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SGP Programa  
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# MIDTERM REVIEW (MTR) FINAL REPORT (*DRAFT*)

Full sized UNDP supported GEF-financed project  
Seventh Operational Phase of the GEF  
Small Grants Programme in Costa Rica  
(PIMS6521)

UNDP-GEF PIMS ID number: 6251

GEF Project ID number: 10124

GEF strategic Program/operational focal area: Small Grants Programme

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San José, Costa Rica

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## i. Basic report information

**Project title:** Seventh Operational Phase of the GEF Small Grants Program in Costa Rica

**UNDP-GEF PIMS ID number:** 6251

**GEF Project ID number:** 10124

**MTR period:** July 2020 – September 2022

**Region and countries covered by the report:** Costa Rica, implemented in five landscapes: The i) Jesus Maria and ii) Barranca River basins; iii) the Montes de Aguacate Biological Corridor (MACB), iv) lower Grande de Tarcoles river basin and the v) Paso Las Lapas Biological Corridor).

**GEF strategic Program/operational focal area:** Small Grants Program

**Executing Agency:** UNOPS

**Implementing partner and other project partners:** United Nations Development Programme (UNDP).

**MTR Team:** Ariana Araujo Resenterra

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### iii. Acronyms and abbreviations

ADI	Integral Development Association
AECID	Spanish Agency for International Development Cooperation
ASADA	Administrative Associations of Communal Aqueduct and Sewer Systems
AyA	Institute of Aqueducts and Sewers
CADETI	National Advisory Commission on Land Degradation
CC	Climate change
CORFOGA	Livestock Corporation
EOP	End of Project Target
FLU	Federations, Leagues, and Unions
FMAM	Global Environment Facility
FONAFIFO	National Forestry Financing Fund
GEB	Global Environmental Benefit
GEF	Global Environment Facility
GIZ	German Federal Enterprise for International Cooperation
Ha	Hectares
IMN	National Meteorological Institute
IMN	National Meteorological Institute
INA	National Learning Institute
INAMU	National Women's Institute
INDER	Rural Development Institute
km <sup>2</sup>	Square kilometers
M&E	Monitoring and Evaluation
MAG	Ministry of Agriculture and Livestock
MINAE	Ministry of Environment and Energy
MTR	Mid-term Review
NGO	Non-Governmental Organization
NSC	National Steering Committee
OCSAS	Community Organizations of Water and Sanitation Services
OECD	Other effective area-based conservation measures
OP	Operational Phase SGP
PB	Project Board
PC	Project coordinator
PIR	Project Implementation report
PMU	Project Management Unit
PRODOC	Project Document
PRONAMEC	National Ecological Monitoring Program
RTA	Regional Technical Advisor
SDG	Sustainable Development Goals
SGP	Small Grants Program
SINAC	National System of Conservation Areas
ToR	Terms of Reference
UNA	National University of Costa Rica
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDAF	UNDP Development Assistance Framework
UNDP	United Nations Development Program
UNDP-GEF	UNDP Global Environmental Finance Unit
UNED	National University for Distance Education
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
UNP	Urban Natural Park
USD	United States Dollars
UTN	National Technical University

# 1. Executive summary

## 1.1. Project Information Table

Project title		Seventh Operational Phase of the GEF Small Grants Program in CR	
UNDP-GEF PIMS ID number:	6251	FIP approval date:	June 11, 2019
GEF Project ID number:	10124	CEO endorsement date:	May 6, 2020
Atlas Award ID:	119761	Project document (ProDoc) signature date (date project began):	July 2, 2020
Atlas Project/Output ID:	116145	Date project manager hired:	July 2017
Country:	Costa Rica	Inception workshop date:	July 23, 2020
Focal action:	Five landscapes: The i) Jesus Maria and ii) Barranca river basins; iii) the Montes de Aguacate Biological Corridor (MACB), iv) lower Grande de Tarcoles river basin and the v) Paso Las Lapas Biological Corridor	Mid-term review completion date:	October 2022
Contributing Outcome (UNDAF/CPD, RPD, GPD):	<u>Outcome 2:</u> Capacities for inclusive and sustainable development with a focus on environmental sustainability. <u>Output 2.1:</u> MAG, MINAE, Ministry of Health and MTSS have established multi-stakeholder platforms for dialogue to reduce negative socio-environmental externalities generated by agricultural commodities.	Planned closing date:	June 2024
Trust Fund (Indicate GEF TF, LDCF, SCCF, NPIF):	GEF TF	In case of revision, new proposed completion date:	June 2024
Executing Agency / Implementing partner:	UNDP		
Other execution partners:	Ministry of Environment (MINAE), Institute of Aqueducts and Sewers (AyA), National University (UNA), Ministry of Agriculture and Cattle (MAG), National Advisory Commission on Land Degradation (CADETI)		
<b>Project financing</b>	<b>at CEO endorsement (US\$)</b>	<b>at Midterm Review (US\$)*</b>	
<b>[1] Total Budget administered by UNDP</b>	<b>USD 2,081,945</b>		
<b>[2] Confirmed Co-Financing:</b>			
Community organizations (in-kind)	USD 1,300,000	1,595,554	
Community organizations (in-cash)	USD 500,000	47,000	
UNDP (in-kind)	USD 200,000	100,000	
MINAE (in-kind)	USD 800,000	400,000	
MAG (in-kind)	USD 1,125,000	600,000	
CADETI (in-kind)	USD 250,000	125,000	
AyA (in-kind)	USD 100,000	80,000	
UNA (in-kind)	USD 75,000	25,000	
German Technical Cooperation (in-cash)	USD 1,040,000	500,000	
<b>[3] Total confirmed co-financing</b>	<b>USD 5,390,000</b>		
<b>[4] Grand-Total Project Financing (1)+(2)</b>	<b>USD 7,471,945</b>	<b>USD 3,472,554</b>	

\* [PIR, June 2022]

## 1.2. Brief project description

The Seventh Phase of the GEF Small Grants Program in Costa Rica, is being implemented since June 2020 in five landscapes: The i) Jesus Maria and ii) Barranca River basins; iii) the Montes de Aguacate Biological Corridor (MACB), iv) lower Grande de Tarcoles River basin and the v) Paso Las Lapas Biological Corridor. The area covered by these landscapes is approximately 199,627 hectares. The project aims to enable communities and organizations in these target landscapes to take collective action, through a participatory landscape planning and management approach, to enhance socio-ecological resilience by producing local and global environmental and sustainable development benefits (GEBs). SGP is supporting specific community-based actions in each landscape by financing small-scale projects run by local community organizations and coordinating them within the priority landscapes to achieve landscape-scale impacts. Currently there are 33 projects under implementation and 3 final projects are soon to be started.

The project addresses a series of development challenges in an intervention area home to over 420,000 people, where human settlements are combined with substantial forest patches and varied ecosystems, agricultural production, grazing pastures, protected areas (PA) and other land uses. The main threats to be overcome and which are causing the rapid deterioration of socio-ecological resilience in the target landscapes are: Changes in land use and the progressive degradation of natural resources (biodiversity, habitat, soil, water, etc.) from over-exploitation, pollution, introduction of exotic invasive species and climate change; habitat loss, caused by land use changes in production landscapes, threatens biodiversity and ecosystem connectivity; traditional activities, such as extensive cattle ranching and coffee farming, historically, have heavily impacted forest cover in these landscapes, causing the fragmentation of continuous forest blocks, the propensity for forest fires and reduction in the quality and quantity of water resources for human and agricultural consumption. All these effects have impacted on agricultural productivity, income-generating options, and the well-being of rural and peri-urban populations, especially affecting more marginalized groups with more limited access to land, ecosystem services, goods and benefits and reduced participation in decision-making bodies.

The project not only responds to these challenges, but is designed to consolidate, improve and scale-up upon the solid results, best practices and lessons learned during GEF-5 (Jesus Maria River basin) and GEF-6 (Jesus Maria and Barranca River basins) engendering a multifocal and multisectoral approach driven by community organizations and with the guidance and technical assistance from state actors, universities, and the private sector.

## 1.3. Project Progress Summary

The project has a **highly satisfactory** rating and is on track to achieve the project's goals and development objective. This assessment is maintained for the overall objective and the results of the two components. It is worth mentioning that this phase of the SGP started withing the Covid-19 Pandemic, and still the Program has succeeded in the implementation of the planned activities. Efforts are being made to contribute effectively and inclusively to improving the livelihoods of the inhabitants of the targeted areas through the restoration of degraded forests and production landscapes for socioeconomic resilience and enhancing the governance platforms. OP7 is implementing pilots on productive sustainable and more resilient practices at farm and household levels with an agri-environmental focus. It has implemented strategic projects, and the results could translate into replicable models at national and international level. Challenges are still to be overcome in terms of improving market access to some of the initiatives, but actions are being taken to support groups in this respect. A gender and bottom-up approach is clear under the execution of the SGP. In terms of the future, this second half of the OP7 will be critical to determine how the national authorities will allocate and execute the GEF-SGP resources for OP8, thus communication knowledge and lessons sharing, and results dissemination will also be critical.

#### 1.4. MTR Ratings & Achievement Summary Table:

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
	<b>Objective:</b>	The project has a <b>satisfactory</b> appraisal and is on track to achieve its goals and development objective. The SGP alone cannot ensure the resilience of the intervention area but is proving key models of intervention and supporting the national strategies towards the improvement of resilience of the region. The current portfolio amounts to 33 Small Grants projects, which represent 95% of the funds originally available for grant allocations (\$1,325,000). These were approved at the eleven NSC meetings that have been held to date with the technical contributions of the National Technical Advisory Committee made up of the National Land Degradation Commission (CADETI) and other key institutions as MAG and SINAC and are aligned with the landscape results and the established priority activities. Another three beneficiary projects are under formulation and will soon be presented to the NSC for revision and approval. Therefore, OP7 is very likely to close with a total of 36 grantees.
<b>Progress Towards Results</b>	<b>Assessment of the achievement of the objective (6-point assessment scale)</b>  <b>Rate: 6 Highly Satisfactory</b>	The MTR process rates the project as <b>highly satisfactory</b> . It is on the way to achieving the goals and the achievement of its development objective. Most of the indicators are achieved and passed the End of Project (EoP) target. Of 21 indicators, 13 (62%) are achieved to the End-of-Project target (EoP). 5 indicators (24%) are on track for the Midterm target with an execution between 50-84% (overpassing the goal for this first half of the OP7). Only 3 indicators (14%) are not achieved yet but are on track to be reached by the EoP target. The progress through the 33 projects approved to date is significant in maintaining biodiversity and ecosystem goods and services of global importance, as well as in mitigating the effects of climate change, thanks to the implementation of soil conservation practices and renovation of crops resistant to diseases (on coffee and other crops-mixed farms,) farms in the upper and lower river; sustainable and diversified horticultural production under protected shade houses; sustainable and diversified farming systems (fruit production, blackberry, passion fruit and cape gooseberry production); sustainable ranching and silvopastoral techniques in upper and middle watersheds, including rain catchment reservoirs, spring protection; Rural tourism; improved skills of beekeepers; participatory monitoring of felines and prevention of attacks on livestock and animals, among others. These are having a positive cumulative effect at the landscape level within the Project's overall intervention area, thanks to acceptance, application and replication at the community and institutional level (just over 200,000 hectares).
	<b>Outcome 1.1:</b> Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems. <b>Rate: Highly Satisfactory (6)</b>	The SGP is making progress to mitigate the causes of progressive degradation of natural resources and habitat loss, caused by changes in land use in production landscapes, overexploitation of natural resources, forest fires, poaching, the introduction of invasive alien species and climate change, which threaten biodiversity and the connectivity of ecosystems (biodiversity, habitat, soil, water, etc.). In terms of indicators 6, 7, and 8, the SGP has achieved the EoP target for this outcome (by 104%, 100%, 100% respectively). In general terms, 15 community-level small grant projects in selected landscapes aim to restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation.
	<b>Outcome 1.2:</b> The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices. Outputs to achieve. <b>Rate: Highly Satisfactory (6)</b>	The sustainability of production systems in target landscapes is strengthened through integrated agroecological practices; this is on the right track. Under this Outcome, 22 projects aim to transform agricultural systems with more sustainable production practices, through scaling up and transferring best practices and knowledge from OP6. The indicators 9, 10 and 11 are over-achieved even for the EoP target (137%, 100% and 183% respectively). The SGP is working with key institutions such as UPAP (union of cattle producers of Puriscal) to broaden their scope of actions relating fauna conservation initiatives with sustainable production in cattle farms. The techniques and activities taking place are aligned with national strategies such as NAMA Ganadería (that aims to reduce emissions and achieve carbon neutrality in cattle farms executed by MAG with CORFOGA and other key actors).
	<b>Outcome 1.3:</b> Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale	The outcome of Community livelihoods in target landscapes becomes more resilient through the development of green small-scale community enterprises and improved market access, which seek to enhance the development of innovative products and services with particular attention to the needs of women and youth groups; this is on track: 10 projects (exceeding the goal of 4) are improving value chain strategies regarding the production and marketing of products within and



	<p>community enterprises and improving market access. <b>Rate: Satisfactory (5)</b></p>	<p>outside their communities, thus with perspectives of generating income and employment. Indicator 12 (Value chain strategy and platforms established between producers and private sector) presents an execution of 275% for the EoP Target, and indicator 13 (Models for the transformation of tragic plastic pollution) is reached to 100%. Only one indicator (14) is under-executed for the midterm target. Overall, this outcome is key, especially during the Covid-19 crisis, given the groups have found an alternative for food production and market access to support their income over this challenging period.</p>
	<p><b>Outcome 1.4:</b> Increased adoption (development, demonstration, and financing) of renewable and energy efficient technologies at community level. <b>Rate: Highly Satisfactory (6)</b></p>	<p>The 'Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at the community level', outcome was based on extensive stakeholder analysis during the design phase (such as the previous ones). Through a strategic project with BIOMATEC Foundation, the SGP has installed renewable and energy efficient technologies benefiting 7 community organizations (producer associations and ASADAS) and two individual farmers under their grant project. These technologies range from solar powered remote controlled water flow metering systems, photovoltaic panels for energy consumption reduction; the implementation of energy efficient wood stoves; biodigestion systems for cogeneration of electrical energy, vermiculture production and use of biol (liquid fertilizer) for pastures; and the introduction of a solar-powered honey extraction system. All these technologies are accompanied by the necessary training courses, monitoring, training manuals and eventual dissemination. The results and data that are being produced are already being replicated at national and international level by BIOMATEC with the support of AECID-IICA. This outcome presents 2 indicators (15 and 16) that are overachieved for the EoP target by 575% and 225% respectively.</p>
	<p><b>COMPONENT 2:</b> Landscape governance and adaptive management for upscaling and replication. <b>Rate: Satisfactory (5)</b></p>	<p>Four landscape strategies were developed in 2020 for the two Biological Corridors (Montes de Aguacate and Paso Las Lapas) and two basins (Jesús María and Barranca). 120 key actors from various communities participated in participatory virtual workshops and consultations and through which the Satoyama resilience indicators were applied, which allowed an updated and realistic measurement of the state of the official management plans of each landscape, as well as a planning useful tools for landscape surveillance committees. On the other hand, a new multistakeholder platform has been promoted, implemented by the AVINA Foundation. As a result of this project, three associations of ASADAS (UNAGUAS, UNARECE and FEDEPACE), which together affiliate 29 ASADAS in a territory, have come together under the figure of a Consortium to establish a Center for Sustainability (CAISA). It ranked as satisfactory because the results of the improved management plans will be more evident during the second half of the OP7 and the consolidation of services that CAISA is providing needs to be strengthened as a business model. For this component, most of the indicators are on track: 3 indicators (17, 18 and 21) are achieved for the EoP target, and one (20) is reached for the Midterm Target. Only the indicator 19 (Youth and women benefitted from training scholarships) is not under execution by the MTR.</p>
	<p><b>Outcome 2.1:</b> Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access. <b>Rate: Satisfactory (5)</b></p>	<p>Several of the SGP grantee projects are promoting market access for some of the production activities that the grantees are implementing. The strategy is not precisely done through multi-stakeholder bio-entrepreneurship networks (as stated in the outcome), but based on the particular cases and projects, which are linked or connected to specific markets or clients. Under this Outcome, 22 projects aim to transform agricultural systems into more sustainable production practices, through scaling up and transferring best practices and knowledge from OP6. Based on the Gender Analysis and Action Plan, the Project is actively promoting a gender sensitive approach by allocating targeted financial resources to help eliminate or reduce identified gender gaps by prioritizing specific grants led by women's groups that they are promoting income-generating initiatives, while contributing to the sustainable use of biodiversity.</p>
<p><b>Project Implementation &amp; Adaptive Management</b></p>	<p>The assessment of the implementation of the project and adaptive management is <b>highly satisfactory</b>.</p>	<p>The MTR does not foresee corrective actions applicable to the management mechanisms. The project is managed to achieve and maximize results, which includes the achievement of important outcomes, even when the Program started during the COVID-19 Crisis.</p>
<p><b>Sustainability</b></p>	<p>Project sustainability is <b>Likely (L)</b></p>	<p>The most important results are on track to be achieved before the conclusion of the Program and are expected to continue in the future. Still, some key elements must be addressed and given the diversity of the projects not all can be ranked in the same manner (some are more likely than others to be sustainable). 6 risks are identified within the Project's Social and Environmental Diagnosis Model, for each of these risks, corrective measures considered of moderate risk are proposed. Attention must be paid mainly to the institutional and political context (for SGP as a program) and to environmental and market risks that could affect the projects.</p>

## 1.5. Conclusions summary

The SGP program in Costa Rica, beyond the efficient execution of the OP7, is a reference at national level for the support of local initiatives related to sustainable development in general. The MTR considers the SGP OP7 as highly satisfactory, most of the indicators for the mid-term goals are achieved, and some even exceeded the end of target expected goals. The technical revision of the results indicates the Programme to be on track to reach the objectives. Also, during the MTR interview process, a question was asked of the interviewees (grantees, actors from public institutions, NSC, NGOs, among others) to rank the execution of the SGP OP7 on a scale from 1 to 5<sup>1</sup>. An average of 4.6 was given for the technical and administrative execution of the Program. The grantees gave a full 5 to the execution of the SGP. In sum, the conclusions are summarized as follows:

1. SGP OP7 is aligned and contributes to national and international agreements. The Program contributes to the national implementation of the three multilateral environmental conventions (UNCBD, UNCCD, UNFCCC), and the National Policies and Plans related to them. Its design is based on the needs of the intervention area and of the CBOs. The intervention was planned using data and consultation of key stakeholders.
2. The SGP is working through local actions in response to local needs in a single geographical space, which is an assertive strategy. The Program is increasing its effectiveness through complementary resources and key partners. The geographical focus is a sound practice that deepens the scope and results of the program within river basins and biological corridors, under a landscape approach. The intervention area was classified as one of the most degraded ones in the country, and SGP OP7 is supporting efforts to increase resilience through a landscape approach.
3. The SGP represents a unique figure and mechanism in Costa Rica for the access to financial and technical support by CBOs and related to sustainable development. It is a national reference based on 29 years of experience in the country. The Program has allowed for the development of national models over the years, and during OP7 some strategic projects are likely to become models to be replicated (as explained further in this report).
4. The work SGP is facilitating is linked with the extensionist tasks of MAG and SINAC, triggering local initiatives related to environmental and productive actions (the SGP is supporting the “dynamization” of diverse activities, projects and connection between actors and institutions beyond the immediate scope of their interventions). An example is the implementation of shade houses for vegetable production. This model, with improved technology and with strong support from MAG and SGP consultants, is achieving results in terms of food security and sovereignty, organizational development of women groups in the community, women’s empowerment, and social network strengthening, and it is becoming a model by which women can commercialize production (increasing incomes in the future).
5. Other actions taken for maintaining biodiversity and ecosystem goods and services of global importance, as well as in mitigating the effects of climate change, are done through the implementation of soil conservation practices and renovation of crops resistant to diseases on coffee and other mixed-crop farms in the upper and lower river; sustainable and diversified horticultural production under protected shade houses; sustainable and diversified farming systems (fruit production, blackberry, passion fruit and cape gooseberry production); sustainable ranching and silvopastoral techniques in upper and middle watersheds, including rain catchment reservoirs, spring protection; Rural tourism; improved skills of beekeepers; participatory monitoring of felines and prevention of attacks on livestock and animals, among others. These are key examples and techniques that are being shared within the services provider institutions (such as MAG, SINAC, 4s Clubs, and NGOs, among others) and governance platforms that SGP is also supporting.
6. These projects, and OP7 in general, are done under a clear Gender Action Plan and focus (from the design through implementation). It is generating changes at individual, household, and community

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<sup>1</sup> A more detailed description of this methodology can be found in the section of conclusions.

level. Testimonies from women (grantees) collected during the MTR process (through interviews and focus groups), indicated the changes experienced by them in terms of self-esteem, production activities/economic empowerment) and social networking and organizational strengthening. Their involvement in the groups represents a space to enhance social networks, but also to get access to income generating activities which results in better administrative, financial, and even social skills, among other benefits.

7. In this sense, some key institutions could have a greater role in the service and support provided to the (women's) groups, such as INAMU, INDER and even financial institutions such as Fundecooperacion, given they are actors that currently do not have a very active role in the execution of the SGP.
8. In relation to the actors and partners of SGP (and even with possible implications for its governance structure), the MTR identified a misunderstanding of one of the key partners related to the funds. Some assertions were made during the mission related to the SGP-GEF funds: some key actors (2 people interviewed during the data collection process) indicated that these funds "belong" to CADETI, when clearly the SGP resources are nationally "owned" and assigned via MINAE to the SGP as a civil society mechanism. These are channeled to civil society organizations for the implementation of local actions related to the three conventions mentioned in point 1. Nevertheless, overall, there is wide acceptance among all stakeholders that the SGP NSC in Costa Rica is a civil society led mechanism, and the above comment is the view of only one specific institution.
9. Another key element related to partners and SGP implementation is the added value of UNDP as the GEF agency for the SGP. The UNDP is an apolitical and technical body that supports the national authorities in the implementation of diverse actions, including the international conventions ratified by Costa Rica. It works under a strong gender and human-rights approach and has vast experience in the implementation of the SGP over the past 29 years.
10. SGP OP7 has implemented an interesting approach towards the strategic projects and is working with key partners for their implementation. This model is generating lessons, methodologies and best practices that could be replicated and scaled by other SGP programs and even other GEF full size projects. Additionally, working with local governments, ADIs and NGOs proves to broaden the scope and results of the interventions. SGP OP7 has supported strategic projects through strategic partners (AVINA, BIOMATEC, UPAP) that are already becoming models to work around the topics the Program is supporting (this is also the case for PANTHERA project).

