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MID-TERM REVIEW

"CONSOLIDATING COSTA RICA´S MARINE PROTECTED AREAS" PROJECT

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Evaluators:
Julio Guzmán
Gerardo Palacios

Coordinator:
Damián Martínez

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The evaluator´s contact information is

JULIO GUZMÁN
☎ (+506) 8379-2116
julioantonioguzman@gmail.com

COSTA RICA

"CONSOLIDATING COSTA RICA´S MARINE PROTECTED AREAS" PROJECT

MID-TERM REVIEW

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LIST OF ACRONYMS

CA	Conservation Areas
ATCA	Arenal Tempisque Conservation Area
CVRCA	Central Volcanic Range Conservation Area
GCA	Guanacaste Conservation Area
LACCA	La Amistad Caribbean Conservation Area
OSACA	Osa Conservation Area
CPACA	Central Pacific Conservation Area
TCA	Tempisque Conservation Area
TOCA	Tortuguero Conservation Area
FCRA	Forever Costa Rica Association
ASADA	Asociación Administradora de Acueducto rural (Rural Water Supply Management Association)
MMA	Marine Management Area
MPA	Marine Protected Areas
RMFA	INCOPESCA Responsible Marine Fishing Areas
PWA	Protected Wildlife Areas
PA	Pilot Areas or Protected Areas, as appropriate
IDB	Inter-American Development Bank
BIOMARCC	IZ Program: Biodiversidad Marino-Costera de Costa Rica (Marine and Coastal Biodiversity of Costa Rica)
CATIE	Center for Tropical Agriculture Research and Education
CBSC	Capacity Building Score Card
CC	Climate Change
CCA	Common Country Assessment
CBD	Convention on Biological Diversity
IC	International Conservation
CIMAR	Centro de Investigación en Ciencias del Mar y Limnología (Ocean Science and Limnology Research Center)
COLAC	Local Council on Conservation Areas
CONAC	National Council on Conservation Areas
CORAC	Regional Council on Conservation Areas
MTR	Mid-term Review
NMS	National Marine Strategy
FAO	Food and Agriculture Organization of the United Nations
GEF	Fondo para el Medio Ambiente Mundial / Global Environment Facility – GEF
FSC	Financial Score Card
FSS	Financial Sustainability Scorecard
GEF	Global Environmental Facility
GoCR	Government of Costa Rica
ICT	Instituto Costarricense de Turismo (Costa Rican Tourism Board)
INCOPESCA	Instituto Costarricense de Pesca y Agricultura (Costa Rican Institute for Fisheries and Agriculture)
LL	Lessoned learned or find
MAG	Ministerio de Agricultura y Ganadería (Ministry of Agriculture and Livestock)
METT	Management Effectiveness Tracking Tool for Protected Areas
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool for Protected Areas
MINAE	Ministerio de Ambiente, Energía y Telecomunicaciones (Ministry of Environment, Energy and Telecommunications)
MSP	Ministerio de Seguridad Pùblica (Ministry of Public Security)
N.a.	Not applicable
PASBCC	Adaptation of the Biodiversity Sector to Climate Change Project

PB	SINAC Overcoming Barriers to Sustainability Project
PCAMP	Consolidating of Marine Protected Areas Project
FCRP	Forever Costa Rica Program
PIF	Project Identification Form
MP	Management Plan
MCP	Marine Coastal Program
NP or BP	National Park o Business Plan, as appropriate
UNDP	United Nations Development Program
PRODOC	Project Document
PROMEC	SINAC Ecological Monitoring Program
PES	Payment for Ecological Services
POWPACBD	Work Plan for the CBD Protected Areas
NWR	National Wildlife Refuge
ES	Ecological Services
SENASA	National Animal Health Service
SINAC	Sistema Nacional de Áreas de Conservación (National System of Conservation Areas)
SNG	National Coastguard Service
M&E	Monitoring and Evaluation
UCR	Universidad de Costa Rica (University of Costa Rica)
IUCN	International Union for the Conservation of Nature
UNA	Universidad Nacional (National University of Costa Rica)
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
VMS	Vessel monitoring system

1 EXECUTIVE SUMMARY

The mid-term review is a learning tool oriented towards improving project execution and efficiency in the delivery of its outputs in the remaining execution period; but it also identifies lessons learned that could be replicated in other future projects. The purpose of this mid-term review is to identify the advance in the delivery of outputs and outcomes of the *"Consolidating Marine Protected Areas"* (PCAMP) project, reaching the midpoint of its implementation period: to the date of evaluation, 45% of the recourses have been committed.

Following, there is a brief summary of the Project´s mid-term review, whose objective is to strengthen the Marine Protected Areas (MPA) of Costa Rica, increasing their ecological representation and ensuring its effective management and financial sustainability.

1.1 Key aspects in the scope and methodology of the assessment

The intermediate assessment conducts a critical analysis of PCAMPs performance, establishing a level of commitment of its outcomes and expected outputs, with the purpose of identifying lessons learned and proposing concrete activities that ensure the achievement of what is established in the project´s outputs framework.

The goal of the Project is to conserve the marine-coastal biodiversity which is of global and national importance. The objective of the Project is to strengthen the MPA of Costa Rica, increasing its ecological representation, and ensuring its effective management and financial sustainability. The three main project outcomes are:

1 *Strengthen the institutional framework and improve the individual capacity for effective management of the MPA.*
2 *Increase and diversify the funding for the protected marine areas.*
3 *Widen the MPA coverage to improve ecological representation.*

The methodology was designed to be as inclusive as possible and the assessment followed an approach that prioritized the participation of different actors that have been part of the Project. For the assessment, the following collection and data analysis methods were used: i) documentation review; ii) semi-structured (in-person) interviews, (iii) surveys and, (iv) submission of the preliminary outcomes.

1.2 Project Background and Description

Costa Rica, despite having an extensive and consolidated protected areas system, in total 167, whichcovers approximately 26% of the national territory, only has 21 MPA that cover about 1% of its territorial waters. In this context, the PCAMP seeks to mitigate the following specific problems:

- Underrepresentation of the marine ecosystems
- Threats to marine ecosystems
- Weakness in management and financial unsustainability
- Low fishing level
- Low socio-economic conditions of the communities

In this aspect, the Project was designed to strengthen the SINAC MPA, whose main outcomes are described as follows:

1 Strengthen the institutional framework and improve individual capacity for the effective management of the MPA
2 Increase and diversify the funds for the protected marine areas.
3 Widen the coverage of the MPA to improve ecological representation

Table 1 shows the Project´s basic information. The signing of the Project was on September 2011, but actually it came into effect in March 2012 (six months later), once the previous requirements were met; therefore it has been in execution for 31 months to September 2014. The Project is scheduled to end August 2015, leaving 11 months remaining for its execution.

Table 1 Overview of the Project

Project Title:	*Consolidating Marine Protected Areas of Costa Rica*			
GEF Identification:	3956		**AT THE START (MILLIONS US$)**	**TO DECEMBER 2014 (MILLIONS US$)**
UNDP Identification:	4529	**GEF Funding:**	1.212.027	522.584
Country:	Costa Rica	**Forever Costa Rica Program:**	11.412.500,00	1.080.982
Region:	LAC	**SINAC:**	6.449.000,00	4.943.285
Interest Area:	Biodiversity	**Other**		N/A
Operational Program:	BD-SP2-Marine PA BD-SP1-PA Financing	**Total of Co-funding:**	17.861.500,00	6.024.267
Executing Entity:	National System of Conservation Areas (SINAC)	**Total Cost of the Project:**	19,073,527	6.749.142
Others Partners Involved:	Forever Costa Rica Association; Biomarcc	**Signing of the Project document (date of project commencement):**		01/09/2011
		Proposed closing date (Operational):		01/09/2015

Source: PCAMP 2015.

1.3 Summary of assessment ratings

The Mid-Term Review´s (MTR) objective is to provide an independent and in-depth review of the project´s implementation progress. The MTR is conducted according to the guidelines, standards and procedures established by the UNDP and GEF, as established in the UNDP Evaluation Guidance for GEF Financed Projects.

Following is the rating of the different dimensions analyzed, according to what is established in the ToR (the table of the assessment keys is presented in Annex 1).

Table 2 **Summary of assessment ratings**

Project Performance Ratings			
1. MONITORING AND EVALUATION	***RATING***	**2. EXECUTION OF THE IA AND EA:**	***RATING***
Starting design of the M&E	**5** Satisfactory (S)	Quality of UNDP application.	**4** Somewhat satisfactory (SS)
Execution of M&E Plan	**3** Somewhat unsatisfactory (SU)	Execution quality: executing entity	**4** Somewhat satisfactory (SS)
Overall quality of M&E	**4** Somewhat satisfactory (SS)	Overall quality of application and execution	**4** Somewhat satisfactory (SS)
3. OUTCOME ASSESSMENT	**RATING**	**4. SUSTAINABILITY**	**RATING**
Relevance	**2** Relevant (R)[1]	Financial resources:	**2** Somewhat improbable (SI)
Effectiveness	**4** Somewhat satisfactory (SS)[2]	Socio-political:	**3** Somewhat probable (SP)
Efficiency	**4** Somewhat satisfactory (SS)[3]	Institutional framework and governance:	**3** Somewhat probable (SP)
Overall rating of the Project`s outcomes	**4** Somewhat satisfactory (SS)	Environmental:	**3** Somewhat probable (SP)
Impact	**2** Minimum (M)[4]	Overall sustainable probability:	**3** Somewhat probable (SP)[5]

Note: *The higher the number in rank the better the rating.*

Source: UNDP Format 2013, with 2015 assessment results.

1.4 Main Findings

1.4.1 Project Management Efficiency

The logical and outcome framework presents a vertical logic: the activities correspond to the outputs, the outputs to the outcomes and the outcomes to the objective. The objectives, outcomes, outputs and activities are practical and clear; but they are not viable within the established term in the PRODOC. There are also some inconsistencies that are detailed in the body of the document.

It's worth pointing out the persistence in the coordination to carry out the necessary adjustments adapted to the changing context needs and to the synergy with other projects and actors of civil society. The issue on the need of planning marine-coastal resource use has been brought to the center stage.

[1] It is relevant at all levels tested.

[2] Despite having achieved significant results, it has shortcomings in achieving their outputs and indicators.

[3] Despite having executed only 25% of its financial resources, it has achieved advancing in the processes to achieve the outputs.

[4] Even though it presents marine-coastal impacts, it still has to consolidate the majority of the processes.

[5] Presents moderate risks in the sustainability of its activities.

In the Project´s analysis warning signs arise when it comes to opportunity – *in relation to time* – of some actions in order to achieve the expected results. Basically, there are activities where you have to pay attention in order to achieve the proposed objectives in the time established.

The total budgetary commitment of the Project to December 31, 2014 is of 45% of the shared resources – to October 30, 2014 – approximately 34% (77% from the public sector and 9% from FCRA).

1.4.2 Project Advancements

- **Outcome 1: *Strengthening the institutional framework and individual capacity for the effective management of the MPAs***

100% of the outputs from this outcome are in process: participation of regional officials and other public institutions has been promoted in addressing conservation gaps; however, effective coordination has not been conducted with these institutions at a central level. Some communication and training initiatives have been provided to the MPA officials. The BP and the efficiency assessment tool have been updated. The National Adaptation Strategy for CC will be ready by the end of this year.

The budgetary commitment[6] for this outcome is of US$ 69.918 (36 % of the budget), with an execution of[7] US$ 57.012 (29 % of the budget).

- **Outcome 2: *Increasing and diversifying the funds for the MPA***

40% of the outputs of this outcome have been achieved 100% (consolidation of the trusteeship and updating the visitor entrance fees to the MPA; however the related indicators are not pertinent). The remaining 60% is in process: the work to define the investments at each MPA is being conducted, although the change target has been surpassed in the Central Government´s budget. The BPs are being developed and the assessment of three pilot MPA ESs.

The budgetary commitment of this outcome is of US$ 72.939 (80% of the budget), with an execution of US$ 51.352 (56% of the budget).

- **Outcome 3: Expanded coverage of MPA to improve the ecological representativeness**

100% of the outputs related to this outcome are in process: 10 conservation gaps are being addressed (an addition, one resulted at the MMA Seamounts); however it will be difficult for the target to be met of the MPA´s created or expanded (and the development of the respective PMAs), given the complexity and duration of the participation process. The ecological monitoring protocols are being developed and they are related to the PROMEC local indicators. Some of the indicators related to the achievement of these outcomes have yet to be collected and others are not pertinent, for reasons explained below.

The budgetary commitment of this outcome is of US$ 337.845 (37% of the budget), with an execution of US$ 262.509 (72% of the budget).

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[6] Refers to signed contracts (commitments).

[7] Refers to what has been paid (disbursements).

1.4.3 Sustainability

This Project´s sustainability rests on the government´s political support and specifically on that of the MINAE and SINAC to continue its activities. Specifically, the following initiatives are described:

Outcome 1: Institutional coordination is indispensable for creating synergies that contribute to the sustainability of marine-coastal biodiversity.

Outcome 2: MPA funding is indispensable for the sustainability of the marine-coastal biodiversity conservation activities. Thus, the consolidation of the irrevocable trusteeship of the FCR program, the II Debt Swap for Nature, as well as the initiatives promoted by PCAMP (revision of the entrance fees, BP, economic assessment of ecosystem services and federal funding) are a fundamental part of the country strategy on this issue.

Outcome 3: Definition of the best strategy to address the various conservation gaps, must be agreed to by the communities (and stakeholders), since they are the ones who will ultimately implement the conservation measures of the agreed management category.

It is worth nothing that according to the interviews conducted, the interrelation between the Project´s coordination, the stakeholders in SINAC, and the communities have been very positive, which have created important synergies to achieve the Project´s objectives.

1.4.4 Effectiveness/Project contributions to achieving outcomes

The Project was designed so that the synergy among the activities leads to the outputs and these to the expected outcomes. According to the mid-term review findings, it is likely that the project achieves the goals set forth in Outcomes 1 and 2, but not in the 3, given the complexity and time required in the participation process required to create or expand the MPA.

1.5 Summary of the lessons learned, conclusions and recommendations[8]

1 ***Consistency of the logical framework***:

- *LL:* Logical framework´s components, objectives, outputs and activities should be consistent with the SMART indicators[9].
- *Conclusion*: Logical framework´s components, objectives, outputs and activities are consistent, although some indicators are not SMART.
- *Recommendation*: Some of the logical framework´s indicators mentioned, which are part of the monitoring and evaluation´s fundamental system, should be reformulated. Given that these respond to very specific technical issues, the recommendation is to review each one of the specialized work groups, which include the

[8] Complete and specific recommendations are found in Chapter 5.

[9] SMART: specific, measurable, attainable, relevant and time limited.

SINAC (Executive Management, Cooperation Office, PA Management), PCAMP Management Unit and the UNDP office, to be assessed by the Steering Committee.

2 ***Relevance***:

- *LL*: Project relevance is essential in promoting its ownership, effectiveness and efficiency for achieving its objectives.
- *Conclusion*: This Project is highly relevant as State policy with respect to the identified development issues, national policies, POWPA-CBD targets, existing national legislature, and GEF and UNDAF objectives and targets, among others.
- *Recommendation*: Seek political support – firstly from the MINAE – from this initiative as a country project to meet the targets already planned and the national commitment to POWPA-CBD. The UNDP office in Costa Rica must provide PCAMP with the political spaces at the highest levels (ministries – ICT, MAG, MSP, among others – and at an operational level: INCOPESCA, SNG, SENASA, among others) and seek the coordination and participation of the SINAC, FCRA and Biomarcc, among others.

3 ***Changes to the PCAMP***:

- *LL*: Project design faces changes in order to stay relevant to the changing context.
- *Conclusion*: The Project has not suffered significant changes, however, minor changes have been made in order to maintain relevance and adapt to the changing circumstances of the issue; for example, synergies with other projects have been carried out, in order to not duplicate activities, among others, in terms of climate change, addressing gaps, BP, and PROMEC, among others.
- *Recommendation*: Continue with PCAMP´s implementation strategy. SINAC and other MPA officials must provide more coordination spaces with the various projects and related initiatives to promote these synergies. UNDP and FCRA must generate political planning and operational spaces with governmental agencies.

4 ***Indicator achievements***:

- *LL*: Process to reach the targets (indicators) should not be measured only when quantifying the success of the finished outputs.
- *Conclusion*: Project´s design underestimated the time and did not consider the necessary process to reach the objectives, outputs and PCAMP indicators, thus if the assessment is carried out only for the final products achieved, it will be ignoring the advance in the necessary process to achieve them.
- *Recommendation*: PCAMP monitoring and evaluation must consider the process advancement and not only the absolute success of the final outputs, using advancement indicators and execution percentages.

5 ***Participation***:

- *LL*: Participation of all stakeholders is essential to increase the ecological representativeness and increase and diversify the funding of the MPA.
- *Conclusion*: PCAMP has institutionalized, along with SINAC under FCRA, methodologies that allow active participation of the different stakeholders.

  Within the realm of the SINAC, participation of the various stakeholders has been very good. Involvement and coordination with the MINAE, SNG, INCOPESCA, ICT and the municipalities have been very weak or non-existent.

  The level of participation of the MPA officials has varied at the different CA: some with much involvement by the MPA officials and little support by CA management and in others, it's the opposite.
- *Recommendation*: PCAMP coordination and institutional planning should be replicated, with the SINAC, in other processes such as design and BP formulation, ES assessment and in the training of officials.

  The refinement and participation strategy implementation developed by SINAC, PCAMP, Biomarcc and FCRA, to address the gaps should continue.

  Activities should be implemented according to the PRODOC with respect to improving coordination between SINAC and other institutions related to the issues of fishing and tourism (INCOPESCA, SNG and ICT); and design and implement an information and communication strategy to sensitize the politicians and decision makers on marine-coastal conservation, MPA and sustainable use of the resources, beginning with the decision levels of the MINAE.

  The UNDP office in Costa Rica should encourage political spaces at the highest levels and seek coordination and participation from SINAC, PCAMP, FCR Association and Biomarcc, among others. Similarly, the Vice-Minister of Water, Seas, Coasts and Wetlands seeks consensus spaces.

  SINAC Executive Management should issue guidelines in order to ensure the participation of CA officials (decision makers and management) in the processes that PCAMP and MCP develop and their respective monitoring.

  The definition of the best strategy for dealing with the various conservation gaps should be decided with the communities and stakeholders, since it is they who will ultimately implement the management category conservation measures agreed.

  To enforce legal rules – of sustainable use or protection of marine resources - the PCAMP and SINAC should promote ownership of MPA by the communities and fishermen groups. Also, the MPA should be strengthened with the equipment and resources needed for their surveillance.

6 ***Synergies with other projects and initiatives***:

- *LL:* Coordination with other related projects is important to create synergies, ownership by other stakeholders and save both human and financial resources.
- *Conclusion:* Synergies achieved by the PCAMP with other projects and initiatives must be emphasized.
- *Recommendation*: Strategy of creating synergies with other projects should continue, the recommendation is to map out other existing initiatives (especially at

INCOPESCA, SNG, ICT and the Municipalities) to coordinate achieving PCAMP objectives and to create a coordination structure taking into consideration the previously described success case.

In terms of training (linked to the CBSC´s application), these should be worked into the institutional training plans for which SINAC should carry out a training plan, both for the CA officials, as well as the Secretariat. The recommendation is to create capacity installed at the SINAC: through external trainers to train the internal trainers. Some important topics to take into consideration for the trainings are the following: conflict resolution, social investigation, natural history and cultural sites, sustainable tourism and wetland management, among others.

7 ***Budget***:

- *LL*: Coordination with other projects and initiatives favors the most efficient budget implementation.
- *Conclusion*: PCAMP, meanwhile, has had significant savings in the budget to reach its objectives due to a strong coordination with other projects (previously described), which could be perceived as under-execution.

  It is worth noting that to this date, the co-financing of the public sector is approximately 77% of the committed amounts and the sub-execution in the co-financing of the FCR Association barely reaches 9%.
- *Recommendation*: Savings for the expected PCAMP outputs should be counted (in the indicators) as a positive coordination element and not as a sub-execution (negative) of the budget.

  It is important to follow up and promote the effective implementation of the FCRA counterpart.

8 ***Procurement of Contracts and Payments***:

- *LL*: Contract procurement and respective payment periods must be agreed to with the technical requirements. The rigidity in financial management decreases the projects´ capacity for action.
- *Conclusion*: Contract procurement and payment approval times take longer than necessary and involves a large number of people, which limits, and in some cases hinders the achievement of the outputs and ensures compliance of the indicators, especially when conditions of opportunity (time, seasonality and climate, among others) play an important role in the effectiveness.
- *Recommendation*: A log should be kept where both the process (steps) and the duration of each is logged along with who is responsible with the purpose of identifying the critical points to look for solutions.

9 ***Sustainability and ecological impact***:

- *LL*: Ecological sustainability not only depends on the PA statement. What is relevant is to create dialogue spaces to promote coastal-marine resource conservation and conduct marine-coastal biodiversity measurements.
- *Conclusion*: On the one hand, ecological sustainability depends greatly on knowing the resource and communal ownership and stakeholders (fishermen and tourism, among others). Furthermore, addressing a conservation gap and

its ecological sustainability could be achieved with other marine resource management modalities different than a PA.

The assistance strategy of the conservation gap does not necessarily imply the creation of a PA; what is relevant is to develop a dialogue process that will then influence some type of management.

- *Recommendation*: It is of utmost importance to continue the process of community participation (or adopt participatory management models) in the definition of the implementation schedule for the assistance of the conservation gap and addressing these issues with INCOPESCA - and SNG

  Metrics should be determined to monitor the evolution of the coastal-marine resources, as an essential requirement to achieve ecological sustainability.

  The governance defining processes of these types of sites should be strengthened in order to promote an effective coordination to achieve the conservation of the object in question and to determine the rights and responsibilities – both of the public and private institutions, as well as those of the communities and fishermen. Determining the role of other agencies such as SNG, ICT and the Municipalities is fundamental.

  For these recommendations to become effective, it is essential to extend the project´s implementation period. Therefore, it is recommended that the Steering Committee analyze and arrange for the project´s term to be extended accordingly (1-2 years).

  If the PCAMP extension is possible, it would be worthwhile to assess the inclusion of a product that supports the marine special planning initiatives (including fisheries management).

10. ***Compliance of the legal regulations related to marine-coastal resources***:

- *LL*: To comply with the legal requirements related to marine-coastal conservation it is necessary to use state-of-the-art technology.
- *Conclusion*: Currently, in the context of the use of the marine-coastal resources of the country, exists illegal fishing of protected species and the use of non-sustainable fishing practices. The fisheries sector crisis has been attributed to this, an inadequate legal and technological framework, or the unwillingness to implement it diligently, and the imbalance between the limited means of surveillance and resources available to local and international pirates. However, the Government delimited tuna fishing in the Pacific and announced it will develop a management plan for ships of medium and large capacity, which must navigate satellite tracking systems and with INCOPESCA observers (La Nación, 2014b).
- *Recommendation*: PCAMP can promote SINAC leadership so that Costa Rica can regain control of its maritime sovereignty. There must be coordination with INCOPESCA, SNG, and FCRP to modernize legislature, modernize their surveillance procedures, with the implementation of satellite tracking devices and adopt an Agreement on FAO Port Governing State Measures.

Specifically, fishing practices should be measured with satellite trackers; the Coast Guard and INCOPESCA should have control and surveillance with VMS (vessel monitoring system).

In addition, PCAMP could develop specific workshops on the pilot sites, geared towards the development of sustainable fishing practices.

11. ***Sustainability and institutional and social impact***:

- *LL*: Achieve institutional sustainability on every aspect of the MCP; planning and inter-institutional coordination must be strengthened.
- *Conclusion*: SINAC´s MCP needs many resources to ensure compliance with the regulations related to the sustainable use of the resource and conservation; however, the current MPA equipment and staff are severely lacking, therefore it's safe to say that although an effort has been made to consider the marine-coastal management in the CA, an effective management of the marine-coastal resources is in an emerging, but advancing state.

