficientemente? • ¿Han sido las adquisiciones realizadas de manera que se haga un uso eficiente de los recursos del proyecto? • ¿Cómo ha sido usado el enfoque de <i>gestión basada en resultados</i> durante la implementación del proyecto? • ¿Cómo promovió el PNUD y el proyecto la igualdad de género, los derechos humanos y el desarrollo humano en la entrega de productos? • Examinar si el progreso realizado hasta el momento ha llevado o permitirá en el futuro efectos beneficiosos para el desarrollo (como por ejemplo generación de ingresos, equidad de género y empoderamiento de las mujeres, mejorar la gobernanza, entre otros). 	<ul style="list-style-type: none"> • Cuán adecuadas han sido las opciones seleccionadas por el proyecto en función del contexto, la infraestructura y el costo. • Calidad del reporte de gestión basada en resultados (reportes de progresos, monitoreo y evaluación). • Ocurrencia de cambios en el diseño del proyecto o en el enfoque de implementación cuando ha sido necesario para mejorar la eficiencia del proyecto. • Costo asociado al mecanismo de delivery y estructura de gestión, en comparación con otras alternativas. 		
Sostenibilidad: ¿En qué medida hay riesgos financieros, institucionales, socioeconómicos o ambientales para sostener los resultados del proyecto a largo plazo?			
<ul style="list-style-type: none"> • ¿Han sido integrados aspectos de sostenibilidad en el diseño e implementación del proyecto? 	<ul style="list-style-type: none"> • Evidencia/ calidad de la estrategia de sostenibilidad. • Evidencia/ calidad de las acciones llevadas 	<ul style="list-style-type: none"> • Documentos del proyecto. • Equipo del proyecto PNUD • Socios 	<ul style="list-style-type: none"> • Análisis de documentos • Entrevistas

	a cabo para asegurar la sostenibilidad		
<ul style="list-style-type: none"> ¿El proyecto aborda adecuadamente los aspectos de sostenibilidad financiera y económica? 	<ul style="list-style-type: none"> Nivel y fuente de soporte financiero a ser provisto en el futuro a sectores y actividades relevantes después del término del proyecto. Evidencia de compromiso de socios internacionales, gobiernos y otros interesados para apoyar financieramente sectores/actividades relevantes luego de la finalización del proyecto. 	<ul style="list-style-type: none"> Documentos del proyecto. Socios 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas
<ul style="list-style-type: none"> ¿Existe evidencia de que los socios del proyecto darán continuidad a las actividades más allá de la finalización del proyecto? ¿Cuál es el grado de compromiso político para continuar trabajando sobre los resultados del proyecto? 	<ul style="list-style-type: none"> Grado en que las actividades del proyecto y los resultados han sido asumidos por las contrapartes. Nivel de soporte financiero a ser provisto por el gobierno, una vez termine el proyecto. 	<ul style="list-style-type: none"> Documentos del proyecto. Equipo del proyecto PNUD Socios 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas
<ul style="list-style-type: none"> ¿Cuáles son los principales desafíos que pueden dificultar la sostenibilidad de los esfuerzos? ¿Se han abordado durante la gestión del proyecto? ¿Qué potenciales medidas podrían contribuir a la sostenibilidad de los esfuerzos logrados por el proyecto? ¿De qué manera las preocupaciones por la igualdad de género, los derechos humanos y el desarrollo humano serán impulsadas por los principales interesados? 	<ul style="list-style-type: none"> Cambios que podrían significar desafíos al proyecto. 	<ul style="list-style-type: none"> Documentos del proyecto. Equipo del proyecto PNUD Socios 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas
Impacto: ¿Hay indicios de que el proyecto haya contribuido a reducir la tensión ambiental o a mejorar el estado ecológico, o que haya permitido avanzar hacia esos resultados?			
<ul style="list-style-type: none"> ¿Se prevé que el proyecto alcance su objetivo de incorporar ABS? ¿El proyecto/programa, está produciendo (o podría producir) los beneficios previstos para las organizaciones meta? 	<ul style="list-style-type: none"> Financiamiento disponible. Buenas prácticas identificadas y adoptadas. 	<ul style="list-style-type: none"> Documentos del proyecto. Equipo del proyecto PNUD Socios 	<ul style="list-style-type: none"> Análisis de documentos Entrevistas

Annex 5. Evaluation Consultant Agreement Form

Evaluators:

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

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.

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.

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.

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.

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.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

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

Name of Consultant: Oscar Huertas

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 18/09/2018