## 1.6. Recommendations summary

In general terms, the MTR recommends that the SGP to keep the intervention focus that is being carried out and to strengthen the partnerships with key institutions, NGOs, and private and private sector. The MTR considers the SGP OP7 to be a highly valuable Program implemented by UNDP in Costa Rica and executed by UNOPS, that should carry on under a similar structure and intervention logic in the future. More specifically, the main recommendations derived from the MTR<sup>2</sup> are:

1. A more structured coordination must be established with key partners such as INAMU (working on financial and technical assistance; INDER (as a national entity that can provide funds and assistance to projects in diverse topics); NGOs and financial institutions such as FUNDECOOPERACION (including funds for adaptation strategies) and the private sector (to support SGP grantees in accessing specialized markets and technical/financial support for their sustainability). This is to potentiate the

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<sup>2</sup> A full description of the recommendations can be found in the last section of this Report (which includes the general recommendations indicating to which institution are directed, and the key actors involved, so as the more specific (strategic) actions proposed by the MTR).

results achieved by women's groups and others and to strengthen the organizational, productive, and commercial capacities of the supported initiatives.

2. In terms of market access for the initiatives with a commercial focus, the SGP team should focus during the remaining period on supporting business development strategies for those respective grantees to consolidate the sale of their products. A strategic diagnosis (market and commercialization studies for example) could be conducted or systematized (where the information is available) to determine the specific needs, potential and possible clients of the products produced by grantees.
3. Better communication should be pursued both internally (with UNDP) and externally (between the SGP OP7 grantee projects and other key multi-stakeholders in public and private sectors) to share the lessons learned and results of the SGP during this phase and others. The SGP OP7 has a communication strategy that must be implemented and strengthened in the second half of the Program. Having a communication strategy (externally) does not obviate the need for spaces for the projects to learn from each other and for the SGP to be able to present results, lessons learned and methodologies with other actors in face-to-face activities. As an example, the results achieved with the regional MAG offices are key to the extensionist agendas of the institutions, and it would be key to share the SGP pilots (with perspectives of becoming models) among the public sectors.
4. Results, methodologies and lessons learned should be systematized and communicated also at diverse levels: among the SGP OP7 grantee projects, ministries, strategic partners (NGOs), local governments, academia, among others. This will aim to share lessons learned, methodologies and results that can be models of intervention at a national level, and that can inform public policies. It is also key information for the design and negotiation of the next SGP phase.
5. The guidelines and Implementation Arrangements of the GEF-SGP must be clear for all national actors: for example, the Technical Advisory Committee, which is comprised of CADETI, the NSC, public institutions and the CBOs/projects. The SGP does not belong to a particular ministry nor institution; they are technical and financial resources destined for civil society and the implementation of local actions under the UNCBD, UNCCD, UNFCCC. The SGP (along with UNDP during discussions in the NSC meetings and other formal communications) has made this clear, but still some actors affirm another angle to this reality, that could cause confusion at local and decision-making levels. A discussion with key representatives of GEF, the national authorities (ministries), NSC, CADETI and the SGP together should take place to set a clear understanding of the SGP organizational structure to avoid possible conflicts during the second phase of OP7 and the negotiations of OP8. More specifically: the MTR recommends the SGP National Coordinator (together with the UNDP CO and the GEF OFP) call for a meeting with MINAE, GEF representatives, UNDP, the NSC and CADETI to further explain the nature and structure of the funds and their allocation, and the role of the diverse actors, emphasizing that of CADETI.

## 2. Introduction

### 2.1. Purpose of the MTR and objectives

The objective of the Mid-Term Review (MTR) requested by the GEF was to “Evaluate the Seventh Operational Phase of the GEF Small Grants Program in Costa Rica”<sup>3</sup>. For this, specific objectives were established:

- Evaluate the progress in the achievement of the objectives and results of the Project that were set out in the Project Document (PRODOC).
- Analyze possible signs of success or failure to identify any changes that are necessary to reorient the Project and achieve the desired results.
- Review the Project strategy and risks associated with its sustainability.
- Analyze the Project's progress in relation to the Project's strategy, progress towards the achievement of results, Project execution and adaptive management, and the four sustainability factors.

### 2.2. Scope & Methodology:

#### 2.2.1 Scope of the Evaluation

This evaluation process is based on the evidence developed by the Project, and on the feedback of different actors and sources of information related to its design, monitoring and implementation. The MTR complemented the analysis with field visits to observe the interventions, as well as an extensive review of the project documents and related information and focused on the collection of basic and pertinent information to assess the execution of the project with respect to its Results Framework.

The overall approach and methodology were participatory and consultative, and the evaluation followed the guidelines established in the UNDP Guide for Conducting Final Evaluations of UNDP-supported projects funded by the Global Environment Facility (GEF)<sup>4</sup>. The evaluation was carried out by a national consultant. In general, the evaluation process is summarized as follows:

- ✓ The MTR began with a Kick-off meeting (September 1st) and an evaluation mission (fieldwork) that took place from the 6<sup>th</sup> until the 23<sup>rd</sup> of September 2022.
- ✓ Interviews with stakeholders were coordinated and applied (see annex 7&8) based on guided interviews (see annex 3).
- ✓ The evaluator travelled to the targeted area and performed a field analysis of the projects, including individual and groups interviews of beneficiaries and key stakeholders, and observation of the initiatives (see annex 6).
- ✓ On September 29th the debriefing for presenting the initial findings was carried out.
- ✓ Throughout the mission, key project documents were consulted, including the PIR, PRODOC, financial information, reports, among others (see annex 9).

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<sup>3</sup> As in the ToR (Annex 1)

<sup>4</sup>[http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

### 2.2.2. Methodology

The analysis is based upon the 2-year execution period of the Project (from its official start date on July 2nd, 2020, until September 2022). An exhaustive revision of documents was carried out, and the evaluator established meetings with key stakeholders related to the SGP OP7. The information was triangulated in different ways: Through field observations and factual checks with primary and secondary sources of information. Qualitative and quantitative data was available, both virtual and in the field data collection were based on semi-structured interviews, as were the field observation guides. The Project Results Framework, as well as the evaluation matrix (see annex 2) were used as evaluation tools for the data collected.

According to the ToR of the MTR guidelines, the evaluator reviewed all the information available related to the project, from the information produced during the mission preparation stage: ProDoc, PIR, budget information, related and crosscutting policies of the project, among others, detailed in annex 9. Additionally, a brief online survey was conducted (sent through Google Forms given the limitations (see annexes 6 and 7)), interviews and focus groups (during the field visit) with stakeholders of the projects (beneficiaries). This data collection process was implemented ensuring compliance with the UNDP and GEF guidelines in terms of participation, gender equity and human rights, among others. The MTR process was based on some basic principles:

**Participative Approach:** The evaluation identified and contacted the different stakeholders relevant to the project, considering their real participation and involvement. The identification of the parties was carried out jointly and with the support of the SGP management unit. This with the aim of gathering a wide range of opinions from all the parties involved.

**Gender and Human Rights approach:** the MTR mission applied gender equality and human rights sensibilities in its methodology whilst conducting the evaluation, as well as in the measurement of the project's achievements.

**Theory of change approach:** The evaluation is measured against the logical sequence of outputs to outcomes expressed through the ToC. It understands the sequence in which the different activities of the project would generate the changes expected.

**Knowledge management approach:** the evaluation pursued the identification of experiences that promote lessons for GEF in similar projects.

**Evaluation criteria and scales applied:** According to the guidelines for MTR of the GEF.

### 2.2.3 Activities developed

#### **Evidence based identification and review of the information sources:**

The evaluation carried out a desk study phase reviewing all the available documentation related to the project to get acquainted with it, its objectives, parties involved and expected outcomes. Furthermore, initial interviews took place with the Project Coordinator and Program Assistant to obtain additional and contextualized information about the project, and to be able to identify stakeholders to interview during the process, as well as coordinate fieldwork. As indicated at the beginning of this section, the evaluation followed a participatory approach that concluded in the interview of 36 people in total: 22 people from national institutions (including members of National Steering Committee -NSC-), the SGP Management Unit and 14 representatives of public institutions providing technical assistance to the project grantees. It included also interviews with UNDP personnel responsible for oversight both at the country and global level, as well as personnel from UNOPS and the GEF CEO (see annex 7&8 for the list of institutions and references, and annex 6 for the interview forms that were used with different parties).

### **Tool development: interview guidelines and questionnaire:**

The guidelines were created for individual interviews and focal groups, as included in the Inception Report. Furthermore, an online questionnaire was created for the projects and NSC members that could not participate in the in-depth virtual interview. The online questionnaire was also sent to all the SGP OP7 grantees that were not visited during the field work phase. As previously stated, the questions included in these tools were designs according to the evaluation criteria by GEF.

#### ***Inception Report:***

The Inception Report included an initial list of documents, as well as the people to be interviewed as part of the mission, as well as the detailed strategy and methodology that guided the evaluation. The SGP and UNDP-UNOPS team related to the project reviewed this Report, and approved the methodology proposed along with the approach presented.

#### ***Field Mission:***

The field mission schedule used during the visit can be found in Annex 6. The fieldwork took place over a period of 3 weeks. Visits took place to SGP project field sites in the following municipalities: San Ramón, San Mateo, Turrubares, Orotina, Esparza, Santa Ana, Bijagual, and Puriscal. Through open and semi-structured individual and group interviews, a total of 94 beneficiaries were consulted (74% women), and 18 out of the 33 projects were visited.

#### ***Interviews and focus groups with stakeholders and interests' groups:***

A total of 36 interviews with stakeholders were held and, either during individual interviews or focus groups, representatives of more than 18 groups (beneficiaries of the Project) were interviewed as well. Furthermore, the evaluator also interviewed the SGP Project team, as well as other relevant UNDP departments: Monitoring and Evaluation (M&E) officer, Deputy Resident Representative, the Coordinator of the Technical Unit for Gender Equality and Women's Empowerment, UNDP-RTA/UCP Global Coordinator, UNOPS Associate Portfolio Manager, GEF CEO, among others.

#### ***First findings presentation at field mission completion:***

On September 29th, after the fieldwork was completed and with most of the interviews with stakeholders carried out, the evaluator presented the initial results (key findings and conclusions) during a debriefing with the SGP-UNDP and UNOPS team. Once the fieldwork stage concluded, the systematization of the information and analysis process continued, to prepare the draft MTR Report (Product 2). This version of the report will be reviewed, and the comments were considered to deliver this Final report (Product 3).

#### ***Data Collection and Analysis:***

The information related to data collection and analysis used in the project was detailed in the previous section.

## **2.2.4 Ethics**

The evaluation was conducted in accordance with the UNEG (United Nations Evaluation Group) Ethical Guidelines for Evaluators, and the evaluator has signed the UNEG Code of Conduct for Evaluators (Annex 10). Specifically, the evaluator ensures the anonymity and confidentiality of the people who were interviewed and surveyed. With respect to the UN Declaration of Human Rights, results are presented in a way that clearly respects the dignity and self-esteem of the stakeholders.

## 2.2.5 Limitations

In general terms, the evaluation did not face major limitations. Accessibility within the Project intervention area was slightly affected by the poor state of some main roads in the country. The dispersion of some of the groups, and the time available for field visits, limited the possibility of the evaluation to visit and interview more grantee projects. That said, the mission visited a wide representation of grantee organizations and initiatives, considering these to be sufficient to collect the necessary information. The representation of stakeholders is also strong. However, it was not possible to directly interview the vice-minister of environment given the complexity of his agenda. Nevertheless, the former minister of environment and current GEF-CEO was interviewed during the MTR.

There were no limitations to the participation of the people engaged, both at the project level, and the receptivity and support of the Project team, the RTA and UNDP-UNOPS, in general, facilitated the execution of the evaluation.

## 2.3. Structure of the MTR report

The structure of the report is in accordance with what was indicated in Annex B of the TOR (see annex 1) "Guidelines on the content of the Mid-Term Exam Report", which proposes six chapters:

1. Executive Summary
2. Introduction
3. Description of the project and context
4. Proven facts
5. Conclusions and recommendations
6. Annexes

# 3. Project Description and Background Context

## 3.1. Development Context

Although Costa Rica has around 27% of its territory protected, the pressure on the use of land and the expansion of the agricultural frontier threatens protected wild areas. Changes in land use in production landscapes, generated by unsustainable models, is the key element that affects, in most cases, the loss of forest cover, the deterioration of water sources and their quality, and the negative impact on forests, buffer zones and biodiversity in general. Regulatory and legal frameworks cannot always respond to changes in land uses and updates are required, but most important, to create institutional capacities for monitoring and for adequate legislation in the correct use of land, landscapes, and natural resources.

This problem is exacerbated by the weak management and control capacity of national authorities to implement measures that ensure compliance with existing legislation and sustainable models to guarantee productivity and soil conservation.



## 3.2. Problems that the project has sought to address

### 3.2.1 Threats

The main drivers causing the rapid deterioration of socio-ecological resilience in the target landscapes are changes in land use and progressive degradation of natural resources (biodiversity, habitat, soil, water, etc.) from over-exploitation, pollution, introduction of exotic invasive species and climate change. Habitat loss, caused by land use changes in production landscapes, threatens biodiversity and ecosystem connectivity. Traditional activities, such as cattle ranching and coffee farming, historically, have heavily impacted forest cover in these landscapes, causing the fragmentation of continuous forest blocks. The Fifth National Report to the CBD notes that apart from the threats to dry forests in northern Costa Rica, rivers and aquifers, mangroves and wetlands are also categorized as particularly vulnerable ecosystems.

### 3.2.1 Barriers

In addition to making efforts to mitigate the threats identified in the previous point (3.2.1.), According to the PRODOC, it is necessary to address the solution of the following barriers:

- Community organizations have limited or weak representation and participation mechanisms within formal inter-institutional landscape governance structures.
- Community organizations lack the knowledge, the long-term vision and strategy for ecosystem and resource management at scale and suffer from weak adaptive management capacities i.e., to innovate, test alternatives, monitor and evaluate results, and adjust practices and techniques to meet challenges and generate lessons learned.
- Community organizations often suffer from deficient governance structures, lack strategic management and planning tools, and have weak leadership.
- Lack of access to financial and technical resources associated with innovating land and resource management practices.
- Community organizations lack adaptive management capacities to innovate, diversify and commercialize goods and services as part of value chains that improve landscape resilience.
- Knowledge from project experience with innovation/experimentation is not systematically recorded, analyzed, or disseminated to policy makers or other communities, organizations and programs.

## 3.3. Project strategy and description

The Main Objective of the OP7 is *to build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles River and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development.* The objective will be achieved through five outcomes organized around two components, set out as follows:

**COMPONENT 1:** Resilient landscapes for sustainable development and global environmental protection.

- Outcome 1.1: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems.
- Outcome 1.2: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.
- Outcome 1.3: Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.
- Outcome 1.4: Increased adoption (development, demonstration, and financing) of renewable and energy efficient technologies at community level.

## **COMPONENT 2:** Landscape governance and adaptive management for upscaling and replication

- Outcome 2.1: Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access.

The Seventh Operative Phase of the SGP in Costa Rica, started on July 2nd, 2022. But it is important to mention the continuity and historical logic of the Program at the country level. For almost 30 years, the GEF SGP Country Program has strengthened capacities of approximately 700 communities and Civil Society Organizations (CSOs) for local conservation and sustainable use of biodiversity, use of renewable energy resources and energy efficiency applications, and degraded land restoration with special attention to linking these to sustainable production and livelihoods. The Program has invested approximately USD 13.7 million in grants through 670 projects. During GEF-5 (2011-2015), the SGP Country Program in Costa Rica supported 120 initiatives in 12 Biological Corridors and 8 Protected Areas; 21 of these were targeting the same geographic area, addressing goals of the three multilateral environmental agreements (UNFCCC, UNCBD and UNCCD), with special emphasis on implementing the National Program on Land Degradation. The main objective was to create synergies between the three Conventions' goals with initiatives funded by the Program through a landscape approach within the Jesús María River Basin, one of the nine most degraded watersheds in the country. The landscape is identified by the National Advisory Commission on Land Degradation (CADETI) as a priority in the National Action Program to Combat Land Degradation in Costa Rica (NAP). Thus, SGP became an implementation mechanism of the NAP in support of CADETI, through the implementation of community-based projects aimed at reversing land degradation processes and improving the resilience of the socio-ecological production landscape through conscious management, conservation of biodiversity and promotion of sustainable livelihoods.

SGP has supported community organizations in the JMRB since 2011 (during the GEF-5) and since 2016 also in the BRB (GEF-6). During GEF-5, 21 projects were implemented with GEF funding, and 5 projects were executed under the Community Development and Knowledge Management for the Satoyama Initiative (COMDEKS) program supporting community organizations. CACs (Cantonal-Community Agricultural Centres), ASADAS (Community-based Associations for Water Administration), ADIs (Community Development Associations), cooperatives and agricultural and livestock producers, as well as others within the Jesus Maria river basin, worked to improve the resilience of the socio-ecological production landscape through adaptive management, conservation of biodiversity and ecosystem services, strengthening the sustainability of production systems, promotion of sustainable livelihoods, and strengthening institutions and governance systems at the landscape level. During GEF6, the results, gaps and lessons learned in the implementation of the GEF-5 program were scaled up and applied to the Barranca River Basin - BRB. In total, during GEF-6, 31 projects were concluded in both river basins (also including the Montes de Aguacate Biological Corridor). The implementation of both GEF-5 and GEF-6 has resulted in important and cumulative lessons learned with regards to community participation and state support to CBOs and CSOs in the intervention areas. These lessons learned are being carried over into the current GEF-7, especially with regards to strengthening CBO's organizational and administrative capacities and community participation in governance platforms, an assertive gender-focused approach, knowledge-sharing and technical best practices.

Through the support provided by SGP and the mobilization of resources to community groups engaged in the implementation of projects, both MAG and MINAE, through their network of regional agencies, are able to provide long-term and concrete technical support to these local actors, by developing tailored strategies at a farm level, continual training and technical assistance, including training manuals and methodologies, and by facilitating exchanges, and elevating the effectiveness, impact and sustainability of individual projects. It is important to mention this historical perspective because the logic of intervention of the SGP OP7 is strongly related to the lessons learned from previous phases, as well as with the needs identified by MINAE and MAG at national and regional levels, and with the work CADETI is doing in relation to soil degradation problems.

This phase has a total budget of USD 7,471,000, of which USD 2,081,945 is financed by the GEF and USD 5,390,000 in co-financing of key partners: MINAE, MAG, UNA, AyA.

### 3.4. Project implementation arrangements

The Seventh Operational Phase of the SGP in Costa Rica is implemented by UNDP, that also oversees the compliance with GEF guidelines and requirements. UNOPS has an administrative role to ensure the management of financial resources and administrative processes. The SGP management team is administratively part of UNOPS personnel but is directly supported and supervised by the UNDP Country Office. The UNDP provides technical support and ensures the continuity of the actions of the SGP and links the lessons and strategies of the SGP to other projects executed at national level with GEF funds, and other financial resources. The SGP is a full-size project under the Upgraded Country Programmes portfolio of GEF-SGP-.

The SGP is structured under a National Steering Committee (NSC). The conformation of the National Steering Committee for the OP7 was made through an invitation by the UNDP Resident Representative (RR) to some identified institutions and organizations, in consultations with the Climate Change, Energy and Environment Official of UNDP, the NC and key members of the NSC (OP6). It is made up of governmental and non-governmental organizations. More than half of the organizations (5 out of 10 represented organizations are from civil society, one is from academia and 4 are from governmental institutions) are from the civil society. The NSC is responsible for selecting and approving grants and determining the overall strategy of the SGP in the country. It also evaluates the performance of the Country Program Manager, with inputs from the UNDP RR, the UNDP Regional Technical Advisor/UCP Global Coordinator and UNOPS.

It also represents a link between civil society and the national policies, represented by the governmental institutions present in the NSC (MINAE, MIDEPLAN and CADETI). The Technical Advisory Committee, through CADETI, advises the SGP Technical Team in terms of priority thematic aspects or areas of intervention, such as organic agriculture or biological corridors, and participates in the pre-selection of projects, focused on the UNCCD aspects.

UNDP oversees the general supervision of the Program and oversees the compliance with the standard services management of the GEF project cycle beyond the assistance and supervision of the design and negotiation of the project, including its monitoring, periodic evaluations, resolution of problems, and the report to the GEF. The SGP Technical Team, made up of the National Coordinator and the Program Assistant, is responsible for the day-to-day operations of the program in coordination with UNOPS. This included supporting the strategic work of the NSC and the selection of grants, monitoring the portfolio of donations, technical assistance to beneficiaries during the design and implementation of the program, preparation of reports to UNDP, GEF and other donors, implementation of a program capacity building for communities, CBOs, and NGOs. As well as, the management of the communication strategy and knowledge management, to ensure the visibility of GEF investments, dissemination of good practices and lessons learned.

UNDP is responsible for ensuring that the project meets and achieves its objectives and goals. It also provides technical support in the areas of environment and development, as well as support at the local as infrastructure and financial management. UNDP is represented in the NSC and participates in monitoring activities. UNOPS provides country program implementation services, including management of human resources, budgets, accounting, disbursements, auditing, and procurement. It is also responsible for the financial management of the SGP and provides regular financial reports to UNDP. The projects, implemented by CBOs and NGOs, are coordinated with technical public institutions such as MAG, SINAC, INA, and universities (UNA, UNED). And a series of strategic projects are implemented in alliances with key NGOs (AVINA, BIOMATEC). MINAE and MAG have a crucial role as technical advisers and providers to the projects. As mentioned, CADETI provides inputs, in an advisory role, related to soil degradation and sustainable production, especially in cattle production and other activities related to soil and ecosystem conservation.

As mentioned by the GEF CEO during the MTR consultation process *"...the SGP funds are funds for civil society. The country, in this case the government, establishes different mechanisms to determine investment priorities...SGP*

investments must obey the 5 priority areas defined by UNDP GEF. And SGP investments must be aligned with the GEF framework of expected results” (personal communication during MTR interviews). The current arrangements are aligned with this perspective and oriented to achieve the expected objectives.