  The consolidation of FCR program´s irrevocable trusteeship, the II Swap Debt for Nature, as well as the initiatives promoted by PCAMP (review of entrance fees, BP, economic assessment of the ecosystem services and State funding) are fundamental part of the country strategy on this topic.

  Institutional sustainability is also related to cooperation – to declare the sustainable management of marine areas and the compliance of current legal regulations – among the three principal institutional stakeholders of this issue: SINAC, INCOPESCA and SNG.
- *Recommendation*: More emphasis should be given to the issue of the financial self-sustainability of the MPA and consequently of the MCP, with the purpose of not only designing an improved legal mechanism and an additional income generation instrument for the MPA, but of implementing these activities so that concrete management results are perceived.

  It is fundamental to strengthen the future strategic planning of the MPA, in order to dedicate more time and resources to what is really important and sustainable and less to what is short-term.

  The possibility of having one marine coordinator for the related initiatives to the MPA (PCAMP, Biomarcc and FCRP) should be assessed.

  For the marine issue it is necessary to create institutional synergies among SINAC, INCOPESCA and SNG where PCAMP should be the facilitator of the process.

12. ***Consideration to gender and youths***:

- *LL*: Strategy for addressing the conservation gap should take into consideration the participation and the effect of the relevant stakeholders on women and youths, especially in coastal communities.
- *Conclusion:* Coastal communities carry out Jobs, especially those related to fishing, in which the programs/projects (trainings, work generation, awareness, among others) are aimed at adult men and do not promote the participation of women and youths in the process.
- *Recommendation*: It is necessary to improve the communication issue to reach women and youths in the coastal communities and analyze the complete process of artisanal fishing.

  For future projects, it is important to take into consideration that a payment recognition system does not exist for the work carried out by women and youths in the fishing communities. A fishing ¨enlistment¨ for women should be studied and encouraged.

2 INTRODUCTION

2.1 Purpose of the assessment

The MTR aims to provide an independent and in-depth review of the project implementation progress. It is designed to identify potential problems in the project design, evaluate the progress in achievement of the objectives, identify and document lessons learned and provide recommendations on specific actions to be taken to improve project implementation. With this evaluation there is an opportunity to know and have early indications of success or failure of the project, and promote the necessary adjustments.

2.2 Scope and Methodology

The MTR will be performed according to the guidelines, rules and procedures established by UNDP and GEF, as stated in the UNDP Evaluation Guidance for GEF Financed Projects.

The assessment uses the following criteria: relevance, effectiveness, efficiency, sustainability and impact. The general evaluation questions are presented below. With them, a series of questions were drafted covering each of these criteria in depth which were included in these TOR (see Appendix 1).

- *Relevance*: How does the project relate to GEF´s main objectives in the focal area and with the environment and development priorities at the local, regional and national level?
- *Effectiveness:* To what extent have the expected results and objectives been achieved?
- *Efficiency:* Was the project implemented efficiently in accordance with the norms and the national and international standards?
- *Sustainability:* To what extent are there financial, institutional, socioeconomic or environmental risks sustain the project`s results in the long term?
- *Impact:* Is there evidence that the project has helped reduce the environmental stress or improve the ecological status, or has allowed progress toward those results?

The evaluation should provide evidence-based information that is credible, reliable and useful. The assessment follows a participatory and consultative approach that ensures the close involvement of government officials, including GEF´s operational focal point, UNDP´s Country Office, the project´s team, the GEF/UNDP Regional Technical Advisor and key stakeholders. A mission was carried out, where the Project Office and other key stakeholders of the Conservation Areas, as well as other areas of impact of the project were visited. The interviews to individuals and organizations described in Annex 2 were conducted. Around 39 persons were interviewed and the following conservation areas were visited: Central Pacific, Tortuguero, La Amistad Caribe, Guanacaste and Osa.

The above described dimensions were assessed according to the evaluator´s criteria, using the qualification keys of the "Guide to perform final project evaluations supported by UNDP and funded by GEF", which is presented in Table 3.

Table 3 Key Table Assessment Rating

RESULTS, EFFECTIVENESS AND EFFICIENCY RATING	SUSTAINABILITY RATINGS	RELEVANCE RATING
6: Very Satisfying (VS): it did not present deficiencies 5: Satisfying (S): minor deficiencies 4: Somewhat Satisfying (SS) 3. Somewhat Unsatisfying (SU): mayor deficiencies 2. Unsatisfying (U): important deficiencies 1. Very unsatisfying (VU): serious deficiencies	4. Probable (P): Insignificant risks to the sustainability	2. Relevant (R)
	3. Somewhat probable (SP): moderate risks	1.. Not Relevant (NR)
	2. Somewhat unlikely (SU): Significant risks. 1. Unlikely (U): Serious risks.	**IMPACT RATING:** 3. Significant (S) 2. Minimum (M) 1. Insignificant (I)

Source: UNDP 2012.

2.3 Structure of the evaluation report

After the introduction, the second chapter of the evaluation report is structured describing the content and purpose of the project as well as the context in which it was designed the immediate objectives and key stakeholders.

In the next chapter, the findings of the evaluation are described; these findings are subdivided into design and formulation of the project and findings in the results of the project. The second paragraph describes the relevance, effectiveness, efficiency, sustainability and impact of PCAMP.

The last chapter is about lessons learned, conclusions and recommendations. The lessons are derived from the collected evidence from which conclusions are drawn, and recommendations to remedy or mitigate the findings are provided.

3. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

3.1 Beginning and length of the project

The signing of the project took place in September 2011. About six months later, in March 2012, the insertion workshop was held and the project began after the previous conditions were met. The project´s proposed operating closure is September 2015, having 4 year duration since the signing of the agreement.

3.2 Problems that the project sought to address

Despite the extensive and consolidated protected areas system that Costa Rica owns, which totals 167 and covers about 26% of the territory, only owns 21 MPA which cover about only 1% of their territorial waters. Bellow, the main problems in this area are highlighted and identified in the project document (PRODOC):

- *Under-representation of marine ecosystems:* The exercise conducted by Gruas II, gap analysis to identify conservation needs of ecosystems (terrestrial, inland and marine waters), identified 34 areas (20,985 km2) in need of conservation, of which 12 are high priority. Marine and coastal ecosystems are highly underrepresented in the protected areas system (PAs) of Costa Rica.
- *Threats to marine ecosystems:* Gruas II also identified the main threats to the marine ecosystems: habitat degradation, pollution, presence of invasive alien species and climate change. The main causes are the unregulated growth of coastal areas, the lack of presence of the national authorities, incentives not suitable for the protection and conservation and the growth of urban areas.
- *Weakness in management and financial unsustainability:* Many MPA are loosely managed and only a fraction have completed or updated their management plans. The financial sustainability of Costa Rica´s MPA is far from being achieved.
- *Low level of fishing:* even though Costa Rica´s marine territory is 10 times larger than the land, fishing represents a very low percentage of GDP. From 2000 to 2007 the share of the fishing sector in the GDP was reduced by approximately 50%, from 0.31% to 0.20%. In terms of catch, between 1998-2001 the capture for the national fishing fleet reached 27 million kg, but only 16 million kg in 2004.
- *Low socio-economic conditions of communities:* The socio-economic conditions of the communities around the MPA vary greatly, although some have impoverished conditions as in the case of Barra del Colorado.

The project is relevant, as it sought to address the following specific problems: weakness in the institutional framework and lack of individual management skills that limit the effective management of MPA, insufficient levels of funding for long-term sustainability of the MPA and the failure to incorporate the full range of biodiversity in MPA.

3.3 Development and immediate project objectives and expected results

The project's goal is to preserve in Costa Rica the marine and coastal biodiversity which is important at national and global levels. The project´s objective is to consolidate Costa Rica´s MPA, increasing its ecological representation and ensuring an effective management and financial sustainability. The three main project goals are:

1. *Strengthen the institutional framework and improve individual capacity for the effective management of MPA*
2. *Increase and diversify funding for marine protected areas.*
3. *Expand the coverage of the MPA to improve the ecological representativeness.*

3.4 Established benchmarks

The main established benchmarks in the PRODOC are listed below:

Table 4 Established benchmarks in the PRODOC for the PCAMP

BENCHMARK	UNIT OF MEASURE	PROJECT´S FINAL GOAL
Goal: Consolidate Costa Rica´s MPA through an increased ecological representation and ensure their effective management and financial sustainability		
Total marine area under protection within the MPA	km^2	6.835
Change in the ecological representativeness within ten coastal and marine sites	km^2	• Land: 407 • Coastal (0-30 m): 1.534 • Neritic (30-200 m): 4.472 • Oceanic (> 200 m): 422
Change in management effectiveness of the PA as measured by METT score for 11 MPA	METT percentage	• Santa Rosa NP: 20% • Corcovado NP: 10% • Cahuita NP 20% • Marino Ballena NP: 10% • Caño Island BR: 10% • Coco's Island NP: 10% • Gandoca-Manzanillo NWR: 20% • Playa Hermosa NWR: 20% • Cabo Blanco NR: 20% • Marino Las Baulas NP: 20% • Térraba Sierpe NWR: 20%
Increased financial capacity of MPA according to the average of the total score set in the scorecards for UNDP / GEF´s Financial Sustainability	METT percentage	• Legal and regulatory framework: 20% • Business Plans: 20% • Instruments to generate income: 20% • Total: 20%
Outcome 1: Strengthened institutional capacity and enhanced individual capacity for effective management of MPA		

Improvement of capacity development indicators of key stakeholders through UNDP´s capacity building scorecard: 85 SINAC officials trained in the development of MP for monitoring MPA marine ecology and the impact of mitigation and adaptation to climate change.	Percentage	• Ability to commit • Ability to generate, access and use information and knowledge • Management capacity and implementation • Monitoring and evaluation capabilities
Change in management effectiveness of 3 MPAs as a result of participatory management actions	Percentage	• Santa Rosa NP: 20% • Cahuita NP: 20% • Playa Hermosa NWR: 20%
Mitigation strategy and adaptation to climate change for the MPA	Strategies	• Santa Rosa NP • Cahuita NP • Playa Hermosa NWP
Outcome 2: Increased and diversified funding for the MPA		
Change in the total annual budget of the Central Government allocated to MPA	US$	$ 166.041
Change in the amount of funds received annually from private sources to MPA	US$	Top $ 955.397
Change in the financing gap to cover the basic costs of management and investment of the MPA	US$	$ 1.000.000
Number of business plans (BP) for MPA	BN	3 (approved for the 2 years)
Number of proposals to implement PES schemes in MPA	PES Proposals	3
Output 3: Expanded coverage of MPA to improve the ecological representativeness		
Number of nests per breeding season for the olive ridley turtle (*Lepidochelys olivacea*)	Nests	• Playa Hermosa NWR: 500 • Santa Rosa NP: 10.000 during nesting and 150 during non-nesting season
Hawksbill turtles (*Erectmochelys imbricata*) that safely reach the ocean	Number of hatchlings	5.000
Change in coral coverage	Percentage	• Santa Rosa NP: 71% • Cahuita NP: 15%
Change in marine sea grass biomass (Thalassia testudinum)	g/m^2	Cahuita NP: 737,5

Change in the area of key ecosystems protected by MPA	ha	• Estuary: 1,655 • Mangrove: 15,127 • Coastal lagoons: 0 • Sea grass: 200 • Coral reefs: 380 • Intermarial Area: 220 • Upwelling: 10,670 • Rocky beach: 25 km • Sandy beach: 138 km • Coastal cliff: 231 km • Muddy seabed: 3,508 • Sandy seabed: 1,240 • Hard seabed: 124 • Soft seabed: 399
Number of MPA expanded/created	MPA Expanded/created	10
Management plans for the MPA updated for the 10 priority sites	number	11

Source: PRODOC UNDP 2011.

Table 3 shows general indicators, to meet the overall objective of PCAMP and indicators for each of the three project results: institutional and individual strengthening, financing and expansion of the MPA.

3.5 Main *stakeholders*

The main stakeholders of the project are described in Table 4, according to the PRODOC. Just one stakeholder was added: COLAC, which is explained below:

Table 5 Brief description of the project´s main stakeholders

INTERESTED / STAKEHOLDERS	DESCRIPTION OF THEIR ROLE IN IMPLEMENTITION OF THE PROJECT
SINAC	Implementing entity and responsible for the administration of all public PA, including the MPA. It´s a decentralized institution of MINAE that dictates the policy processes, planning and implementation to achieve sustainability in the management of natural resources. SINAC is composed of 11 sub-systems called Conservation Areas (CA) and its Executive Secretariat is located at its headquarters in San Jose.
CONAC	Decision-making body of the highest level of SINAC, headed by the Minister of MINAE, related to MPA in consultation processes regarding their planning, management and financial sustainability.

CORAC	Includes a wide range of actors with direct relation in the PA management, including municipalities, local environmental committees, and community associations. It´s involved in the approval process of the MP, BP and provides recommendations for expansion or creation of MPA.
COLAC	Includes many actors at the local level, to determine the governance of the PA, including sectors such as tourism, agriculture, health, tourism, municipalities, NGOs and others
MPA Officials	Technical, financial and administrative Costa Rica´s MPA officials, who play a central role in the development of actions at the site level to improve the ecological representativeness, improve management effectiveness of MPA and financial sustainability, and promote local participation. Will be the beneficiaries of the training on topics such as the development of the MP for MPA, marine ecological monitoring and mitigation and adaptation to the impact of climate change
Municipalities	They have jurisdiction over coastal areas and therefore are key partners in the management of the MPA. Municipal representatives participate in the CORAC. Efforts to improve interagency agreements and the coordination mechanisms include the municipalities and the development of MP for specific MPA.
Local Communities	There are many coastal communities near the MPA, who depend on coastal marine resources. The protection and effective management of MPAs require their active participation, particularly in Cahuita NP, Santa Rosa NP and NWR Playa Hermosa, where specific participatory management arrangements will be implemented
Local Fishermen	Diverse group of fishermen of small and large commercial scale. Fishing is a source of employment for many coastal communities. Their involvement in the project is essential to implement participatory management arrangements in MPA and the sustainable use of the coastal and marine fishery resources
Local Development Associations	Include owners of hotels and restaurants, surf and diving shops, and local transportation business, among others. Provide tourist services in adjacent sites to the MPA. Many associations currently support SINAC and have joined the MPA to protect biological resources and enforce regulations for use of the resources. Their participation is anticipated in the consultation process for the development of the MP of the MPA.
Universities and Research Institutes	Several universities and research centers are actively involved in the project through its academic programs and biological and ecological research, as well as resource use and management of natural resources in marine and coastal areas. These institutions include CATIE, UNA, UCR, among others, who will contribute to increase the representation of ecosystems and the effective management through research related to MPA and the marine and coastal biodiversity. Additionally, it will be important for the development of marine ecological monitoring strategy and management information system.
MINAE	GEF focal point and the lead agency for natural resources and who should provide political support for the project implementation
INCOPESCA/ MAG	INCOPESCA attached to MAG, oversees the fishing sector. Will be involved in the consultation process regarding the expansion of the existing MPA or

	the creation of the new ones. The project will develop coordination instruments to facilitate the coordination between SINAC and INCOPESCA
ICT	Leading the tourism sector, will work closely with SINAC to develop inter-agency coordination tools for the implementation of tourism activities developed in the MPA, including participation of communities in tourism activities around the MPA.
SNG/MSP	Public actor who works closely with SINAC in control and surveillance activities and is responsible for enforcing the provisions regarding the use of marine resources around MPA and the compliance with environmental regulations.
Forever Costa Rica	Private non-profit organization established with the goal of conserving Costa Rica´s natural environments, including the MPA. It is a co-financer of the project and plays an important role in the consolidation of the trust for the sustainability of MPA and development of the MP of the MPA. It is a member of the project steering committee.
UNDP Office in Costa Rica	Project implementing entity working to overcome poverty and promote sustainable development in Costa Rica. UNDP provides guidance, technical support, management tools, and theoretical and practical knowledge to national and regional institutions in order to assist in the implementation of public policies, initiatives and projects to protect the environment.

Source: PRODOC UNDP 2011.

4. FINDINGS

4.1 Project design and formulation

4.1.1 Logical Framework Analysis (LFA) and Results Framework

The logical and outcomes framework present a vertical logic: the activities respond to the outputs, the outputs to the outcomes and the outcomes to the objectives. The objectives, outcomes, outputs and activities are feasible and clear; but they are not viable within the period specified in PRODOC.

The reaction time from SINAC and the public institutions involved in the achievement of indicators seems to have not been adequately considered in the design of the project, considering middle management in the SE and PA and the dynamics of decision making of each CA; especially with regard to the allocation of staff to the MPA, strengthening of the marine program, establishment of PROMEC and administrative proceedings (signing contracts, payments, acquisitions, etc.), among others.

The change in the government`s administration, also brought delays, although foreseeable, they were not taken into account in the design. These delays are mainly due to the following reasons: new staff in management positions that require knowledge of the various processes and particularly the project. Additionally, the link between PROMEC to the monitoring of marine and coastal indicators is not yet ready, which also delays PCAMP´s activities, also the national strategy for climate change is not yet defined and it is not desirable that the PCAMP advances in a separate strategy.

Some of the inconsistencies found are listed below (Annex 3: Logical Framework project):

- Project´s Goal: the indicators of *total marine area under protection and change in the ecological representation within the coastal and marine sites* depend solely on the decisions made in a participatory manner (with communities) and the political willingness in proposed conservation gaps. Also, the conservation of critical sites could be carried out under an excluding PA scheme with another management system for the marine and coastal resources, for example areas for responsible fishing
- *Outcome 1* Strengthening of the institutional framework:
    - UNDP´s scorecard baseline for capacity development, according to the PRODOC, should have been calculated during the first six months of the project; however, this has not been calculated[1], so it is important to do it as soon as possible, before the final evaluation in order to compare data. This task is scheduled to

[1] The "UNDP Capacity Development Scorecard" is a standard tool for monitoring the capacity building during the life of a project. This scorecard includes the most important issues related to capacity building and these issues can be adjusted according to the project`s needs. During the development process of the ProDoc it was determined that the general themes that were to be measured by indicator number one of output 1 were: Capacities for engagement: X, Capacities to generate, access and use information and knowledge : X, Capacities for management and implementation: X, Capacities to Monitor and Evaluate: X.

For each of the above categories there are specific questions which can be tailored to the country`s context and project. The X in each category is the base line that should have been determined since the beginning of the project. Based on the results of the baseline and the scorecard implementation process is that the topics and staff training can be determined. Officials should have already been trained to apply the scorecard and measure whether there was increase in capacity or not. It is important to apply

be performed in June 2015, after the training and re-measure.

- METT results show that there has been a regression in the effectiveness of the MPA management, mainly due to the lack of field staff due to frozen positions and the gradual reduction of institutional budgets.

- *Outcome 2 Increase in funding:*
  - The goal of indicator 2.1, *change in the central government budget*, is not under the real direct scope of action of the project, but PCAMP can support SINAC to perform the necessary lobbying.
  - In regards to this indicator, it was planned in the PRODOC that the PB would conduct an analysis on the needs and prioritization of investments for MPA that was not carried out, based on that the PCAM would develop product 2.2 (defined regulations and operational guidelines for the placement of financial resources for the MCP), due to this, the indicator was affected.
  - The baseline or indicator 2.2, *change in private funds used in the MPA*, used data from international sources (GEF, IDB, among others) corresponding to public and private funds, prompting the goals to be set erroneously during the design of the project. The indicator should be drafted in such a way that considers national and international donors, without specifying whether the funds come from public or private sources.
  - The goal and indicator 2.3, *change (reduction) in the financial gap to cover basic investment and management expenses in the MPA*, is not relevant for PCAMP, because as soon as the MP´s MPA are done or updated, more needs are identified (financial gap increases) for the protection and management of MPA.
- *Outcome 3 Representativeness:*
  - Indicators (3.1 to 3.4[2]) identified to monitor the progress of this outcome are not relevant, meaning, that it doesn't depend on the project`s objectives and scope of action, since the prioritized actions in the MP to reduce threats to biodiversity are not consistent with PCAMP indicators[3].
  - Indicators 3.5 and 3.7: *Change area of key ecosystem*, number of created / expanded MPA updated and published PM for the 10 priority sites, are not a good parameter of the project´s progress, because everyone depends exclusively on the decisions that are taken in a participatory manner (with communities) and political willingness, as mentioned earlier in the project´s goal; thus the final decision could be another conservation scheme other than MPA[4].
  - In Indicator 3.5, *change in the area of key ecosystems protected by MPA*, we could not find the methodology for calculation nor the baseline nor the goals.

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the scorecard as soon as possible (scheduled for June 2015) to determine the baseline, perform the necessary training and re-apply the scorecard to determine whether any increase in capacity was achieved.

[2] Number of nesting nests of Lora turtle, number of hawksbill hatchlings, change in coral cover and change in biomass of sea grass

[3] See recommendation # 1 in the section 5.1

[4] If communities are not in line with the MPA declaration agreement, this must be registered in PCAMP PIR, which would record the pretension of the goal for these indicators

4.1.2 Assumptions and Risks

4.1.2.1 Risks

The first three risks described in the matrix are the ones described in the PRODOC of PCAMP and were updated in Table 6 below. It is worth noting that the risks identified and evaluated in the PRODOC were assessed considering their likelihood and impact[5] and have increased to date, so that the original recommendations are still valid and aim to develop and strengthen a communication strategy and awareness at the political level. The last two risks were included and valued in this update.

All risks are classified as high; two of the highest rankings are (6): risk of not securing the required funds for the consolidation of MPA and lack of staff to follow up the activities in MPA.

[5] The probability in this context is the certainty that the event occurs. The impact is the effect that the risk will have if it occurs.

Table 6 **Updated Project Risk Matrix and Implemented Mitigation Measures**

TYPES OR RISKS	PROBABILITY	IMPACT	CLASSIFICATION		MITIGATION MEASURES	
			CURRENT	PREVIOUS	PREVIOUS	FUTURE OR RECOMMENDED
1. Risk of losing political support and commitment for the Project and the FCR program	2	3	H 3+2= 5	Low	To reduce this risk, there was permanent involvement and information regarding the program and its goals to the government officials and decision makers at the national (MINAE, CONAC), regional (CORAC), and local (Municipalities) levels. Key times in the life of the project (mid-term and final assessment) will be particularly important to promote the Project´s political and institutional support.	Continue as planned and begin immediately with: briefings at all levels, especially the minister, vice-minister and SINAC´s executive director. It is necessary to promote decision making at a political level based on scientific information
2. Risk of not ensuring the funds required for the consolidation of the MPA	3	3	H 3+3= 6	Low	To reduce this risk efforts have been carried out to consolidate the FCR program`s funds and the project will carry out efforts to include blocking mechanisms to ensure the Government´s commitments to increase the financial levels for marine conservation and the MPA	The FCR program`s fund is on track with its consolidation. Continue contact and information regarding the Project at the highest level (Ministers of the MINAE and Treasury) to meet the commitments made by the Government. Actions carried out by the Project on topics such as the NP and PES should be addressed in order to complement the financial requirements of the MPA that the FCR Program cannot assume. Follow-up should be done on the implementation processes of the MP, BP, PES and PROMEC schemes.
3. Climate Change (CC)	2	3	H 3+2= 5	Low/medium	• Project activities are guided to assess CC risks in marine life and in the MPA to provide information and better decision making • Mitigation measures to CC are incorporated to the MP • CC is tracked and an adaptive management is implemented • Close coordination with the field component of FCRP to take advantage of their findings and lessons learned that are relevant to the MPA	• Progress has been made in incorporation CC in the marine conservation goals of SINAC • Vulnerability analysis of the biodiversity sector in CC have been carried out and adaptation and mitigation actions have been proposed • These actions should continue to strengthen the inter and intra-institutional work on these issues.