### 3.5. Project timing and milestones

The project began operations in July 2022 and its execution was planned for four years. It is currently in its third year of implementation, and if it does not require any extension, it will end in June 2024. The ProDoc establishes a series of key activities included in a Multi-Year Work Plan. It represents the milestones to be met during its development in relation to its results. The timing and milestones are presented in the table below:

Table 1: Milestones to be met during its development.

Outcome/ Output		YR 1				YR 2				YR 3				YR 4			
		Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
All	Project Inception Workshop																
	2 Regional inception workshops																
<b>Outcome 1.1: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems.</b>																	
O1.1.	1.1.1 (1.1.2-5). Selection and preparation of selected community initiatives.																
	1.1.2. Agreement for establishment of Tree nurseries with ICE																
	1.1.6 State-promoted CBO/CSO and individual inscription in PES schemes																
<b>Outcome 1.2: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.</b>																	
O1.2	1.2.1-5. Selection and preparation of selected community initiatives applying integrated agro-ecological practices.																
<b>Outcome 1.3: Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.</b>																	
O1.3	1.3.1. Development of value chain strategy																
	1.3.2. Training and technical assistance provided to selected community groups producing food products on value chain strengthening																
	1.3.3. Alternative certification schemes for responsible production identified and rolled out to producers’ groups.																
	1.3.4. Identification and support to municipal “green” fairs																
	1.3.5. Selected project/s targeting the transformation of tragic																



<p><b><u>State Institutions</u></b></p>	<p>The Ministry of Environment and Energy - MINAE, the National System of Conservation Areas – SINAC, the Ministry of Agriculture and Livestock - MAG and the National Advisory Commission on Land Degradation – CADETI - have been directly involved in the implementation of GEF-5 and GEF-6 and constitute the principle institutional partners of the SGP. Through their regional and field agencies, SINAC and MAG have worked closely in the identification of potential grantees and provide sustained technical assistance to these local actors, by developing tailored strategies at a farm level, by facilitating exchanges, and elevating the effectiveness, impact, and sustainability of individual projects.</p> <p>CADETI, for its part, is the national focal point for UNCCD and is the organization that continue to partner with SGP in coordinating actions on sustainable land management, especially with regards to soil conservation and silvopastoral practices for selected projects within the Land Degradation focal area. SGP has liaised closely with CADETI throughout GEF-5 and GEF-6 and continues doing so, in order to scale up best practices to the new intervention areas under GEF-7, in particular the Grande de Tarcoles River basin, which has been identified in the NAP (National Action Plan on Land Degradation) as the third prioritized watershed for specific attention at a national level. It is also the coordination mechanism between the Ministries of Agriculture and Environment, it ensures participation of government entities at the regional and national levels in the planning process, as well as, in the multistakeholder partnerships. Their local knowledge and access to community stakeholders is key to greater local engagement and the quality of projects. Other state institutions that have played and were set to play key roles in GEF-7 were: The Rural Development Institute (INDER), National Women’s Institute (INAMU), Water and Sewerage (AyA) and the Regulatory Authority for Public Services – ARESEP, National Institute for Learning (INA).</p>
<p><b>National Steering Committee</b></p>	<p>The NSC’s composition was currently reviewed for GEF-7 to reflect a non-governmental majority and a wider range of technical skills, thematic know-how and requirements as befits the GEF-7 intervention area. It is the superior decision-making body of the project. The NSC has had a core participation in the analysis of the results of GEF-6 and in the definition of the strategy to consolidate and scale-up the results and best practices to the new intervention landscapes. It has been fundamental in defining the criteria for project eligibility for each landscape and the reviewal and approval of project proposals submitted by the SGP National Coordinator.</p> <p>It is integrated by: MINAE, MIDEPLAN, UNED, UNDP, CADETI, FUNDECOR, Aliarse, National Chamber of Rural Women, CEDECO, National Network of Private Natural Reserves.</p>
<p><b>Academia</b></p>	<p>SGP and its institutional partners have pursued a strategy of active engagement with academic bodies present at a national and regional level. By engaging university students and academic supervisors in its actions at a community level, they can garner direct developmental and technical experience, but also, support grantee projects on the ground, providing further technical assistance and support in the formulation of case-studies. SGP has established partnerships with the National University (UNA), and University of Costa Rica (UCR), the National Technical University (UTN), national public universities and Distance Learning University (UNED) during PO6 and is fostering these relationships during OP7.</p>
<p><b>Private Sector</b></p>	<p>The ProDoc states that during the PPG phase, exploratory meetings were held with the Foreign Trade Promotion Council (PROCOMER) regarding the capacity-building and market study evaluations that PROCOMER carries out on micro, small and medium-sized enterprises with the possibility of exporting goods. Meetings were also held with a private sector company that has developed appropriate technology for management and recycling of plastic wastes not currently processed by municipal or other waste management authorities. Possible synergies include support for strengthening capacities of local-level recycling cooperatives and public-private partnerships for small-scale recycling infrastructure (fixed and mobile) as well as for the development of building materials that contribute to circular economies at a local level.</p>

Source: Adapted from ProDoc

## 4. FINDINGS

### 4.1 Project Strategy

#### 4.1.1 Project Design

The design of the 7<sup>th</sup> Phase of the SGP is accurate and based on the context and needs of the intervention area. The ProDoc was supposed to be written by an external consultant. Initial fieldwork was undertaken, as was the documentary and contextual analysis, however the draft was never delivered. The Program Coordinator took over the formulation of the ProDoc for the OP7, which implied an adaptive action, and a risk for the design of the proposal. Nevertheless, this constraint turned into an advantage, given the great knowledge and experience of the National Coordinator of the national reality, the execution of the SGP and the know-how of the UNDP in the implementation of the Program. Thus, the ProDoc and design are based on a well-articulated knowledge of the context, on technical studies and identification of strategic allies. Additionally, it considers the national and institutional plans of key partners such as MINAE, CADETI, and ONG so as BIOMATEC, AVINA and academia, among other actors.

The design is aligned with the Global SGP: it promotes and supports *innovative and scalable initiatives at the local level to tackle global environmental issues in priority landscapes and seascapes*. It supports projects that *serve as incubators of innovation, potentially broadening the replication of best practice approaches through larger projects that are supported by the GEF and/or other partners*. The SGP focuses on strengthening partnerships led by CSOs, in coordination with the government and other private and civil society organizations. The focus of the design is centered on the base that the SGP grantees and partners will act as *an effective and essential force to mobilize civil society for systemic change from the bottom up with the aim of promoting environmentally sound and sustainable development* (GEF SGP 2.0 Position Paper on Implementation Arrangements for GEF 8 Strategies).

The design is based on an accurate analysis of the environmental, social, productive, and organizational characteristics of the intervention areas. And it is coherent in prioritizing grants under the Global SGP strategic initiatives to promote integrated approaches to key global environmental issues: (a) Sustainable Agriculture and Fisheries; (b) Low-Carbon Energy Access Benefits; (c) Community-Based Threatened Ecosystems and Species Conservation: Land and Water; (d) Local to Global Coalitions in Chemicals and Waste Management; and (e) Catalyzing Sustainable Urban Development. It prioritizes critical landscapes in the country, and it builds upon the

experiences, lessons learned and scalable results of the SGP phases 5<sup>th</sup> and 6<sup>th</sup>, which is a critical element for the execution of Phase 7<sup>th</sup> and reflects the experience of the UNDP in the formulation and implementation of GEF funds and projects.

This project is consistent with and supportive of the national strategies and plans or reports and assessments under relevant conventions so as: the National Development Plan 2019-2022 (NDP), National Decarbonization Plan, National Policy on Biodiversity (2015-2030), and the National Biodiversity Strategy and Action Plan: NBSAP (2016- 2025). It is coherent with the Sixth National Report to the Convention on Biological Diversity, particularly in relation to the integration of biodiversity strategies, plans, and sectoral and cross-sectoral programs. The project contributes to achieving the Convention on Biological Diversity Aichi Targets, specifically Targets 5, 7, 11 and 14. It is in line with Costa Rica's National Climate Change Strategy (ENCC) and its Action Plan.

Additionally, the SGP is key for the National Action Plan to Combat Land Degradation (NAP) and the National Advisory Commission on Land Degradation (CADETI). SGP, with GEF funding, has been and still is the single most important instrument towards implementing this NAP. During GEF-5 and GEF6 actions were directed at the most affected areas in the country, improving soil quality, rehabilitating degraded areas, and managing soil and water resources in a sustainable way. These actions continue under GEF-7, consolidating areas that were not attended to under the previous phases and scaling up to apply best practices to the upper slopes of the Lower Grande de Tarcoles watershed and the Paso Las Lapas Biological Corridor.

SGP contributes to specific SDGs: Goal 5: Achieve gender equality and empower all women and girls; Goal 6: Ensure access to water and sanitation for all; Goal 12: Ensure sustainable consumption and production patterns; Goal 13: Take urgent action to combat climate change and its impacts; and Goal 15: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss.

The GEF SGP Costa Rica Country Program states in its ProDoc, that *it will tackle the root causes of biodiversity loss in five prioritized landscapes*. The problems identified during the formulation phase correspond to the conditions of the intervention areas. The three watershed target landscapes (Jesus Maria, Barranca and Tarcoles, in that order) have been classified as the most degraded in the country under the NAP. The support to the area and the work CADETI is specifically doing, was reinforced by the information obtained from the interviews and the documents consulted during the evaluation mission. Still, it is important to mention that the focus and intervention is not limited to the soil degradation issues, as it promotes actions related to climate change, biodiversity, sustainable production, and resilience through a bottom-up approach, and in alliance with national and local institutions. The design allows for the integration of key institutions: Ministry of Environment, of Agriculture, academia, ONG, CBOs, and others, that along with actors such as CADETI, contributes to the implementation of the Program.

Furthermore, the ProDoc states that the objective is *“To build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles River and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development”*. Even though such a Program cannot ensure the overall resilience of a territory within a national context (which implies private, public and many other civil society interventions), the statement is coherent with the intervention strategy of the SGP at national and global level. The components and outcomes are aligned with the objective, and their related outputs and activities.

Following this logic, the Theory of Change (ToC) states a long-term objective the *“Conservation and sustainable use of biodiversity in the target productive landscapes; better land degradation neutrality; sustainable management of production systems and better livelihoods; reduction of the growth of GHG emissions in the target landscapes”*. This is feasible through the achievement of the expected results under two components, as proposed in the strategy. The analysis of the PIR allows us to understand the coherence between the components, the outcomes, and the indicators, especially for Component 1.

The logic of the formulation of Component 2 is clear under the ToC. Nevertheless, in the ProDoc, the use of *multi-stakeholder bio-entrepreneurship* and *multistakeholder governance platform* are used for market access and



governance purposes, is not entirely clear. The activities are coherent with the component and expected results, but at design level it is somehow confusing to propose a governance platform to contribute to market access, and for strengthening of the institutional capacities and entrepreneurship of the projects supported. An element that is clear and coherent with the problems identified is the need to strengthen institutional capacities and to support the local platforms and to increase community participation and representation within the existing or expected formal inter-institutional governance structures at the landscape level: these include the sub commissions of the JMRE, BRB and the LGTRB and the Local Committees of the Paso Las Lapas and Montes de Aguacate Biological Corridors. Under the landscape's perspective, supporting the consolidation and strengthening of already existing platforms for governance is key.

Based on the identified needs of the intervention and supported by technical and scientific data area, the project design and its strategic vision was clearly strengthened by a high level of participation from the key stakeholders. This considered the inputs and plans of the Ministries of Agriculture and Environment, CADETI, MIDEPLAN, local governments, and a series of civil society organizations. It is interesting that specific studies and consultations were made by strategic organizations, such as AVINA and BIOMATEC, which allowed the Project to be formulated under technical studies and key data related to possible interventions, technologies for scaling up and broadening the capacity of intervention of the SGP. The experts of the extensionist program of MAG were also key during the design phase, which allows a more aligned approach to SGP actions, and consistent with the support that institutions at the local level can provide to the groups.

Regional, local and community actors participated in the project design phase: NGOs, local organizations, women groups, including indigenous communities. The ToC and the design include a gender perspective, throughout the project's design and implementation. The Program has mainstreamed a gender approach throughout its projects, because of which, it has generated significant lessons learned and good practices, which have been considered in an updated Gender Analysis and Action Plan for GEF-7. SGP Costa Rica implements a monitoring and evaluation system that incorporates a gender approach based on the document "Guidance to Advance Gender Equality in GEF Projects", and oriented by the manual for community initiatives produced by SGP Ecuador on how to incorporate the gender perspective in Small Grants Project.

The design incorporates UNDP Social and Environmental Standards (SESP) and complies with the UNDP Project Quality Assurance Report.

## 4.2 Results Framework / Logical Framework

In general, the Results Framework (RF) of the project remains as it was designed in the PRODOC. Some specific indicators were included as an adaptive management and to broaden the gender perspective of the Program:

- The indicator 11 (Number of women's groups adopting sustainable production systems) got modified to include more disaggregated data: number of women and number of women groups with nature-based solutions.
- Indicator 12 (Value chain strategy and platforms established between producers and private sector) also got modified to include specific information is being collected to segregate by gender the number of green entrepreneurship run by women.

The Logical Framework allows us to understand the vertical and horizontal logic and is supported by the results chain incorporated in the "Theory of Change". These instruments are aligned with the overall objective pursued by the project. Regarding the horizontal logic, the original design of the project is still the same and no adaptive management has taken place. The accuracy of the design, based on the understanding of the context and national/regional reality, the experience of the National Coordinator and the consultations with key institutions, sectors, and actors, is reflected in the RF.

The logic of the alignment between the components, outputs, outcome, and indicators is clear, but more so for Component 1. For this case, each outcome (and therefore output) is related to one of more indicators. For component 2, the set of indicators is aligned to the component and the aggregated outcomes and outputs. This does not imply a constraint in terms of the design and less so for the implementation of actions.

Outcome 2.1: Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access, could be revised in terms of wordings, especially in relation to the activities proposed, which are oriented to technical strengthening of public institutions in the use of technologies for landscape management among others. Some of these activities are not so clearly related to multi-stakeholder bio-entrepreneurship networks. Nevertheless, the indicators are clear, and actions are taking place to achieve this result, but some confusions might arise from the phrasing of the outcome. Specifically, within the results framework, 21 indicators are proposed, of which 6 have an explicit gender focus in their approach. It should be stated that the design of the Program was based upon a gender perspective and stated as a GEN 2 due to its actions that are responsive and aimed at generating substantive and enabling contributions towards the achievement of greater gender equality (oriented to generate GEN 3 results, related to transformative actions). The UNDP CO in CR has been recognized by the UN System for its progress and achievements in terms of gender equity, to which the SGP has contributed and is an integral part.

There is a simple, but efficient Excel Tool created for the monitoring of the OP7, to keep track of the advancement towards the achievement of the goals stated in the indicators, and the RF based on the activities and allocation of resources (grants) for the projects.

In general terms, and considering these findings, modifications to the indicators and/or results are not proposed. Just for the outcome mentioned before, the wording could be reviewed.

### 4.3 Progress towards results

#### 4.3.1 Progress Towards Outcomes Analysis

#### The achievement of the project objectives is rated as: Highly Satisfactory

The general objective of the project is to build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles River and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development. Table 4 presents the progress towards results analysis, in relation to the achievement of outcomes against End-of-project Targets at the MTR stage, the table below shows the Ratings Matrix for each outcome and objective:

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.

3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Table 3. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets).

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
<p><b>PROJECT OBJECTIVE:</b></p> <p>To build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles river and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development.</p>	<p><b>Mandatory Indicator 1:</b> # direct project beneficiaries disaggregated by gender (individual people):</p>	3,359 individuals directly benefitted in target landscape during GEF-5 and GEF-6	1,853 beneficiaries, of which an estimated 986 (52%) are men and 866 (48%) are women	1,000 beneficiaries in the target landscape of which 50% are women	3,000 beneficiaries in the target landscape of which 50% are women	2,530 beneficiaries, of which an estimated 1243,4 (49%) and 1286,6 (51%) are women	HS	84% of End of Project (EOP) target achieved: With the remaining projects, the target should be achieved.
	<p><b>Mandatory Indicator 2:</b> # indirect project beneficiaries disaggregated by gender (individual people):</p>	16,795 individuals indirectly benefitted in target landscape during GEF-5 and GEF-6	11,554 of which just under 50% are men and just over 50% are women	5,000 indirect beneficiaries in the target landscape of which 50% are women	15,000 indirect beneficiaries in the target landscape of which 50% are women	12,004 of which an estimated 50% are men and 50% are women	HS	80% of End of Project (EOP) target achieved.
	<p><b>Mandatory Indicator 3:</b> Area of land restored. GEF Core Indicator 3:</p>	1,273 ha during GEF-6	4,128 hectares	3,695 ha restored	7,390 ha restored	5,528 hectares	HS	75% of the EOP target. The SGP is on track to achieve the target through specific practices at farm level, shade houses, ecosystem protection, among others.
	<p><b>Mandatory Indicator 4:</b> Increased area (hectares) of landscapes under improved practices (GEF Core Indicator 4.1+ 4.3)</p>	3,784 ha under improved management practices during GEF-6	4,180 hectares	2,000 ha under improved management practices in target landscape	8,250 ha under improved management practices in target landscape	6,530 hectares	HS	79% of the EOP target achieved. Diverse farms are currently under improved practices, especially agricultural and livestock land and forest plantations, applying sustainable land management practices.
	<p><b>Mandatory Indicator 5:</b> Greenhouse gas emission mitigated (Metric tons of CO2e). GEF Core Indicator</p>	574 Mt CO2e mitigated during GEF-5 and GEF-6 in target landscape through 42 biodigestors.	Even though formal CO2 sequestration measurements are yet to take place (at project end), 2 projects thus far are	1,200,200 Mt CO2e mitigated	1,796,259 Mt CO2e mitigated	459,911 Mt CO2e mitigated	MS	12% of the EOP target. This target is ranked as Moderately Satisfactory not in terms of the actions taken, but rather because the full

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
			contributing to mitigating GHG emissions through low carbon technology and renewable energy strategies					data has not been collected at this stage of the MTR analysis. BIOMATEC is implementing technical studies to measure the mitigated emissions over the coming period. It is expected for the programme to reach this goal by the end of the Project.
<p><b>COMPONENT 1:</b> Resilient landscapes for sustainable development and global environmental protection.</p> <p><b>Outcome 1.1:</b> Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems.</p> <p><b>Output 1.1:</b> Community level small grant projects in the selected landscapes that</p>	<b>Indicator 6: Number of freshwater springs protected.</b>	<b>264 freshwater springs protected during GEF-5 and GEF-6</b>	145 freshwater springs/water courses	At least 70 freshwater springs protected	At least 140 freshwater springs protected in target landscape.	145 freshwater springs/water courses	HS	104% of the EOP target. The SGP more than doubled the end of period goal. 145 freshwater springs/water courses are in the process of being protected, especially, within the ongoing projects pertaining to the silvopastoral and sustainable cattle sector, either through fencing off these areas, or through natural regeneration and/or reforestation on farms.

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation and optimization of ecosystem services (including reforestation of riparian gallery forests, forest fire control, enhanced connectivity for wetlands and priority conservation areas; water catchment protection; participatory monitoring of species).	<b>Indicator 7: Community voluntary forest fire brigades (VFFB) trained, equipped and functioning.</b>	<b>2 VFFB operating under GEF-6</b>	1 new VFFB has been trained and equipped and 1 existing VFFB has been strengthened	At least 1 VFFB trained and equipped in target landscape	At least 2 VFFB trained and equipped in target landscape	2 VFFB trained and equipped in target landscape	HS	100% of EOP target. 1 new VFFB has been trained and equipped and 1 existing VFFB has been strengthened. implemented by Fundación Madre Verde, through an alliance with the National System of Conservation Areas (SINAC) in the Central Pacific Conservation Area (ACOPAC), and the Ministry of Agriculture (MAG), specifically in the Carara National Park buffer zone, the Tivives and Guacalillo wetlands protected areas.
	<b>Indicator 8: Community monitoring Programs and national protocol for indicator species implemented.</b>	<b>0 Programs and protocols in target landscape</b>	1 community monitoring Program is being implemented	1 community monitoring Program developed in Montes de Aguacate Biological Corridor	2 community monitoring Programs developed in 2 Biological Corridors (Montes de Aguacate and Paso Las Lapas)	2 community monitoring Programs developed	HS	100% of EOP target. One community monitoring program is being implemented by the NGO Panthera and supported by SINAC and MAG (training and equipment on preventing attacks by feline predators on their cattle and monitoring of these and other fauna within the Montes de Aguacate Biological Corridor.

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
<p><b>COMPONENT 1:</b> Resilient landscapes for sustainable development and global environmental protection.</p> <p><b>Outcome 1.2:</b> The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices. Outputs to achieve</p> <p><b>Output 1.2:</b> Targeted community projects enhancing the sustainability and resilience of production systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage; agro-ecological practices and cropping systems.</p>	<p><b>Indicator 9: Number of cattle farmers applying best practices in productive livestock systems.</b></p>	<p><b>240 cattle farmers under GEF-5 and GEF-6 in target landscapes</b></p>	<p>245 cattle farmers, of which 16% are women</p>	<p>80 cattle farmers</p>	<p>180 cattle farmers applying best practices in productive livestock systems</p>	<p>246 cattle farmers, of which 16% are women</p>	<p>HS</p>	<p>137% of the EOP target is achieved (some of the practices applied are biodigestors, water harvesting technologies, sustainable production practices and silvopastoral techniques, like tree cover and natural areas of regeneration, pasture rotation, fodder banks, stabling techniques, live fences, water and food troughs and other practices all aimed at reducing the impact on soils, increasing biodiversity and adapting to the changing climate whilst increasing production and farmers' incomes)</p>
	<p><b>Indicator 10: Number of rain-fed reservoirs installed and serving climate-smart irrigation systems.</b></p>	<p><b>67 water reservoirs installed during GEF-5 and GEF-6.</b></p>	<p>30 reservoirs have been installed and are operating to date</p>	<p>10 reservoirs installed and operating</p>	<p>30 reservoirs installed and operating.</p>	<p>30 reservoirs have been installed and are operating</p>	<p>HS</p>	<p>100% of EOP target. The project has supported the implementation of reservoirs along with other techniques and technologies in the intervention areas. These projects are applying diverse water harvesting techniques on different scales. A further 85 reservoirs are planned through 7 ongoing projects.</p>

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
	<b>Indicator 11: Number of women's groups adopting sustainable production systems</b>	<b>5 women's groups (76 women) supported during GEF-6</b>	11 projects implemented by women's groups are ongoing adopting sustainable production systems; these projects account for 176 direct female beneficiaries	At least 3 women's groups (50 women) adopting sustainable production systems	At least 6 women's groups (90 women) adopting sustainable production systems Inception Workshop: GENDER SUBINDICATOR: 10 women's groups with sustainable nature-based solutions	11 projects implemented by women's groups are ongoing adopting sustainable production systems; these projects account for 176 direct female beneficiaries	HS	183% of the EOP target sustainable production systems - 196% of the EOP target direct female beneficiaries. To date, 11 projects implemented by women's groups are ongoing adopting sustainable production systems (183% of the EOP target); these projects account for 176 direct female beneficiaries, surpassing the target of 90.
<b>COMPONENT 1:</b> Resilient landscapes for sustainable development and global environmental protection.  <b>Outcome 1.3:</b> Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.  <b>Output 1.3:</b> Targeted community projects promoting sustainable livelihoods, green businesses, and market access, including ecotourism; solid waste management and conversion; beekeeping; green	<b>Indicator 12: Value chain strategy and platforms established between producers and private sector.</b>	<b>0 producer enterprises with value chain strategies and platforms</b>	Currently 10 projects are enhancing value chain strategies, of which 8 are women's groups	At least 2 producer enterprises with value chain strategies and platforms Inception Workshop: Of which two are women's groups	At least 4 producer enterprises with value chain strategies and platforms Inception Workshop: Of which two are women's groups	11 projects are enhancing value chain strategies, of which 10 are women's groups	HS	275% of EOP target. Currently 11 projects are enhancing value chain strategies (275% of EOP target), of which 8 are women's groups, with respect to the production and commercialization of products within and outside their communities, thereby generating incomes and employment.
	<b>Indicator 13: Models for the transformation of tragic plastic pollution from rivers and coasts introduced and piloted.</b>	<b>0</b>		At least one scheme introduced and piloted	At least one scheme piloted, monitored and systemized.	1 scheme piloted	S*	100% of EOP target: a new project is about to start for the creation of a "Centre for Plastic Recovery" in Guacalillo beach for the transformation of beach and river waste (especially "tragic" plastics that end up in the environment, in rivers, on beaches, in the sea, etc.) into "ecoblocks"



Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
value-added agro-businesses integrated into value chains, micro-processing.								for construction. *There is a *under the Satisfactory (S) rank because the project is not yet in a fully implementation stage. But the revision of the ProDoc and the execution of the other SGP projects foresee positive results for this initiative
	<b>Indicator 14: Number of women trained in financial education linked to value chains, market access and microfinance mechanisms.</b>	<b>0 women trained</b>	67 women have received training to date	100 women trained	200 trained	67 women trained	S	34% of the EOP target: 67 women have received training to date (34% of the EOP target). Through a general agreement between the SGP and the Instituto Nacional de Aprendizaje - INA (National Learning Institute), in favor of seven of the supported women's groups, tailor-made training courses have been designed and are being implemented
<b>COMPONENT 1:</b> Resilient landscapes for sustainable development and global environmental protection.  <b>Outcome 1.4:</b> Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level.	<b>Indicator 15: Number of participatory feasibility studies for alternative, energy efficient technologies benefitting communities and producers' associations carried out.</b>	<b>0 feasibility studies for new alternative technologies</b>	23 participatory feasibility studies were carried out on energy efficient projects and low carbon technologies	At least 2 participatory feasibility studies.	At least 4 participatory feasibility studies.	23 participatory feasibility studies	HS	575% of the EOP target achieved and exceeded: 23 participatory Feasibility studies were carried out on energy efficient projects and low carbon technologies. 22 as part of the Fundación BIOMATEC. A further feasibility study was carried out by a private sector company, with support from the Municipality in the Santa

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
<p><b>Output 1.4:</b> Targeted community projects implementing renewable and energy efficient technologies in each landscape, including inter alia, gasification of biomass, solar energy applications, biodigesters, anaerobic solid waste digestors, solar dryers, micro wind turbines, energy efficient stoves.</p>								Ana canton for installing domestic aquaponic systems for fish, shrimp, and vegetable production.
	<p><b>Indicator 16: Number of innovative technology pilot projects implemented, monitored, documented and disseminated</b></p>	<p><b>0 innovative pilot projects on-going</b></p>	<p>9 pilot projects are ongoing</p>	<p>At least 2 pilot projects under implementation</p>	<p>At least 4 pilot projects implemented, monitored, documented and disseminated. Inception Workshop: At least one by women's group.</p>	<p>9 pilot projects are ongoing</p>	<p>HS</p>	<p>225% of the EOP target achieved and exceeded. 9 pilot projects are ongoing (225% of the EOP target), of which one is being implemented by a women's group. Fundación BIOMATEC is implementing diverse technologies through 6 CBOs and 2 individual farmers.</p>
<p><b>COMPONENT 2:</b> Landscape governance and adaptive management for upscaling and replication.</p> <p><b>Outcome 2.1:</b> Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access.</p>	<p><b>Indicator 17: Number of landscape strategies developed through public consultation based upon respective landscape management plans</b></p>	<p><b>1 landscape strategy for JMRB developed during GEF-5</b></p>	<p>4 landscape strategies were developed in 2020 through a consultancy</p>	<p>4 landscape strategies developed, and resilience indicators measured during MTR</p>	<p>4 landscape strategies under implementation and evaluated at project end</p>	<p>4 landscape strategics developed</p>	<p>HS</p>	<p>100% of EOP target: Four landscape strategies were developed in 2020 through a consultancy. These are for the two Biological Corridors (Montes de Aguacate and Paso Las Lapas) and two river basins (Jesus María and Barranca). The methodology applied and adapted the Satoyama resilience indicators.</p>

Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
<p><b>Output 2.1.1:</b> A multistakeholder governance platform in each target landscape develops and executes multistakeholder landscape agreements; value-chain development strategies for coffee and ecotourism; and enhanced community participation in Tárcoles River sub-commission; and JMRB and BRB sub-commissions</p> <p><b>Output 2.1.2:</b> A landscape strategy supported by the corresponding multistakeholder platforms for the target landscape to enhance socio-ecological resilience through community grant projects.</p> <p><b>Output 2.1.3:</b> Knowledge from project innovations is shared for replication and upscaling across landscapes and country through SGP platforms and institutional outreach Programs and an environmental education Program supported in schools/communities.</p>	<p><b>Indicator 18: Number of ASADAS strengthened through technical, administrative and organizational training, management tools, support to second-tier organizational structures and direct investment.</b></p>	<p>41 ASADAS supported during GEF-5 and GEF-6</p>	<p>35 ASADAS supported</p>	<p>30 ASADAS supported</p>	<p>60 ASADAS supported</p>	<p>61 ASADAS supported</p>	<p>HS</p>	<p>102% of the EOP target: To date, 35 ASADAS have been directly supported through the Strategic Project implemented by Fundación AVINA.</p>
	<p><b>Indicator 19: Youth and women (including indigenous communities) benefitted from training scholarships in community landscape planning and project design.</b></p>	<p>0 persons currently being trained</p>	<p>In response to the Call for Proposals in September 2020, no project proposals were received related to this theme</p>	<p>10 youth and women have initiated training</p>	<p>10 youth and women have completed training and have presented community projects.</p>	<p>0</p>	<p>MS</p>	<p>Even if this indicator indicates that the programme has not yet taken any actions, it is ranked as Moderately Satisfactory given that the outcome is expected to achieve most of its end-of-project. The target is realistic, as it is expected to be reached by the end of the program. Discussions are ongoing with the NGO Bean Voyage to co-invest in a scholarship Program, the "Sustainable Livelihood Initiative". And SGP is exploring the means to leverage further support through institutional, academic and NGO partners, such as the National Women's Institute (INAMU), for training in landscape</p>

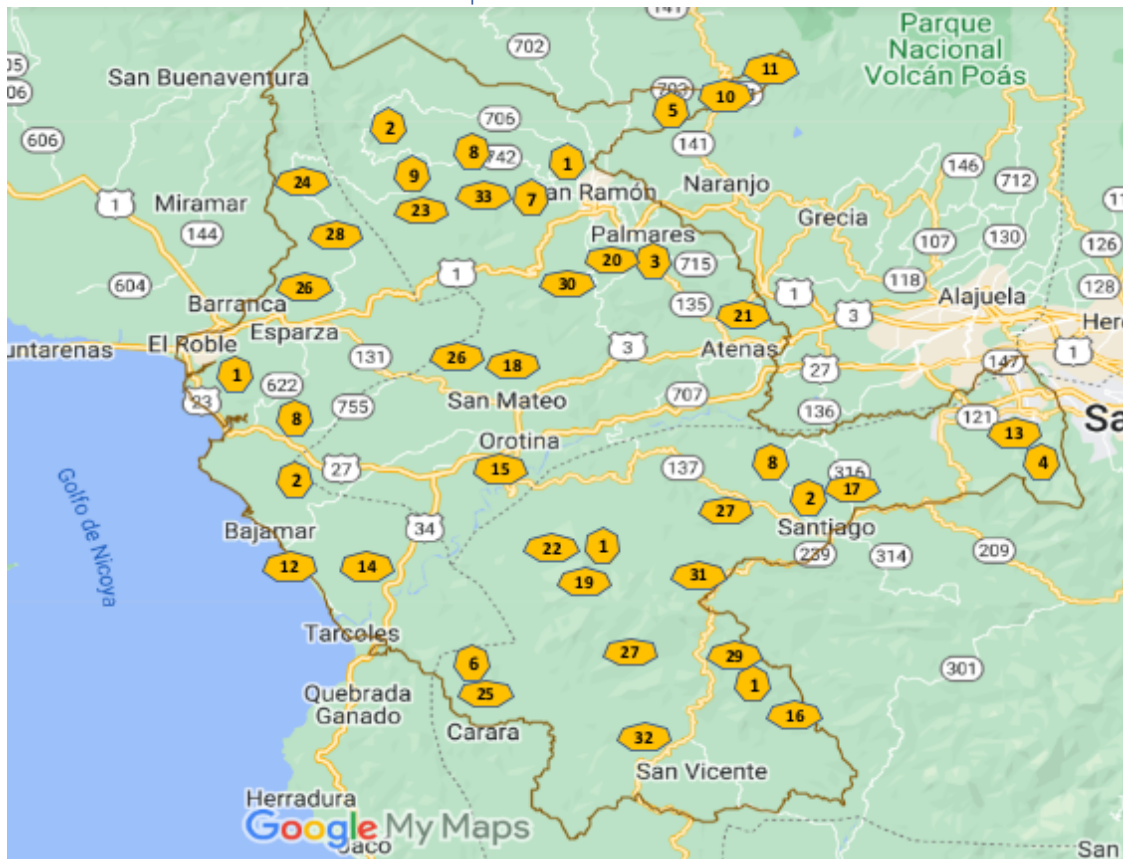
Project Strategy	Indicator	2020 Baseline Level	30 June 2022 - Level in 1st PIR (self-reported)	2022 Midterm Target	2024 End-of-project Target	2022 Midterm Level & Assessment	Achievement Rating	Justification for Rating
								planning and project design.
	<b>Indicator 20: Environmental education Program to enhance socio-ecological resilience in schools/communities supported by SINAC.</b>	<b>0</b>	1 school is benefitting from environmental education activities	At least 5 schools benefitting from environmental education activities.	At least 10 schools benefitting from environmental education activities.	5 schools benefitting from environmental education activities	S	50% of the EOP target: 1 school is benefitting from environmental education activities, through Project implemented by the Bijagual Women’s group. Panthera NGO, plans to carry out environmental education in at least 4 schools in the second half of 2022, The Guacalillo “plastics” project will also aim to involve at least 3 schools in active environmental education activities
	<b>Indicator 21: Case studies systemizing landscape experiences, supported by university students as part of a wider SGP communication strategy.</b>	<b>8 videos and 9 technical documents (17) produced during GEF-5 and GEF-6</b>	Systemizations of project results and lessons learned will be undertaken and disseminated towards the end of each project	15 Case studies systemizing landscape experiences.	23 case studies and 1 landscape-level assessment systemized and disseminated. Inception Workshop: GENDER SUB-INDICATOR: Role of women in natural resources governance (Systemization)	25 case studies	S	109% of the EOP target: Systemizations of project results and lessons learned will be undertaken and disseminated towards the end of each project and, where possible, though the support provided by university students. Two other case studies are planned, one to capture overall Project (OP-7) results and lessons learned and recommendation. The indicator is ranked as Satisfactory given the process is still on track but there are not end products yet.

Source: own elaboration base on GEF-UNDP guidelines and project data analysis.

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In summary, the project is on track to obtain the expected results and indicated targets. During the second half of OP7 a deeper consolidation of the results must take place and the lessons learned should be disseminated and shared. To understand in detail, the effects achieved by the project so far, an analysis of results and outcomes is presented in the next section<sup>5</sup>. The map below shows the intervention area (see annex 12 for list of projects):

Map 1: Intervention area



Source: SGP OP7 Management Unit.

**Objective:** To build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles River and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development.

**Rated as:** Highly Satisfactory.

*The indicators related to the achievement of this objective were: 1) number of direct project beneficiaries disaggregated by gender. 2) number of indirect project beneficiaries disaggregated by gender (individual people). 3) Area of land restored. GEF Core Indicator 3. 4) Increased area (hectares) of landscapes under improved practices (GEF Core Indicator 4.1+ 4.3). 5) Greenhouse gas emission mitigated (Metric tons of CO<sub>2</sub>e). GEF Core Indicator.*

The SGP is contributing to creating diverse models to increase the socioecological and economic resilience of the intervention area. As mentioned before, such a Program cannot achieve resilience by itself, as this objective should be part of a national strategy, but the SGP clearly represents a platform for piloting of innovative initiatives and models. To date, there are 33 implemented projects within the SGP, of which 12 are women-led projects, representing 2,530 beneficiaries, (approximately 49% men and 51% women). It is worth mentioning that the

<sup>5</sup> Data to elaborate this section was obtained from the PIR and primary data collection.

program began with the COVID-19 pandemic and has managed to approve and implement the established project and its activities. The program managed to establish key adaptive management mechanisms to ensure the launch of the Call for Proposals for the selection of projects, and its start-up under the established deadlines and process. In this sense, the prospective work that was carried out in the design stage of the phase was key, which allowed for the alliance with institutions at the regional level (for example, SINAC and the extension agents of the MAG in the regional offices, BIOMATEC, AVINA); potential CBOs and NGOs and projects were identified. In turn, the focus on following up on innovative initiatives with a high potential for replicability from previous phases was key. Another important element was having a consultant specifically supporting the formulation of women's group projects, as well as joint work with the MAG to support the design of other initiatives and coordinated work with grassroots organizations that had already been strengthened in previous stages (such as Madre Verde and ECOTROPICA).

Related to restoration of land, the SGP has supported an estimated 5,528 hectares through improved management of natural areas, restoration of degraded agricultural land, natural regeneration and reforestation and an increase in key endemic species and pollinators. Some examples are: the implementation of soil conservation practices and disease-resilient crop renewal on coffee farms and mixed agricultural farms in upper river basin catchments; sustainable and diversified horticultural production under protected shade houses; sustainable cattle farming and silvopastoral techniques in upper catchment and mid river basins, including rain catchment reservoirs, spring-well protection; rural tourism and conservation of private and public protected areas in the Montes de Aguacate Biological Corridor; improved capacities of beekeepers throughout the project intervention area; participatory monitoring of felines and prevention of attacks on cattle and animals whilst improving sustainable management practices on farms, among others.

The work with women's groups for the construction of a shade house stands out, which improves not only **land and resource management**, but also food security, improvement of diets and family education on planting and food related topics. The SGP is contributing to the work carried out by the MAG in terms of reducing the footprint of CO<sub>2</sub> emissions in livestock through the implementation of sustainable techniques within cattle farms. In addition, the sustainable management of farms to avoid attacks by big cats on cattle carried out with PANTHERA, is becoming a model to be replicated in the region for the protection of fauna, through the implementation of specific techniques at farms (which also impacts positively on its productivity).

Even though formal CO<sub>2</sub> sequestration measurements are not completely finalized, there are two projects thus far contributing to mitigating CO<sub>2</sub> emissions through low carbon technology and renewable energy strategies. One case is the strategic project through the Fundación BIOMATEC, which involves a series of six projects for the piloting of initiatives (biogas, solar panels, app development for beekeeping and improved wood burning stoves in indigenous territories). Through these kinds of strategic projects, innovative technologies are now going to be scaled up by BIOMATEC, not only in Costa Rica, but in Bolivia, Colombia, and Guatemala as well<sup>6</sup>. The support of the Program to BIOMATEC has allowed the foundation to access additional funds (500,000 euros) to replicate these technologies. In CR, BIOMATEC intend to channel these funds into the same SGP intervention area to consolidate and expand the best practices already implemented.

The second case, related to carbon sequestration, is an innovative aquaponic project under implementation by the Asociación por el Desarrollo Humano Manos Amigas la Promesa, with support from the private sector and the Santa Ana Municipality through the Food and Nutritional Security Department. The projects allow women to produce fish in tanks powered by solar panels based on a hydroponic system for food production. The women's group is producing the food for the fish and the model could be further replicated at the municipal level. Another innovative element of this example is the fact that it is being developed in an urban context, allowing for food security and possible future income-generating strategies.

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<sup>6</sup> For further information: [https://www.iica.int/en/press/news/aecid-and-iica-launch-project-promote-renewable-energies-and-energy-efficiency-rural?fbclid=IwAR2R4S5Hj3\\_GQH\\_8vvTv08C3\\_SIUz0qXf-CzF3nZp2Qu0bFzJrSa-bYsXso](https://www.iica.int/en/press/news/aecid-and-iica-launch-project-promote-renewable-energies-and-energy-efficiency-rural?fbclid=IwAR2R4S5Hj3_GQH_8vvTv08C3_SIUz0qXf-CzF3nZp2Qu0bFzJrSa-bYsXso)

Not only has the 7th phase of the SGP allowed the country to pilot innovative initiatives towards building the socio-ecological and economic resilience in diverse areas, but over the past 29 years it has contributed, in alliance with public and private institutions, to the consolidation of models for payment for environmental services, community-based rural tourism and sustainable coastal fishing, among others.

## **COMPONENT 1: Resilient landscapes for sustainable development and global environmental protection.**

**Outcome 1.1:** Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems.

**Output 1.1.** Community level small grant projects in the selected landscapes that restore degraded landscapes, improve connectivity, support innovation regarding biodiversity conservation and optimization of ecosystem services.

*The indicators related to the achievement of this outcome were: 6) Number of freshwater springs protected. 7) Community voluntary forest fire brigades (VFFB) trained, equipped and functioning. 8) Community monitoring programs and national protocol for indicator species implemented.*

### **Rating: Highly Satisfactory**

During this phase, the SGP, as part of strategy for the Upgraded Countries approach of the GEF, has supported strategic projects. One of these projects is that of AVINA, an organization that supports the development of sustainability centers for ASADAS (Consortium to establish a Centre for Sustainability (CAISA in Spanish)) at the national level. In this way, the SGP has been able to expand the scope of work with this critical sector for issues of ecosystem management for the protection of water sources, which affects, among other elements, the conservation of biodiversity. Through these projects, ASADAS are getting organizational support, but also initiatives around ecosystem services are taking place.

Part of the work also under this outcome is done in conjunction with SINAC and MAG through the protection of water sources, especially, within the ongoing projects pertaining to the silvopastoral and sustainable cattle sector, either through fencing off these areas, through natural regeneration and/or reforestation on farms. The approach, as well as promoting the conservation of water sources and streams, can increase productivity of the farms and increase spare time to dedicate to other tasks related to diversifying farm activities and alternative income-generating opportunities, in the medium and long term.

The work with the NGO Panthera, supported by SINAC and MAG, is an example, which is directly supporting 10 cattle farming families with equipment and training on preventing attacks by feline predators on their cattle and monitoring of these and other fauna within the Montes de Aguacate Biological Corridor. Environmental education and awareness training in 4 schools and communities will be carried out once monitoring data is available from 36 camera traps to be installed in the next semester. Project results and information exchanges with farmers, SINAC staff and other interested parties are planned with the Paso Las Lapas Biological Corridor towards the project end, with a view to replicating this experience. PANTHERA states that the result with the SGP support is allowing for the consolidation of a model that can be used more broadly in the Latin-American region.

Additionally, under this outcome, one new VFFB has been trained and equipped and one existing VFFB has been strengthened, implemented by Fundación Madre Verde, through an alliance with the National System of Conservation Areas (SINAC) in the Central Pacific Conservation Area (ACOPAC), and the Ministry of Agriculture (MAG) in the Carara National Park buffer zone, the Tivives and Guacalillo wetlands protected areas. To date, 24 firefighters have been trained and equipped (of which 63% are women), as well as 74 farmers trained on fire management issues. Also, a Regional Fire Management Centre in the Carara National Park has been refurbished to enable greater readiness and more effective operational and logistical support to fire prevention and mitigation in the National Park and adjacent areas, including farmland.



Another existing VFFB is being strengthened through further training and equipment. It is interesting that Madre Selva is a community-based organization that had support from the SGP in the past, and it is now implementing the VFFB program with other organizations and in other regions, allowing for the replication of the experiences and lessons learned. Madre Verde is also part of the local committee for the CBMA, which is currently updating the management plan under a recently awarded SGP project, which allows for a broader future impact in the intervention areas, given that it will increase the capacity of local organization structures to deal with environmental hazards (such as fires), for example.

These examples allow us to understand how the SGP in OP7 is using the lessons and results from previous phases to keep strengthening key organizations and linking different projects (SDG grantees) to broaden the geographic scope of their interventions.

### **Outcome 1.2: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.**

Output 1.2 Targeted community projects enhancing the sustainability and resilience of production systems, including soil and water conservation practices, silvopastoral and agroforestry systems, increased on-farm arboreal coverage: agro-ecological practices and cropping systems.

*The indicators related to the achievement of this outcome are: 9) Number of cattle farmers applying best practices in productive livestock systems. 10) Number of rain-fed reservoirs installed and serving climate-smart irrigation systems. 11) Number of women's groups adopting sustainable production systems*

The focus that the SGP has deepened in this phase is clear in terms of facilitating silvopastoral and sustainable agricultural techniques within the farms. The choice of groups at the community level of both female and male producers has been key to achieving highly satisfactory results in this result.