TYPES OR RISKS	PROBABILITY	IMPACT	CLASSIFICATION		MITIGATION MEASURES	
			CURRENT	PREVIOUS	PREVIOUS	FUTURE OR RECOMMENDED
					• Training of MPA officials in CC will ensure that the proposed measures will be effective	
4. Lack of staff time to monitor the MPA actions	3	3	H 3+3= 6	N.A.	N.A.	An analysis and persuasion process should be conducted on the grounds that the new personnel assigned by SINAC to the MPA, produce higher incomes than costs (salary plus social contributions) and in this manner profitable their procurement for GoCR. Communication activities should be conducted.
5. Not including the marine issue on the CA (PAO) agendas	2	3	H 3+2= 5	N.A.	N.A.	Activities in the PRODOC must be implemented to improve the coordination among SINAC and institutions related to topics such as fisheries and tourism (INCOPESCA, SNG and ICT) and design and implement an information and communication strategy for the consensus of politicians and decision makers on marine-coastal conservation, MPA and the sustainable use of resources.

Note: *Probability/impact 1 low (insignificant), 2 medium (minimum), 3 high (significant).*
Addition/classification:

5-6= **High Risk (H):** Probability greater than 75% exists that the assumptions are invalid or will not be executed or that the Project will face high risks.
4= **Substantial Risk (S):** Probability between 51% and 75% exists that the assumptions are invalid or will not be executed or that the project will face substantial risks.
3= **Modest Risk (M):** Probability between 26% and 50% exists that the assumptions are invalid or will not be executed or that the Project will face only moderate risks.
2= **Low Risk (L):** Probability of up to 25% that the assumptions are invalid or will not be executed or that the Project will face only moderate risks.

The color indicates an alert in the described risk. N.A.= Not applicable

Source: Risk and Interview Matrix 2014.

4.1.2.2 Assumptions

The main assumption for the increase of the Costa Rica MPA– the existence of a policy in this sense – will not necessarily be fulfilled since the Costa Rican Government is questioning the creation or expansion of the MPA as the only road to achieve an increase in the ecological representativeness and conservation of the marine and coastal resources. The government´s current policy is aimed to continue with a broad participation, emphasizing the definition of governance for the use of these resources (Table 7).

Table 7 Fulfilling the Assumptions

ASSUMPTION	FULFILLMENT	AFFECTED INDICATOR/OUTPUT	OBSERVATION
1.The Policy will exist for the creation of new MPA and the expansion of the existing ones	Uncertain	• Total marine area under the protection of the MPA • Change in the ecological representativeness of the 10 coastal and marine sites • Change in the key ecosystems´ surface protected by the MPA • Proposal in La Gaceta for the creation or expansion of MPA • MP approved	The new GoCR questions the MPA creation/expansion, in exchange for a broad participatory process in which the governance of the marine-coastal resources is defined
2.Continued support from the Government and non-governmental agencies for MPA management	Yes	Change in the PA management efficiency according to the score measured by METT for eleven (11) MPA	Today, the MPA have a larger budget than at the beginning of the PCAMP. However, by updating the MPs the identified needs grow, hence so does the financial gap
3. Stable national and international economic conditions. GoCR willingness to increase the MPA funds. NGO, private sector and other donors maintain or improve their investment in supporting the MPA 4.A private funding source log exists for the land or marine component	Yes	• Increase in the financial capacity of the MPA according to the total scoring average found on the Financial Sustainability scorecards for the UNDP / GEF (TPSF) • Change in the total annual central government`s budget that has been assigned to the MPA management • Change in the amount of financial resources the MPA received annually from private sources • Change in the financial gap to cover the MPA basic management and investment costs	
5. Willingness of national institutions to improve cooperation and information and knowledge exchange 6. Willingness of SINAC`s personnel to participate in trainings	Low	Strengthen the institutional framework and improve individual capacity for effective management of the MPA	• There has been weak coordination with other GoCR Institutions • SINAC`s officials have been willing to receive trainings
7.Prioritization of available MPA	Yes	# NP for the MPA	The Steering Committee prioritized Playa Hermosa Punta Mala NWR, Cahuita NP and Santa Rosa NP
8.Availability of a selection of MPA by SINAC and FCRP 9. There is timely and trustworthy information	Yes	Number of proposals for the implementation of SE schemes in the MPA	
10. Sampling efforts are optimum.	Low	Number of nests for head starting for the ridley turtle	The assumption was designed based on the

ASSUMPTION	FULFILLMENT	AFFECTED INDICATOR/OUTPUT	OBSERVATION
11. Environmental changes (including CC) within their natural variability		• # of hatch-lings Hawksbill turtle that safely reach the ocean • Change in (live) coral coverage • Change of sea grass biomass	monitoring efforts by third parties (universities and NGO), who's execution times did not adapt to PCAMP times. CC has brought unpredictable climate variations that have affected the ecosystems

***Note**: The color indicates an alert in the described assumption.*

Source: Logical Framework and Interview Matrix 2014.

4.1.3 Lessons of other Relevant Projects Incorporated in the Project´s Design

According to PRODOC, PCAMP was complementary to the project *Improved Management and Conservation Practices for the Marine Coco's Island Conservation Area* GEF-UNDP, whose objective was to reduce the risks to the marine and land biodiversity in Coco's Island by strengthening the PA management and regulating local economic activities in a sustainable manner. Some of the lessons learned from this project include the following:

- Need for public involvement to effectively define the MPA limits
- Clearly define the guidelines for the effective management of the resources, resource assignments and financial and accounting reports to enhance the capacity of the MPA officials for financial management.
- The methods used for marine areas zoning and the MPA expansion plan for the Coco's Island project could be applied in the development of the MPA´s management plan which will be created or expanded with PCAMP.

4.1.4 Planned participation of the Stakeholders

The planned participation of stakeholders was described in the above Table 4. In practice, the PCAMP has fostered a large participation to the internal of SINAC and the communities related to the attention of conservation gaps. Coordination with FCRP and Forever Costa Rica Association has been close, as well as with BIOMARCC. However, the relationship with MINAE has been limited, despite being important from a political point of view.

External relations, especially with institutions related to fishing and tourism, such as INCOPESCA, SNG and ICT, have been weak, although locally INCOPESCA officials have participated in the consultations for the attention of the conservation gaps. There has also been very little participation by the municipalities, in order to coordinate the activities with the corresponding Regulatory Plans.

4.1.5 UNDP comparative advantage

This project fits with the UNDP comparative advantage, selected as the Implementing Agency of the GEF by the Government of Costa Rica, due to their experience in developing the capacity of governments to conserve biodiversity and the use of sustainable resources and create, disseminate and adopt best practices in the conservation of biodiversity, capacity development, and increase the financial sustainability of the PAs. Additionally, UNDP works with different PA

institutions and actors in Costa Rica with environmental and governance issues as the Implementing Agency of the above projects which constitutes the programmatic approach for the consolidation and sustainability of MPA, so It is in a unique position to ensure the learning applications between projects.

In this sense, the PCAMP needs the support of the UNDP Office to promote the coordination between SINAC and relevant institutions in the marine-coastal theme, such as SNG, INCOPESCA and ICT; also on the issue of defining governance for the different stakeholders of the MPA and the priority sites for the attention of conservation gaps.

4.1.6 Links between the project and other interventions within the sector

The PCAMP is complementary to the GEF-UNDP project Overcoming Barriers to Sustainability of Costa Rica´s Protected Areas System (Project Barriers, PB), which main objective is"To overcome the major systemic and institutional barriers to the sustainability of SINAC". This project provides benefits mostly to the systemic level of the PA, while PCAM responds to specific needs of the MPA at the subsystem level and site. The specific complementary products are:

- Training modules with marine emphasis are being built, based on SINAC´s training plan performed through its Project Barriers (PB).
- A joint proposal is being developed for the grant of non-essential services in two of the three pilot areas.

The PCAMP has also supplemented their activities and exchanged lessons learned with the project GEF-IDB Integrated Management of Marine and Coastal Resources in Puntarenas (IDB Gulfs), which aims to promote the integrated planning and management of marine and coastal ecosystems in the Gulf of Nicoya and marine multiple-use areas of the South Pacific to conserve biodiversity and sustain environmental services and provide the basis for sustainable socioeconomic development. The benefits provided by this project are mostly planned outside the MPA. The specific products:

- The marine spatial organization of the two gulfs should have been ready so PCAMP could have initiated efforts in the sites agreed by the different sectors with marine conservation suitability. The PCAMP went ahead based on the proposal of Gruas 2 for the attention of the gaps: Cabo Blanco, Chira-Tempisque, Dominical-Sierpe, Caño Island, Corcovado and Golfo Dulce.

The PCAMP has been complemented by the IDB Project Biodiversity Adaptation to Climate Change in the following specific objectives:

- Strengthening of SINAC’s capacity for the adaptation of the biodiversity to climate change: training modules were developed and PCAMP based on this structure, developed specific modules on the marine topic.
- Development of the adaptation strategy of the biodiversity sector to climate change: developing a specific strategy for the marine sector that the PCAM will assume for its implementation.

PCAMP has coordinated with Biomarcc for the attention of the gaps: the attention of gaps in Santa Elena and Cabo Blanco has been made (Punta Pargos, Punta Gorda will not be performed in this analysis, while Chira-Tempisque is in analysis). There has also been collaborated in the development of financial mechanisms for the pilot areas, training modules on the marine theme, pedagogical technical advice for the formulation of the curricular structure of the modules, implementation of marine biological monitoring in the three pilot areas in coral formations, nesting beaches for sea turtles, rocky and sandy beaches.

Conservation International (CI) is collaborating on the design of a tool that will estimate the investment in the MPA.

4.1.7 Management arrangements

PCAMP has been an integral part of the Country Programme Action Plan UNDP 2008-2012 signed between the government of Costa Rica and UNDP on February 29, 2008, which constitutes a legal endorsement.

UNDP has served as the Implementing Agency of PCAMP and brought experience in biodiversity, conservation, PA management and sustainable development and has supported the creation of capacity and institutional strengthening. UNDP Country Office and the Regional Coordinating Unit in Panama have been responsible for maintaining transparent work practices, proper conduct and professional auditing.

PCAMP has been executed by SINAC-MINAE, who signed the grant assistance agreement with UNDP on behalf of the Government of Costa Rica and has been responsible for the coordination and management of the project and has ensured the compliance of the work plans, as a basis for project implementation.

SINAC's Executive Director has also served as director of PCAMP and has provided comprehensive monitoring and represented the Costa Rican government's interests during the project`s implementation. Additionally, there has been an institutional coordinator, who has been responsible for coordinating the interaction between the Project Implementation Unit and SINAC - and other institutions.

4.2 Project Implementation

4.2.1 Adaptation management and M & E feedback

The PCAMP insertion workshop was held in March 2012, without any changes in the outcomes, outputs and indicators as described in PRODOC, so there have been no M & E activities in this regard.

4.2.2 Partnership Agreements

PCAMP has undertaken coordination agreements with Biomarcc and Forever Costa Rica (all three are part of FCRP), with regular meetings, in order to avoid duplicating actions and create synergies.

4.2.3 Project Financing

4.2.3.1 PCAMP Budget

Table 8, shows the comparison between PRODOC's budget (GEF funds) and what was planned and contracted by PCAMP until the moment of the evaluation. The cost in organization and management highlights an increase of 9% in the PRODOC to a 17% committed by PCAMP.

Table 8 **Comparison between PRODOC´s budget and what was planned and contracted by PCAMP (up to December 31, 2014)**

Outcome	PRODOC´s Budget	Percent-age (PRODOC´s Budget)	Planned by PCAMP	Percent-age (Planned from the del Total)	Hired	Percent-age (Hired/ Planned)
1. Institutional Framework	$ 230.163	19 %	$ 195.660	16 %	$ 69.918	36 %
2. Funds	$ 124.090	10 %	91.300	8 %	$ 72.939	80 %
3. Representative-ness	$ 747.590	62 %	$ 715.500	59 %	$ 337.845	47 %
Organization and Management	$ 110.184	9 %	$ 209.567	17 %	$ 210.030	100 %
TOTAL	$ 1.212.027	100 %	$ 1.212.027	100 %	$ 690.732	57 %

Note: Color indicates a compliance alert, according to the information provided.

Source: PCAMP 2014 y PRODOC UNDP 2011.

4.2.3.2 Co-financing

The project's total co-financing is approximately US$18 million (Table 9). To date, the public sector, through SINAC, has provided 77% of the committed funds; but the Forever Costa Rica Association has only provided 9%, which could affect the achievement of goals at the end of the project. The total amount of co-financing provided to date is approximately US$6 million (34% of the total).

Table 9 Sources and amounts of co-financing, October 2014

CO-FINANCING SOURCE[1]	NAME OF THE CO-FINANCER	TYPE OF CO-FINANCING[2]	CONFIRMED / APPROVED AMOUNT (US$)	PERCENTAGE OF THE TOTAL (%)	AMOUNT DISBURSED DURING THE PROJECT´S MID TERM (US$)	TOTAL PERCENTAGE OF PRIVATE CO-FINANCING (%)
Public Sector	National System of Conservation Areas	In kind	6.449.000	36	4.943.285	77
Private Sector	Forever Costa Rica	In kind	11.412.500	64	1.080.982	9
		TOTAL	17.861.500	100	6.024.266,82	34

Note: Color indicates a compliance alert, according to the information provided.

Source: SINAC / Forever Costa Rica.

[1] Sources of co-financing may include: Bilateral Aid Agencies, Foundations, GEF Agency, Local Government, National Government, Civil Society Organizations, and other multilateral agencies, private sector, among others.

[2] Kind of co-financing can include: donation, soft loan, hard loan, guarantee, and in kind, among others.

4.2.4 Monitoring and evaluation: design input and execution

In summary, this project is described as 5, satisfactory (S) in the design input and 3, somewhat unsatisfactory (SU) in its execution, because the M & E tools have not been applied and used as planning tools.

For the monitoring and evaluation of PCAMP several instruments have been used, among the most outstanding we can mention:

- Monitoring Matrix logical framework (results matrices, products, indicators and activities at the pilot areas).
- METT
- PIR
- Annual Work Plans
- Monthly, quarterly and annual reports
- Financial scorecard

The capacity development scorecard has not been used yet, but its application is expected in June 2015, as a prelude to conduct the training and then return to the measurement.

4.2.5 Coordination of the implementation and execution of UNDP and stakeholder for implementation and operational issues

To coordinate the implementation and operational issues, the following meetings will take place:

- Annual Steering Committee meetings (FCR, SINAC, UNDP, PCAMP, MINAE)
- Meetings with SINAC at least every 20 days
- Meetings with UNDP about every two months
- Monthly meetings with FCR and Biomarcc

4.3 Project Results

4.3.1 Relevance

In summary, this project is scored as 2, relevant (R) as it is relevant at all analyzed levels.

4.3.1.1 Connection of the project with national and international law

The project is consistent with the Convention on Biological Diversity, which was ratified by Costa Rica in August 1994. Similarly, the General Environmental Law (7554/1995) outlining common objectives for the PA of Costa Rica, which states in its Article 28 "It's the government, municipalities and other public entities´ responsibility to define and implement national land management policies, that would regulate and promote human settlements and economic and social activities of the population, as well as physical space development in order to achieve

harmony between the greater good of the population, the use of natural resources and the environmental conservation."

The Biodiversity Act (7788/1998) seeks to conserve biodiversity and promote the sustainable use of resources. It provides the guidelines through which the SINAC could finance the PA, including the development of specific funding mechanisms, self-financing and grants for non-essential services. It also provides guidelines for the creation of participation mechanisms for community inside the system through the CONAC, CORAC and the establishment of Local Councils. The CORAC facilitates the participation of different actors in the planning and management of each of the 11 CA. The CORAC is formed by means of a public announcement, made by the regional representatives of SINAC to all non-governmental and community organizations, municipalities and public institutions present in the area.

The National Strategy for Biodiversity Conservation and Sustainable Use (1999) provides the framework for the conservation of marine ecosystems and their sustainable use in the country. Likewise, the National Marine Strategy (2008) emphasizes the need to integrate the conservation and sustainable use of marine resources as part of Costa Rica´s development needs. Among other things, the strategy highlights the need to assess the vulnerability of marine and coastal species to CC, monitor their impact and develop programs, projects and actions to mitigate potential impacts.

4.3.1.2 Project link to GEF

PCAMP addresses the Strategic Objective 1 of the Biodiversity´s focal area: improve sustainability of protected area systems and is consistent with the Strategic Program 2: broaden the representation of terrestrial and marine systems. The project will also address the need for financial sustainability of MPA through the consolidation of the trust and the development of alternative development strategies, making it consistent with the Strategic Program 1: Enhancing sustainable financing of the PA systems.

The project seeks to adopt recommendations made by GEF Council´s Scientific Advisory Committee (SAC), in their information document (GEF/C.31/10) which includes: a) sufficient and predictable available revenue to support management costs of the PA; b) include coverage of viable ecological representation examples; c) adapt the individual, institutional and systemic capacity to manage existing protected areas in order to achieve their management objectives. The project will also support national efforts to address the coverage gap of marine ecosystems within the national system, through the establishment of ecological connectivity between existing protected coastal habitats and unprotected ocean habitat that are vital for marine life.

It also meets the minimum standard 2 of protection of natural habitats, "the policies, procedures and guidelines established, need to ensure that environmentally sustainable development is promoted, to support sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and biodiversity and ecosystem associated functions ".

4.3.1.3 Connecting the Project with UNDAF

The United Nations Development Assistance Framework (UNDAF) is the result of a reflection and consultation process by the United Nations System in Costa Rica with the Government, containing a joint cooperation proposal for 2013-2017.

The UNDAF formulation process begins with the United Nations Country Team (UNCT) with an evaluation review of the previous 2008-2012 program cycle and the main challenges were identified for sustainable human development as well as, the strategic cooperation opportunities based on the comparative advantages of the UN.

The drafted Common Country Assessment (CCA) is the diagnostic and proactive reference regarding the UNS as a partner in national development efforts. Costa Rica is in the group of countries with high human development; however, economic opportunities and the possibilities of skills development that characterize the moments of expansion of wealth and social progress, do not arrive systematically and equally to all population groups and all regions of the country. Likewise, the second country report (2010) of the MDGs status highlights the approach to the full achievement of several of the objectives and recalls the subsistence of important gaps of inequality and regional asymmetries that affect quality and scope of the MDGs beyond the averages.

Based on a differentiated analysis on the country´s strengths, weaknesses and the actual challenges, the UNS identifies in the Common Country Assessment (CCA), a set of 12 focus areas, among which included the following for their relation with PCAMP.

- Historically, the country has been committed to environmental sustainability; however, there are shortcomings in some areas, such as in the availability of fiscal resources for the maintenance of protected public areas.
- In the past, Costa Rica carried out important efforts to achieve land use, however these efforts have not had the necessary continuity. While public institutions, due to their operations, have been obligated to carry out some degree of territorial planning, these usually are disjointed from those that are being done in other sectors of national activity.
- The geographical location of the country makes it so that its territory is exposed to a large number of geological and hydro meteorological threats. It is the latter that generates the most damage and whose accumulated sum in annual losses constitute a direct impact on development and on the country´s finances, as well as an intense affectation on the people, ecosystems and communities. The recurrence of these season events generate a repetitive cycle of vulnerability and impact highway infrastructure and national productivity, which reduces the recuperation and resilience capacity of the population. It is evident that Costa Rica needs to multiply their efforts to implement key elements aimed at reducing the disaster risks, through planning and investment, integrate risk management in the instruments and existing mechanisms to regulate urban growth, protect ecosystems and offer mayor social protection as well as, build capacities related to risk governance.

Because of this UNDAF 2013-2017 sets out, from a comprehensive and multi-sector perspective, five strategic areas of work in which the SNU can respond more effectively to the priorities and needs of the country, two of them stand out for their relationship with the PCAMP: i) sustainability and risk management and, ii) productive development and job creation.

In i) sustainability and risk management, the direct effects identified are the following:

- The public, private, and civil society sectors are capable of implementing the national climate change strategy, to move towards an economy that is low in carbon and lessen vulnerability to climate change. *Responsible agencies*: UNDP, UN HABITAT, UNESCO, FAO, UNEP, UNIDO.
- The public, private and civil society sectors have made progress in the incorporation and implementation of policies and national strategies that consider environmental qual-

ity management and integrated natural resource management, as well as valuing environmental goods and services, the protection, conservation and sustainable use of biodiversity.

- The public, private, and civil society sectors have incorporated into their policies and developed capacities to implement the National Risk Management Plan and measures for a better use of the land. *Responsable agencies*: UNDP, UN HABITAT, UNESCO, IOM, FAO, PAHO /WHO.

In ii) productive development and job creation, the direct effects identified are the following:

- Public polities implemented to coordinate and guide research, innovation and technological transfer in sustainable production. *Responsible agencies*: UNPD, UNESCO, UNIDO, ILO, FAO.
- Improving the country´s food and nutritional security with the participation of the micro and small businesses of the productive, service and commercial sectors. *Responsible agencies*: UNIDO, ILO, FAO, PAHO/WHO, UN HABITAT
- Strategies and programs implemented for sustainable productive development, generation of opportunities and decent work conditions with emphasis on the micro-small-medium businesses, youths and women. *Responsable agencies*: UNDP, UNFPA, UN HABITAT, UNESCO, UNIDO, IOM, ILO, FAO

4.3.1.4 Project Connection with Development Problems and National Policies

The National System of Conservation Areas (SINAC) defined a strategy to achieve the established conservation goals and to meet the objectives of the Programme of Work on Protected Areas (POWPA) of the Convention on Biological Diversity (CBD). The Government´s strategy consists of the following:

a) Close the gaps of identified ecological representativeness in the GRUAS II technical study.
b) Increase the effectiveness in the protected areas management.
c) Identify and incorporate positive and negative adaptation and mitigation activities on current biodiversity in the country´s land and marine protected areas, vulnerabilities to Climate Change, and extreme meteorological events.
d) Establish a stable source of sustainable funding for protected areas.

In order to assume these commitments the Government of Costa Rica, through SINAC, together with its external partners - Linden Trust for Conservation, Gordon and Betty Moore Foundation and The Nature Conservancy – formulation of the Forever Costa Rica Program, which has a conservation plan called Execution and Monitoring Plan 2010-2015, which defines the activities to be carried out to meet conservation goals and international commitments made by the Government to the CBD.

As a result of this effort, the following funding sources were established for the Execution and Monitoring Plan 2010-2015 activities for the Forever Costa Rica Program, namely:

a) Forever Costa Rica Irrevocable Trust managed by the Forever Costa Rica Association.
b) II Debt-for-Nature Swap with the United States of America administered by the Forever Costa Rica Association.
c) *Biodiversidad Marina y Cambio Climático* (Marine Biodiversity and Climate Change, BIOMARCC) Project of the German Government, administered by GIZ.
d) GEF Consolidating Costa Rica´s Marine Protected Areas Project, administered by UNDP.

e) Inter-institutional Agreements: Framework Cooperation Agreement between the National System of Conservation Areas and the Costa Rican Institute of Fishing and Aquaculture. Signed June 2009, and for a period of five years, aims to formally set out its commitment and its cooperation between the two institutions in order to assist in the management, conservation and sustainable use of coastal-marine resources and freshwater within the national territory and territorial waters.

Table 10, Show the PCAMP connection with the identified development problems in the PRODOC and listed in section 3.2 above, which are still valid at the time of the MTR. The table explains that the project is clearly aligned and responds to development problems.

Table 10 Connection of TC Components and Outputs to the Identified Development Problems

OUTCOMES	EXPECTED OUTPUTS	CONNECTION TO DEVELOPMENT PROBLEMS
Outcome 1. *Strengthen the institutional framework and individual capacity to effectively manage the MPA*	1.1 Strengthen coordination and consultation between SINAC and the other agencies involved with fishing and tourism, through inter-institutional coordination tools within the General Cooperation Agreement as part of the National Marine Strategy	VC
	1.2. Communication and information drafted strategy that promotes awareness among the decision makers in regards to the MPA conservation and sustainable resource use	
	1.3 MPA and Coastal-Marine Program officials trained to develop the management plan for the ecological-marine monitoring of the MPA, mitigation and adaptation to climate change	
	1.4 An increment of 20% in the effective management of the protected wildlife areas of Cahuita, Hermosa and Santa Rosa, through participative management arrangements	
	1.5 Management strategy drafted for climate change adaptation and mitigation for the MPA	
Outcome 2. *Funds increased and diversified for the MPA*	2.1 Trust consolidated for the MPA of the Forever Costa Rica Program	VC
	2.2 Policy and operational guide defined for the assignment and distribution of financial resources for the Coastal-Marine Program	
	2.3 Proposal to updated the MPA visitor`s fee based on the management category, visitor profile and type of service foreseen	
	2.4 Three business plans developed for the existing MPA	
	2.5 Drafted economic assessment for the MPAs ecosystem services and information provided to increase the funds of the three MPAs	
Outcome 3*. Expanded coverage for the*	3.1 Expanded and/or created 10 MPA	VC
	3.2 Management plans developed and published for the new created MPA	

OUTCOMES	EXPECTED OUTPUTS	CONNECTION TO DEVELOPMENT PROBLEMS
MPAs to improve ecological representativeness	3.3 Ecological monitoring strategy developed and articulated with PROMEC	

***Note**: VC= Very Clear C= Clear NC= Not Clear NM= Not mentioned*

Source: Design and Interview Analysis 2014.

4.3.2 Effectiveness

In short, this Project, in effectiveness, is ranked as 4 somewhat satisfactory (SS), despite having achieved important outcomes; it does present shortcomings in reaching its outputs and indicators.

Table 11 **Achievement in the outputs and indicators of Outcome 1, strengthen institutional capacity and improve individual capacity for effective management of the MPAs**

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE EMT/MTR	EXPLANATION
P1.1 Coordination and consultation strengthened between SINAC and agencies involved with fishing and tourism, through inter-institutional coordination tools within the General Cooperation Agreement as part of the National Marine Strategy	Nº of actions implemented	3	0	0 %	SINAC has general framework agreements with the Coastguards, INCOPESCA and ICT. The idea is to activate them, since currently the coordination is weak. With counterpart funding control and protection actions are being coordinated and financed with SNG and SINAC, therefore the goal is to readjust to this reality (instead of actions at the 3 PAs)
P1.2. Communication and information strategy drafted that promotes awareness among the decision makers with respect to the Marine Protected Areas conservation and sustainable re-source use	Nº of strategic actions implemented	5	3	60 %	In regards to promotion activities conducted in addressing marine conservation gaps such as coastal-marine management tools, especially through the media and especially aimed at decision makers. The design of a communications strategy is expected.
P1.3 Marine Protected Areas and Coastal-Marine Program officials trained to develop the management plan for the ecological-marine monitoring of the MPAs, mitigation and adaptation to CC	Trained Officials	85	16	19 %	• 3 training modules (PA planning, adaptation to CC and ecological monitoring) were designed • Monitoring trainings were implemented at turtle nesting beaches, coral formations, sandy beaches and scuba diving, for officials and supervisors of the PA marine programs • The goal of people trained will probably be surpassed
I1.3 *Improvement in the capacity development indicators for key stake according to the UNPD capacities scorecard: 85 trained MPA officials and mitigation and adaptation of CC impact*	*Percentage*	• *Commitment capacity: X* • *Generation, access and information and knowledge use capacity: X*	• *Commitment capacity: X* • *Generation, access and information and knowledge use capacity: X*	•	*Development capacity for the evaluation table will be applied during the first semester of 2015. Local biological indicators and a guide for the MP were drafted. Training modules have been developed for SINAC specifically for the MP development, ecological marine monitoring of the MPAs*

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE EMT/MTR	EXPLANATION
		• *Manage and implementation capacity: X* • *Monitoring and evaluation capacity: X*	• *Manage and implementation capacity: X* • *Monitoring and evaluation capacity: X*		*(PROMEC), and mitigation and adaptation of CC impact*
P1.4 An increment of 20% in the effective management of the PWAs of Cahuita, Hermosa and Santa Rosa, through participative management arrangements	Implemented plans at MPAs	0	3	40 %	The PM/MP was updated as well as the tool to assess the PM/MP effectiveness, as a first step. Then, a plan will be drafted so that the communities can carry out measurable activities in the PM/MP (environmental education, preparation for the non-essential services process). The plans are expected by the first semester of 2015
I1.4 *Change in the effective management of 3 MPAs, as a result of participative management actions*	*METT Percentage*	• *Santa Rosa NP: 72,6* • *Cahuita NP: 70,6* • *Playa Hermosa NWR: 54,9*	• *Santa Rosa NP: 92,6* • *Cahuita NP: 90,6* • *Playa Hermosa NWR: 74,9*	• *Santa Rosa NP: 65* • *Cahuita NP: 53* • *Playa Hermosa NWR: 27*	*In 2014, Barreras (Barriers) Project updated the METT and PCAMP complemented it with (NWR Hermosa, Caño Island BR, Marino Ballena NP, Coco's Island NP and Las Baulas NMP). The result was a setback in management effectiveness mainly due to a lack in field personnel (due to positions freezes) and a gradual decrease in the institutional budgets*
P1.5 Management strategy drafted of climate change adaptation and mitigation for the protected marine areas	Nº of implemented plans by MPA	0	1	50%	In coordination with the IDB´s Adaptation project to CC for the development of the national adaptation strategy for CC at the MPA, this is expected to end at the end of 2014. Adaptation actions to CC were identified and prioritized for each one of the pilot PAs, to be implemented in 2015
I1.5 *Mitigation and adaptation strategy to CC for MPAs*	*One strategy implemented in 3 MPA:* • *Santa Rosa NP* • *Cahuita NP*	*0*	*3*	*50 %*	*SINAC has:* • *Vulnerability of ocean and marine-coastal areas to face the CC analysis* • *Review of the methodology to assess the MPA to face CC* • *Prioritization of the principal activities to mitigate and adapt to CC given its principal marine conservation objects*

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE EMT/MTR	EXPLANATION
	• *Playa Hermosa NWR*				*With these contributions the design for the national strategy and for the 3 PAs can be done. In addition, some priority actions will be implemented*

***Note**: The color indicates an alert in compliance, according to the information provided.*

Source: Progress reports and Interviews 2014.

4.3.2.1 Effectiveness of Outcome 1

Table 11 shows the achievements of PCAMP, measured based on outputs and indicators. Given that currently there is not an effective coordination with INCOPESCA, SNG and ICT, PCAMP´s idea is to activate the framework agreements with these institutions. The majority of the indicators for Outcome 1 depends on the METT, which was already updated by the BP and PCAMP. In output 1.3, although progress so far is of 19%, the goal is expected to exceed the goal before the end of the project; *indicator 1.3 capacities development*, a measurement will be done in June 2015, the officials will be trained and then another measurement will be done. The mitigation and adaptation strategy for CC of the three Pilot Areas is progressing well.

4.3.2.2 Effectiveness of Outcome 2

The trust of the Forever Costa Rica Program is already consolidated and updated and the decree stating the visitor fee for the MPAs was published. However, with regards to changes in the Central Government´s budget PCAMP can´t really change anything, therefore a guide for assigning and distributing resources is not appropriate. (Table 12)

The rest of the outputs and indicators progress well, although in some cases, the final outcome has not been achieved, the process continues as planned. However, there are the following exceptions:

- Indicator 2.4a, *changes in the financial resources of the MPA private funds*. The baseline used international (GEF, IDB, among others) fund source data that corresponds to public and private funds, which caused the mistaken determination in the proposed goals during the design. The indicator should be drafted in such a way that it takes into consideration national and international donors, without specifying if the funds correspond to public or private sources.

- The target set out in the indicator 2.4b, *changes in the financial gap of the MPAs*, will be very difficult to achieve, given that by updating the MPAs PM/MPs, the needs (financial gaps) have increased therefore the baseline data becomes obsolete and would have to be updated.

The principal outcomes of indicator 2.5, PES schemes, the following are available:

- Cultural eco-system services (related to recreation and tourism).
- Provisioning eco-system service (related to fishing).
- Regulation services (related to erosion, climate and water regulation).

Table 12 **Achievement in the Outputs and Indicators of Outcome 2, funds increased and diversified for the Marine Protected Areas**

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE MTR	EXPLANATION
P2.1 Trust consolidated for the Marine Protected Areas of the FCR Program	Implemented Actions	2	2	100	Fundraising activities were supported in and outside the country: meetings with the NY Stock Exchange and a dinner in CR with potential donor representatives
P2.2 Policy and operational guide defined for the assignment and distribution of financial resources for the Coastal-Marine Program	One guide	1	0	0	There was coordination with the Overcoming Barriers Project so that there would be no duplicated activities. The Project is working with the CA administrations to define in greater detail the investments that are carried out in each MPA
I2.2 *Change in the total annual budget of the Central Government allocated to MPA*	*US$/year*	*614.476 (2009)*	*780.517 (2014) (increment of 166.041, meaning 21,3%)*	*1.414.776*[1] *(230 %)*	*The goal was exceeded: estimate based on the total budget allocated by the government in 2013 to 3 MPA (Cahuita NP, Santa Rosa NP, and Playa Hermosa NWR)*
P2.3 Proposal for visitor fee charge updated for the MPA base on the management category, visitor profile and type of service foreseen	Updated Rate	1	1	100%	The fee update decree was issued last August and was published in La Gaceta (official government`s newspaper)
P2.4 Three business plans developed for the existing protected marine areas	Business Plans	0	3	50%	The development of a BP for a MPA is divided into 10 phases: 3 MPAs (Cahuita NP, Santa Rosa NP and Playa Hermosa NWR – Punta Mala) are found in the 5th phase (50% of the process) There has been work done on a guide for the drafting of a BP for the MPAs, developed with SINAC

[1] *The Government´s total Budget in most cases is assigned by CA, therefore the amount assigned to each MPA is not clearly defined. In order to conduct this estimate a tool was developed to collect the data on all three MPAs mentioned, which total $542,860. To this amount the total budget allocated by the government to the Coco's Island MPA of $871.886, was added. Later, an estimate for the rest of the MPAs that hold a MP will continue, so that the total amount of the budget will increase.*

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE MTR	EXPLANATION
					and FCRA in 2013 and currently it is being implemented in the 3 PA (40% advance in each one)
I2.4a *Change in the amount of financial resources received annually by private sources for MPAMPA*[2]	*US$/year*	*964.305 (2009)*	*– Up to 955.397* *(Increment of 1.919.702 /year, up to 99%)*	*289.000* *(30 %)*	• *Although the indicator references private sources, the base line uses data from public and private international funds (GEF, IDB, among others).* • *A tool was developed to collect information on the financial expenses invested by private sources in the MPA conservation. The list is made up of 62 organizations. Initially, the financial expenses of only 7 were evaluated, which recorded $289.000. An analysis of the rest of the organizations identified will be carried out in the coming months.*
I2.4b *Change in the financial gap to cover basic management and investment costs of the MPAs*	*US$/year*	*6,775,877 (2009)*	*5.775.877* *(14,8% reduction in the financial gap in the existing MPA, equivalent to 1.000.000)*	*1.631.546* *(Gap for 3 PA)*	*The target will be difficult to reach given the following:* • *The current existing financial gap in the 3 MPAs assessed during PRODOC (Cahuita NP, Santa Rosa NP, and Playa Hermosa Punta Mala NWR), was estimated based on the current budget and BP with the current needs (US$ 1.631.546)* • *The amount of the gap will be superior to the one presented in the PRODOC, given the identification of greater needs.* • *The estimations of all the MPAs that have an approved BP will try to be completed*
I2.4c *Nº of BP for the MPA (3 approved for year 2)*	*%*	*0*	*100*	*50 %*	*Work has been done on the implementation of the guidelines for the drafting of the MPA´s BP, together with SINAC and FCR Association* *The development of one BP for a MPA is divided into 10 different phases (Annex 4). The NPs of the 3 MPAs (Cahuita NP, Santa Rosa NP, and Playa Hermosa-Punta Mala NWR) are on the fifth phase of their development (50% of the process)*
P2.5 Economic assessment for the MPAMPAs ecosystem services	Nº PES schemes	0	3	60 %	

[2] *The indicator must estimate the amount of financial resources destined to marine conservation, inside and outside the MPA.*

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE MTR	EXPLANATION
drafted and information is provided to increase the funds of the three MPAs					*The project is working on the economic assessment of the marine ES in 3 MPA (Cahuita NP, Santa Rosa NP, and Playa Hermosa NWR).* 1 The first step was the identification and characterization of the ESs in each MPA, followed by a prioritization of previously defined criteria (Annex 4)[3] 2 The second step was to develop an environmental service assessment tool and the consolidation of the financial mechanism proposal, according to the classification conducted. The selected area is Playa Hermosa NWR and the ESs that will be used for the development of the tool are erosion regulation and tourist services. *Also, in coordination with the Financial Development department (DDF-SINAC) and a consultancy procured for the Barriers Project executed by FUNDECOR, they have worked on the implementation of Non-Essential Concessionary Services in Santa Rosa NP and Playa Hermosa – Punta Mala NWR. Additionally, work is being done separately with the DDF-SINAC in Cahuita NP.*
I2.5 *Nº of proposals to implement PES schemes in MPAMPA*	*Nº proposals*	*0*	*3*	*60 %*	

***Note**: The color indicates an alert in compliance, according to the information given.*

Source: Progress reports and Interviews 2014.

[3] *The main output is that the eco-system services available are: 1) Cultural eco-system services (related to recreation and tourism), 2) eco-system services provision (related to fishing), and 3) regulation services (related to erosion, climate and water regulation).*

4.3.2.3 Effectiveness of Outcome 3

Output 3.1 with difficulty will be met within the established deadline, given that the participation process required more time than it was estimated in the project design; more so the description of creating or expanding a PA depends on what the communities define, therefore, for example, a responsible fishing area could be created instead of a MPA (Table 13). Therefore, what is recommended is that the Steering Committee analyzes and manages the need to extend the term of the project accordingly.

For indicators I3.1 a-d, there are biological parameters in which the project invests in management measures. There isn´t a baseline database (calculations) for these either nor for the determined targets proposed in the PPG, or it is dependent on another agency for their collection. In addition, there are biological questions as to whether these could be used as indicators to verify a greater representativeness of the marine-coastal ecosystems. For some of these indicators, the base line and the targets were reviewed in 2013, supported in the GRÚAS II database.

Incompliance with the MTR only the soft marine fund indicator has changed, because of the creation of the MMA Submarine Mounts.

The BPs cannot be updated / developed while the MPAs have not been created, therefore P3.2 and its respective indicator will be difficult to meet, not until new areas are created or the existing ones are expanded.

Work is being done in conjunction with PROMEC to develop monitoring protocols and to articulate with their local indicators.

Table 13 **Achievements in the Outputs and Indicators of Outcome 3, expanded coverage for the MPAs to improve ecological representativeness**

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE MTR	EXPLANATION
P3.1 10 Marine Protected Areas expanded or created	Nº of MPAs created	0	10	34 %[1]	The target of creating or expanding MPAs will barely be met in the time established, given that the participation process requires more time • FCRA with IC addressed the gap and the PA was de decreed (MMA, IUCN category 4) Submarine Mounts, already published in La Gaceta • In conjunction with SINAC, BIOMARCC and FCRA created a technical and administrative step by step guide for the creation of a MPA • For 2 Marine Conservation Gaps (MCG, Santa Elena and Cabo Blanco), 60% of the Budget from the guide has been achieved. • For the 5 MCG (Barra del Colorado, Gandoca-Manzanillo, Dominical-Térraba, Corcovado and Caño Island) 35% has been achieved • For 3 MCGs (Punta Gorda-Punta Pargos, Chira-Tempisque and Golfo Dulce) 15% has been achieved • The Steering Committee must analyze and manage the Project extension
I3.1a *Number of nests per breeding season for the olive ridley sea turtle (Lepidochelys olivácea)*	*Nests*	• *Playa Hermosa NWR: 500 nests* • *Santa Rosa NP: 10.000 average nests/ month during the nesting months and 150 during the non-nesting months*	• *Playa Hermosa NWR: 500 nests* • *Santa Rosa NP: 10.000 average nests/ month during the nesting months and 150*	• *Playa Hermosa NWR: 1.108 nests* • *Santa Rosa NP: 7.222 average nests/ month during 9 nesting months*	*Dates from 2013. Working on 2014, results not ready yet*

[1] Weighted average (2*60+5*35+3*15)/10.

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE MTR	EXPLANATION
			during the non-nesting months	*and 155 during the non-nesting months*	
I3.1b *Hawksbill sea turtles (Erectmochelys imbrica-ta) that safely reach the ocean*	*Number of hatch-lings*	*5.000*	*5.000*	*5.750*	
I3.1c *Change in coral cov-erage*	*Percent-age*	• *Santa Rosa NP: 71 (1994)* • *Cahuita NP: 15 (2008)*	• *Santa Rosa NP: 71* • *Cahuita NP: 15*	• *Santa Rosa NP: 44* • *Cahuita NP: 16*	*The CIMAR collects and publishes this infor-mation from time to time (last ones in 1994). Data reflected in compliance to the EMT/MTR are from 2012, obtained by PCAMP, in differ-ent places than those of the baseline, there-fore a real comparison could not be made*
I3.1d *Change in marine sea grass biomass (Thalassia testudinum)*	*g/m²*	*Cahuita NP: 737,5 g/m² (2005)*	*Cahuita NP: 737,5*		*No data exist at the moment, but by mid next year PCAMP will have them through a consul-tation that has been procured*
I3.1e *Change in the area of key ecosystems protected by MPA*	*ha*	• *Estuary: 2,251* • *Mangroves: 22,359* • *Coastal lagoon: 797* • *Sea grass: 424* • *Coral reefs: 110* • *Intertidal Zone: 597* • *Upwelling: 45,985* • *Rocky beach: 38 km* • *Sandy beach: 213 km* • *Coastal cliff: 241 km* • *Muddy ocean Fund (MOF): 193 175*	• *Estuary: 2.666* • *Mangroves: 39.141* • *Coastal lagoon: 797* • *Sea grass: 1.131* • *Coral reef: 6.922* • *Intertidal Zone: 13.731* • *Upwelling: 216353* • *Rocky beach: 64 km* • *Sandy beach: 437 km* • *Coastal cliff: 821 km* • *MOF: 1.090.735* • *SOF: 20.858* • *HS: 3.015* • *SS: 1.948*	• *Estuary: 2.251* • *Mangroves: 22.359* • *Coastal la-goon: 797* • *Sea grass: 424* • *Coral reefs: 110* • *Intertidal Zone: 597* • *Upwelling: 45.985* • *Rocky beach: 38 km* • *Sandy beach: 213 km* • *Coastal cliff: 241 km* • *MOF: 193.175* • *SOF: 3.887* • *HS: 603* • *SS: 1.232.580*	• *It is not known where the baseline data and the proposed targets were obtained.* • *The baseline and the targets for this indica-tor were reviewed in 2013, supported by the GRÚAS II data.* • *In compliance with the MTR, only the soft marine fund has changed, because of the MMA Submarine Mounts.*

OUTPUT (O)/ INDICATOR (I)	UNIT MEASURED	VALUE AT THE BEGINING OF THE PROJECT	GOAL AT THE END OF THE PROJECT	FULFILMENT OF THE MTR	EXPLANATION
		• *Sandy ocean Fund (SOF): 3,887* • *Hard Seabed (HS): 603* • *Soft Seabed (SS): 560*			
I3.1f *Number of MPA expanded /created*	*MPAs expanded/created*	*0*	*11* *10 MPA*	*60%*	*Same as explanation in P3.1*
P3.2 BPs developed and published for the new MPA created	Nº Management Plans	0	10	10%	One (1) Management Plan from the submarine mounts in the Protected Areas. The MP could not be updated until the MPAs are created
I3.2 *BP for the MPA updated for the 10 priority sites*	*Number*	*0*	*10*	*10%*	
P3.3 Ecological monitoring strategy developed and articulated with PROMEC	Nº of implemented Plans	0	3	30%	Monitoring protocols are being developed and will be articulated with the PROMEC local indicators

Note: *The color indicates an alert in compliance, according to the information given.*

Source: Progress reports and Interviews 2014.

4.3.3 Efficiency: comparison of physical achievements and budget/execution

In summary, this project is graded as 4 somewhat satisfactory (SS) in efficiency, to December 31, 2014, it has executed only 44% of its financial resources, and the achievement of certain products is lower than expected.

Table 14 shows the comparison of the PCAM physical achievements (outputs) with their budget and budget execution. The overall project presents a good relationship between the achievement of the outputs and the budget executed, except in the following cases which can be considered minor issues:

- Output 1.1: has not implemented coordination actions, nor has executed the budget.
- Output 1.3: has trained 19% of the targeted MPA officers, with an execution of 63% of the budget, but has the training modules already designed.
- Output 2.5: has advanced by 60% in reaching the economic valuation of ES, but has implemented most of its budget (94%).
- Output 3.1: has advanced by 10% in the pursuit of the product, but has executed 83% of the budget.
- Output 3.2: The PM of the new MPA cannot be carried out until they exist.
- Output 3.3: the strategy for ecological monitoring has advanced by 30%, but has executed 67% of the budget.

Table 14 Planned and achieved products vs. planned and executed budget (to December 31, 2014)

Product	Total Cost Total (US$)		2012	2013	2014	End of project/ Progress to date	implementation rate[1]
Outcome 1: Strengthened institutional framework and individual capacity for effective management of MPA							
1.1 Strengthened coordination and consultation between SINAC and the other agencies involved with fishing and tourism, through interagency coordination tools within the General Cooperation Agreement as part of the National Marine Strategy	No. of implemented actions	P	3	3	3	3	0 %
		A	0	0	0	0	
	$ 9.180	P	4.500	8.000	6.000	9.180	0 %
		A	0	0	0	0	
1.2 Elaborate a strategy of communication and information that promotes awareness among decision makers regarding marine conservation of	Nº. of implemented strategic actions	P	5	5	5	5	60 %
		A	0	3	0	3	
	$ 15.000	P	5.000	7.500	12.500	15.000	19 %

[1] The implementation rate of the products is taken from Tables 11, 12 and 13. The budget implementation refers to what actually has been paid.