To date, 245 cattle farmers within the intervention area, of which 16% are women, are benefitting through diverse grant projects. Some are implemented by the Fundación BIOMATEC, who has piloted biodigestors on two cattle farms, from which gas and electricity are generated, and the filtered solid waste is converted into vermicompost; as mentioned before, these pilot initiatives are destined to be replicated in the country and internationally. The access to biodigestors is producing positive results, both at an environmental level (reduced CO<sub>2</sub> emissions at farm level, improved **waste management, and reduction of effluent contamination**), as well as in terms of productivity and household savings: **better use of resources and less expenditure on electricity and fuels.**

**In general terms**, the SGP support is permitting the conversion of “traditional” extensive cattle production to more sustainable farming practices. In strong coordination with the local agencies of MAG, the SGP projects are implementing practices aligned with the *NAMA Ganadería* national program (Reduction of CO<sub>2</sub> emissions in cattle production, towards achieving carbon neutrality). Another outstanding example, as mentioned, above, is the project implemented by PANTHERA which is benefitting 10 cattle farms with training and equipment to prevent attacks by feline predators on their cattle and to monitor these and other fauna within the Montes de Aguacate Biological Corridor. This project is a clear example of an environmental and productive initiative that is executed by the SGP in coordination and alliance with SINAC and MAG and aligned with their institutional plans to support the management of key natural areas in the targeted intervention area.

Another key example is the project of APAECTU (whose president is a young woman, leader of the community) in Turrubares county, benefitting 11 farmers specifically with water harvesting technologies, allowing for year-round irrigation of pastures and thus increased productivity, training, spring catchment protection. This project is coordinated with the National Institute of Learning (INA), and MAG, and it integrates members of the community (ADI, Community Development Association), who are also part of the Local Committee of the CBPL. It is interesting that the leader of APAECTU is coordinating actions with UPAP (another organization benefitted by SGP) for the construction of the reservoirs and the implementation of activities related to the biological corridor. The SGP intervention strategy, through the landscape approach, provides a platform and opportunities for such cross sectoral synergies between project beneficiaries and institutions. It is worth noting that one of the members of

the INA mentioned that during his years of work in the rural development sector, he has *“never seen a project like the SGP, which really provides technical assistance and accompanies the groups in the execution of their activities, under technical control of a highly prepared team...”* (personal communication during field visit interview).

Moreover, 30 reservoirs have been installed and are operating to date. These projects are applying diverse water harvesting techniques on different scales: In the case of APSSA and APAECTU, 18 of these are larger, rain-fed or river-fed reservoirs of up to 200,000 liters capacity, allowing for year-round irrigation of pastures, fodder banks and fruit trees, in water-stressed areas. These reservoirs are part of wider efforts to integrate sustainable production and soil and water conservation practices. In the case of the Association of Indigenous Huetar Women of Zapaton, one larger, water storage tank “bladder” with a 50m<sup>3</sup> capacity has been installed to irrigate shade and greenhouse horticultural production through drip-feed irrigation, and a further one is planned to be installed in the next semester. The Bijagual women’s group is installing 10 smaller scale rain-fed tanks for horticultural production under shade houses. A further 85 reservoirs are planned through seven ongoing projects. (ASOPROGUARUMAL, ADI Guacalillo/Bajamar; ADI Lagunillas; ASOFAGRO, ADI Cerrillos, ADECA, SAED).

The expected future impact of these actions can be foreseen in terms of more productivity at farm level, more efficient use of water resources and less intensive labour (higher productivity). In general terms, the projects are benefitting cattle farmers by introducing and strengthening sustainable production practices and silvopastoral techniques, by increasing tree cover and natural areas of regeneration, pasture rotation, fodder banks, stabling techniques, live fences, water and food troughs and other practices all aimed at reducing the impact on soils, increasing biodiversity, and adapting to the changing climate whilst increasing production and farmers’ incomes. All these projects are accompanied by training and technical assistance (usually by the Ministry of Agriculture and livestock – MAG, and the National Institute of Learning – INA, among others). Some examples are: ASONALAC is benefitting 26 dairy farmers in the Naranjo canton, APEMEGO in Orotina county with 23 beneficiary farms, CACE in Esparza and San Mateo counties, which is benefitting 33 cattle farmers, and Union de Productores Agropecuarios de Puriscal UPAP, which is benefitting 140 farmers.

To date, 11 projects implemented by women’s groups are ongoing and adopting sustainable production systems (only six were planned at the ProDoc, almost half the number now implemented). These projects account for 176 direct female beneficiaries, surpassing the target of 90. Some of the practices implemented are: controlled environments for horticultural and traditional medicinal plant production for Food and Nutritional Security (FNS) and commercialization of their produce; improved production of organic composting through vermiculture and processing of coffee waste; an improved capacity for recycling solid waste; a small factory for dairy processing, installation of 16, solar-pumped aquaponic units for tilapia and horticultural production in neighborhood backyards in Santa Ana; production of medicinal plant-based cosmetics, tinctures and oils; and production of blackberry and Cape Gooseberry in the Berlin community, which is a traditional coffee-farming area.

At the time of the MTR, it is possible to observe some changes related to food production, management of natural resources, and especially the empowerment of women involved in the projects. These are crucial aspects that are already provoking changes at personal, family and community level. The challenge now is to strengthen the groups in terms of their productive and commercial capacities to ensure the access to markets that can generate increased incomes for the groups and the women.

During the MTR process it has been possible to verify that, generally speaking, project beneficiaries and representatives of these projects and the institutions that support them in the field highlight the importance of the SGP and the quality of the SGP team in terms of its technical knowledge and human qualities. The support of the program goes beyond the provision of financial funds; the accompaniment that the SGP provides to the beneficiaries is also highly regarded. It is important to note that thanks to the strategic support of the SGP, MAG and SINAC staff (in the intervention area) can carry out their extension programs with tangible actions in the field, especially at a time when budget and personnel cuts have severely limited the actions of the public institutions that provide such support. The MTR corroborates that the SGP mechanism is highly regarded in the intervention area. And UNDP’s overall value-added ethical and development approach that considers the project beneficiaries’ diverse needs and perspectives is also highly valued.

### **Outcome 1.3: Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.**

Output 1.3. Targeted community projects promoting sustainable livelihoods, green businesses, and market access, including ecotourism; solid waste management and conversion; beekeeping; green value-added agro-businesses integrated into value chains, micro-processing.

*The indicators related to the achievement of this outcome are: 12) Value chain strategy and platforms established between producers and private sector. 13) Models for the transformation of tragic plastic pollution from rivers and coasts introduced and piloted. 14) Number of women trained in financial education linked to value chains, market access and microfinance mechanisms.*

#### **Rating: highly satisfactory**

As mentioned, the SGP is promoting projects that have a positive influence on the landscapes, whilst promoting increased productivity and income generation for the beneficiaries. In terms of market access, for some of the groups, particularly for women's groups, efforts should be made to further support the commercialization of their products (which is part of the natural consolidation process of these kinds of projects). For other cases, like the ecotourist ones, it is easier to strengthen the access to markets.

Currently ten (10) projects are enhancing value chain strategies, of which eight are women's groups, with respect to the production and commercialization of products within and outside their communities, thereby generating incomes and employment. Of these, one is a community-based rural tourism project in the Montes de Aguacate Biological Corridor implemented by FUBONO, which is building upon the success of the Public and Private Nature Reserve Network, which through an inventory of tourism enterprises and targeted training is promoting regional tourism as a means for conservation and protection of these sites. This project involves training and capacity building (product development, client attention, promotion, amongst others), some infrastructure improvement, signage, and promotion. Each project has a specific objective for developing its strategy for product development, marketing, and promotion. FUBONO was also part of other SGP phases, and the continuity of the support is critical to strengthen an eco-touristic model for the region and has allowed FUBONO to access additional funds for the acquisition of a natural reserve in the area, and further support micro touristic initiatives in the region, resulting in positive effects on ecosystems and the incomes of the entrepreneurs involved.

Additionally, nine producer enterprises are strengthening value chains through market studies and commercialization strategies: the Centre for Investigation in Tropical Apiculture (CINAT-UNA) is enhancing the marketing and commercialization capacities of 50 beekeepers from the intervention area through product development and by-product development, investigation on quality and properties of different honey products, labelling, product registration and permits. Three further projects AMIHZ; DUNOMA and the Bijagual women's association are selling organic horticultural products to local markets. ASOFAGRO; ASOPEÑAS, and, again, the Bijagual Women's group are producing medicinal plant-based cosmetics and stingless bee honey. APASARAT, has identified local coffee farmers as a market for selling its vermiculture compost and, ADAFARCES, from Puriscal county, is improving its management capacity for processing and recycling solid waste, including waste generated in a neighboring municipality (Mora).

Currently, the NGO MAREBLU, a local youth organization, which with the collaboration of the Municipality of Garabito, together with two private sector companies (the Center for Regenerative Design and Collaboration (CRDC) and Pedregal, a national construction supplies provider), are about to start a project to be presented, which seeks the construction of a "Centre for Plastic Recovery" in Guacalillo beach for the transformation of beach and river waste (especially "tragic" plastics that end up in the environment, in rivers, on beaches, in the sea, etc.) into "ecoblocks" for construction. Half the funds for building the centre (approximately \$12,000) will be leveraged through Pedregal, as well as private sector sponsorship for operational costs.

Moreover, SGP has promoted training for women in diverse topics and in alliance with key institutions. Through a general agreement between the SGP and the Instituto Nacional de Aprendizaje - INA (National Learning Institute),

in favor of seven of the supported women's groups, tailor-made training courses have been designed and are being implemented. These weekly, face-to-face, training modules, which last approximately three months each, respond to each group's needs, covering themes such as business administration, markets and marketing, and basic accountancy. Discussions are also ongoing with the National Women's Institute (INAMU) to provide further training on women's rights and value chain development. The potential alliance with INAMU is key in terms of access to further training, but also to funds focused for women strengthening. Another key actor is the 4s Club (a department of MAG), and INDER, which are allies of SGP.

Clearly, not all the groups will have full access to markets, but the knowledge and experience of FUBONO for example in the tourism sector, can provide lessons and methodologies for the execution of other projects related to ecotourism. The organization has been supported by the SGP in previous Operational Phases and it is now broadening its intervention in the region and promoting tourism destinations which involve small rural enterprises. FUBONO is not categorized as a strategic project (given it is under \$50,000), nevertheless it represents an example of a successful approach supported by the SGP during this phase (and in previous ones).

Another interesting focus is supporting APASARAT to produce compost that is used by local coffee producers and other SGP groups in the region. SGP has not supported coffee production per se in this region before, but by supporting the coffee processing plant of APROCETU through the installation of solar panels as part of the BIOMATEC project (thus reducing production costs and increasing processing capacities) and by also strengthening the APASARAT compost project, a positive knock-on effect can be inferred in the wider producer's community and local economy. Through relatively small investments, strategically placed, larger positive impacts are appearing to be generated.

Special attention should be placed on the execution of the "Centre for Plastic Recovery" during the second half of the 7<sup>th</sup> phase, because it can represent a model for the future. Interestingly, this project is linked to the UNDP projects on micro plastics and single-use plastics, that are crucial for the country and that can consolidate a way of dealing with this waste, reducing pollution, creating jobs at local level, and innovating sustainable construction materials.

#### **Outcome 1.4: Increased adoption (development, demonstration, and financing) of renewable and energy efficient technologies at community level.**

Output 1.4: Targeted community projects implementing renewable and energy efficient technologies in each landscape, including inter alia, gasification of biomass, solar energy applications, biodigesters, anaerobic solid waste digestors, solar dryers, micro wind turbines, energy efficient stoves.

*The indicators related to the achievement of this outcome are: 15) Number of participatory feasibility studies for alternative, energy efficient technologies benefitting communities and producers' associations carried out. 16) Number of innovative technology pilot projects implemented, monitored, documented, and disseminated.*

#### **Rating: highly satisfactory**

As mentioned before, during this SGP phase, and under the Upgraded Country Program of GEF-SGP, several strategic projects are being supported. The SGP had the foresight to involve BIOMATEC as Community-based Climate Change Mitigation (CCM) specialists for the Climate Change Mitigation Analysis and Action Plan, created for the design phase (ProDoC). During the implementation of OP-7, the BIOMATEC Foundation is developing a series of projects piloting renewable and energy efficient technologies through a strategic project, as well as producing technical studies and data related to CO2 emissions, among others.

In total, 23 participatory Feasibility studies were carried out on energy efficient projects and low carbon technologies during this half of OP7 (5X more than planned): 22 as part of the project implemented by Fundación BIOMATEC, through a stringent and participatory analysis of potential technologies, organizational, economic, and social factors of 118 CBOs in the intervention area.

A further feasibility study was carried out by a private sector company, with support from the Municipality of Santa Ana for installing domestic aquaponic systems for fish, shrimp, and vegetable production, driven by solar pumps and to be installed in an economically and socially deprived residential neighborhood to increase food and nutritional security and natural resource management. In total, 16 of these systems have been installed, benefitting the same number of families.

Additionally, nine pilot projects are ongoing, of which one is being implemented by a women's group: Through a project implemented by Fundación BIOMATEC, diverse technologies are being introduced to six 6 CBOs and two individual farmers: these technologies include: i) energy efficiency in ASADA Calema (communal water board) solar-driven remote controlled measuring systems for water flow; solar-driven automated on/off systems for pumps; ii) Installation of photovoltaic panels in the APROCETU coffee processing plant for energy-use reduction; iii) introduction of energy efficient wood-burning stoves in the Zapatón indigenous territory, which reduce by 60% fuel use, with positive further health benefits; iv) in APAECTU, the installation of biodigestion systems for cogeneration of electricity, vermiculture production and the use of biol (liquid fertilizer) for pastures; v) in AFACAPA a similar system for use in cattle pasture and coffee plantations; vi) with APIPAC (apiculture organization benefitted in OP-6) the introduction of a solar-powered honey extraction system on the mobile extraction unit, as well as, the introduction of remote sensors for measuring weight, humidity and temperature in beehives; vii) two individual farmers (one male, one female) are piloting solar powered pumps for their water-harvesting systems. All these technologies are accompanied by the requisite training courses, monitoring, training manuals and eventual dissemination. In total, 86 persons directly benefit from these technologies of which approximately half are female.

In the case of the project implemented by Asociación por el Desarrollo Humano Manos Amigas la Promesa in the Promesa neighbourhood of Santa Ana, a women's group, 16 individual aquaponic units have been installed. The first four of these units, installed in December of 2021 are already producing tilapia and fresh vegetables.

It is important to mention a series of aspects related to this outcome. First, the alliance with BIOMATEC has led to the replication of the model with funding of AECID (Spanish Agency for International Development Cooperation) and IICA (Inter-American Institute for Cooperation on Agriculture) for its replication in CR, Bolivia, Guatemala, and Colombia. Secondly, the pilots of renewable energy are key to the objective of CR for achieving carbon neutrality. It is important to address the project related to the introduction of energy-efficient wood-burning stoves in the Zapaton indigenous territory because it is having a positive impact on incomes and on the health of the beneficiaries and it could be replicated in other remote indigenous territories. Thirdly, for the case of the aquaponic units installed, it is relevant that the local government is a key actor, and that it is implemented in a peri-urban settlement. The involvement of the municipalities is crucial for the possible replication of the projects that can improve food security and alternative income-generating activities.

In general terms, the piloting and innovative focus under this result is key and it is aligned with the broader approach of the SGP in terms of linking these kinds of technologies to sustainable production (farming and cattle), food security, improved resilience, and reduction of CO2 emissions.

## **Component 2: Landscape governance and adaptive management for upscaling and replication**

Overall, this component seeks to increase community participation and representation within the existing or expected formal inter-institutional governance structures at the landscape level: these include the sub commissions of the JMRB, BRB and the LGTRB and the Local Committees of the Paso Las Lapas and Montes de Aguacate Biological Corridors.

*The indicators related to the achievement of this outcome are: 17) Number of landscape strategies developed through public consultation based upon respective landscape management plans. 18) Number of ASADAS strengthened through technical, administrative, and organizational training, management tools, support to second-tier organizational structures and direct investment. 19) Youth and women (including indigenous communities) benefitted from training scholarships in community landscape planning and project design. 20) Environmental education program to enhance socio-ecological resilience in schools/communities supported by*

SINAC. 21) Case studies systemizing landscape experiences, supported by university students as part of a wider SGP communication strategy.

### **Outcome 2.1: Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access.**

Output 2.1.1 A multistakeholder governance platform in each target landscape develops and executes multistakeholder landscape agreements; value-chain development strategies for coffee and ecotourism; and enhanced community participation in Tárcoles River sub-commission; and JMRB and BRB sub-commissions.

Output 2.1.2 A landscape strategy supported by the corresponding multistakeholder platforms for the target landscape to enhance socio-ecological resilience through community grant projects.

Output 2.1.3: Knowledge from project innovations is shared for replication and upscaling across landscapes and country through SGP platforms and institutional outreach Programs and an environmental education

#### **Rating: satisfactory**

In general terms, during the OP7, a series of key efforts are being made to support the improvement of governance in the biological corridors. Also, there are specific efforts made to strengthen value chains in the ecotourism and coffee sectors. Nevertheless, at an activity level, there are still some actions needed in terms of the Geospatial mapping for prioritizing key zones and training of government agents (MINAE, MAG) in use of geospatial mapping and accessible technologies for geo-referencing and monitoring of project intervention sites. The SGP OP7 had a two-day training on the use of GPS in cell phones and spatial mapping for MAG and SINAC staff. The result not achieved so far under this component was the mapping of the greatest degradation in the intervention area by CADETI (which was going to be their counterpart activity).

Another indicator under this component (19<sup>th</sup>) *Youth and women (including indigenous communities) benefitted from training scholarships in community landscape planning and project design*, is still to be achieved during the second half of the OP7. In response to the Call for Proposals in September 2020, no project proposals were received related to this subject. However, discussions are ongoing with the NGO Bean Voyage to co-invest in a scholarship program, the “Sustainable Livelihood Initiative”, in collaboration with The Starbucks Foundation and the Coffee Institute of Costa Rica, with the goal to recruit 150 smallholder women coffee farmers, of which 24 are from the project intervention area and provide them with training, finance and mentorship to build sustainable coffee businesses. The SGP is exploring the means to leverage further support through institutional, academic and NGO partners, such as the National Women’s Institute (INAMU), for training in landscape planning and project design.

Nevertheless, there are still very relevant results related to the outcomes of Component 2 in both outputs. Four landscape strategies were developed in 2020 through a consultancy. These are for the two Biological Corridors (Montes de Aguacate and Paso Las Lapas) and two river basins (Jesus María and Barranca). The methodology applied and adapted the Satoyama resilience indicators and analyzed their relevance to the official management plans for these landscapes through virtual participatory baseline assessment workshops and consultations with a total of 120 key stakeholders from diverse communities in each landscape, as well as institutional staff of supporting agencies (SINAC, MAG etc), thus, allowing for an updated, realistic measurement of the state of play of the management plans, as well as useful planning instruments for the landscape oversight committees.

Each Landscape Strategy set out Specific Objectives, Actions, Indicators and Targets, considered as a wider guide to be used in tandem with the management plans for each landscape and not necessarily dependent on SGP funding. For example, the Landscape Strategy for the Montes de Aguacate Biological Corridor established four Objectives: i. Strengthen the local committee; ii. Promote the conservation of biodiversity and the restoration of connectivity between ecosystems; iii) Contribute to mitigate climate change; iv) Strengthen water management. Based on these Objectives, a further 17 strategic actions were identified. These Landscape Strategies were reviewed by the NSC and presented to the stakeholders at the landscape level. They also corroborated the relevance of the results, activities and indicators set out in Seventh Operational Phase Project Document.

Another key element under this component is the strategic project developed by AVINA. Through this strategic project 61 ASADAS have been directly supported in terms of training in diverse themes: comprehensive water management, risk management, climate change and project management. Seven of the ASADAS that participated in the training program have also presented proposals for a non-refundable investment fund, totaling US\$24,000 for environmental projects. Furthermore, integral to AVINA's strategy for assuring long-term support services to the region's ASADAS, three second-tier associations of ASADAS - UNAGUAS UNARECE and FEDEPACE, that together affiliate 29 ASADAS, have come together under the figure of Consortium to establish a Centre for Sustainability (CAISA). The CAISA has started offering seven services - Project Management, Risk Management, Administrative Support, Legal Advice, Accounting, Technical Studies, Water Quality. The services are oriented to strengthen the ASADAS as organizations and improve the protection of key ecosystems and the management of water resources.

The CAISA model is being implemented in the Latin American region, as well as in CR by AVINA. Interestingly, the model in the country was piloted by AVINA under a GEF-funded project implemented by UNDP. Based on this experience, USAID supported the initiative, and the model is running well in other parts of the country (especially in the North and Nicoya Peninsula). Key tools developed under this GEF-UNDP project are currently being used by AVINA (GIRA -Integrated Risk Management, Strategic Management Plans – PME, and others for gender analysis and a Water Balance Calculator, among others). AVINA, has stated during the MTR that the focus of the SGP and UNDP to introduce both environmental and gender perspectives towards the consolidation of the CAISAS has been critical. SGP was right to establish an alliance with AVINA, which has allowed both organisations to strengthen their work with regards to the water management sector through communal organisation. In CR, UNDP has been a key supporter of the "Water Resources Protection Tariff (TPRH)" that allows the ASADAS to get funding for the protection of key ecosystems. This strategy is new for AVINA and has strengthened the model of CAISA. It is important to highlight that the SGP supported ongoing processes and projects such as the one mentioned above. This allowed it to strengthen the consolidation of successful models implemented at the country level.

In terms of the environmental education program to enhance socio-ecological resilience in schools/communities supported by SINAC, one school is benefitting from environmental education activities, through a Project implemented by the Bijagual Women's group, which, as well as supporting environmental education activities, is also implementing a vegetable plot and beach-cleaning activities with the pupils. Furthermore, the NGO Panthera plans to carry out environmental education in at least four schools in the second half of 2022, supported by the Montes de Aguacate Local Committee, including personnel from SINAC and MAG. The Guacalillo "plastics" project will also aim to involve at least four schools in active environmental education activities, including on the issue of plastics, recycling, and marine and river life.