Product	Total Cost Total (US$)		2012	2013	2014	End of project/ Progress to date	implementation rate[1]
Marine Protected Areas and sustainable use of resources		A	0	410,38	2395,49	2.806	
1.3 Trained officials from the Marine Protected Areas and Marine Coastal Program in the development of management plans for marine ecological monitoring of the Marine Protected Areas mitigation and adaptation to climate change	Trained officers	P	85	85	85	85	19 %
		A	0	0	16	16	
	$ 45.000	P	7.000	25.000	50.000	45.000	63 %
		A	0	0	28.345	28.345	
1.4 Management effectiveness in protected areas of Cahuita, Hermosa and Santa Rosa is increased by 20% through participatory management arrangements	Nº of plans implemented by MPA	P	3	3	3	3	40 %
		A	0	0	0	0	
	$ 52.680	P	7.000	10.000	46.000	52.680	34 %
		A	0	18.074	0	18.074	
1.5 Elaborated management adaptation strategy and mitigation of climate change for marine protected areas	Nº of plans implemented by MPA	P	3	3	3	3	50 %
		A	0	0	0	0	
	$ 45.000	P	4.000	0	15.000	45.000	9 %
		A	0	0	4.211	4.211	
Others (Travel, Supplies, IT)	$ 28.800	P	0	0	0	28.800	12 %
		A	3.576	0	0	3.576	
Total Outcome 1	***$195.660***	***P***	***27.500***	***50.500***	***129.500***	***195.660***	***29%***
		A	***3.576***	***18.485***	***34.952***	***57.012***	
Outcome 2: Increased and diversified funding for marine protected areas							
2.1 Consolidated trust for marine protected areas Forever Costa Rica's Program	Implemented Actions	P	2	2	2	2	100 %
		C	0	0	2	2	
	$ 4.000	P	4.000	4.000	4.000	4.000	100 %
		C	0	0	3.987	3.987	
2.2 Defined policy and operational guidance for the allocation and distribution of financial resources for the Marine Coastal Program	A guide	P	1	1	1	1	0 %
		C	0	0	0	0	
	$ 8.400	P	3.500	0	0	8.400	0 %
		C	0	0	0	0	

Product	Total Cost Total (US$)		2012	2013	2014	End of project/ Progress to date	implementation rate[1]
2.3 Updated proposed fee charged to visitors in the Marine Protected Areas based on management, visitor's profile and type of service provided	Updated fee	P	1	1	1	1	100 %
		C	0	0	1	1	
	$ 16.800	P	0	0	0	$ 16.800	0 %
		C	0	0	0	0	
2.4 Three business plans developed for existing protected marine areas.	Three business plans	P	3	3	3	3	50 %
		C	0	0	0	0	
	$ 25.200	P	0	25.000	15.000	25.200	79 %
		C	0	668	19.192	19.860	
2.5 An elaborated economic valuation of ecosystem services that produced MPA provides information to increase funding of three MPA	Three payment schemes for SE	P	3	3	3	3	60 %
		C	0	0	0	0	
	$ 29.200	P	5.000	30.000	20.000	29.200	94 %
		C		0	27.505	27.505	
Others (Travel, Supplies, IT)	$ 7.700	P	0	0	0	7.700	0 %
		C	0	0	0	0	
Total Outcome 2	***$91.300***	***P***	***12.500***	***59.000***	***39.000***	***91.300***	***56%***
		C	***0***	***668***	***50.683***	***51.352***	
Output 3: Expanded coverage of MPA to improve ecological representation							
3.1 10 expanded and / or created Marine Protected Areas	10 MPAs created	P	10	10	10	10	34 %
		C	1	0	0	1	
	$ 257.500	P	90.500	155.500	135.000	257.500	83 %
		C	42.335	57.608	113.998	213.941	
3.2 Developed and published management plans of new marine protected areas that were created	10 management plans	P	10	10	10	10	10 %
		C	0	0	0	0	
	$ 379.000	P	0	0	0	379.000	0 %
		C	0	0	0	0	
3.3 Developed and articulated strategy of ecological monitoring with PROMEC	Nº of implemented plans	P	3	3	3	3	30 %
		C	0	0	0	0	
	$ 73.000	P	8.000	12.500	30.000	73.000	67 %
		C	2324,57	3994,94	42.248	48.568	
Others (Travel, Supplies, IT)	$ 6.000	P	0	0	0	6.000	0 %
		C	0	0	0	0	

Product	Total Cost Total (US$)		2012	2013	2014	End of project/ Progress to date	implementation rate[1]
Total Outcome 3	***$715.500***	***P***	***98.500***	***168.000***	***165.000***	***715.500***	***37%***
		C	***44.660***	***61.603***	***156.246***	***262.509***	
Coordination							
Management of executing unit	$ 209.567	P	55.808	58.625	72.309	209.567	72 %
		C	46.551	45.622	59.538	151.711	
PROJECT´S GRAN TOTAL	***$1.212.027***	***P***	***194.308***	***336.125***	***405.809***	***1.212.027***	***43%***
		C	***94.787***	***126.377***	***301.419***	***522.584***	

Note: *P= planed* *C= current*

Color indicates an alert compliance, according to the information provided.

Source: PCAMP 2014.

Table 15, on the other hand, analyzes the budget from the point of view of the relationship between planning and commitment (contracts). This analysis points to compliance alerts due to the low budget commitment to fulfill some outputs/outcomes during the lifetime of the 2012-2014 projects, as follows:

- Output 1.1: the budget has not been committed and the planning during all these years has been underspent.
- Output 1.2: only 14% of the budget has been committed and the planning during all these years has been underspent.
- Output 1.3: the commitment in the budget was exceeded and it was underspent during the first two years.
- Output 1.4: only 34% of the budget has been executed and there is a large underspent in 2014.
- Output 1.5: practically none of the budget has been executed in this output (9%).
- **Outcome 1:** The budget´s total commitment for achieving the result of the outputs is 40% and there has been underspending every year.
- Output 2.2 and Output 2.3: There has been no budget execution in these outputs.
- Output 2.4 and Output 2.5: the commitment exceeded the budget.
- **Outcome 2:** The budget´s total commitment for achieving the result of the outputs is 76% and there was an underuse the first two years and an over-execution the last year.
- Output 3.2: There hasn't been any budgetary commitment to this output.
- Output 3.3: There was a commitment of 143% of the planned resources in this output, mainly in recruitment during 2014.

- **Outcome 3:** The full implementation of the products of this result is 52% and there was underspending the first two years and over-execution during 2014.

Table 3 **Planning and commitment[2] to PCAM´s budget (up to December 31, 2014)**

Product	Total Cost (US$)		2012	2013	2014	completion of the project, progress to date	Committed percentage
Outcome 1: Strengthened institutional framework and the individual capacity for the effective management of MPA							
1.1 Strengthened coordination and consultation between SINAC and other agencies involved with fishing and tourism through interagency coordination tools within the General Cooperation Agreement as part of the National Marine Strategy	$9.180	P	4.500	8.000	6.000	9.180	0%
		C	0	0	0	0	
1.2. Elaborate a communication and information strategy that promotes awareness among decision makers regarding marine conservation of Marine Protected Areas and sustainable use of the resources.	$15.000	P	5.000	7.500	12.500	15.000	27%
		C	1.213	507	2.395	4.115	
1.3 Trained MPA and Marine Coastal Program Officials in the development of management plans for marine ecological monitoring	$45.000	P	7.000	25.000	50.000	45.000	94%
		C	3.691	1.276	37.240	42.207	
1.4 Management effectiveness in protected areas of Cahuita, Hermosa and Santa Rosa increased in 20% through participatory management arrangements.	$52.680	P	7.000	10.000	46.000	52.680	30%
		C	6.375	9.434	0	15.809	
1.5 Elaborated management adaptation strategy and mitigation to climate	$45.000	P	4.000	0	15.000	45.000	9%

[2] The commitment is what is contracted to date.

Product	Total Cost (US$)		2012	2013	2014	completion of the project, progress to date	Committed percentage
change for marine protected areas.		C	0	0	4.211	4.211	
Others (travel, supplies, IT)	$28.800	P	0	0	0	28.800	12%
		C	3.576	0	0	3.576	
Total Outcome 1	***$195.660***	***P***	***27.500***	***50.500***	***129.500***	***195.660***	***36%***
		C	***14.855***	***11.217***	***43.847***	***69.918***	
Outcome 2. Increased and diversified funds for the marine protected areas							
2.1 Consolidated trust for the marine protected areas under the program Forever Costa Rica	$4.000	P	4.000	4.000	4.000	4.000	100%
		C	0	0	3.986	3.986	
2.2 Defined policy and operational guidance for the allocation and distribution of financial resources for the Marine Coastal Program	$8.400	P	3.500	0	0	8.400	0%
		C	0	0	0	0	
2.3 Updated proposed fee charged to visitors in the MPA based on management, visitor's profile and type of service provided	$25.200	P	0	0	0	$16.800	0%
		C	0	0	0	0	
2.4 Three business plans developed for existing MPA.	$25.200	P	0	25.000	15.000	25.200	126%
		C	0	668	31.200	31.868	
2.5 An elaborated economic valuation of the MPA ecosystem services provide information to increase funding of three MPA	$29.200	P	5.000	30.000	20.000	29.200	127%
		C	0	0	37.085	37.085	
Others (travel, supplies, IT)	$7.700	P	0	0	0	7.700	0%
		C	0	0	0	0	
Total Outcome 2	***$91.300***	***P***	***12.500***	***59.000***	***39.000***	***91.300***	***80%***
		C	***0***	***668***	***72.271***	***72.939***	
Output 3: Expanded coverage of MPA to improve ecological representation							

Product	Total Cost (US$)		2012	2013	2014	completion of the project, progress to date	Committed percentage
3.1 Ten expanded and / or created Marine Protected Areas	$263.500	P	90.500	155.500	141.000	263.500	100%
		C	42.335	57.608	164.602	264.545	
3.2 Developed and published management plans of new created marine protected areas	$379.000	P	0	0	0	379.000	0%
		C	0	0	0	0	
3.3 Developed and articulated strategy of ecological monitoring with PROMEC	$73.000	P	8.000	12.500	30.000	73.000	143%
		C	2324,57	3994,94	98.330	104.650	
Total Outcome 3	***$715.500***	***P***	***98.500***	***168.000***	***165.000***	***715.500***	***47%***
		C	***41.368***	***61.602***	***234.875***	***337.845***	
Coordination							
Management of the Executing Unit	$209.567	P	55.808	58.625	82.904	209.567	99%
		C	46.551	45.621	116.332	208.504	
PROJECT´S GRAND TOTAL	***$1.212.027***	***P***	***194.308***	***336.125***	***405.809***	***1.212.027***	***57%***
		C	***102.774***	***119.109***	***468.850***	***690.733***	

***Note**: P= planned C= current*

Color indicates an alert compliance, according to the information provided.

Source: PCAMP 2015.

4.3.4. Sustainability

In summary, this project is rated on sustainability with 3 somewhat probable (SP), because it presents moderate risks for the sustainability of their activities.

4.3.4.1 Ecological sustainability

According to the PRODOC, the ecological sustainability is achieved with an increase in the MPA, in order to provide long-term protection to the marine and coastal biodiversity of local, national and global importance. However, other management models for marine-coast resources that are not MPA are being developed, and seek to make sustainable use of fishery resources and hence their preservation.

Rating: 3 somewhat probable, with moderate risks.

4.3.4.2 Institutional sustainability

Marine Coastal Program (MCP), launched by SINAC, is a fundamental part of the institutional sustainability, as it strengthens the coastal and marine conservation activities in the MPA.

For this reason, PCAMP´s goals point to the strengthening of these officials, which so far has been slow because the resources have been concentrated on developing protocols and training modules, which will be implemented in the remaining life span of the project.

The MCP needs many resources to ensure the compliance with regulations related to sustainable use of resources and conservation; however, the equipment and current MPA staff are extremely scarce; therefore we can say that although an effort to consider the marine and coastal management in the CA has been made, the effective management of marine and coastal resources is in an emerging stage, but advancing. It is worth noting that the Forever Costa Rica Association will continue to invest in PCAMP´s monitoring activities, when it ends.

Rating: 3 somewhat probable, with moderate risks.

4.3.4.3 Social Sustainability

The PCAMP has implemented a participatory approach in addressing conservation gaps, which will be a model for SINAC´s different pilot areas.

Table 16 shows the ownership of the relevant actors of the PCAMP. You may notice a lack of awareness of different stakeholders for the MPA, especially at the institutional level - considering INCOPESCA, SNG, ICT, MINAE, universities and municipalities, among others.

Table 16 Ownership of the project by its stakeholders

KEY STAKEHOLDER	ROLE	OWNERSHIP	EXPLANATION
Communities	Active participation for protection and the effective management of the MPA	G	High participation of the communities and groups of fishermen in the process of Cabo Blanco and Santa Elena, where an agreement that was signed to define the governance model for the attention of the conservation gaps (Santa Elena ACG, Cabo Blanco ACT; Chira-Tempisque ACAT; Dominical - Sierpe, Corcovado, Caño Island and Golfo Dulce ACOSA, Barra del Colorado and ACTO; Gandoca-Manzanillo ACLAC).
SINAC	Executor and responsible for managing of the MPA. Dictates policy processes, planning and implementation to achieve sustainability in the management of resources	G	SINAC has taken appropriation of the project, more in a technical that in a political level. Officials have been assigned to the Marine Programme. Officials acknowledge the need to increase the involvement of SINAC in the MPA; but lack of human and material resources. Although the compliance with SINAC´s counterparts has been acceptable, greater collaboration (presence) in conducting the project is required, as it will be the main stakeholder for the continuity of the activities carried out; for example in planning sessions of the different products.
MPA´s staff	Beneficiaries of the trainings and	G	Officials of the MPA (marine links, administrators and managers) have properly embraced the project;

KEY STAKEHOLDER	ROLE	OWNERSHIP	EXPLANATION
	development of PM for the MPA, marine ecological monitoring, mitigation and adaptation to climate change		but they can only devote a portion of their work time to the PCAMP
Forever Costa Rica	Its purpose is to help the State to comply with the POWPA-CBD, so they act in terrestrial areas, marine and inland waters. Co-financier of the project and important in the consolidation of the trust for the sustainability of MPA, the development of PM and effectiveness of management of the MPA	G	Although its purpose is directly linked to the proposed outcomes for the PCAMP, greater collaboration (presence) in conducting the project is required, as Forever Costa Rica will be one of the key players in the continuity of the activities carried out; for example: planning sessions for different products, coordination with the CA and the project while investing in the AP, and compliance of the counterpart funds
Municipalities	Jurisdiction over coastal areas and key partners in the development of MPA PM	B	Their participation has been minimal, except in the dialogue tables to determine the standard marine governance models
Universities	Important stakeholders to perform the marine ecologic monitoring and the management information system	B	Their role has not been strengthened, except for joint work with UCR-CIMAR to the attention of the Golfo Dulce´s conservation gap
MINAE	Political support for the project´s implementation	B	Coordination with MINAE has not been effective, neither has it been with the Office of International Cooperation (GEF´s operational focal point)
SNG	Control and Protection	B	There has been no coordination with their headquarters, although local officials participated in meetings for the attention of conservation gaps
ICT	Important to implement tourism activities in the MPA and surroundings	B	There has been no coordination with their headquarters, although local officials participated in meetings for the attention of conservation gaps
INCOPESCA	Fishing, monitoring and administration	B	There has been no coordination with their headquarters, although local officials participated in meetings for the attention of gaps

***Note**: E= excellent G= Good R= regular B= Bad*

Color indicates an alert compliance, according to the information provided.

Source: Progress reports and interviews 2014.

Rating: 3 somewhat probable, with moderate risks.

4.3.4.4 Financial sustainability

Some of the activities of the PCAMP may continue their activities once financing is completed, given that these can be assumed for life by FCR. However, there is a weakening in state funding of MPA, with a smaller budget and less presence of field personnel (due to frozen job positions), coupled with little reinvestment of the proceeds in the PA. Donations are dispersed and barely reflect a sustainable financial strategy. It is anticipated that most of the MPA will continue to operate with insufficient human and financial resources if political priorities don't change. However, an improvement is expected from the updating of the BP and the economic valuation of the PES that the PCAMP promote.

Rating: 2 somewhat improbable, with significant risks.

4.3.4.5 Sustainability of the project components

Sustainability is expected in the three PCAMP results, so it is important to consider the factors described in Table 17 below:

Outcome 1 Institutional coordination is essential to create synergies that contribute to the sustainability of marine and coastal biodiversity.

Outcome 2 Funding for MPA is essential for the sustainability of conservation actions of marine and coastal biodiversity. Therefore, the consolidation of the FCR program irrevocable trust, the II Debt Swap for Nature, as well as the driven initiatives promoted by the PCAMP (review of entrance fees, NP, economic valuation of ecosystem services and state funding) are a fundamental part of the country's strategy in this area.

Outcome 3 The definition of the best strategy for dealing with the various conservation gaps, must be agreed with the communities (and stakeholders), since they are who ultimately implement the conservation measures of the agreed management category.

Table 17 Sustainability of the project components

OUTCOMES	SUSTAINABILITY			EXPLANAITION
	EXPECTED?	KEY FACTORS	KEY STAKEHOLDERS	
Outcome 1: Strengthened institutional framework and individual capacity	Yes	• Coordination • MPA revenues for compliance • Participation • CC	• SINAC • INCOPESCA • SNG • ICT	The effective coordination and a unified view (operational agreements and annual action plans) with INCOPESCA, SNG and ICT (and MINAE, municipalities, universities, etc.) are essential to promote sustainability of the MPA and their effective management. As well as training of the

OUTCOMES	SUSTAINABILITY			EXPLANAITION
	EXPECTED?	KEY FACTORS	KEY STAKEHOLDERS	
for effective management of MPA			• FCR • Communities • Universities • MINAE	MPA officials, sharing other projects' LA, community involvement and adaptation to climate change.
Outcome 2: Increased and diversified funding for marine protected areas	Yes	• Financial needs and investment • MPA increased revenues from different sources • Recommendations for the application of income	• SINAC • ICT • Communities	Determine financial needs and investment for the Project Barriers. Determine stable sources of funding for the MPA (FCR, update rates, business plans and assessment of eco-systemic services. Recommendations on priorities for reinvesting the funds in the MPA should be provided.
Outcome 3: Expanded coverage of MPA to improve ecological representation	Yes	• Gruas II • Technical studies • Financing of SINAC • Governance • Institutional and financial sustainability	• Communities • SINAC • NGO • IGN • FCR	The creation of the MPA is not an end but a mean to maintain health and representativeness of ecosystems, which form the livelihoods of local communities and fishermen. Other forms of conservation of marine and coastal resources should be considered.

Note: *Color indicates an alert compliance, according to the information provided.*

Source: Progress reports and interviews 2014.

4.3.5. Impact

In summary, this project is rated with a minimum 2 (M) on impact, although it presents impacts on the marine-coastal theme, is about to consolidate most processes towards the end of the project.

The indicators of the overall impact of the project are presented in Table 18. The impact indicators for each of the components were presented above in separate tables with compliance per product.

It has been explained that the only MPA created was the Submarine Mounts, therefore the representativeness indicators have not changed; however, it's worth noting that the protection of marine and coastal areas can result in a different category of the PA, for example, other management models.

The effectiveness of the PA management, measured by the METT has suffered a general decline in management effectiveness mainly due to the lack of field staff (due to the freeze of job positions) and gradual decrease in institutional budgets. However, a substantial improvement

in the financial capacity of the SINAC is notice, measured by the Financial Scorecard (FSC) by the Project Barriers 2013.

Table 18 **Compliance with the impact indicators**

INDICATOR	MEASUREMENT UNIT	VALUE AT BEGINNING OF PROJECT	GOAL AT THE END OF THE PROJECT	COMPLIANCE WITH EMT	EXPLANATION
IMPACT INDICATORS: CONSOLIDATE THE COSTA RICA´S MPA THROUGH AN INCREASE IN THE ORGANIC REPRESENTATION AND SECURING ITS CASH MANAGEMENT AND FINANCIAL SUSTAINABILITY					
Total marine area under protection within the MPA	ha	5.398,34	12.235,34	15.038,34	The MPA's Seamounts represents 9,640 ha since June 2011 by Executive Decree 36452 - MINAE
Change in the ecological representativeness within the ten coastal and marine sites	km^2	• Land: 465 • Coast (0-30m): 653 • Neritic (30-200m): 1.677 • Oceanic (> 200m): 3.160	• Land: 872 • Coast (0-30 m): 3.716 • Neritic (30-200 m): 10.407 • Oceanic (> 200 m): 11.193	• Land:465 • Coast (0-30 m): 653 • Neritic (30-200 m): 1.677 • Oceanic (> 200 m): 12.800	MPA statements depend on what is decided with the communities surrounding the conservation gap, so this is a time consuming and consultation process. Additionally, some of these gaps have been declared areas of responsible fishing by INCOPESCA
Change in the effectiveness of PA management as measured by METT score for 11 MPA	METT (%)	• Santa Rosa NP: 72,6 • Corcovado NP: 71,6 • Cahuita NP: 70,6 • Marino Ballena NP: 67,7 • Caño Island BR: 63.,7 • Coco's Island NP: 63,5 • Gandoca-Manzanillo NWR: 55,9 • NWR Playa Hermosa: 54,9 RN Cabo Blanco: 54,9	• Santa Rosa NP: 92,6 • Corcovado NP: 81,6 • Cahuita NP: 90,6 • Marino Ballena NP: 77,7 • Isla Caño BR: 73,7 • Coco's Island NP: 73,5 • Gandoca-Manzanillo NWR: 75,9 • NWR Playa Hermosa: 74,9	• Santa Rosa NP: 65 • Corcovado NP: 73 • Cahuita NP: 53 • Marino Ballena NP: 50 • Isla Caño BR: 49 • Coco's Island NP: 79 • NWR Gandoca-Manzanillo: 47 • NWR Playa Hermosa: 27 • Cabo Blanco NR: 58	As explained in Table 7, the result is an overall throwback in management effectiveness mainly due to the lack of field staff (frozen job positions) and gradual decrease in institutional budgets

INDICATOR	MEASUREMENT UNIT	VALUE AT BEGINNING OF PROJECT	GOAL AT THE END OF THE PROJECT	COMPLIANCE WITH EMT	EXPLANATION
		• Las Baulas National Marine Park: 52,0 • Terraba Sierpe NW: 47,1	• Cabo Blanco NR: 74,9 • Las Baulas National Marine Park: 72,0 • Térraba Sierpe NW: 67,1	• Las Baulas National Marine Park: 66 • Térraba Sierpe NW:	
Increased financial capacity of the MPA according to the average of the total score set in the scorecards for the UNDP / GEF Financial Sustainability	FSC (percentage)	• Legal and regulatory framework: 19.2 • Business Plans 9.8 • Instruments to generate income: 15.8 • Total: 15.3	• Legal and regulatory framework: 39.2 • Business Plans: 29.8 • Instruments to generate income: 35.8 • Total: 35.3	• Legal and regulatory framework: 55.8 • Business Plans: 27.1 • Instruments to generate income: 45.0 • Total: 44.9	Measuring of the Financial Score Card (FSC) performed by Project Barriers in 2013 A general improvement in the financial capacity of the MPA is perceived

Source: Progress reports and interviews 2014.

5 LESSONS, CONCLUSIONS AND RECOMMENDATIONS

This chapter is structured to identify the lessons learned from the PCAMP and with this evidence develop conclusions and suggest recommendations. In this manner, lessons learned, conclusions and recommendations for the dimension of the design and relevance, effectiveness, efficiency, sustainability and impact is obtained.

5.1 With respect to the design and relevance

The key lessons learned in this dimension, and as well as their respective conclusions and recommendations are presented below:

1. Consistency of the logical framework:

5.3 *LA: Components, objectives, outputs and activities of the logical framework should be consistent and the indicators SMART*[1].

5.4 Conclusion: Components, objectives, outputs and activities of the logical framework are consistent, although some indicators are not SMART. Indicators and products can generally conclude that:

- They are specific and describe a future state of change.
- Not all are measurable (baseline and targets) and may not be calculated by the PCAM.
- Some are not affordable[2] neither for PCAMP nor for partners.
- Some are not applicable, since they do not contribute to the priorities selected within the framework of national development.
- Although they are limited in time, it is underestimated: the expected time is not enough to achieve them.
- Some specific conclusions regarding the outputs and indicators are described below:
  - P2.2: PRODOC established as prior input the analysis of the need and prioritization of investments for the MPA, which should have been developed by the PB but was not performed; therefore PCAMP is not going to achieve it.
  - Indicators of total marine area under protection and change in the ecological representativeness within coastal and marine sites: depend on the interaction between the decisions made with the actors in the attention of the respective conservation gaps and the Costa Rican government's guidelines.
  - UNDP's baseline scorecard on capacity building will be calculated in June 2015, in order to train and then re-measure.

1 SMART, stands for: specific, measurable, achievable, relevant and time-bound.

2 Must be accessible to what can be achieved.

- METT showed a throwback in the effectiveness of the MPA management, mainly due to the lack of field staff and a gradual decrease in institutional budgets.
- The goal of indicator 2.1, changed in the central government's budget, it is not under the scope of the actual direct action of the project, but PCAMP can support the lobby in this regard.
- The baseline indicator 2.2, changed in private funds used in the MPA, used data from public and private international funds (GEF, IDB, among others), which led to the erroneous determination of the goals set during the design.
- The goal and indicator 2.3, change in the financial gap to cover basic expenses of management and investment in the MPA. It should be changed, because this gap increased as the MP of the MPA were performed/updated, as more requirements for the protection and management of the MPA were identified.
- Indicators (3.1 to 3.4[3]) identified to monitor the progress of this outcome are not applicable, as it does not depend on the objectives and scope of action of the project. In the case of turtles, these do not respond to the actual management of PA and the conservation target is poorly selected as an indicator because its biology presents nesting cyclical fluctuation. As for the coral, the indicator is very sensitive to external environmental changes, beyond the control of the project and SINAC, which influence its coverage. Regarding sea grass, it does not give a clear idea of the change in representation.
- Indicators 3.5 to 3.7: change in the area of key ecosystems, number of created / expanded MPA and updated MP for the 10 priority sites are not a good parameter of the project's progress, because all depends solely on the decisions taken in a participatory manner (with communities) and political guidelines, as mentioned above in the project objective.
- In indicator 3.5, change in the area of key ecosystems protected by MPA, the methodology for calculating the baseline and goals is not clear.

5.5 Recommendation: Some of the indicators mentioned in the logical framework, that form part of the basis of the monitoring and evaluation system, should be reformulated because they respond to very specific technical issues. , It is recommended to review each one in a specialized working group, that include SINAC (Executive Director, Office of Cooperation, AP Management) PVAMP's Management Unit and UNDP, in order to be evaluated by the Steering Committee.

- Some specific recommendations regarding the objectives, outputs and indicators recommendations are described below:
  - Goal: The conservation of critical sites could be carried out under an exclusive AP scheme with another management system of the marine and coastal resources, for example areas of responsible fishing.

[3] Number of nesting nests of the Lora turtle, number of hawksbill hatchlings, change in coral cover and change in sea grass biomass.

- P2.2: It is recommended to remove this product.
- P3.1 y P3.2: The published or "gaceteado[4]" requirement should be eliminated to favor the measurement process.
- The development of other management models of marine and coastal resources should be counted within the goal regarding the creation or extension of the MPA.
- I1.4: Should consider using SINAC's tool and validating it for the METT.
- I2.1: Another way to measure PCAMP activities should be sought in order to raise awareness among decision makers in the central government in terms of increasing the budget for the MPA.
- I2.2: Should be drafted in such a way that considers national and international donors, without specifying whether the funds come from public or private sources
- I2.3: Another way to measure progress in achieving the respective PM should be sought
- I3.1e: Indicators of the key ecosystem areas should be changed.
- I3.1f: Area indicator should be changed

2. <u>Risk Compliance and Assumptions</u>:

- *<u>LL:</u>* Complying with the risks and assumptions of the logical framework influences the achievement of project outputs and indicators.
- *<u>Conclusion:</u>* The risks identified in the PRODOC, increased when updated, which also increases the difficulty to meet the project´s objectives.

  Not all cases in which the PCAMP design was PCAMP based have been met, which has an effect on the performance of the outputs and indicators, especially the existence of a policy for the creation or expansion of new MPA.
- *<u>Recommendation:</u>* The original recommendations related to risk mitigation are still in place and are aimed to develop and strengthen a communication strategy and awareness at the political level, so it should be implemented as quickly as possible.

  The indicators related to the creation or extension of the MPA should be reviewed and consider the possibility of reformulating them for others related to the process (participatory and the definition of governance to promote conservation

  - Some specific recommendations regarding the risks are presented below:
    - 1. *<u>Risk of losing political support and commitment to the project and the program Forever Costa Rica:</u>* We should continue as planned, conduct information meetings at all levels, especially at the minister level, vice-

[4] Translator's note: Gaceteado comes from the word Gaceta which is the name of the official government newspaper.

ministers and SINACs executive management. It is necessary to promote decision-making based on scientific information.

The communication between PCAMP and SINAC´s Executive Director must be strengthened. It is also recommended to analyze the possibility of having only one institutional coordinator for PCAMP, Forever Costa Rica and Biomarcc and demand more involvement in order to strengthen the ownership and sustainability of the project once it's completed.

- 2. *Risk of not securing the funds required for the consolidation of the MPA:* The contact and information regarding the project at the highest level (MINAE and Finance Ministers) must continue in order to meet the commitments made by the Government. The actions taken by the project in the areas of BP and PES should be articulated, in order to complement the financial requirements of the MPA that the program FCR cannot assume. There should be a follow up on the implementation process of the PM, BP, PES schemes and PROMEC.
- 3. *Climate Change (CC):* these activities should be continued as well as the strengthening of the inter and intra-institutional work in this area.
- 4. Lack of staff time to monitor the MPA activities: An analysis and persuasion process should be performed based on the grounds that new personnel assigned by the SINAC to the MPA, produce higher incomes than costs (wages plus social security contributions) so it becomes profitable for the government to recruit them. PA Officials should not be responsible for increased workload (in their spare time), but rather devote their time (or part) to comply with guidelines of SINAC´s Executive Management. Communications regarding SINAC´s activities should be engaged in the coastal marine theme that the PCAMP is supporting (planned vs. achieved and future activities). The Government of Costa Rica should make a decision regarding the provision of the necessary equipment and trainings for the protection of marine and coastal resources.
- 5. *Failure to include the marine topic in the agenda of the CA (PAO):* The activities expected in the PRODOC should be implemented in order to improve the coordination between SINAC and the related institutions on issues like fishing and tourism (INCOPESCA, SNG and ICT) and design and implement an information and communication strategy to reach a consensus among political and decision makers about marine coasts, conservation of the MPA and sustainable use of resources.

- Some specific recommendations regarding the assumptions are described below:
  - 1. *The Policy will exist for the creation of new MPA and the expansion of the existing ones:* Working at the highest level of MINAE must be held in order to elucidate a sustainable policy to balance community participation to define the best management figure and meet with the commitments of POWPA-CBD.

- 5. *Willingness of the national institutions to enhance cooperation and exchange of information and knowledge:* The effective coordination with government institutions should strengthen, promoting a joint work agenda with defined and responsible time.

3. Relevance:

a. LL: Project´s relevance is essential to promote their appropriation, effectiveness and efficiency in achieving its objectives.

b. Conclusion: This project is highly relevant as state policy with respect to development issues identified, national policies, POWPA goals of the CBD, the existing national legislation, the objectives and goals of the GEF and the UNDAF, among others.

c. Recommendation: Seek political support – in first instance of MINAE – for this initiative as a country project to achieve the goals already planned and the national commitment to the POWPA-CBD. The UNDP office in Costa Rica should provide PCAMP the political spaces at the highest levels (ministries - ICT, MAG, MSP, among others - and at operational levels: INCOPESCA, SNG, SENASA, etc.) and seek coordination and participation of SINAC, Forever Costa Rica and Biomarcc, among others.

4. Changes in the PCAMP:

- *LL*: Project design faces changes in order to stay relevant to the changing context.
- Conclusion: The project has not undergone significant changes; however, there have been some minor changes in order to remain relevant and adapt to the changing circumstances of the topic; for example, synergies with other projects have been made, in order to avoid duplication of activities, among others, regarding climate change strategy, attention to gaps, NP, PROMEC, among others.
- *Recommendation:* Continue with the implementation strategy of PCAMP. SINAC and the MPA officials should open up more opportunities for coordination with the various projects and initiatives to boost synergies. UNDP and Forever Costa Rica should create opportunities for political and operational planning with government authorities.

5.2 In Regards to Effectiveness and Efficiency

5. Achievement of the Indicators :

- *LL*: Process for achieving targets (indicators) should not be measured only when quantifying the accomplishment of finished outputs.
- *Conclusion*: The Project design underestimated the time and did not consider the necessary process for achieving the PCAMP objectives, outputs and indicators, therefore if the assessment is carried out only for the final outputs achieved, the advances in the process necessary to achieve them is being obviated.

- *Recommendation*: PCAMP follow-up and assessment should consider the process advance and not only the absolute achievement of the final products, using advance indicators and execution percentages.

6. Participation:

- *LL*: Participation of the key stakeholder is indispensable for increasing ecological representativeness and MPA fund increment and diversification.
- *Conclusion*: PCAMP has institutionalized, together with SINAC under FCRA, methodologies that allow for active participation of the different stakeholders.

  As for SINAC, the participation of different stakeholders has been very good. The involvement and coordination with MINAE SNG, INCOPESCA, ICT and the Municipalities have been very weak or non-existing.

  The level of participation of the MPA officials has varied at the different CA: in some there has been considerable involvement of the MPA officials and little support from Management of the CA, and in others it is the opposite.
- *Recommendation*: The coordination and institutional planning by PCAMP should be replicated, with SINAC, in other processes such as the design and BP preparation, ES assessment and training for the officials.

  Refinement and implementation of the participation strategy for the address the gaps, developed by SINAC, PCMAP, Biomarcc and FCRA should continue.

  Activities included in the PRODOC, regarding the improvement of the coordination between SINAC and the institutions related to issues of fishing and tourism (INCOPESCA, SNG and ICT) should be implemented and an information and communication strategy should be designed and implemented to raise awareness among the politicians and decision makers regarding marine-coastal conservation, MPA and the sustainable use of the resources, beginning with the decision level in the MINAE.

  The UNDP office in Costa Rica should promote the political spaces at the highest level and look for the coordination and participation of SINAC, PCAMP, FCR Association and Biomarcc, among others, likewise, the Vice-Minister of Water, Seas, Coasts and Wetlands in search for consensus spaces.

  SINAC´s Executive Management should issue guidelines in order to ensure the participation of its officials in the CA (decision makers and operational) in the PCAMP and MCP process development.

  The definition of the best strategy for addressing the different conservation gaps must be agreed to with the communities and key stakeholders, since they are the ones that ultimately will implement the conservation measures of the agreed management categories.

  To enforce legal regulations – sustainable use or marine resource management – PCAMP and SINAC should promote the ownership of the MPA on behalf of the communities and fishing groups. Also, the MPA should be strengthened with the necessary equipment and resources for its surveillance.

7. Synergies with other Projects and Initiatives:

- *LL*: Coordination with other related projects is important for creating synergies, ownership on behalf of the actors and saves resources both human as well as financial.
- *Conclusion*: The following synergies achieved by PCAMP with other projects and initiatives should be highlighted:

  i. BID Project Adaptation of the Biodiversity Sector to Climate Change: Training modules in CC were developed for SINAC and PCAMP based the development of their marine modules on this structure. And, a strategy is being designed specifically for the adaptation of the marine biodiversity sector that PCAMP will assume in its implementation.

  ii. FCRA y Biomarcc: The creation of a coordination structure (coordinating committee) among PCAMP, Biomarcc, FCRA and SINAC has been a success, almost nothing has been duplicated: there has been coordination for addressing the gaps. (Biomarcc for Santa Elena and Cabo Blanco).

  There has also been collaboration for the preparation of financial mechanisms and BP for the pilot areas, training modules on the marine issue, technical pedagogical consultancies for the preparation of the curricula structure of the modules, implementation of the marine biological monitoring in the three (3) pilot areas in coral formation, marine turtle nesting beaches, and rock and sandy beaches.

  iii. International Conservation (IC): there is collaboration in a tool design to estimate the investments in the MPAs.

  iv. With the project Overcoming Barriers: the PCAMP BP processes are being contemplated with the development of non-essential service concessions carried out by BP.

- *Recommendation*: the synergy generation strategy should continue with other projects, and what is recommended is to map out other existing initiatives (especially at INCOPESCA, SNG, ICT and Municipalities) to coordinate the achievements of the PCAMP objectives and to create a coordination structure taking into account the success case previously described.

  Regarding trainings (linked to the implementation of the CSBC), they should be incorporated into the institutional training plans, for which the SINAC should make a training plan, both for the officials in the CA, as well as the secretariat. The recommendation is to generate installed capacity in SINAC: through external trainers to train internal trainers. Some important issues to consider for training include: conflict resolution, social research, natural and cultural history of the sites, among others.

8. Budget:

- *LL*: Coordination with other projects and initiatives promotes a more efficient implementation of the budget.
- *Conclusion*: On one hand, PCAMP has had significant economies in the Budget to achieve its objectives, due to good coordination with other projects (previously described), which could be perceived as underspent.

  On the other hand, it is worth pointing out that the co-financing of the public sector up to date is about 77% of the committed amounts and the underspent with the co-financing of FCR Association reaches about 9%.

- *Recommendation*: The savings in achieving the expected PCAMP outputs should be accounted for (in the indicators) as a positive coordination element and not as budget underspend (negative).

  It is important to follow-up and promote the effective execution of the FCRA setoffs.

9. Procurement of Contracts and Payments:

- *LL*: Contract procurement and respective payment periods must be in agreement with the technical demands. The rigidity in the financial management decreased the project´s capacity for action.
- *Conclusion*: Contract procurement and payment approval times take longer than necessary and involves a large number of people, which limits, and in some cases hinders the achievement of the outputs and ensures compliance of the indicators, especially when conditions of opportunity (time, seasonality and climate, among others) play an important role in the effectiveness.
- *Recommendation*: A log should be kept where both the process (steps) and the duration of each is logged along with who is responsible with the purpose of identifying the critical points to look for solutions.

5.3 Regarding sustainability and impact

10. Sustainability and ecological impact:

- *LL*: Ecological sustainability not only depends on the PA statement. What is relevant is to create dialogue spaces to promote coastal-marine resource conservation and conduct marine-coastal biodiversity measurements.
- *Conclusion*: On the one hand, ecological sustainability depends greatly on knowing the resource and communal ownership and stakeholders (fishermen and tourism, among others). Furthermore, addressing a conservation gap and its ecological sustainability could be achieved with other marine resource management modalities different than a PA.

  The assistance strategy of the conservation gap does not necessarily imply the creation of a PA; what is relevant is to develop a dialogue process that will then influence some type of management.
- *Recommendation*: It is of utmost importance to continue the process of community participation (or adopt participatory management models) in the definition of the implementation schedule for the assistance of the conservation gap and addressing these issues with INCOPESCA - and SNG.

  Metrics should be determined to monitor the evolution of the coastal-marine resources, as an essential requirement to achieve ecological sustainability.

  The governance defining processes of these types of sites should be strengthened in order to promote an effective coordination to achieve the conservation of the object in question and to determine the rights and responsibilities – both of the public and private institutions, as well as those of the communities and fishermen.

Determining the role of other agencies such as SNG, ICT and the Municipalities is fundamental.

For these recommendations to become effective, it is essential to extend the project´s implementation period. Therefore, it is recommended that the Steering Committee analyze and arrange for the project´s term to be extended accordingly (1-2 years).

If the PCAMP extension is possible, it would be worthwhile to assess the inclusion of a product that supports the marine special planning initiatives (including fisheries management).

11. <u>Compliance of the legal regulations related to marine-coastal resources</u>:

- *<u>LL</u>*: Comply with the legal requirements related to marine-coastal conservation it is necessary to use state-of-the-art technology.
- *<u>Conclusion</u>*: Currently, in the context of the use of the marine-coastal resources of the country, exists illegal fishing of protected species and the use of non-sustainable fishing practices. The fisheries sector crisis has been attributed to this, an inadequate legal and technological framework, or the unwillingness to implement it diligently, and the imbalance between the limited means of surveillance and resources available to local and international pirates. However, the Government delimited tuna fishing in the Pacific and announced it will develop a management plan for ships of medium and large capacity, which must navigate satellite tracking systems and with INCOPESCA observers (La Nación, 2014b).
- *<u>Recommendation</u>*: PCAMP can promote SINAC leadership so that Costa Rica can regain control of its maritime sovereignty. There must be coordination with INCOPESCA, SNG, and FCRP to modernize legislature, technify their surveillance procedures, with the implementation of satellite tracking devices and adopt an Agreement on FAO Port Governing State Measures.

  Specifically, fishing practices should be measured with satellite trackers; the Coast Guard and INCOPESCA should have control and surveillance with VMS (vessel monitoring system).

  In addition, PCAMP could develop specific workshops on the pilot sites, geared towards the development of sustainable fishing practices.

12. ***<u>Sustainability and institutional and social impact</u>***:

- *<u>LL</u>*: Achieve institutional sustainability on every aspect of the MCP, planning and inter-institutional coordination must be strengthened.
- *<u>Conclusion</u>*: The SINAC´s MCP needs many resources to ensure compliance with the regulations related to the sustainable use of the resource and conservation; however, the current MPA equipment and staff are severely lacking, therefore it's safe to say that although an effort has been made to consider the marine-coastal management in the CA, an effective management of the marine-coastal resources is in an emerging, but advancing state.

The consolidation of FCR program´s irrevocable trusteeship, the II Swap Debt for Nature, as well as the initiatives promoted by PCAMP (review of the entrance fees, BP, economic assessment of the ecosystem services and State funding) are fundamental part of the country strategy on this topic.

Institutional sustainability is also related to cooperation – to declare the sustainable management of marine areas and the compliance of current legal regulations – among the three principal institutional stakeholders of this issue: SINAC, INCOPESCA and SNG.

- *Recommendation*: More emphasis should be given to the issue of the financial self-sustainability of the MPA and consequently of the MCP, with the purpose of not only designing an improved legal mechanism and an additional income generation instrument for the MPA, but of implementing these activities so that concrete management results are perceived.

  It is fundamental to strengthen the future strategic planning of the MPA, in order to dedicated more time and resources to what is really important and sustainable and less to what is short-term.

  The possibility of having one marine coordinator for the related initiatives to the MPA (PCAMP, Biomarcc and FCRP) should be assessed.

  For the marine issue it is necessary to create institutional synergies among the SINAC, INCOPESCA and SNG where PCAMP should be the facilitator of the process.

13. Consideration to gender and youths:

- *LL*: Strategy for addressing the conservation gap should take into consideration the participation and the effect of the relevant stakeholders on women and youths, especially in coastal communities.
- *Conclusion:* Coastal communities carry out jobs, especially those related to fishing, in which the programs/projects (trainings, work generation, awareness, among others) are aimed at adult men and do not promote the participation of women and youths in the process.
- *Recommendation:* It is necessary to improve the communication issue to reach women and youths in the coastal communities and analyze the complete process of artisanal fishing.

  For future projects, it is important to take into consideration that a payment recognition system does not exist for the work carried out by women and youths in the fishing communities. A fishing ¨enlistment¨ for women should be studied and encouraged.

6. BIBLIOGRAPHY

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7 ANNEXES

ANNEX 1:

INTERVIEW QUESTIONNAIRE

MTR Consolidating Marine Protected Areas Project

MTR Consolidating Marine Protected Areas Project

Interviewer name: _____

Interviewed person (name, contact): _____

Interview Date: _____

Interview method (phone, in person, etc.): _____

English	**COMMENTS**
INTRODUCTION	
SINAC is performing the MTR of the project Consolidating Marine Protected Areas. The idea of the evaluation is to identify the lessons learned in order to improve the performance of the remaining half of the project, in order to meet the goals and objectives.	
What has been your role/part in the project?	
Now that the project is in the middle of the implementation period and in retrospect, what would you have done differently? What went well and what did not? To keep in mind for future projects: What lessons have been obtained after the execution of this project?	
Who else do you think we should interview? Could you please provide us with their contact information?	
I. RELEVANCE	
1.1 What was the origin of the project? Were you involved in the project design? How and when did you get involved?	
1.2 Were the issues clearly identified from the beginning? Was the design and implementation of the project appropriate to the national reality and the existent capacities? Explain. Have the problems improved or worsened? Coherence between stakeholder needs vs. UNDP-GEF	
1.3 Is the project consistent? a) Among the internal logic and expected outputs/outcomes. b) Between the design and the implementation approach.	
1.4 What changes have been required in regarding to what was planned to maintain relevance (technical, financial, institutional)? Reasons for changes	
1.5 To date, has the project achieved the expected outputs?	
1.6 Is the time sufficient to achieve the outputs/outcomes raised?	

1.7 Would the project have taken place without GEF funding? Has it served to leverage other funds? What has been the role of UNDP and SINAC? What has been the added value of UNDP?	
1.8 Has the project experience offered the possibility of obtaining relevant lessons for future projects?	
II. EFFECTIVENESS	
2.1 Which components/outputs of the project have been achieved? What was the baseline? Planned? Which outputs have been fully achieved? Which were partially achieved? Which have not been achieved?	
2.2 Do the established indicators describe the advance of the expected and planned outputs?	
2.3 Were the risks well identified? What were the mitigation strategies? How are emerging risks identified? What risks can be currently identified?	
2.4 What other unplanned achievements has the project had? Strengths and weaknesses (OAA)?	
2.5 What lessons have been learned from the project with regards to the achievement of the outputs / outcomes? What changes could be made to improve the achievement of the outputs / outcomes?	
III. EFFICIENCY	
3.1 Did the expenses of each component/activity/output correspond to those estimated in the budget? What about timing? Was it necessary to make adjustments (in time, resources, etc.)? Was the co-financing disbursed as planned?	
3.2 Were the financial resources efficient? Have there been any contractual or fiduciary problems during project implementation? (E.g. procurement or disbursement issues) What changes would you make?	
3.3 Were the links with other institution or organizations supported and encouraged?	
3.4 How have the M & E tools been used? Has the results-based management approach been used? How?	
3.5 What key issues have arisen? Strengths and weaknesses of financial performance (OAA)?	
3.6 If at this moment you had more money for the project, what would you do?	
3.7 How do you think the execution could have been carried out more efficiently? Lessons learned?	
IV. SUSTAINABILITY	
4.1 Is there a sustainability strategy? What are the key activities?	
4.2 How were the implementing and executing agencies chosen? Why? Where other potential executing /implementing agencies considered?	

4.3 Were the conducted investments and outcomes/outputs sustainable? What are the key activities that are or should be funded? How will the key activities be funded once the project ends? What activities have been undertaken by the counterpart or other stakeholders?	
4.4 Do you think the project will be sustainable when it ends? In case you agree, what factors do you think contributed to its sustainability? From a technical and institutional point of view? Why? What are the weaknesses? Why?	
4.5 Who are the beneficiaries, partners and local actors in the project? How many? Have they taken over the project? What commitments have they acquired? Have they helped? How have they been complemented?	
4.6 Collaboration and complementarity with other projects or initiatives in CR or internationally. What commitments have they acquired? Have they helped? How have they been complemented? Outputs with added value?	
4.7 In your opinion, who are the key stakeholders to ensure continuity and/or sustainability of the outputs or outcomes/benefits of the project? What are the key activities to strengthen the AE and the outputs/outcomes of the project?	
4.8 What are the main challenges for the sustainability of the project? Have they been addressed? What potential measures could be taken to support sustainability? Lessons learned?	
V. IMPACT	
5.1 What experiences, processes, methodologies and innovative services have emerged or were adopted? Have they been successful? What activities have fostered innovation?	
5.2 Do you expect the project to reach its goal? What are the impacts or potential impacts of the project? (environment, income, socio-economic issues)	
5.3 What activities and obstacles remain to achieve the objective?	
5.4 Has the project helped to obtain some unplanned outputs?	
5.5 How can the project be developed over its achievements and learn from its weaknesses? Lessons learned?	