Regarding knowledge from project innovations shared for replication and upscaling across landscapes and the country through SGP, the systemization of project results and lessons learned will be undertaken and disseminated towards the end of each project and, where possible, through the support provided by university students. Two other case studies are planned, one to capture overall Project (OP-7) results and lessons learned and recommendations for future operational phases and another, specifically, on the role of women in natural resource governance. A communication strategy was finalized in August 2021 and provides a guide for activities, means and products to be implemented by the SGP management team.

Under these components, it is crucial during the second half of OP7 to strengthen alliances with technical institutions and universities for communication, education, and systematization purposes. In general terms during the MTR, the actors interviewed, and data collected during field work provides evidence of the importance and results achieved so far by the SGP. It is crucial, nevertheless, to share the lessons learned. In the past phases annual events took place for the exchange and sharing of key results and experiences of the SGP at national level with diverse actors and sectors. The COVID-19 pandemic made it difficult to allow for these kinds of spaces, however it is important and possible to strengthen these platforms that can also improve the interventions and learning of SGP at regional and national levels.

### 4.3.2 Analysis of progress on results

The project presents a highly satisfactory assessment and is on the way to achieving its goals and development objective. Even though the Project started during the COVID-19 crisis, it is being implemented in a highly satisfactory way. A total of 33 projects (out of the 36 planned) are running and achieving key results. 95% of the funds for grants have been allocated and more than 17 of the indicators (around 81%) have already achieved their mid-term targets; indeed, of these, seven have surpassed their final targets. Only one indicator is still to be achieved through key actions (that are already planned).

The results are being achieved through strategic interventions in coordination with key stakeholders and with the grantee projects, based on an integrated and sustainable agri-environmental landscape approach. The SGP is working with key institutions to strengthen the capacity of CBOs and has supported strategic projects that can represent future models of intervention for the country and even the region. Some of which are already being replicated and scaled. The OP7 is building strategic results based upon key aspects and lessons learned from previous operational phases.

In the previous section, the analysis of the project's "Results Progress Matrix" is presented. Nevertheless, the matrix below includes information related to the current value of the indicators, the valuation, and the justification of the results. Table 5 is a summary of this matrix.

Table 4. Results Progress Matrix (summary)

Objective/Result	Assessment of the progress of the indicators
<b>PROJECT OBJECTIVE:</b> To build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles River and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development.	Mandatory Indicator 1: # direct project beneficiaries disaggregated by gender (individual people):
	Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people):
	Mandatory Indicator 3: Area of land restored. GEF Core Indicator 3:
	Mandatory Indicator 4: Increased area (hectares) of landscapes under improved practices (GEF Core Indicator 4.1+ 4.3)
	Mandatory Indicator 5: Greenhouse gas emission mitigated (Metric tons of CO2e). GEF Core Indicator
<b>COMPONENT 1:</b> Resilient landscapes for sustainable development and global environmental protection.	Indicator 6: Number of fresh water springs protected.
	Indicator 7: Community voluntary forest fire brigades (VFFB) trained, equipped and functioning.
	Indicator 8: Community monitoring Programs and national protocol for indicator species implemented.
	Indicator 9: Number of cattle farmers applying best practices in productive livestock systems.
	Indicator 10: Number of rain-fed reservoirs installed and serving climate-smart irrigation systems.
	Indicator 11: Number of women's groups adopting sustainable production systems
	Indicator 12: Value chain strategy and platforms established between producers and private sector.
	Indicator 13: Models for the transformation of tragic plastic pollution from rivers and coasts introduced and piloted.
	Indicator 14: Number of women trained in financial education linked to value chains, market access and microfinance mechanisms.
	Indicator 15: Number of participatory feasibility studies for alternative, energy efficient technologies benefitting communities and producers' associations carried out.
	Indicator 16: Number of innovative technology pilot projects implemented, monitored, documented and disseminated
<b>COMPONENT 2:</b>	Indicator 17: Number of landscape strategies developed through public consultation based upon respective landscape management plans.



Landscape governance and adaptive management for upscaling and replication.	Indicator 18: Number of ASADAS strengthened through technical, administrative, and organizational training, management tools, support to second-tier organizational structures and direct investment.\
	Indicator 19: Youth and women (including indigenous communities) benefitted from training scholarships in community landscape planning and project design.
	Indicator 20: Environmental education Program to enhance socio-ecological resilience in schools/communities supported by SINAC.
	Indicator 21: Case studies systemizing landscape experiences, supported by university students as part of a wider SGP communication strategy.

Source: own elaboration base on GEF-UNDP guidelines and project data analysis.

Based on the evaluations made it can be said that the project is progressing positively to achieve the development objective and the execution of the 2 Components. Some particularities to consider are:

- **General Objective:** In general, the results were highly satisfactory. Most indicators have achieved over 75% of the final targets, exceeding the midterm targets. The Greenhouse gas emission mitigated target has reached 12% of its end target, however this low reading is more related to the technical complexity of measuring the data (which is taking place over the second half of OP7).
- **Component 1:** the results are highly satisfactory. In general terms, most of the End-of- project Targets have already been reached, and even surpassed. Only one indicator (14) is at 34% of achievement but on track to be implemented during the coming period.
- **Component 2:** overall the results are satisfactory for this component. Only one Indicator is yet to be implemented (19), and another one (20), is on track with 50% attained. The other three have achieved their End-of-project Targets.

#### 4.3.3 Barriers that still exist for the achievement of the Project's objectives

In relation to the barriers identified in the ProDoc, related to the achievement of the results, it is possible to affirm that the project has made significant progress to overcome them. More specifically, there are some key elements to be noted related to the identified barriers:

- Community organizations have limited or weak representation and participation mechanisms within formal inter-institutional landscape governance structures:** the SGP has worked closely with key institutions (such as CADETI, MAG, SINAC-MINAE and others like INA, ONGs and consultants) to bring closer the CBOs (grantees) with the regional entities that can provide technical support to strengthen the organizations and their participation mechanisms (SGP has also stimulated the coordination among the projects and governance platforms of the corridors).
- Community organizations lack the knowledge, the long-term vision and strategy for ecosystem and resource management at scale and suffer from weak adaptive management capacities i.e. to innovate, test alternatives, monitor and evaluate results, and adjust practices and techniques to meet challenges and generate lessons learned:** the SGP is promoting the implementation of specific practices at farm and household level to improve ecosystem and resources management, that also allows for greater social cohesion at community level and can improve productivity and income generating activities.
- Community organizations often suffer from deficient governance structures, lack strategic management and planning tools, and have weak leadership:** both the core team of the SGP, consultants and regional key institutions are supporting the strengthening of the organizations. This includes support from previously supported organizations (from previous SGP phases) that can lead and provide support to newer organizations and projects. SGP in coordination with MAG, SINAC, 4s Clubs, UPAP, AVINA, BIOMATEC and others such as Ecotrópica and Madre Verde, provides support for the implementation of projects and in strengthening of the CBOs.

- d) ***Lack of access to financial and technical resources associated with innovating land and resource management practices:*** the Program is promoting innovative practices along with financial and technical support to the projects in a close collaboration with key sectors and institutions.
- e) ***Community organizations lack adaptive management capacities to innovate, diversify and commercialize goods and services as part of value chains that improve landscape resilience:*** this specific barrier still needs to be overcome. Important efforts are being made to set the bases for the commercialization of goods and services, but in the specific case of women's groups, greater attention should be taken to ensure market access. Other models, especially ecotourism activities are stronger and being replicated and broadened.
- f) ***Knowledge from project experience with innovation/experimentation is not systematically recorded, analyzed, or disseminated to policy makers or other communities, organizations and programs:*** during the second half of the OP7 greater attention should be paid towards systemizing and sharing the lessons learned.

## 4.4 Project Implementation and Adaptive Management

### 4.4.1 Management Arrangements

The implementation of the project and its adaptive management is highly satisfactory. The SGP in Costa Rica represents a unique model of international cooperation, and it is remarkable the way in which the project management team and UNDP have implemented the Program. Therefore, it can be considered a good practice. Management is guided by the institutional arrangements defined in the ProDoc and many others developed by the project. The administrative process with UNOPS is done in an efficient manner and UNDP provides the technical support adequately. Nevertheless, the coordination between the SGP and the projects of the UNDP at country level could be improved in terms of establishing more formal (periodic/structured) spaces for exchange of information and lessons/results generated by OP7.

The projects under OP7 were selected based on an open call for proposals, and some key/strategic projects identified during the design stage of OP7, which has proved to be a key and pro-active strategy. The SGP has a Technical Advisory Board (CADETI) that provides technical inputs related to land degradation projects and perspectives, and a National Steering Committee (Project Board), integrated by institutions of the public and civil society sector. The board meets every time a project must be presented, revised, and approved. They also discuss accountability, decision-making and approval of the projects, as mentioned before. The SGP team also facilitates field visits by board members.

It is noteworthy that during the MTR process at field level and during (online) interviews, the work of the technical team and the technical assistance provided by them is highly valued by projects and public institutions, NGOs, and other actors. The two components have generated effective and very positive changes (enabling sylvopastoral practices, land and ecosystem conservation, integrated water management, beekeeping, food security and diversification, environmental education, renewable energy, governance in biological corridors, among many others).

The SGP is executed by a team of two people - the structure is small but very efficient. The roles are clear and there is a clear synergy within the team. The SGP works under a horizontal coordination approach, both at team level and with the projects and key allies. This constitutes a good example for the results-based management of complex projects, such as those that lead to multiple benefits GEFs.

The MTR can corroborate that the projects (grantees) of OP7 are borne of a bottom-up approach, respect the needs and perspectives of the groups that proposed the initiatives, and are provided with solid technical support. It should also be pointed out that all the beneficiaries interviewed at field level indicated the sensitivity of the SGP management team: the SGP team is generally regarded as respectful of the needs of the groups and communities,

and always available to support the groups in terms of doubts, concerns, and technical assistance. This is especially true for the women's groups (which, in general terms, had little or no experience with administrative tasks, such as banking issues and reporting) and which see the SGP team as a support; they mentioned they feel safe and comfortable, their doubts are always clarified, and there is constant guidance from the team to provide any input necessary. The same applied to the consultants, and most of the agencies providing technical assistance.

Decision-making is based on technical criteria that respond to the needs and context of the country and the sector and the objectives of the Program. Decisions are discussed at the level of the Technical Team, the Advisory Committee (CADETI), and the Project Board in a transparent and timely manner. Furthermore, the SGP is executed administratively by UNOPS, which provides effective support to the team, and therefore ensures the timely allocation of resources to the groups. UNDP provides key technical support, given their role and importance within the national context and their experience in the country and the UN System, as a whole.

The execution is of high quality, this is true for not just the SGP team, but also UNDP which has technical capacity and broad experience in implementing the Program and other GEF funds. They work with commitment and professionalism and have the capacity to link and coordinate with important key partners (SINAC, MAG, CADETI, UNED, UNA, and civil society organizations, among others). The Project responds to the GEF Policies on Gender Equity and seeks to transcend a gender parity approach, which leads to more transformative actions<sup>7</sup>. This approach is mainstreamed from design through implementation and generation of knowledge. The SGP represents an important source of funding for the projects implemented, especially those of the women's groups, in a context in which the resources of international cooperation are limited and the public funds are difficult to access by CBOs given the high bureaucracy and requirements.

The SGP has established a management arrangement with a Board integrated by organizations of diverse sectors (MINAE, MIDEPLAN, UNED, UNDP, CADETI, FUNDECOR, Aliarse, National Chamber of Rural Women, CEDECO, National Network of Private Natural Reserves). In terms of the technical support related to land degradation, CADETI is the institution that provides specific inputs. It is important to note that the SGP, at both the international and national level is not designed as a fund to be implemented by any public institution, be they CADETI or any other. CADETI has an important role as an adviser and in the implementation of some key projects related to soil degradation, However, the funds that are facilitated through the SGP are for civil society groups, and the Program facilitates the technical and financial resources to support a national approach toward the implementation of the 3 multilateral environmental conventions (UNFCCC, UNCBD, UNCCD).

It should be stressed that even though CADETI is a key institution in the execution of SGP in the country and in different phases, there has to be a clear understanding that the GEF-SGP funds do not belong to any national institution or technical body, whether it be CADETI, MAG, or any other. This is important to mention, given the MTR has encountered diverse opinions regarding this. The perspectives provided by different actors (mainly from CADETI) indicating the SGP fund "belongs" to this entity (CADETI) were corroborated with representatives of GEF, UNDP and other national institutions, which refuted this affirmation. The roles of all the partners and key institutions are clearly defined under the GEF-SGP guidelines, and it must be clear at an organizational and field level that the funds and technical support of the Program are national resources for the implementation of action for civil society organizations.

Besides this element, the structure and implementation of the SGP are clear. Under the UNDP structure, there is experience in executing such arrangements. At the project level, the Program has tried to incorporate an ever-deeper gender perspective and has incorporated an important number of women's groups as grantees. At the level of beneficiaries, actions are taken to ensure an equitable participation of women and men, but also affirmative actions are developed. At the team level, training on gender issues is accompanied by the staff to the grantees, in the planning of interventions and in their execution, and the SGP coordinates these matters with the UNDP under

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<sup>7</sup> This means the project did not only include a targeted number of women to achieve a specific porcentage in terms of participation. But it is achieving results that are transoforming (positively) the personal lifes of women at different levels (self-stime, in their households, in their productive activities and socially).

the frame of their gender perspective mainstreaming. Also, in terms of gender equity, the composition of the Board of Directors is satisfactory: it is made up of 10 main stakeholders, of which 4 are women (6 of the alternates for those people are women).

#### 4.4.2 Work planning

The review of the documents and the field work undertaken during the MTR corroborates the execution of the planned activities. The activities are executed according to the Results Framework and the Multi-Annual Work Plan of the ProDoc, and the annual plans. The planning of the work is oriented towards the achievement of the results.

It is worth mentioning that the results framework and the programming of activities defined to achieve it have not been modified. At a little over the halfway stage of OP7, the project has reached 95% of the execution of the resources allocated for grantees, which come to approximately 64% of the resources for the whole phase. This allows time for the SGP to strengthen the achieved results from this first half, over the second period of the operational phase.

As mentioned before, in terms of activities some elements are still to be implemented in relation to the *Youth and women (including indigenous communities) benefitted from training scholarships in community landscape planning and project design* (Indicator 19 and related activities). Although there is not a single grantee project uniquely focused on this theme and indicator, which was prioritized for the first half of the operational phase, the SGP is looking for ways to leverage funding for specific training on this specific matter.

Another specific activity identified in the Work Plan that has yet to be implemented is the Geospatial mapping prioritizing key intervention sites and training on its use (2.1.1). This was going to be a contribution from CADETI. As an alternative to developing this action, a workshop was held with the support of the full-size GEF-UNDP project "Production Landscapes" on the use of mobile phones and GPS with officials from MAG and SINAC, with the idea of geo-referencing the beneficiary farms. As indicated by the SGP team, these institutions do not have a robust M&E system thus, it is not possible to have data on the use of such technologies. Still, the SGP can establish corrective measures to improve the results and proper implementation of this activity, and they are planning to coordinate actions with public universities to support actions related to this activity.

The Work Plan also foresees the development of a Communication Strategy, and the generation of knowledge management products during the whole operational phase. The Project Document of OP7 sets out provisions for the systemization and case studies of grantee projects, with a view to knowledge sharing, dissemination of best practices and lessons learned; greater effort must be done to share the results of OP7 internally (between the SGP OP7 grantees, with UNDP and key allies, for example) and externally (public institution, ministers, NGOs, private sector, among others). The remaining period is crucial for generating and sharing the Program's results, best practices and lessons learned with national authorities (especially, MINAE, SINAC and MAG), thus far generated with a view to influencing public policy (for example focusing on the strategic interventions and grantees that can be constituted as best practice and scalable, such as the projects implemented by BIOMATEC, AVINA, FMV, FUBONO, UPAP, projects with women's groups focused on shade-houses and food and nutritional security, sustainable farms and the work of PANTHERA).

As mentioned, actions aimed at supporting projects to gain greater market access (especially women's groups) should be strengthened during this second phase. Aspects of training by public institutions for governance purposes and training of women and youth are pending but planned. It is also critical that the SGP can assure the implementation of the Work Plan in terms of engagement with the private sector for the implementation of key actions (such as the soon to be started "center for plastics recovery" which involves Pedregal, a private construction supply company).

#### 4.4.3 Financing and co-financing

The analysis of budget execution based on the information and interviews with the technical team reveal an appropriate management of financial resources. The project has followed the financial controls established in the ProDoc and has been supported by the financial administrative system of UNOPS, which favors adequate management and direction to make decisions based on accurate and relevant information on budgets and their financial execution. The system is transparent and allows for the evolution of financial execution to be observed in a timely manner and to report it in the required time to project management. The table below shows the sources of co-financing and the amount contributed at the MTR stage:

Table 5: Finance and co-finance SGP OP7

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)*	Actual % of Expected Amount
<b>CBOs</b>	CBOs	In kind	1,300,000	1,595,554	123%
<b>CBOs</b>	CBOs	Subsidies	500,000	47,000	9%
<b>GEF</b>	UNDP	In kind	200,000	100,000	50%
<b>Government</b>	MINAE	In kind	800,000	400,000	50%
<b>Government</b>	REVISTA	In kind	1,125,000	600,000	53%
<b>Government</b>	CADETI	In kind	250,000	125,000	50%
<b>Government</b>	AyA	In kind	100,000	80,000	80%
<b>Government</b>	UNA	In kind	75,000	25,000	33%
<b>Donor Agency</b>	(GIZ)	Subsidies	1,040,000	500,000	48%
		<b>TOTAL</b>	<b>5,390,000</b>	<b>3,472,554</b>	<b>64%</b>

Source: PIR, June 2022.

\*At the moment of elaborating the MTR report, there were no formal letters related to co-financing. Nevertheless, information of the PIR Report and the Monitoring System Data of OP7 was used for this section. For the case of projects, the information is available at each Project ProDoc.

Although the SGP is a program oriented to provide “grants”, it should be mentioned that CBO co-financing is critical to the implementation of resources. Interestingly, it accounts for 123% of the planned resources in terms of in-kind resources. Regarding the execution of the co-financing, most of the funds are on track (UNA and GIZ resources are still to be accessed and used during the remaining period).

Regarding the Cumulative Disbursements and key financing amounts, the tables below show general information, as well as data for key financing amounts:

#### Cumulative Disbursements

Cumulative delivery of the GL* against the total approved amount (in ProDoc)	64.11%
Cumulative GL delivery vs. expected delivery from this year	70.44%
Cumulative disbursement as of June 30	1,334,661

\*General Ledger.

Source: PIR, June 2022.

#### Key financing amounts

PPG amount	66,000
GEF Grant Amount	2,081,945
Co-financing	5,390,000

Source: PIR, June 2022.

The accumulated budget execution until June 30, 2022 (data from PIR) is US \$3,472,554. The project shows an excellent level of budget execution in all its years of operation. A total of 95% of the resources established for grantees (US \$ 1,328,000, of which, \$234,860 are specifically for women’s groups) was allocated in the first half of the operational phase, despite the limitations imposed by the COVID-19 Pandemic.

As mentioned before, the accumulated disbursement as of October 2022 was USD 1,495,562, which represents a 71.83% delivery against the total amount approved in the ProDoc and 88.15% against the expected delivery as of this year (USD 486,937), which is satisfactory at this stage of the project. Considering the above, the IP's overall rating is rated as satisfactory, in line with the UNDP country office rating. Likewise, the in-kind co-financing provided through the constant technical and operational support of MINAE, MAG, CADETI, AyA, UNA, as well as the participation of community organizations, is on the right track, with an estimated US\$3,472,554 from the US \$5,390,000 in co-financing confirmed at CEO Endorsement/Approval, as seen in table 6. More specifically, data from October 2022 generated for the MTR, shows an updated and more detailed execution of the financial resources by component:

Table 6: Execution of budget

SUM of Project_Expenditure		Fiscal_Year			
Work_Package_Description	Nature_Of_Cost_Description	2020	2021	2022	Total general
FSP OP7 COSTA RICA OUTCOME 1	Audio Visual & Print Prod Costs	3 198	2 665	1 834	7 697
	CMDC	4 776	9 552	6 448	20 776
	Fees	7 986	37 064	21 606	66 656
	Grants	74 184	513 150	277 357	864 691
	International Consultants	1 981	1 670		3 651
	Local Consultants	832	1 560		2 392
	Local Travel	1 821	4 774	5 418	12 013
	Miscellaneous Expenses	526	185	377	1 088
	Personnel (SC)	44 399	84 041	70 707	199 147
	Training, Workshops & Conferences	540	117	0	657
<b>Total FSP OP7 COSTA RICA OUTCOME 1</b>		<b>140 242</b>	<b>654 779</b>	<b>383 746</b>	<b>1 178 767</b>
FSP OP7 COSTA RICA OUTCOME 2	CMDC	1 105	2 209	1 491	4 805
	Fees	6 188	6 977	1 504	14 670
	Grants	100 000	109 970	35 684	245 654
	Local Travel		262	1 303	1 565
	Miscellaneous Expenses		1 103		1 103
	Personnel (SC)	1 432	2 711	2 280	6 424
	Training, Workshops & Conferences	600			600
<b>Total FSP OP7 COSTA RICA OUTCOME 2</b>		<b>109 325</b>	<b>123 233</b>	<b>42 263</b>	<b>274 821</b>
FSP OP7 COSTA RICA OUTCOME 2	Grants	0	0	0	0
	Personnel (SC)			0	0
<b>Total FSP OP7 COSTA RICA OUTCOME 2</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
FSP OP7 COSTA RICA PROJECT MANAGEMENT	CMDC	119	239	161	519
	Equipment, Operations & Maintenance		589	1 127	1 716
	Fees	1 165	1 028	185	2 377
	Personnel (SC)	1 910	3 615	3 015	8 540
	Premises	17 384	12 676	-1 238	28 822
<b>Total FSP OP7 COSTA RICA PROJECT MANAGEMENT</b>		<b>20 578</b>	<b>18 146</b>	<b>3 250</b>	<b>41 974</b>
<b>Total general</b>		<b>270 145</b>	<b>796 157</b>	<b>429 260</b>	<b>1 495 562</b>

\*Source: UNOPS, October 2022.