ANNEX 2:

PEOPLE AND ORGANIZATIONS INTERVIEWED

Table 19 List of persons interviewed

NAME	INSITUTITION	FUNCTION	DATE
Victoria Lara	ASADA- CJ	Member	10-20-14
Saúl Morales	Asociación de Pescadores de Santa Elena	Member	10-15-14
Anibal Lara	Santa Elena	Tour operator	10-15-14
Esteban Montero	ACOPAC	Administrator NWR PH-PM	09-23-14
Edgar Gutiérrez	MINAE	Minister	09-13-14
Julio Jurado; Sonia Contreras	SINAC	Executive Director and Assistant	09-12-14
María Elena Herrera	ACTO	Director	09-05-14
Gina Cuza	ACLAC	Manager	09-05-14
Michael Schlönvoigt; Marco Vinicio Araya	BIOMARCC	Director, Coordinator Forever Costa Rica, SINAC	09-01-14
Fernando Mora, Patricia Madrigal, Rubén Muñoz	MINAE	Vice Minister Waters and Seas, Vice Minister of Environment, Focal Point GEF	09-01-14
Sonia Lobo	SINAC	Coordinator of forest incentives relating to PSA	09-01-14
Guido Chaves	MINAE	Technical Advisor Vice Ministry of Environment	09-01-14
Lesbia Sevilla	SINAC	Cooperation and Project Coordinator	08-29-14
Luis Garita, Róger Blanco	ACG		08-29-14
Pamela Castillo	Forever Costa Rica	Program Manager	08-28-14
Álvaro Morales	CIMAR-UCR	Investigator	08-27-14
Yuri Martínez	CATIE	Governance and Capacity Building Specialist	08-27-14
Carlos Manuel Rodríguez	CI	Vice President and MINAE´s former Minister	08-26-14
Gerardo Chavarría	ACOPAC	ASP Manager	08-26-14
Heiner Acevedo	BID	Project Coordinator Biodiversity Sector adaptation to CC	08-26-14
Virginia Reyes	CEDARENA	Program Coordinator	08-25-14
Carlos Espinoza	Fundación Trichechus	Manager	08-22-14
Lorena Erbure	Fundación Neotrópica	Project Coordinator	08-22-14
Melissa Marín, Elizabeth Solano	UICN	Livelihoods and CC Unit	08-21-14
Ólger Méndez	ACOSA	AP Manager	08-21-14
Guido Saborío	ACOSA		08-19-14
Catalina Molina	Fundación Keto	Executive Director	08-18-14

NAME	INSITUTITION	FUNCTION	DATE
Didier Chacón	Widecast	Executive Director	08-18-14
Sandra Jiménez	SINAC	Coordinator Financial Development	08-18-14
Kifah Sasa	UNDP	Project Officer	08-14-14
Rafael Gutiérrez	SINAC	Mountain Range Director	08-13-14
Jairo Sancho	SINAC	Coastal Marine Programme Officer	08-12-14
Gustavo Induni	SINAC	Responsible PROMEC	08-12-14
Jenny Asch	SINAC	ASP Manager and Marine Program Coordinator	08-12-14
Damián Martínez	PCAMP	Coordinator	08-11-14

ANNEX 3:

PROJECT`S LOGICAL FRAMEWORK

This project will contribute to achieve the following outcomes as defined in the CPAP: Coordination and leadership of the environmental sector
Indicators of the Program Outcomes: Reformed Regulatory Framework of the Ministry of Environment and Energy and the institutional reform 100% completed **Primary key applicable for the Key Result Area on Environment and Sustainable Development:** Biodiversity BD-1 (Improve the sustainability of protected area systems), BD-2 (Integration of the biodiversity conservation and sustainable use in productive landscapes, marine landscapes and sectors)
Applicable Strategic Objective and GEF Program: Develop national and regional capacities and conditions that protect the global environment and sustainable development. **Applicable GEF Expected Outcomes:** Outcome 1.1: Improve the management effectiveness of the existing and new protected areas. Outcome 2.1: Increase landscapes and seascapes sustainably managed to integrate conservation and biodiversity.
Applicable Indicators of the GEF outcomes: Indicator 1.1: Ranked Management Effectiveness of the protected areas as registered by the Monitoring Management Effectiveness Tool. Indicator 2.1: Certified landscapes and seascapes by nationally or internationally recognized environmental standards that incorporate biodiversity considerations (e.g. FSC, MSC) measured in hectares and recorded by GEF's tracking tool.

	Indicator	Baseline	Goals at the end of the project	Verification mechanisms	Risks and Assumptions
Project´s objectives: Consolidate Costa Rica´s MPA by increasing their ecological representation and secure their effective management and financial sustainability	Total marine area protected (km2) within MPA	5,398.34	12,235.34	Government Official Newspaper "La Gaceta", GIS data and maps	The policy will exist for the creation of new marine protected areas and the expansion of the existing MPA
	Change in the ecological representativeness (km2) within the ten coastal and marine sites	Land: 465 Coast (0-30m): 327 Neritic (30-200m): 859 Oceanic (> 200m): 166	Land: 872 Coast (0-30m): 1,861 Neritic (30-200m): 5,331 Oceanic (> 200m): 588	GIS data and maps Reports and technical and scientific publications	
	Change in the effectiveness of the PA management according to the score measured by METT for eleven (11) MPA	Santa Rosa NP: 72.6% Corcovado NP: 71.6% Cahuita NP: 70.6% Marino Ballena NP: 67.7% Caño Island BR: 63.7% Coco's Island NP: 63.5% Gandoca – Manzanillo NWR: 55.9% Playa Hermosa NWR: 54.9% Cabo Blanco NR: 54.9%	Santa Rosa NP: 92.6% Corcovado NP: 81.6% Cahuita NP: 90.6% Marino Ballena NP: 77.7% Caño Island BR: 73.7% Coco's Island NP: 73.5% Gandoca – Manzanillo NWR: 75.9% Playa Hermosa NWR: 74.9%	METT updated the scorecards Project Assessment Reports	Continued support from the government and non-governmental organizations to manage the MPA

	Increased financial capacity of the MPA according to the average of the total score set in the scorecards for the Financial Sustainability UNDP / GEF (TPSF)	Marino Las Baulas NP: 52.0% Terraba Sierpe NWR: 47.1% Legal and regulatory framework: 19.2% Business planning: 9.8% Tools for generating income: 15.8% Total: 15.3%.	Cabo Blanco NR: 74.9% Marino Las Baulas NP: 72.0% Terraba Sierpe NWR: 67.1% Legal and regulatory framework: 39.2% Business planning: 29.8% Tools for generating income: 35.8% Total: 35.3%	Update (TPSF)	Stable national and international economic conditions. Provision within the Costa Rican government to increase funding for MPA. NGOs, private sector and other donors that maintain and/or improve investment to support the MPA
Outcome 1: Strengthening the institutional framework and improvement of individual capacity for effective management of MPA	Improvement in the development of capacity indicators for the stakeholders as indicated in the score card for the development of UNDP capacities: 85 SINAC officials from the MPA trained in the development of management plans for the marine ecological monitoring in MPA and adaptation and mitigation to the impact of climate change (baseline and the objective will be defined during the first 6 months of the project)	Capacity for compromise: X Ability to generate, access and use information and knowledge: X Management capacity and performance: X Monitoring and evaluation capacity: X	Capacity for compromise: X Ability to generate, access and use information and knowledge: X Management capacity and performance: X Monitoring and evaluation Capacity: X	Updating the scorecards for Capacity Building	Willingness of the national institutions to enhance cooperation and exchange of information and knowledge. Availability of SINAC´s staff to participate in trainings.

	Change in management effectiveness for three (3) MPA as the result of participatory management measures	Santa Rosa NP: 72.6% Cahuita NP: 70.6% Playa Hermosa NWR : 54.9%	Santa Rosa NP: 92.6% Cahuita NP: 90.6% Playa Hermosa NWR: 74.9%	METT Score cards for three pilot MPA Project Appraisal Reports	
	Adaptation Strategy and mitigation to climate change of the MPA	Zero (0)	One (1) implemented strategy in 3 MPA(e.g., Santa Rosa NP and Cahuita NP, Playa Hermosa NWR) in the third year	Strategy Document regarding the National Council of Conservation Areas (CONAC) indicating that the strategy is approved	
Outputs: 1.1. Inter-institutional coordination Instruments within the General Cooperation Agreements (INCOPESCA, SNG and ICT) that allow the strengthening of coordination and consultation between SINAC and agencies dealing with fisheries, control and protection, and tourism, as part of the new State Member to Costa Rica. 1.2. A communication and information strategy to promote awareness among politicians and decision-makers regarding the marine conservation in MPA and the sustainable use of resources. 1.3. MPA and PMC officials are trained in the development of management plans for marine ecological monitoring in the MPA and adaptation and mitigation of climate change impacts. 1.4. Participatory management agreements in three (3) existing MPA that increase the management effectiveness by 20%. 1.5. Mitigation to Climate change and adaptation strategy for the management of the MPA.					
Outcome 2: Increased diversified funding for MPA	Change in the government´s annual budget has been allocated to the management of MPA	$614,476/ year (2009)	$780,517/year (2014) /year (increase up to 21.3%)	Budget appropriations Financial reports and annual expenses Updated scorecards for Financial Sustainability	The government of Costa Rica is willing to increase the budget allocation for the MPA Stable national and international economic conditions There is a register of private sources of funding for the land or marine component
	Change in the amount of funds that are annually received from private sources for the MPA	$964,305 / year (2009) (indicate by source)	$1,919,702 /year (increase up to a 99%)	Letters / financial commitment agreements Budgetary and accounting records / databases	

				Update of Financial Sustainability scorecards	
	Change in the financing gap to cover basic investment and management expenses of the MPA	$6,775,877 (2009)	$ 5,775,877 (14.8% reduction in the financial gap of the existing MPA)	Updated Financial Sustainability Scorecards Annual financial statements M & E Project Reports	
	Number of business plans for the MPA	Zero (0)	Three (3) approved in the second year	Business plans documents Databases with financial information regarding the MPA	Prioritization of the available MPA
	Number of implementation proposals for the SE schemes in the MPA	Zero (0)	Three (3)	Assessment document for ecosystem services Database with information on the economic valuation Draft proposals	SINAC and the Program Forever Costa Rica offer a selection of MPA There is timely and reliable information
Outputs: 2.1. The MPA´s Trust Fund for FCR is consolidated. 2.2. Policy and operational guidelines are defined for the allocation of financial resources to the PMC. 2.3. The proposal to update the visitation fee to the MPA visitors is based on categories of management, visitor profile and the type of service provided. 2.4. Developed business plans of three existing MPA. 2.5. The economic valuation of the environmental services of the MPA provides information for an increased funding for the three MPA.					
Outcome 3: Extended coverage of MPA to improve ecological representation	Number of nests per nesting season for the olive ridley (*Lepidochelys olivacea*)	Playa Hermosa NWR 500 nests Santa Rosa NP: 10,000 nests on average per month during the nesting months and 150 during the	Playa Hermosa NWR 500 nests Santa Rosa NP: 10,000 nests on average per month during the arribada months and 150 during the non-arribada months	Field studies and inventories Monitoring Databases Technical project reports	Sampling efforts are optimal. Environmental change (including climate change) in their natural variability

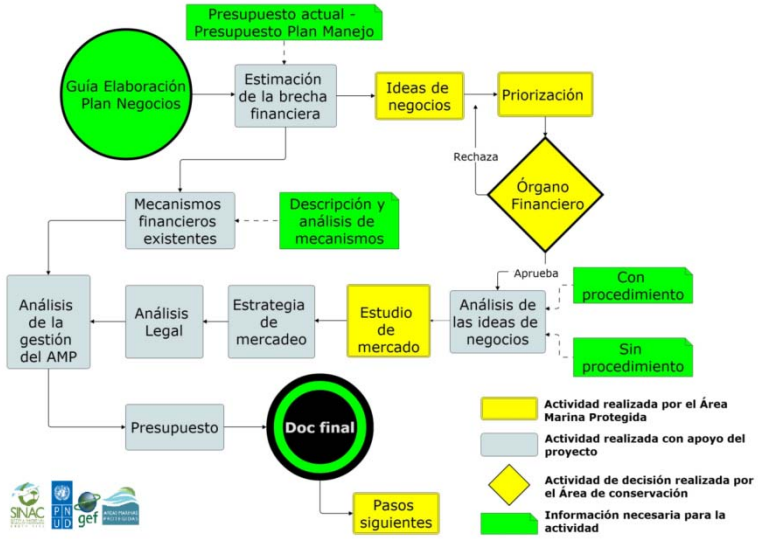
		non-nesting months			
	Number of hawksbill (*Erectmochelys imbricata*) hatchlings arriving safely to the ocean	5,000	5,000	Field studies and inventories Monitoring Databases Technical project reports	
	Change in the coral cover (Live)	Santa Rosa NP: 71% (estimated for 1994, the baseline will be confirmed during the first six months of the project) Cahuita NP: 15% (estimated for 2008)	Santa Rosa NP: 71% (estimated for 1994) Cahuita PN: 15% (estimated for 2008) Santa Rosa NP: 71% (estimated for 1994) Cahuita NP: 15% (estimated for 2008)	Field surveys and inventories Monitoring Databases Technical project reports	
	Change in the sea grass´ biomass (*Thalassia testudinum*) (g/m2)	Cahuita NP: 737.5 g/m^2 (estimated for 2005)	Cahuita NP: 737.5 g/m^2 (estimated for 2005)	Field surveys and inventories Monitoring Databases Technical project reports	

	Change in surface of the key ecosystems protected by the MPA	Estuary: 8,979 ha Mangroves: 20,154 ha Coastal lagoon: 40 ha Marine grasses: 120 ha Coral reefs: 110 ha Intertidal area: 10 ha Upwelling: 2,880 ha Rocky beach: 37 km Sandy beach: 131 km Coastal cliff: 96 km Mud from the seabed: 755 ha Sand from the sea: 284 ha Hard marine bottom: 31 ha Soft seabed: 161 ha	Estuary: 10.634 ha Mangroves: 35.281 ha Coastal lagoon: 40 ha Marine grasses: 320 ha Coral reefs: 490 ha intertidal zone: 230 hectares Upwelling: 13,550 ha Rocky beach: 62 km Sandy beach: 269 km Coastal cliff: 327 km Seabed mud: 4,263 ha Sand from the sea: 1,524 ha Hard sea bottom: 155 hectares Soft seabed: 560 ha	Remote sensing data and maps Verification of field data and notes Technical project reports Updating the GEF monitoring tool	There is the political will to create new MPA and the expansion of existing MPA
	Number of expanded / created MPA	Zero (0)	10 expanded / created MPA (the number of expanded / created MPA will be defined during the first six months of the project)	Proposals for expansion and / or creation of MPA Official government´s newspaper “La Gaceta”	
	Number of updated management plans for the MPA according to the 10 priority sites	Zero (0)	Eleven (11)	Approved management plans	
Outputs: 3.1. Ten (10) extended and/or created MPA that are announced in “La Gaceta”. 3.2. Developed and published management plans for the expanded and/or created MPA 3.3. Ecological monitoring strategy developed and articulated with the Ecological Monitoring Program for Protected Areas and Biological Corridors of Costa Rica (PROMEC - CR)					

ANNEX 4:

FLOWCHARTS OF PCAMP OUTPUTS AND ACTIVITIES

Table 20 Flowchart for the Preparation of a Business Plan



Presupuesto Actual – Presupuesto Plan Manejo = Actual Budget – Management Plan Budget

Guía Elaboración Plan Negocios = Management Plan Preparation Guide

Estimación de la brecha financiera = Estimated financial gap

Idea de negocios = Business ideas

Priorización = Prioritization

Rechaza – Rejects

Órgano financiero = Financial Entity

Mecanismo financieros existente = Existing Financial Mechanisms

Descripción y análisis de mecanismos = Description and Analysis of Mechanisms

Análisis de la gestión del AMP = MPA Management Analysis

Análisis Legal = Legal Analysis

Estrategia de mercadeo = Marketing Strategy

Estudio de mercado = Market Survey

Aprueba = Approve

Análisis de las ideas de negocios = Business Ideas Analysis

Con procedimiento = With Procedure

Sin procedimiento = Without Procedure

Budget= Presupuesto

Doc final = Final Doc

Pasos siguientes = Following Steps

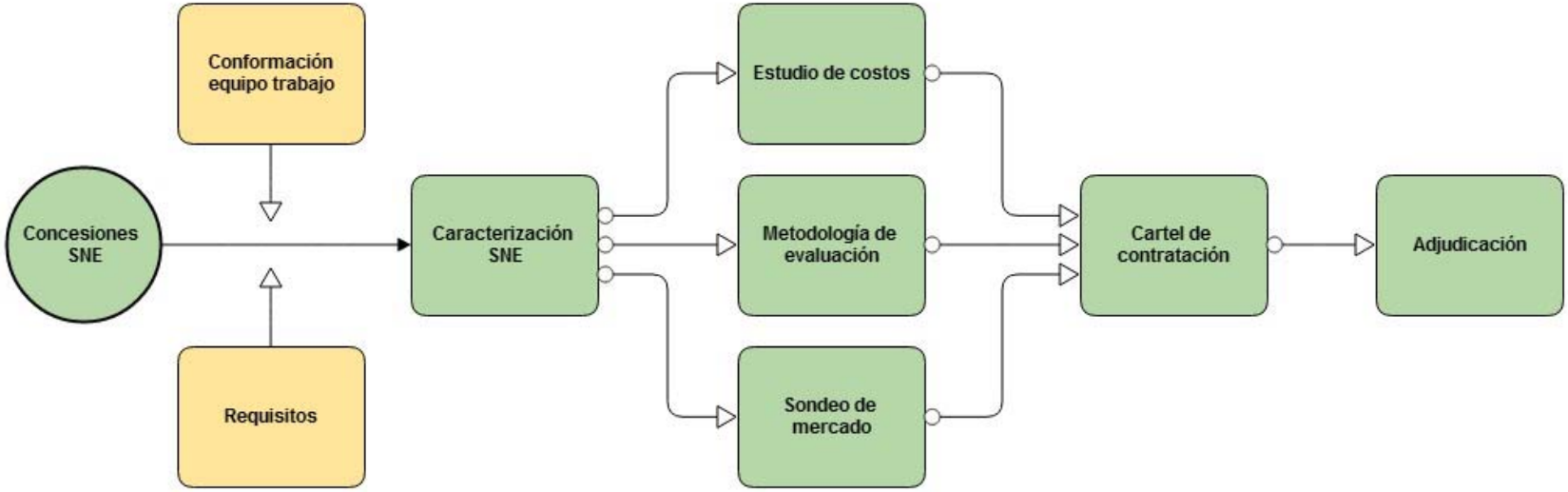
Actividad realizada por el Área Marina Protegida = Activitiy carried out by the Marine Protected Area

Actividad realizada con apoyo del proyecto = Activity carried out with the project´s support

Actividad de decisión realizada por el Área de Conservación = Decision activity carried out by the Conservation Area

Información necesaria para la actividad = Necessary information for the Activity

Table 21 **Flowchart for the Concession of Non-Essential Services**



Concesiones SNE = NES Concessions
Conformación equipo trabajo = Work team structure
Requisitos = Requirements
Caracterización SNE = NES Characterization
Estudio de Costos = Cost Study
Metodología de evaluación= Assessment Methodology
Sondeo de mercado = Market Survey
Cartel de contratación = Procurement Letter
Adjudicación = Award

ANNEX 5:

CONSULTANCY TERMS OF REFERENCE

Ministry of Environment and Natural Resources
United Nations Development Program (UNDP)

Consolidating Marine Protected Areas Project

TERMS OF REFERENCE
MID-TERM REVIEW
International and National Evaluator

INTRODUCTION

In accordance to the United Nations Development Program´s Monitoring and Evaluation policies and procedures and the Global Environmental Facility (GEF or GEF, in English), all full sized projects supported by UNDP and funded by GEF should undergo a Mid-Term Review (MTR) at the project´s midway point. These terms of reference (ToR) set the expectations of the MTR for the *Consolidating Costa Rica´s Marine Protected Areas* project. This project is implemented by the Government of Costa Rica, through the Ministry of Environment and the National System of Conservation Areas.

Following are some essential aspects of the Project:

SUMMARY TABLE PROJECT

Project Title:	"Consolidating Costa Rica´s Marine Protected Areas"			
GEF Project Identification:	3956		*Upon approval (millions USD)*	*Upon termination (millions USD)*
UNDP Project Identification:	4529	GEF Funding:	1.212.027	N/A
Country:	Costa Rica	Forever Costa Rica Program:	11.412.500,00	N/A
Region:	LAC	SINAC:	6.449.000,00	N/A
Area of Interest:	Biodiversity	Other:		N/A
Operational Program:	BD-SP2-Marine PA BD-SP1-PA Financing	Total Co-financing:	17.861.500,00	N/A
Executing Entity:	National System of Conservation Areas (SINAC)	Total expenditure of the project:	19,073,527	N/A
Other Partners Involved:	-	Project document signature (date of Project start):		01/09/2011
		Closing date (Operational):	Budget: 01/09/2015	Real: N/A

OBJECTIVE AND SCOPE

The Project was designed to consolidate the Marine Protected Areas of the National System of Conservation Areas (SINAC). The three main project **outputs** are: a) strengthen the institutional framework and it will improve the individual capacity for the effective MPA´s management, b) increase and diversify the funding for the protected marine areas, and c) widen the coverage of the MPA´s to improve ecological representativeness.

The Mid-Term Review (MTR) is conducted according to the guidelines, regulations and procedures established by the UNDP and GEF, according to the UNDP Assessment Guide for GEF Financed Projects.
The MTR´s aims to provide an independent and in-depth progress of the project implementation review. It is designed to identify potential problems in the design of the project, assess progress in achieving the objectives, identify and document lessons learned and provide recommendations on specific actions to be taken to improve project implementation. With this evaluation there is the opportunity to meet and have early indications of success or failure of the project, and promote the necessary adjustments

FOCUS AND ASSESSMENT METHOD

The evaluator is expected to frame the assessment work using the criteria of relevance, effectiveness, efficiency, sustainability and impact, as defined and explained in the Guide for conducting final evaluations of projects supported by the UNDP and financed by GEF[1]. A series of questions were drafted that cover each and every one of the criterion included in these ToR (see **Annex C**).

The assessment must provide evidence-based information that is credible, reliable and useful. It is expected that the evaluator follow a participatory and consultative approach that ensures narrow participation with government officials, including the GEF operational focal point, the UNDP Country Office, the project team, the GEF Regional Technical Advisor / UNDP and key stakeholders. It is expected that the evaluator performs a field mission in the Republic of Costa Rica, visiting the project office and other key players in the Conservation Areas and other areas of impact of the project internally, to be agreed at the beginning of the assessment. Interviews were conducted with the following organizations and individuals:

- *Project team*
- *United Nations Development Program (UNDP)*
- *Ministry of Environment*
- *SINAC*
- *Conservation Areas*
- *GEF Operational Focal Point*
- *Forever Costa Rica Program*
- *Protected Areas staff to visit*
- *NGOs*
- *Project consultants*

The evaluator will review all the relevant information sources, such as the project document, the annual progress reports (PIR) and other reports, project budget revisions, progress reports, monitoring tools for the GEF interest areas, project files, national strategic and legal documents, and any other material that the evaluator considers useful for this evidence-based assessment. Annex B of these Terms of Reference includes a list of documents that the project team will provide the evaluator for the review.

CRITERIA AND ASSESSMENT RATING

[1] Currently there is not a specific guide for MTR, however, the use of the guide for Final Evaluations is recommended, adapting it to the context of an intermediate evaluation.

A performance assessment of the Project will be conducted, compared to former expectations set forth in the logical framework and results framework (refer to **Annex A**), which provides performance and impact indicators for the project implementation, together with the appropriate verification means. The evaluation will minimally cover the following criteria: **relevance, effectiveness, efficiency, sustainability and impact**. The ratings must be provided according to the following criteria performance. The entire table should be included in the executive assessment summary. Compulsory rating scales are included in **Annex D** of the ToR.

Project performance rating			
1. Monitoring and Evaluation	***rating***	**2. Execution of the IA and EA:**	***rating***
M&E design input		UNDP application quality	
M&E Plan Execution		Execution quality: executing entity	
M&E Overall Quality		Overall quality of application and execution	
3. Output assessment	**rating**	**4. Sustainability**	**rating**
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall rating of the Project outputs		Environmental:	
		Overall probability of sustainability:	

PROJECT FINANCING/CO-FINANCING

The assessment will evaluate the key financial aspects of the Project, including the scope of the planned and completed co-financing. The differences between the planned and actual expenditures should be assessed and explained. The outputs recent financial audits should be considered, if available. The evaluators will receive assistance from the UNDP Country Office (CO) and the Project Team to obtain the financial data in order to complete the following co-financing table, which will be included in the final assessment.

Co-financing (type/source)	UNDP Funds (millions USD)		Government (millions USD)		Partner Organism (millions USD)		Total (millions USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Subsidies								
Loans/concessions								
• Help in-kind								
• Other								
Totals								

INTEGRATION

The projects supported by the UNDP and financed by GEF are key components in the national UNDP program, as well as for regional and global programs. The assessment will evaluate the degree of project involvement with other UNDP priorities, among them poverty reduction, better governance, natural disaster prevention and recovery and gender.