Specific remarks were made by UNOPS representatives in relation to the capacity of the Costa Rican SGP to execute resources and to provide inputs and reports (technical and financial). *"In phase 7 we are very happy, the Work Plan and timing in the implementation of the SGP are much more structured and I see it as very good because they have done a very good job in ensuring that the agreements with the communities for the grants are very realistic. Things get done and you don't have to do so much*

*paperwork, but they focus more on the strategic issues. There is good communication for administrative issues. They have been working with the office for many years now as a national project, with clear roles and responsibilities”* (personal communication during interview). The execution of resources to the projects/groups is done in an orderly and timely manner and within the guidelines of GEF and UNOPS.

#### 4.4.4 Project monitoring and evaluation systems

The MTR considers the Monitoring and Evaluation (M&E) actions as satisfactory. As established by GEF guidelines, this means that there were minor shortcomings; the quality of the M&E design/implementation met expectations (GEF, p. 53). The rating for each of the three aspects mentioned is rated as satisfactory (scale 5 out of 6 possible points).

In summary, the basis for the analysis of this rating is presented as follows:

- ✓ Funds for M&E were explicitly allocated.
- ✓ A clear PIR was submitted, providing detailed summaries and concise data on project performance.
- ✓ The National Steering Committee meets for discussing and approving projects, and the Technical Advisory Committee (CADETI), provides inputs to the projects, both in terms of their approval and in relation to the actions oriented to soil conservation practices (such as, sustainable agriculture, and sylvopastoral activities, as well as training of public institutions).
- ✓ The National Program Coordinator keeps a record of the activities performed in relation to the fulfillment of the project's performance and indicators through an Excel tool that is used for reporting progress (the project team developed this internal tool for monitoring indicators and results at the technical and financial level).
- ✓ Relevant information is provided to the UNDP CO Monitoring and Evaluation Officer, for its internal reports. The results framework was not adjusted.
- ✓ UNOPS follows-up on the implementation of the project to ensure its compliance in a timely manner (based on the Multi Annual Plans); it also reviews budget execution.
- ✓ The financial execution mechanisms are monitored every two weeks. Additionally, quarterly reports are presented and, once a year, the Project Quality Assurance. Additionally, the PIR (2022) and the Annual Monitoring Report (AMR) were sent to the GEF. Each project is required to submit two progress reports and one final report. In addition, each project is subject to a final external evaluation and an external financial and administrative review, which are analyzed and then returned to their referents, with the support of MAG and MINAE and other key consultants and organizations providing technical support to the grantee organizations (with special emphasis women's groups).
- ✓ In terms of technical overview, UNDP tracks the quality of the implementation of the SGP programme.
- ✓ Finally, the way in which the Project contributes to the CPD and UNDAF of UNDP and to the United Nations System at the national and regional levels in general, is measured, as is its contribution to national indicators, such as the NDC (Nationally Determined Contributions).

#### 4.4.5 Stakeholder Engagement

As mentioned, OP7 follows an intervention logic which builds upon the results and lessons from previous phases. In this sense, there are positive synergies and engagement with MAG, MINAE, CADETI, among others both during the design phase, as well as the implementation phase.

One of the strengths of the Project is its technical and political muscle for the creation of alliances, dialogue, and synergies between stakeholders, which is linked to the impartial and technical support the UNDP (under the UN System) has provided to the Program and the country historically. Regular engagement with other projects/areas of UNDP has been affected by the pandemic and the virtual work model, given that the formal and periodic spaces for

exchange of information and dissemination of knowledge, stopped occurring on a regular basis, thus, affecting the structured platforms to discuss the implementation of projects in greater detail and carry out regular exchange of information. Communication and coordination with the UNDP office and other programs could be improved during this second half of OP7, especially with a view to the planning and design of GEF-8, which could benefit from the experience of other GEF projects being executed by UNDP. Also, SGP is generating pilot practices that could be scaled up by UNDP or other organizations, as has happened in the past.

A key actor is MAG, through the support it provides in identifying potential projects and grantee organizations, assistance in formulating the projects and by providing technical assistance in the implementation of key activities (which also includes support to grantees in generating interim reports). It is important to mention that all the stakeholders interviewed affirmed the importance of SGP for the actual delivery of technical assistance to the groups. This is the same case for SINAC. The objectives and actions of SGP are aligned to the work plans of this institution. The 4S Clubs (a MAG department) are also providing guidance, co-financing, and support to some of the projects. These synergies are critical for the articulation and dissemination of lessons. For example, the regional technical offices of MAG in San Mateo, Orotina and Esparza provide technical assistance at farm level and exchange knowledge derived from the SGP, also with the support of CADETI, for some of the projects.

INA is another key institution, providing technical assistance to groups, including specific training and capacity building for women's groups. SGP together with MAG and/or SINAC coordinate and articulate key actions with INA. It is worth mentioning that the services provided also by the SGP consultants (mainly for gender and agronomic issues) are positively valued.

Institutions like the National University (UNA) are part of the strategic project for beekeeping and honey commercialization. Other academic institutions like the UNED are represented in the NSC. This committee allows also for the involvement of MIDEPLAN in the program. AyA is supposed to have a greater involvement, but the work done with the ASADAS (community water management) is coordinated mostly with AVINA (NGO). The SGP has tried to establish a formal arrangement with INAMU (National Institute for Women) to support and strengthen the results with the women's groups, but so far this has not been possible.

The SGP is working with some local governments, such as the Municipality of Santa Ana, and with ADIs (Integral Development Associations), CAC (Cantonal and Community Agricultural Centers), and ASADAS (Aqueduct Administration Associations), key organizations at the local level. The Local Committees of the Paso de las Lapas and Monte del Aguacate Biological Corridors are involved in SGP and articulate some of their activities with organizations and projects supported during OP7 (for example, Madre Verde is supporting the VFFB with other local organizations, and have been part of previous phases of the SGP; they are also working with FUBONO and ASADAS from the AVINA project, and they are promoting the figure of OECMs - other effective area-based conservation measures - in the region. During this phase, SGP is implementing a strategic project with the UPAP (Union of Agricultural Producers of Puriscal) that groups cattle producers, and other key associations of agricultural producers, indigenous women's groups, and other CBOs.

The Project engages with key stakeholders in the target landscapes: Currently, of the 33 ongoing projects, 26 are being implemented by Community Based Organizations (CBOs) and 7 by NGOs, involving community leaders, CBOs, CSOs, NGOs, groups of women, youth and the Zapatón indigenous territory in the sustainable management of the landscape, improving the livelihoods of local communities and their food and nutritional security, as well as empowering women and training farmers, among others.

As mentioned, during OP7 strategic projects (over \$50 000) are being implemented by AVINA, BIOMATEC and UPAP. These organizations are implementing projects with a series of CBOs and ASADAS and generating important pilots and models of intervention. Still, the projects executed through UPAP and FUBONO are crucial to broaden the scope of incidence of the program in the region. Madre Verde and Ecotropica were involved in previous phases and are acting as technical advisors to other interventions. SGP is following an integrated logic to create synergies among the projects and with public institutions.



Regarding the private sector, each project in their proposal identifies possible commercialization strategies (when relevant). Some actions are made to link specific groups (mainly women) to markets or possible buyers, but still, it is necessary to involve the private sector in a more formal way. A recently approved project, to be started, is the Guacalillo initiative that will involve the private sector (PEDREGAL) in the recovery of plastic waste on the beach, for its transformation into “eco blocks”.

#### 4.4.6 Social and environmental standards (safeguards)

The analysis of Social and Environmental Safeguard Procedures (SESP) includes a description on how the Project would contribute, on the one hand, to issues related to gender equality and the empowerment of women and on the other, how it incorporates environmental sustainability, among other crucial elements. The guidelines proposed in the SESP (ProDoc) were not modified during the execution of the Project.

Overall, the project promotes assertive and equitable distribution of project benefits for women and men (incentives, capacity building, and technical assistance). A Gender Analysis and Gender Action Plan was formulated during the design phase and later implemented, highlighting specific activities, indicators, and budget to ensure gender participation and gender equality. Furthermore, the SESP identifies cultural, social, religious, or other factors that may impede the participation of women, as well as the development of strategies to overcome these limitations. To ensure adequate risk mitigation, all GEF SGP proposals are reviewed and approved by the National Steering Committee comprised of experts in different fields, including a gender and development expert.

A total of six risks have been identified, all of which have been assessed as of *moderate significance*. The overall project risk categorization is moderate.

Table 7. Risks identified at the SESP

SESP	Rate
Risk 1: Project may potentially reproduce discriminations against women based on gender.	Moderate
Risk 2: Poor site selection within or adjacent to critical habitats and/or environmentally sensitive areas, such as public protected areas and private reserves may enable harvesting of natural resources and forests, plantation development or reforestation.	Moderate
Risk 3: Extraction or containment of surface water from rainfall or ground water due to water harvesting techniques on farms may affect water availability to other producers	Moderate
Risk 4: Potential outcomes of the Project are sensitive or vulnerable to potential impacts of climate change including extreme climatic conditions, leading to increased vulnerability to earthquakes, subsidence, landslides, erosion, or flooding, which may affect community-based conservation and sustainable production initiatives and undermine efforts to arrest biodiversity loss and land degradation.	Moderate
Risk 5: The installation and management of renewable energy and low-carbon technologies may cause minor injuries and/or fire hazards.	Moderate
Risk 6: The Project may potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous communities present in the project area	Moderate

Source: ProDoc.

Each of these risks had a pertinent analysis. During the development of the design phase the communities close to critical habitats were involved and engaged, and an assessment of their projects’ potential impacts on critical habitats was undertaken. SGP Costa Rica also has a long tradition of working closely and coordinating with the National System of Conservation Areas – SINAC – to ensure that projects are aligned with national legislation and regulations with respect to protected areas.

Project implementation is monitored by the National Coordination team, as well as NSC members who often accompany monitoring visits. During the development of the project, an environmental assessment was discussed with local project authorities (SINAC; MAG; AyA; local committees of the biological corridors). The risk of climate change was one of several reasons why the project chooses to emphasize landscape-level management and coordination in productive landscapes, and it promotes a variety of adaptive biodiversity and land resource planning

and management actions in forests, pastures, and other agroecosystems. Furthermore, during Project development, a Climate Change Mitigation Analysis and Action Plan was carried out, identifying technologies to be potentially applied during project implementation.

In terms of indigenous populations, as part of project preparation, activities with indigenous peoples' standards were ensured as indigenous communities designed and carried out their own activities during project implementation. Consultations were carried out with the Zapatón community leaders during the PPG phase. Furthermore, prior to the selection of project proposals from Indigenous Peoples, a Free, Prior and Informed Consent (FPIC) assessment was carried out to ensure that human, environmental, land and customary rights are respected and safeguarded within the potentially affected communities and that inclusive decision-making processes are upheld to guarantee the equal consideration of the various perspectives held within them.

Moreover, the project builds on more than 25 years of SGP experience in Costa Rica and the established programming, governance, and operational mechanisms of the SGP Country Program. UNDP sits on the National Steering Committee of the Country Program, which reviews and approves the Project Document, landscape strategies, project eligibility criteria and proposals for approval. Other NSC members are government representatives, academic institutions, and civil society organizations, including representatives of indigenous peoples, women, and other rural actors.

#### 4.4.7 Reporting

The reporting follows the GEF guidelines and the UNOPS requirements for the execution of the SGP. The UNOPS Project Manager and the UNDP-SGP RTA affirm the Costa Rican SGP is executed in a timely and orderly manner, both in administrative and technical standards. Phrases like: *"Since the last phase, I am very, very satisfied with how work has been done on time, in good form"*, *"The SGP team is doing a fantastic job, at a community and higher level. We see a great improvement over a few years in terms of knowledge...this is a really good project, (the team have) understood the landscape approach, basin approach and the overall SGP-GEF approach..."* (personal communication during interviews).

With respect to project reporting by grantees to the SGP, key informants (beneficiaries and UNOPS) also assure the quality of the work the Program Assistant is doing. In general terms, a Call for Proposals was launched to receive, filter and pre-select projects; these were then visited by the NC with a CADETI representative to assess their feasibility. Once pre-selected, alliances or consultancies were sought to assist grantees with project formulation and the development of the Project Document (ProDoc), which was then presented to the Technical Advisory Committee and the NSC. Every approved project has a Memorandum of Agreement (MOA), that is signed by the UNDP representative. The SGP then does an introductory course with each group to explain the administrative and reporting procedures stated under each MOA. Projects must present three financial and technical reports (linked to three disbursements). All this process is managed under the ONE-UNOPS System and the contracting of specific consultants and/or procurement processes comply with UNDP guidelines.

Even in those cases where projects are on track, it is worth noting that there is a heavy workload required to keep track of all the administrative procedures, payments, and control of the execution of each project. In this sense, there is an important workload on the SGP team and the NC (especially the Program Assistant). However, the beneficiaries interviewed stated that the SGP team is always *available, respectful, and helpful* in supporting any doubts on technical, administrative, and reporting matters.

In terms of reporting to the NSC and CADETI, as the Advisory Board, all the meetings, decisions and discussions are recorded in meeting minutes.

#### 4.4.8 Communications & Knowledge Management

There are different levels of communication with the SGP. First, there are formal structures and spaces to inform the NSC about new projects and their implementation. This includes field visits to the projects to oversee execution. A second tier is communication with the UNDP-SGP RTA and UNOPS, which is constant and seeks to inform about technical implementation and administrative matters. Third, the SGP is supposed to establish channels of communication with UNDP to coordinate actions and inform about the progress of the OP7 programme. This specific structure has been affected by the COVID-19 crisis and the virtual work modality of the national office, which led to changes in periodic and formal communication spaces. Nevertheless, there is direct communication and information exchange between the National SGP coordinator and the UNDP RR. Finally, the SGP is in constant communication with the projects, including coordination with technical assistance providers (MAG, SINAC, CADETI and consultants) and with the strategic projects (AVINA, BIOMATEC, UPAP).

Communication is effective, both internally and externally. However, the core team of SGP is small and overloaded with Program-related tasks. One of the responsibilities is external communication, which is somewhat limited, given the available time and resources. The program does not have a person in charge of communication (especially external). The key actions are reported through social networks (Facebook), Instagram and with strategic communications. Nevertheless, specific arrangements with universities (UCR, UNED, etc.) should be put in place to systematize and communicate the results and lessons learned from the projects, stakeholders and externally in OP7.

As mentioned, in previous phases the SGP implemented annual encounters with all the projects and key public, private and civil society organizations, to share the achievements, pilots and models derived from the SGP. These spaces have been limited due to COVID-19 constraints but could be resumed to broaden the scope of knowledge sharing and to create a platform where all the key actors and partners of SGP can learn from each other and create deeper synergies.

#### 4.4 Sustainability

Sustainability is in general terms **Likely (L)**. The project presents a low risk to sustainability. The most important results are on track to be achieved before the conclusion of the Program and are expected to continue in the future. Still some key elements must be addressed and given the diversity of the projects, not all can be ranked in the same manner (some are more likely than others to be sustainable). Six risks are identified within the Project's Social and Environmental Diagnosis Model. For each of these risks, corrective measures to address moderate risk are proposed. Since they are well planned, there is no need for readjustment. However, it is important to monitor the measures associated with strengthening value-chains, especially within the weakest projects, mainly in women's groups.

Table 8. Rating for Sustainability

Ratings for Sustainability	Ranking
Financial risks to sustainability	Likely (L)
Socio-economic risks to sustainability	Likely (L)
Institutional Framework and Governance risks to sustainability	Moderately Likely (ML)
Environmental risks to sustainability	Likely (ML)

Source: own elaboration based on GEF-UNDP guidelines.

##### 4.4.1 Financial risk to sustainability

Socio-economic risks to sustainability are unlikely (thus, sustainability related to financial is likely). The Project has generated capacities in the organizations and people that participate in sustainable production initiatives. In terms of the activities for sustainable cattle production, the sylvopastoral techniques can guarantee (when properly managed) a better use of natural and technical resources, which leads to more efficient production, increasing yields and

productivity and therefore incomes at farm level. The same case applies to agricultural practices related to coffee and even beekeeping.

In the case of the project being executed by BIOMATEC, very specific financial assessments are being run that are producing data on the financial returns from renewable energy practices under implementation. Data will be key to properly and accurately determining the monthly amounts saved (in the energy bill) using solar panels (in coffee processing plants), biogas (on cattle farms), efficient wood-burning stoves (in indigenous territories), among others.

Financial returns also are expected to be achieved from the execution of ecotourism activities, such as the ones of FUBONO. There are also perspectives that the groups producing under shade houses can sell their production in local markets and to specialized customers. The same applies to the production of (bio) cosmetics and medicines. In the case of the AVINA (ASADAS) project, the CAISA is being implemented under a proven model with specific financial and business analysis and plans implemented to reach a break-even point under specific timelines. Other projects, such as the one being implemented by the UPAP are being accompanied by technical and financial resources to turn farms into sylvopastoral models, which seek to increase incomes and sustainability. The same applies to initiatives like the one being implemented by PANTHERA, which is oriented to protect fauna by making better use of resources at the farm level.

These are just a few examples. Overall, all the projects under the SGP execution are based on plans and activities oriented to ensure sustainability. Nevertheless, strong and close technical assistance should be maintained for the projects to overcome obstacles, specifically, those projects being implemented by women's groups that require constant financial (from financial institutions or public fund, seed capital, non-reimbursable funds, etc.) and technical support to help consolidate these, accompanied by value-chain linkages during the second half of OP7. The advantage to these groups is that SGP is coordinating and establishing alliances with different public institutions at regional levels to support these projects as part of their institutional work plans.

In terms of the sustainability of the results achieved under the governance platforms, the SGP has implemented a strategic approach by supporting existing governance structures for the biological corridors, instead of creating new bodies and duplicating efforts. Therefore, by strengthening these platforms and their management plans there are better perspectives for the sustainability of the actions working towards the management of the CBMA and the CBPL.

#### 4.4.2 Socio-economic risks to sustainability

Sustainability due to socio-economic risks factors is unlikely (thus sustainability related to socio economic factors is likely to be maintained in the future). In terms of the projects, the SGP has promoted and supported initiatives within the logic of previous SGP phases. Some of the results of these phases have resulted in models of intervention at the national level that have become part of national plans and strategies (i.e. rural tourism, Payment for Environmental Services, artisanal fishing planning, among others). This shows the capacity of the SGP-UNDP to pilot and scale up models.

During OP7, it has been possible to identify some models (as mentioned before in this report), such as the renewable energy pilots of BIOMATEC, the AVINA model for the CAISA, the PANTHERA model and the OECMs. The projects are implemented and guided by public and private institutions that can ensure a likely level of sustainability.

On the other hand, the SGP is oriented to support CBOs, which presents challenges, given that they are sometimes vulnerable to conflicts among their members, organizational instability, and suffer from time and availability factors that can jeopardize their action. This is especially crucial for the newer women's groups. Nevertheless, the selection of the groups was based on technical criteria and discussed with the NSC and other experts, and they have received the support of the SGP and partners to strengthen their organizational and financial structures.

#### 4.4.3 Institutional Framework and Governance risks to sustainability

The sustainability related to Institutional Framework and Governance risks to sustainability is moderately likely. The SGP has been a rolling Program implemented by UNDP for more than two decades. It is a reference at national level for piloting and scaling innovative solutions towards sustainable development strategies. It is a solid, efficient, and valuable Program. It is executed in coordination with MINAE (especially SINAC) and has strong linkages to other key institutions such as MAG, INA, and academia. The NSC is composed of other ministries and civil society organizations.

That said, Costa Rica, as a country is facing the post-pandemic and worldwide crisis related to financial problems and the war (Russian invasion of Ukraine), among others. Internally, the country is under a new government and political party. There is also some uncertainty in relation to the decision the government will take in terms of international cooperation and environmental policies (including the GEF-SGP funds). Under these circumstances, there are risks to the continuity of the SGP in Costa Rica. In this sense, the structure under which the SGP will continue in the future is still uncertain. Nevertheless, it should be noted that UNDP has a strong, proven trajectory in the country to implement national strategies in topics on climate, energy, environment, and human development (among others). It is an independent, apolitical, and technical organization that has vast experience in implementing GEF funds under transparent structures and integrated actions under government requirements.

Therefore, some key negotiations and decisions must take place during the second phase of OP7. A specific element must be also clarified in terms of the role of CADETI, given that some of its members have misinterpreted how SGP funds work. As mentioned before, the SGP funds are not resources of any specific institution, public nor private. As indicated by the GEF CEO *"...the PPD funds are not for CADETI, they are from the country intended for civil society. The country, in this case the government, establishes different mechanisms to determine investment priorities. In the case of MINAE, it has used the technical capacities of CADETI to determine the geographic areas and thematic areas to develop in SGP [...] It is not an issue of the desertification convention only, SGP investments must obey the five priority areas defined by UNDP GEF. And SGP investments must be aligned with the GEF's expected results framework"* (Personal Communication). This is a sensitive element that must be addressed for sustainability and objectivity for the future of the allocation of the SGP-GEF funds. UNDP has proven to be an efficient and strategic implementing agency of the SGP at the national level, in close articulation with key ministers (MAG, MINAE, MIDEPLAN, etc.) and technical assistance entities, NGO and CBOs.

Under the analysis of Institutional Framework and Governance risks to sustainability, the second half of OP7 will be critical to set the path and future of the coming SGP at the national level. Clear negotiations must be undertaken with MINAE and other governmental entities to ensure the continuity of the results achieved historically by the SGP in Costa Rica.

#### 4.4.4 Environmental risks to sustainability

Sustainability due to environmental risk factors is moderately likely. The actions of the project are focused on a sustainable management of production landscapes (agri-environmental models), related to the protection of forests, water resources, protection of ecosystems, environmental restoration, renewable energy, sustainable agricultural production, and sustainable livelihoods for people.

Because climate change is affecting the country (this year has witnessed excessively strong rainfalls, for example), the SGP has supported activities and techniques at farm level and within the green business to improve their resilience and capacity to overcome weather risks. Nevertheless, even during the MTR process, the country faced important climatic impacts related to heavy rain that provoked landslides and flooding. One member of APSSA, a SGP project, lost most of his land to a large landslide. This is an example of how exacerbated climate events have consequences difficult to control, therefore representing a risk especially for farmers and for the most vulnerable populations.

## 5. Conclusions & Recommendations

## 5.1 Conclusions

The SGP program in Costa Rica, beyond the efficient execution of OP7, is a reference at national level for the support of local initiatives related to sustainable development in general. During the MTR interview process a question was asked to the interviewees to rank the execution of the SGP in a scale from 1 to 5. An average of 4,6<sup>8</sup> was given to the technical and administrative execution of the Program. The projects gave a full 5 to the execution of the SGP<sup>9</sup>. The field work with the beneficiaries allowed us to corroborate the actions implemented at field level. All the groups interviewed affirm the human and technical abilities of the SGP core team, the consultants and extensionist working under the projects.