IMPACT

The evaluators will evaluate the extent to which the project is achieving impacts or is progressing towards achieving impacts. The key results that should be reached in the assessments include whether the project demonstrated: a) verifiable improvements in the ecological status,

b) verifiable reductions in stress of ecological systems, and / or c) demonstrated progress towards achieving these impacts.[2]

CONCLUSIONS, RECOMMENDATIONS AND LESSONS

The assessment report should include a chapter that provides a set of **conclusions, recommendations** and **lessons**. The mid-term review should emphasize in providing specific recommendations and applicable in actuality and context, aimed at achieving the objectives and results of the project.

IMPLEMENTATION ARRANGEMENTS

The primary responsibility for managing this evaluation lies in the UNDP Country Office (CO) in the Republic of Costa Rica. The CO will procure the evaluators and ensure the timely supply of per diem and travel arrangements within the country for the assessment team. The Project Team is responsible for keeping in touch with the team of evaluators to establish interviews with stakeholders, organize field trips, coordinate with the government, etc.

TERM FOR ASSESSMENT

The total duration of the assessment is 30 days within a period of two months, according to the following plan:

- International Evaluator

Activity	Term	Date of Completion
Preparation	*2* days	Completion dates of the activities will depend on the date of the signature of the evaluators' contract. However, in principle it is expected that the assessment starts in early July, there a final document should be ready by September.
Mission of the assessment	*18* days	
Draft of the assessment report	*8* days	
Final report	*2* days	

- National Evaluator

Activity	Term	Date of Completion
Preparation	*3* days	Completion dates of the activities will depend on the date of the signature of the evaluators'contract. However, in principle it is expected that the assessment starts in early July, there a final document should be ready by September.
Mission of the assessment	*15* days	
Draft of the assessment report	*3* days	

FINAL RESULTS OF THE ASSESSMENT

It is expected that the assessment team achieves the following:

[2] A useful tool for measuring the impact is the GEF´s Review of Outcomes to Impacts (RoTI) method, drafted by the GEF Evaluation Office: ROTI Handbook 2009

Final Result	Content	Term	Responsibilities
Initial report	The evaluator provides clarifications on terms and methods	At least one week before the assessment mission	The evaluator submits it to the UNDP CO.
Presentation	Initial outputs	End of the assessment mission	Project management UNDP CO.
Draft of Final Report	Complete report with annexes	Within 3-weeks from the assessment mission	Sent to the CO, reviewed by the GEF Regional Technical Consultant, Project Coordination Unit and the Operational Focal Point
Final report*	Revised report	Within 1 week after receiving comments from the UNDP on the draft	Sent to the CO to be charged to the UNPD ERC

* When the final assessment report is submitted, also requires the evaluator to provide an "audit itinerary", where it details how all comments received on the final evaluation report were addressed (or not).

STRUCTURE OF THE TEAM

The assessment team is made up of two (2) evaluators:

- One international evaluator, that will act as the team leader and will be responsible for the finalization of the report;
- One national evaluator.

The consultants should have prior experience in evaluating similar projects. It is an advantage to have experience in GEF funded projects. Selected evaluators must not have participated in the preparation or execution of the project and should have no conflict of interest with project related activities.

INTERNATIONAL EVALUATOR

Required profile:
Academic degree, a degree in environmental sciences or equivalent as a minimum

Minimum of 10 years of relevant professional experience

At least 5 years' experience in design, implementation, monitoring and/or biodiversity project assessment related to protected areas management or sustainability or projects similar in complexity and magnitude

Preference will be given to consultants with knowledge in GEF and/or UNDP projects in monitoring, tracking and evaluation.

Dominates the logical framework methodology and has knowledge on governmental, private and non-governmental organizations related to the environmental and natural resource conservation sector.

Communication skills and coordination of assessment activities in similar projects

Ability to coordinate, lead and manage groups

Knowledge of the region´s actual environment, politics and economy

Fluent in Spanish and English

Ensure the independence of the assessment. The consultant will be free of potential conflicts of interest with the Project´s executing agencies and co-executors.

Ability to work under pressure and meet with tight deadlines

This consultant will be responsible for:

- Assessing the project´s design and its progress towars the established objectives
- Evaluating aspects such as sustainability, ownership, monitoring and evaluation, efficiency, and achieving impacts, among others
- Assess implementation capacity of the various stages of the project, carefully reviewing the capacity to carry out their specific responsibilities
- Assess how interrelated the stages are, while maintaining a clear defination of the specific roles
- Compile and edit the inputs of the evaluation team and prepare the final report
- Assess managerial, financial and administrative aspects of the project

NATIONAL EVALUATOR

Required Profile:

- Academic degree, a degree in environment, economy or similar
- At least 2 years´ experience in project managment support. Desirable experience in monitoring and evaluation
- Communication and activity coordination skills
- Knowledge of the logical framework´s methodology
- Knowledge of the actual national environment, politics and economy. Knowledge of the National System of Protected Areas is desirable
- Knowledge on governmental, private and non-governmental organizations related to the environmental and natural resource conservation sector of the country.
- Ability to coordinate, leader and manage groups
- Knowledge of the administrative, managerial and project report system in terms of theme, scale and complexity
- Ensure the independence of the assessment. The consultant will be free of potential conflicts of interest with the Project´s executing agencies and co-executors
- Ability to work under pressure and meet tight deadlines.

This consultant will be responsible for:

- Ensure that the evaluation is carried out in an objective manner to provide an external perspective to the immediate environment of the project, but from a local and national perspective
- Assist in the definition of the assessment´s output recommendation, so that they adjust to the context which the project is being executed and as a result, are realistic, reachable and effective
- Collect basic documentation, prepare meetings, identify key individuals, assist with the planning and logisitcs, amont others.

EVALUATOR ETHICS

The assessment consultants will assume the highest ethical standards and must sign the Code of Conduct (**Annex E**) when accepting the assignment. The UNDP assessments will be conducted in accordance with the principles described in the **'Ethical Guidelines for Evaluations**' United Nations Evaluation Group (UNEG).

PAYMENT METHODS AND SPECIFICATIONS

%	Milestone
15% fees	Upon delivery and approval of the work plan.
35% fees	After submission of initial results.
50% fees	After submission and approval of the first draft of the final assessment report.

CONSULTANCY ON TERMS OF REFERENCE

Clarifying consultations on the ToR, nature and scope of the research or other aspects inherent to this call can be made to email: ***recursoshumanos.cr@undp.org***

ASSESSMENT CRITERIA

For the assessment of the proposals received, a procedure will be used which consist of three phases:

1. The technical assessment includes the training and experience of the bidder and its corresponding Terms of Reference. The weight of the technical evaluation is of 1000 points.
2. The economic assessment, which includes the economic proposal submitted by the bidder for the value of the consultancy. The weight of the economic assessment is of 300 points.
3. The interview´s weight is of 200 points.

The technical proposal will be assessed according to the following table:

Assessment of the technical proposal		Highest Score	Consultant				
			A	B	C	D	E
Proposal							
1	Is the nature of the job understood?	100					
2	Have the relevant aspects of the work been developed with a sufficient level of detail?	100					
3	Has an appropriate conceptual framework been adopted for the work performed?	100					
4	Is the scope of the work clearly defined? Does it adjust to the ToR?	100					
Consultant Profile							
5	Academic Degree Degree: 50pts Masters and above: 100pts	100					
6	Experience in project management support Less than 5 years : 50 pts 5 years or more: 100 pts	100					

7	Experience in Monitoring and Evaluation Less than 2 years : 50 pts 2 years or more: 100 pts	100					
8	Knowledge of the national environmental reality: National Reality: 50 pts National System of Conservation Areas: 50 pts Organizations related to the environment: 50 pts	150					
9	Knowledge of the administrative, managerial and project report systems similar in terms of theme, scale and complexity	150					
Total		**1.000**					

The economic proposal will be evaluated in the following manner:

The score of the Price Factor (Economic Proposal) will be determined with the following formula[3]:

$$PPF = \frac{LOP}{BP} * 300$$

Where:

PPF = Percentage of the Price Factor
LOP = Lowest Offer Price
BP = Bidder Price

Only those economic proposals of the technical offers that acquire at least 700 to 1000 points as defined in the table of the Technical Assessment Criteria (see table of assigned scores) will be evaluated. Once the total score of the technical and economic proposal has been obtained, the bidders that obtain the highest total score will be called to interview, and once the interview process has been completed, this score will be added to the points obtained by the bidder in phases 1 and 2. **The consultancy will be awarded to the bid with the highest total score between technical evaluation, financial proposal and interview.**
The Economic Proposal shall include a description of each activity listed separately, so that the breakdown of costs for each outcome is reflected (for example, consultant´s time, office supplies, per Diem, transportation, etc.) and must be submitted in colones.

REQUEST PROCESS

APPLICATION PROCESS

Persons wishing to apply for this consultancy must present the following documentation:

a) Letter of Interest (maximum 2 pages), duly signed.

[3] The economic proposal must indicate the daily fee. The costs for transportation in-country and the per diem must be included in the economic proposal.

b) Detailed technical and economic proposal (showing fees, airline tickets, per diem, workshop and logistics costs, support personnel if necessary) which should be submitted in national currency (Costa Rican colones) for the national consultants and in United States Dollars for International consultants.
c) Updated curriculum vitae, maximum four pages long.
d) **Form P-11** (found on: www.pnud.or.cr/CentrodeServicios/Formularios/Formularios contratos). This is a prerequisite for acceptance of bids.
e) Clearly indicate if applying for the international consultant (6.1) or national consultant (6.2).

In preparing the financial proposal the costs related to transportation, meals and lodging should be contemplated. Also, the costs that consultant must incur when traveling to the corresponding Protected Marine Areas. It is recommended to visit the Guanacaste, Central Pacific, Osa, Tortuguero and Amistad-Caribbean conservation areas (2-3 days per trip).
This documentation (separate electronic files) should be sent, via email to the following address: **recursoshumanos.cr@undp.org,** identifying in the subject of the email with "***National Consultant Mid Term Review Protected Marine Areas.***"

The dead line for the application of this consultancy is **Monday, May 20, 2014, 5:00 p.m.**, email: ***recursoshumanos.cr@undp.org***
Only those people called for interviews will be contacted.
For inquires write to ***recursoshumanos.cr@undp.org*** ***telephone 2296-1544 and/or hazel.vilchez@sinac.go.cr***
Note: This bidding process is aimed at professionals, who will work individually.

OTHER CONSIDERATIONS
The applicants should not be officials for the Costa Rican government, whether officers, hired in activity or with a license, and should not have performed as an official or have been contracted by the Government in the last six months.

ANNEX 6:

ETHICS CODE FOR THE EVALUATION CONSULTANTS

AGREEMENT FORM AND CONDUCT CODE FOR THE EVALUATION CONSULTANT

EVALUATORS**:**

1. Must provide full and fair information in their assessment of strengths and weaknesses, in order to have grounds to make decisions or measures.

2. Should disseminate the evaluation results along with information about its limitations, and allow access to this information to all those affected by the assessment that have expressed legal rights to receive the results.

3. Should protect the anonymity and confidentiality of the individual informants. Should provide maximum notice, minimize time of demands, and respect the right of people who do not want to participate. Evaluators must respect the right of individuals to provide information in confidence and ensure that sensitive information cannot be traced to its source. It is not expected to evaluate individuals and must balance a management evaluation of functions with this general principle.

4. Sometimes, evidence of the violations should be revealed when conducting evaluations. These cases must be reported discreetly to the corresponding investigation agency. Evaluators should consult with other relevant monitoring entities when there is doubt as to whether certain matters should be reported and how.

5. Must be sensitive to beliefs, manners and customs and act with integrity and honesty in relations with all stakeholders. According to the UN Universal Declaration of Human Rights, evaluators must be sensitive to issues of discrimination and gender equality, and address such issues. Should avoid offending the dignity and self-esteem of those with who they are in contact in the course of the evaluation. Due to the fact that they know that the evaluation could adversely affect the interests of some stakeholders, the evaluators should conduct the assessment and communicate the purpose and results in a way it clearly respects the dignity and intrinsic value of those involved.

6. Are responsible for their performance and their outcomes. Are responsible for the clear, accurate and fair presentation (oral or written) of limitations, findings and recommendations of the study.

7. Should reflect solid descriptive procedures and be prudent in the use of the resources of the assessment.

Evaluation Consultants Agreement Form[4]

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

Name of consultant: Julio Guzmán-Martínez

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 in *San José* on August 18, 2015.

Signature: Julio Guzmán

Evaluation Consultants Agreement Form[5]

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

Name of consultant: Gerardo Emigdio Palacio Martínez

Name of consultancy organization: _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation

Signed in *San José* on August 18, 2015.

Signature: 

4 www.unevaluation.org/unegcodeofconduct

5 www.unevaluation.org/unegcodeofconduct

ANNEX 7:

AUDIT SCHEDULE

COMMENTS TO THE FINAL DRAFT REPORT

1. *The sections included in control of changes should be also developed in the document (page ii):* ***the suggested sections were developed****.*
2. *Instead of rating scales, tables that gather all the ratings given to this project in the different dimensions should be placed. See the table below (page viii):* ***the table with the appropriate qualifications was included.***
3. *Some from (page ix):* ***the inclusion of "Some" indicators was suggested***
4. *What is this project recommending? If there isn't any recommendation, simply don't include it and leave the conclusion only (page x).*

   This is a conclusion, what is the recommendation? (Page 60): ***the wording of the recommendation of the conclusion was extended.***
5. *We all know that community participation is important, but what is your specific recommendation? Please make sure that this recommendation is something the project has not done up to date (page x):* ***the recommendation was rewritten and specified****.*
6. *Please verify in this and in the previous point, the number of expanded/created MPA, because the goal data may be inverted (page 17):* ***data was checked and corrected****.*
7. *"UNDP Capacity Development Scorecard" is a standard tool to monitor the capacity building in a project´s life. This scorecard includes the most important issues related to capacity building and these issues can be adjusted according to the needs of the project. During the development process of the project document or ProDoc it was determined that these general topics that were going to be measured by the indicator 1 of outcome 1 are:*

   - *Capacities for engagement:* ***X***
   - *Capacities to generate, access and use information and knowledge:* ***X***
   - *Capacities for management and implementation:* ***X***
   - *Capacities to monitor and evaluate:* ***X***

   If you look at UNDP´s scorecard in each of the above categories (Capacities for engagement, etc.) there are specific questions which can be tailored to the country´s context and project. The X in each category is the baseline that the project should have established since the beginning of the project. And based on the results of the baseline and the process of implementing the scorecard is that you can identify training topics and staff. Officials should have been already trained and this was the time (mid-term evaluation) to apply the scorecard and measure whether there was increase in capacity or not. It is important to apply the scorecard ASAP to determine the baseline, conduct the necessary training and reapply the scorecard before the midterm evaluation to determine if there was any increase in the capacity. Please include this in any recommendations (page 20, page 32, and page 56).

   See my previous comments related to this issue. It is important to remind the project team that the baseline could have been determined during the first months of the project. It is important that the project team is familiar with the UNDP handbook for Capacity Development Scorecard: ***the PCAMP will make the measuring in June 2015, to then train and re-measure, so that the wording was changed****.*

8. *This is true. The METT is subjective. But it´s the only tool that GEF has to track the increase in the management effectiveness of all the projects for protected areas worldwide. If you have a better tool please propose it (page 20).*

   Correct. Therefore it is important to ensure that the METT is completed in the best way possible and that the ratings are supported with explanatory notes on the relevant circumstances of the moment. In this way if new staff arrives, they can do the necessary follow up. Please review the METT and compare it with the METT that was completed at the beginning of the project and that is in the ProDoc. Is it completed? Is It clear? Has there been an improvement in the handling capacity? Etc. (page 20).

   It is precisely because of this that the METT must be completed in such a detailed manner so that new employees know which was the information considered to complete the METT. The METT is completed during three periods of the project´s life: 1) During the design of the ProDoc; 2) For the midterm review and 3) for the final evaluation. Please ask the project team to provide METT data to see what changes have occurred since to the first METT (page 32, page 56).

   It doesn't matter they are not the same. If the METT was completed correctly the first time and with all the necessary information, the new officials will be able to complete the METT again (page 54).

   Can you indicate other non-subjective tool or methodology that could have been applied to measure the PA management effectiveness? (Page 56): ***the recommendation was incorporated and the results obtained in implementing the METT were justified****.*

9. *Why not? This project is implemented by SINAC not by an NGO. And the project can provide the financial means to SINAC to do lobbying and influence the budget allocation for protected areas (page 20, page 56):* ***The recommendation was included****.*

10. *Outcome 3 includes an output for the development and implementation of management plans for the protected areas. In this context the plan is expected to have impact on the current state of biodiversity and the project must select a relevant indicator of biodiversity conservation.*

    Any species selected for monitoring is sensitive to external environmental changes. It is presumed that management plans will include actions to protect the coral coverage against external agents such as fishermen, divers, etc. And that educational action for these actors will be included, placing buoys so the boat´s anchors don't destroy the coral, etc. This is a biodiversity conservation project and indicators that measure the impact on biodiversity must be identified (page 21): ***the wording was changed. In addition, a reference to the specific recommendation was included.***

11. *The declaration of these protected areas not only depends on the support of the communities, but also on the necessary political support. This is known since the project´s proposal (or ProDoc) was designed and those are risks that the project should monitor in their work records and through UNDP ATLALS system´s risk table to take adaptive management measurements over the life of the project. Moreover, the project strategy recognizes the reality that actions for declaration of protected areas should be made in a participatory manner in multiple sections of ProDoc. For example: Multiple Communities live along Costa Rica's coasts and in close proximity to MPA, and depend largely on coastal and marine resources. Effective MPA protection and management will require their active participation, particularly in Cahuita NP, Santa Rosa NP and Playa Hermosa NWR, where specific participatory management arrangements will be implemented.*

Indicators 3.5 and 3.7 are not oblivious to the fact that these areas must be declared with the participation of the communities. In case the communities don't agree with the declaration of multiple use protected areas, this must be registered in the project in one of the PIRs and obviously the goal of these indicators can be affected. Either way, indicators 3.5 to 3.7 are impact indicators of the project which should remain in the logical framework (page 21).

The participation of the communities for the declaration of protected areas is an issue that was taken into account in the project´s design and in the ProDoc. As said earlier, if there is a 50% increased risk that communities do not support expansion or declaration of protected areas, this should be reported in the matrix of project´s risks and mitigation measures should be proposed (page 57): ***the recommendation was included and it also specified that it will depend on the political willingness.***

12. *The consultants who worked on the process of preparing the project document or ProDoc for 18 months should have this information (page 21):* ***the wording was changed and it was specified that the calculation methodology is not located****.*
13. *The indicators are parameters to measure the impact of the project. I imagine it refers to the response time of SINAC and public institutions involved in the implementation of project´s activities? Are there any recommendations on how to specifically reflect this "dynamic decision-making" in the project´s activities during its second phase of implementation? (Page 21):* ***this comment was removed****.*
14. *In the second paragraph of your comments to OUTCOME 3 you hinted to the risk that the communities do not cooperate in the declaration of protected areas. If during your analysis of the assessment you found that this is a critical risk, with a higher probability of 50% that it happens, please include a recommendation in the assessment so the risk table includes this risk (page 21):* ***This risk was not incorporated****.*
15. *The methodology that was used is the Financial Sustainability Scorecard and this is in the ProDoc. The scorecard that was completed in the design stage of the ProDoc must also be in the annexes. The financial scorecard is part of GEF´s tracking tools for all projects. This Financial Scorecard should be reapplied at this moment (mid-term evaluation) and for the final evaluation (page 34).*

    The methodology is GEF´s FINANCIAL SCORECARD. This Scorecard was completed during the design stage of the ProDoc (page 36).

    The financial gap is estimated by GEF´s Financial Scorecard and it`s appropriate. If new needs are identified, as a result of this management plan, this must be recorded in the Financial Scorecard and this value represents a new baseline for an optimal scenario of future programming activities for the MPA. What has to be done is to change the project´s goals based on this juncture and this change is recorded in the RIP. This is part of adaptive management stage of the project. It is important to note that the financial scorecard is a tool that MPA can continue to use after the project´s completion (page 57): ***the FSC data measured in 2013 by the Barriers Project were incorporated and the justification was changed****.*
16. *Please check this statement. There are several indicators that are appropriate. For example, the number of expanded or created MPA, the number of updated management plans, etc. (page 39).*

    That's not true. There are some indicators that are relevant like 3.4, 3.5 and 3.7 and should not be removed from the logical framework.

Regarding the biological impact indicators (3.1 to 3.3) a key indicator must be defined to measure the impact of the project on biodiversity conservation. The project is supporting management plans in protected areas making its measurement relevant (page 57): ***the recommendation was upheld and the reference was limited to biological indicators 3.1-3.4****.*

17. *Please include a recommendation so a new goal is set on the MANGEMENT RESPONSE (page 40):* ***there is a recommendation to explore the possibility of extending the implementation time of PCAMP****.*
18. *How was 40% obtained? (Page 43-44) it was specified that this data came from the above tables, which explains how the percentages were obtained.*
19. *This column only shows the budgeted amounts for years 2012-2014? It does not represent the total amount of the GEF project, right? If so, the 244.519 correspond to 25% of 969.960, but it would be advisable to also include somewhere how much this amount represents based on the total amount of the project ($ 1,212,027) and likewise the sub-totals from each outcome in relation to the corresponding amounts as established in the ProDoc (C1: 230.163; C2: 124.090; C3: 747.590; Project Management: 110.184). Please also include data related to the implementation of the Project Management component (page 48):* ***data was incorporated and explained as required. Besides, the section 4.2.3 regarding Project Financing was developed****.*
20. *Please also develop your appraisal in terms of financial sustainability.*

    For each of the four dimensions, financial, socio-economic, institutional framework and governance and environment a rating should be given [Likely - L, Moderately Likely - ML, Moderately Unlikely - MU, Unlikely - U] and these should also be reflected in the summary of qualifications table that should be included in the Executive Summary (page 50): ***the recommendation was incorporated (subtitle 4.3.4.4)****.*
21. *Fantastic! So the participation topic mentioned in ProDoc was considered! (Page 50):* ***Yes, it took into account the issue of participation****.*
22. *Please include a recommendation to improve the participation of stakeholders such as the municipalities and how that participation is necessary to achieve the intended result. Also mention the specific result that is sought in the context of the specific stakeholder (page 51): the recommendation was incorporated.*
23. *This is an outcome of the Financial Scorecard (page 55):* ***The FSC results were incorporated****.*
24. *Please check this statement. The fact that it´s unknown how they were calculated it does not mean that the indicator is not measurable. The project team is responsible for keeping track of all the indicators and since the beginning of the project they should have been aware of the background of the project and how these indicators were calculated. And do not wait until the midterm review to say that no one knows how they were calculated (page 56):* ***it was specified that not all can be calculated by the PCAMP****.*
25. *What does it mean that the indicators are not "affordable"? (Page 56):* ***"affordable" was defined with a footnote, according to the UNDP evaluation guide****.*
26. *This was already known from the moment the ProDoc was designed and is written in the ProDoc (page 56):* ***It was also added that it depends on the government's policy guidelines****.*

27. *Include this acronym in the list of acronyms (page 57):* ***Acronyms are included in the respective list****.*

28. *This is very relative; the achievement of an output does not necessarily lead to results that correspond to the indicators´ goals. There are times that this goal is achieved as a result of a combination of finished outputs. Additionally, this is a mid-term review and it is not expected that all outputs have been completed at this time. Due to the above (page 58).*

    This is a mid-term review and it is not expected that the outputs are completed at this time. If you think that the outputs are not going to be completed by the end of the project, say which are those outputs and why they will not be completed (page 58): ***the wording was changed, the text specifies which are the outcomes and outputs that are difficult to achieve and the recommendation was expanded****.*