The Program at the MTR stage is on track to achieving the proposed objective of helping in *building the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles River and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development*. Both components: Resilient landscapes for sustainable development and global environmental protection, and: Landscape governance and adaptive management for upscaling and replication present a healthy level of execution of their activities, with specific outcomes achieved. It is notable that, for most of the indicators, the end of project target is already achieved and, in some cases, surpassed. This said, there are a few specific points that should be addressed:

1. SGP is aligned with and contributes to national and international agreements. The Program contributes to the national implementation of the three conventions (UNCBD, UNCCD, UNFCCC), and the National Policies and Plans related to them. Its design is based on the identified needs of the intervention area and of the CBOs. The intervention was planned using data and consultations with key stakeholders.
2. The SGP is working through local actions in response to local needs in a single geographic space, which is a pro-active strategy. The Program is increasing its effectiveness with complementarity resources and key partners. The geographic focus is an assertive strategy to deepen the scope and results of the program within a river basin and biological corridor focus under a landscape approach. The intervention area was classified as one of the most degraded ones in the country, and SGP is supporting the effort to increase resilience through a landscape approach.
3. The SGP represents a unique figure and mechanism in Costa Rica for access by CBOs to financial and technical support related to sustainable development. It is a national reference based on 29 years of experience in the country. The Program has facilitated the development of national models over the years, such as: payment for environmental services in indigenous territories, rural tourism, biological corridors, sustainable fishing, among others. During OP7 some strategic projects have a good perspective to become also possible models to be replicated. At this stage of the OP7 some interventions are already being replicated and documented as models, such as: the strategic project of BIOMATEC which is replicating the renewable energy technologies and technical/scientific data generation in other regions in CR, and in Bolivia, Guatemala, and Colombia. FUBONO is consolidating an ecotourism network in the Western Region of the Central Valley. AVINA is creating a new CAISA in the intervention region using a new focus (in relation to other UNDP projects) related to the implementation of the Water Resources Protection Tariff (TPRH) for ecosystem protection. PANTHERA is consolidating with SINAC and MAG a model for the protection of fauna (felines) intrusion cattle farms, through the implementation of sustainable practices that improve sustainability and productivity. All these initiatives (and the other grantees) are articulated with NGOs or public institutions that can further on support their consolidation or replication. The new project of Guacalillo, that will use tragic plastic waste in oceans for the creation of eco blocks (in alliance with a private company, Pedregal) could also become a model for the treatment of plastic waste in coordination with local communities and public and private institutions. This is also the case of the OECMs, which the SGP is

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<sup>8</sup> A total of 16 people provide a 'grade' to the execution of the OP7 of the SGP during in depth interview, 3 additional ones gave an answer through the virtually sent questionnaire.

<sup>9</sup> A total of 10 extra projects provided inputs through an online questionnaire, a total of 5 points were given by all the responders.

supporting and could become an incentive as an effective area-based conservation measure in private reserves. These initiatives are generating key lessons and specific actions and activities that can be replicated and consolidated.

4. The work SGP is facilitating is linked with the extensionist tasks of MAG and SINAC, triggering local initiatives related to environmental and productive initiatives (the SGP is supporting the “dynamization” of diverse activities, projects and connection between actors and institutions beyond the immediate scope of their interventions). An example is the implementation of shade houses for vegetable production. This model, with improved technology and with strong support from MAG and SGP consultants, is achieving results in terms of food security and sovereignty, organizational development of women’s groups in the community, women’s empowerment and social network strengthening and becoming a model by which women can commercialize production (increasing incomes in the future).
5. Other actions taken for maintaining biodiversity and ecosystem goods and services of global importance, as well as in mitigating the effects of climate change, are done through the implementation of soil conservation practices and renovation of crops resistant to diseases on coffee and other mixed-crop farms in the upper and lower river basins; sustainable and diversified horticultural production under protected shade houses; sustainable and diversified farming systems (fruit production, blackberry, passion fruit and cape gooseberry production); sustainable ranching and silvopastoral techniques in upper and middle watersheds, including rain catchment reservoirs, spring protection; rural tourism; improved skills of beekeepers; participatory monitoring of felines and prevention of attacks on livestock and animals, among others. These are key examples and techniques that are being shared within the service provider institutions (such as MAG, SINAC, 4s Clubs, and NGOs, among others) and governance platforms that SGP is also supporting.
6. These projects are guided by a clear Gender Action Plan and focus (from the design stage and throughout the implementation of OP7). It is generating changes at individual, household, and community level. Testimonies from women grantees collected during the MTR process (through interviews and focus groups), indicated the changes experienced by them in terms of self-esteem, productive activities/economic empowerment) and social networking and strengthening. Their involvement in the groups represents a space to enhance social networks, but also to get access to income generating activities which results in better administrative, financial, and even social skills, among other benefits. Women also affirmed the importance of the project in improving access to healthy food and improvement in family diets (food consumption), the education of their children and families towards a better use of natural resources, and the perspectives to grow as producers in the future. This is the case also for the women’s groups producing other products (such as cosmetics, natural medicines, etc.). The SGP facilitates technical and administrative support to the projects with the team’s very high professional and human quality as well as with the partners.
7. In this sense, some key institutions could have a greater role in the service and support provided to the groups, such as INAMU, INDER and even financial institutions such as Fundecooperacion, given they are actors that currently do not have a very active role in the execution of the SGP.
8. In relation to the actors and partners of SGP (and even with possible implications for its governance structure), the MTR identified a misunderstanding of one of the key partners related to the funds. Some assertions were made during the mission that SGP-GEF funds were assigned to CADETI, when clearly the SGP resources are nationally “owned” and assigned via MINAE to the SGP as a civil society mechanism. These are channeled for civil society organizations and for the implementation of local actions related to the three conventions mentioned in point 1. This must be made clear, given it might create some confusion at the institutional and CBO level. The key role of CADETI, as a technical advisor for SGP in topics related to soil degradation, sustainable agriculture, silvopastoral strategies, among others was confirmed during the MTR. Still, a potential conflict might arise from this misunderstanding related to funds from their end. It is clear - and it was confirmed by GEF representatives - that SGP-UNDP, national authorities, and most of the key, partners of the Program understand that the funds are channeled through MINAE and implemented by the SGP for civil society purposes. This is also important in a context of national uncertainty related to the future allocation of funds and the design of an SGP-OP8.

9. Another key element, identified and related to partners and SGP implementation, is the added value of UNDP as the implementor of the SGP. The UNDP is an apolitical and technical body that supports the national authorities in the implementation of diverse actions, including the international conventions ratified by Costa Rica. It works under a strong gender and human-rights approach, and it has a vast experience with implementation of the SGP over the past 29 years. The SGP is executed with the experience of the UNDP (and the UN System) and builds upon the lessons learned from other GEF projects, and vice versa. In this sense, the MTR has found some limitations in the formal communication platforms between the UNDP and the SGP to exchange information, given mainly the changes derived from the COVID-19 crisis.
10. SGP OP7 has implemented an interesting approach towards the strategic projects and is working with key partners for its implementation. This model is generating lessons, methodologies and best practices that could be replicated by other SGP programs and even other GEF full size projects. Additionally, working with local governments, ADIs and NGOs helps to broaden the scope and results of the interventions.

## 5.1 Recommendations

In general terms, the MTR recommends for the SGP to keep the intervention focus that is being carried out and to strengthen the partnerships with key institutions, NGOs and private sector. The MTR considers the SGP to be a highly valuable Program implemented by UNDP in Costa Rica and executed by UNOPS, that should carry on under a similar structure and intervention logic in the future. More specifically, the main recommendations derived from the MTR are presented in the table below. General recommendations are given, indicating to which institution are directed, and the key actors involved, so as the more specific (strategic) actions proposed by the MTR:

Table 9. Recommendations

Recommendation	Addressed to	Possible key actors involved	Strategic Actions recommended
A more structured coordination must be established with key partners such as INAMU (to work with women's groups) in financial and technical assistance; INDER (as a national entity that can provide funds and assistance to projects in diverse topics); ONGs and financial institutions such as FUNDECOOPERACION (including funds for adaptation strategies) and the private sector (to support the SGP grantees in accessing specialized markets and technical/financial support for their sustainability). This is to potentiate the results achieved by women's groups and others and to strengthen the organizational, productive and commercial capacities of the initiatives.	SGP Management Unit	INAMU, INDER, Fundecooperación, financial entities and NGOs (or other possible providers of technical support).	- Negotiate and define a MoU (or work plan/cooperation agreement) with entities like the ones mentioned to create a support (technical and financial) system for the grantee projects that require these services.



<p>In terms of market access for the initiatives with a commercial focus, the SGP team should prioritize actions during the remaining period for supporting business development strategies for those respective grantees to consolidate the sale of their products. A strategic diagnosis (market and commercialization studies, for example) could be conducted or systematized (where the information is available) to determine the specific needs, potential and possible clients of the products derived from the grantees.</p>	<p>SGP Management Unit</p>	<p>Possible entities that can support market access and commercial strategies: Fundecooperación INAMU</p> <p>UPAP (to support their associates); BIOMATEC (for business analysis and diagnosis)</p> <p>Private companies (for example, B Corporations<sup>10</sup> that can supply from the production of the grantee projects).</p>	<p>-Develop a brief diagnosis (market and commercialization studies) to understand the potential, limitations and opportunities of the grantee projects that need to commercialize their goods or services produced.</p>
<p>Better communication should be pursued both internally (with UNDP) and externally (between the SGP OP7 grantee projects and other key multi-stakeholders in public and private sectors) to share the lessons learned and results of the SGP during this phase and others. The SGP OP7 has a communication strategy that must be implemented and strengthened in the second half of the Program. Having a communication strategy (externally) does not obviate the need for spaces for the projects to learn from each other and for the SGP to be able to present results, lessons learned and methodologies with other actors in face-to-face activities. As an example, the results achieved with the regional MAG offices are key to the extensionist agendas of the institutions, and it would be key to share the SGP pilots (with perspectives of becoming models) among the public sectors.</p>	<p>SGP Management Unit</p>	<p>UNDP.</p> <p>Public institutions involved (MAG, SINAC, INA, universities), strategic partners (BIOMATEC, AVINA, UPAP), other NGOs and private sector involved with the execution of the SGP OP7.</p>	<p>-With UNDP (internally): establish structured and periodic meetings for the exchange of information between SGP and other GEF funded projects (and the overall agenda of the UNDP). This for the “cross pollination” of lessons learned, methodologies and results, and especially for scaling and consolidating pilots as models in the future.</p> <p>-Promote spaces for field exchange and learnings among the SGP OP7 grantee projects.</p> <p>-Facilitate a space for MAG and SINAC (at national level) to know the results, methodologies and pilots supported by the SGP and articulated with the extensionist offices of these institutions, for scaling and possible replication of the pilots of SGP OP7.</p>

<sup>10</sup> B Corporation is a private certification of for-profit companies based on their social and environmental performance. It is a benefit corporation.

<p>These results and lessons learned should be systematized and communicated also at diverse levels: among the SGP OP7 grantee projects, ministries, strategic partners (NGOs), local governments, academia, among others. This aimed to share lessons learned methodologies and results that can be models of intervention at the national level and that can inform public policies. It is also key information for the design and negotiation of the next SGP phase. The level of uncertainty the country is facing regarding the execution of international funds should not affect the historical focus of the SGP in Costa Rica. It is a key program that has piloted key innovative interventions related to sustainable development under the UN System, and it would be a loss to disrupt the logic of the intervention, that has responded to the needs of the country and local communities.</p>	<p>SGP Management Unit and UNDP</p>	<p>-Key partners of SGP OP7, and its grantees, NOGs, private and public sector involved during this phase.</p>	<p>-Re-establish the previous practice of the SGP to have at least one annual meeting with all the grantees and key actors and sectors involved with the implementation of the Program. A face-to-face national event will be key to disseminate the results, lessons learned, methodologies and models of intervention of the SGP OP7.</p>
<p>The SGP Operational Guidelines and overall Implementation Arrangements of the GEF-SGP must be clear for all national actors (in the Technical Advisory Committee: CADETI), the NSC, public institutions and the CBOs/projects): the SGP does not belong to a particular ministry nor institution; GEF funds are technical and financial resources destined for civil society and the implementation of local actions that support the UNCBD, UNCCD, UNFCCC. The SGP (along with UNDP during discussions in the NSC meetings and other formal communications) has made this clear, but still some actors (linked to CADETI) affirm another angle to this reality, that could cause confusion at local and decision-making levels. A discussion with key representatives of GEF, the national authorities (ministries), NSC, CADETI and the SGP together should take place to set a clear understanding of the SGP organizational structure to avoid possible conflicts during the second phase of OP7 and the negotiations of OP8.</p>	<p>SGP Management Unit and CADETI</p>	<p>SGD Management Unit, CADETI, NC, MINAE, MAG and GEF representatives.</p>	<p>-The MTR recommends the SGP coordinator (together with the UNDP CO) to call for a meeting with MINAE, GEF representatives, the NSC and CADETI to explain (once again) the nature and structure of the SGP funds and the role of the diverse actors, emphasizing the one of CADETI.</p>

# ANNEXES

## ANNEX 1: ToR

### TERMS OF REFERENCE (Individual Contractor Agreement)

<b>Title:</b>	Project Management Support – Advisor
<b>Project:</b>	FSP OP7 Costa Rica
<b>Duty station:</b>	Home Based (with travel to Costa Rica)
<b>Section/Unit:</b>	NYSC SDC GMS
<b>Contract/Level:</b>	ICS-11
<b>Supervisor:</b>	Kirk Bayabos, Head of Cluster

#### 1. General Background

UNOPS supports partners to build a better future by providing services that increase the efficiency, effectiveness and sustainability of peace building, humanitarian and development projects. Mandated as a central resource of the United Nations, UNOPS provides sustainable project management, procurement and infrastructure services to a wide range of governments, donors and United Nations organizations.

New York Service Cluster (NYSC) supports the United Nations Secretariat, as well as other New York-based United Nations organizations, bilateral and multilateral partners in the delivery of UNOPS mandate in project management, infrastructure management, and procurement management.

Sustainable Development Cluster (SDC) supports diverse partners with their peacebuilding, humanitarian and development operations. It was formed by combining the following portfolios: Grants Management Services (GMS), UN Technology Support Services (UNTSS), Development and Special Initiatives Portfolio (DSIP) It provides Services to partners' Programs that are designed, structured, and managed with a global perspective and primarily serving partners that are headquartered in New York. The SDC has a footprint of approximately 125 countries.

UNOPS has signed an agreement with the UNDO CO of Costa Rica to implement the project activities for the Small Grants Program.

This is the Terms of Reference (ToR) for -the Midterm Review (MTR) of the *full* -sized UNDP- supported GEF-financed project titled *Seventh Operational Phase of the GEF Small Grants Program in Costa Rica* (PIMS6521) implemented through the *United Nations Development Program*, which is to be undertaken in 2022. The project started on the 02 July 2020 and is in its *third* year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*:

[http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf)

The Seventh Phase of the GEF Small Grants Program in Costa Rica (July 2020-June 2024) is being implemented in five landscapes: The i) Jesus Maria and ii) Barranca river basins; iii) the Montes de Aguacate Biological Corridor (MACB), iv) lower Grande de Tarcoles river basin and the v) Paso Las Lapas Biological Corridor. The total area covered by these landscapes is approximately 199,627 hectares. The project aims to enable communities and organizations in these target landscapes to take collective action, through a participatory landscape planning and management approach, to enhance socio-ecological resilience by producing local and global environmental and sustainable development benefits. SGP is supporting specific community-based actions in each landscape by financing small-scale projects run by local community organizations and coordinating them within the priority landscapes to achieve landscape-scale impacts. Currently there are 30 projects under implementation (this is likely to be 36 by the time the MTR is undertaken).

The project is addressing a series of development challenges in an intervention area home to over 420,000 people, where human settlements are combined with substantial forest patches and varied ecosystems, agricultural production, grazing pastures, protected areas (PA) and other land uses. The main threats to be overcome and which are causing the rapid

deterioration of socio-ecological resilience in the target landscapes are: Changes in land use and the progressive degradation of natural resources (biodiversity, habitat, soil, water, etc.) from over-exploitation, pollution, introduction of exotic invasive species and climate change; habitat loss, caused by land use changes in production landscapes, threatens biodiversity and ecosystem connectivity; traditional activities, such as extensive cattle ranching and coffee farming, historically, have heavily impacted forest cover in these landscapes, causing the fragmentation of continuous forest blocks, the propensity for forest fires and reduction in the quality and quantity of water resources for human and agricultural consumption. All these effects have impacted on agricultural productivity, income-generating options and the well-being of rural and peri-urban populations, especially affecting more marginalized groups with more limited access to land, ecosystem services, goods and benefits and reduced participation in decision-making bodies.

The project not only responds to these challenges, but is designed to consolidate, improve and scale-up upon the solid results, best practices and lessons learned during GEF-5 (Jesus Maria river basin) and GEF-6 (Jesus Maria and Barranca river basins) engendering a multifocal and multisectoral approach driven by community organisations and with the guidance and technical assistance from state actors, universities and the private sector.

Main Objective: To build the socio-ecological and economic resilience of the Jesus Maria and Barranca watersheds, the lower and middle watershed of the Grande de Tarcoles river and the Paso Las Lapas Biological Corridor in Costa Rica through community-based initiatives for global environmental benefits and sustainable development.

The above objective will be achieved through five outcomes organized around two components, set out as following:

#### COMPONENT 1: Resilient landscapes for sustainable development and global environmental protection.

Outcome 1.1: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems.

Outcome 1.2: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices.

Outcome 1.3: Community livelihoods in the target landscapes become more resilient by developing eco-friendly small-scale community enterprises and improving market access.

Outcome 1.4: Increased adoption (development, demonstration and financing) of renewable and energy efficient technologies at community level.

#### PROJECT COMPONENT 2: Landscape governance and adaptive management for upscaling and replication

Outcome 2.1: Multi-stakeholder bio-entrepreneurship networks established and operational in the target landscapes for landscape governance and coordinated market access.

The total budget is USD 7,471,000, of which USD 2,081,945 is financed by the GEF and USD 5,390,000 in co-financing.

## 2. Purpose and Scope of Assignment

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

The MTR will be carried out in the first semester of the third (of four) year of the Project. By this juncture, all the GEF-financed grants will be ongoing, and some of these in an advanced stage of implementation. The MTR responds to the key monitoring and evaluation products and dates set out in the Project Document, although it was requested that this exercise be delayed by a few months to be able to base itself upon, analyze and verify the information presented in the Project Implementation Report (PIR) to be presented mid-year. The MTR is seen as a key exercise to gauge first-hand from stakeholders (grantees, partners, project allies, government institutions, academic and private sector) as to project progress and attainment of results, targets and intervention quality.

The MTR report must provide evidence-based information that is credible, reliable and useful.

The Project Management Support – Advisor will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The Project Management Support – Advisor will review the baseline GEF focal area Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The Project Management Support – Advisor is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team SGP National Coordinator and Program Assistant), government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, National Steering Committee members, direct beneficiaries (CBOs and CSOs, as project grantees), relevant stakeholders from government institutions, academia and private sector and other key stakeholders.

Additionally, the Project Management Support – Advisor is expected to conduct field missions to the project intervention area (see above project description). It is worth noting that all project sites can be reached within a day from San Jose (the furthest travel point being some two and a half hours). It is also feasible that in many cases, at least two projects can be visited in the same day. Annex 1 presents the list of ongoing projects and their location.

The specific design and methodology for the MTR should emerge from consultations between the Project Management Support – Advisor and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The Project Management Support – Advisor must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the Project Management Support – Advisor.

The final MTR report must describe the full MTR approach taken and the rationale for the approach, making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

### 3. Monitoring and Progress Controls

**The Project Management Support - Advisor will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.**

#### i. Project Strategy

##### Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guideline
  - Were relevant gender issues (e.g. the impact of the project on gender equality in the Program country, involvement of women's groups, engaging women in project activities) raised in the Project Document?

- If there are major areas of concern, recommend areas for improvement.

Results Framework/Log frame:

- Undertake a critical analysis of the project’s log frame indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex- disaggregated indicators and indicators that capture development benefits.

Results Framework/Log frame:

- Undertake a critical analysis of the project’s log frame indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

**ii.** Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the log frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets).

**Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)**

Project Strategy	Indicator <sup>2</sup>	Baseline Level <sup>3</sup>	Level in 1st PIR (self-reported)	Midterm Target <sup>4</sup>	End-of-project Target	Midterm Level & Assessment <sup>5</sup>	Achievement Rating <sup>6</sup>	Justification for Rating
<b>Objective:</b>	Indicator (if applicable):							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
	Etc.							
<b>Etc.</b>								

**Indicator Assessment Key**

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right

before the Midterm Review.

- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

### iii. Project Implementation and Adaptive Management

#### Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

#### Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

#### Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
		<b>TOTAL</b>			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount as ‘investment mobilized’ or ‘recurrent expenditures’. (This template will be annexed as a separate file.)

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively.
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF- Financed Projects* for further guidelines.

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women’s participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project’s most current SESP, and those risks’ ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  - The project’s overall safeguards risk categorization.



- The identified types of risks<sup>7</sup> (in the SESP).
- The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

#### Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

#### Communications & Knowledge Management:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

#### **iv.** Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

#### Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

#### Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

#### Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

#### Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

## Conclusions & Recommendations

The Project Management Support - Advisor will include a section in the MTR report for evidence-based conclusions, in light of the findings.

Additionally, the Project Management Support - Advisor is expected to make recommendations to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF- Financed Projects* for guidance on a recommendation table.

The Project Management Support - Advisor should make no more than 15 recommendations total.

## Ratings

The Management Support - Advisor will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for Operational Phase 7 of the Small Grants Program in Costa Rica

Measure	MTR Rating	Achievement Description
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## TIMEFRAME

The total duration of the MTR will be approximately 28 working days over a time period of 10 weeks, and shall not exceed five months from when the Project Management Support - Advisor (s) are hired. The tentative MTR timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	3 days	September 1-September 5
MTR mission: stakeholder meetings, interviews, field visits	10 days	September 12-September 24
Presentation of initial findings- last day of the MTR mission	1 day	23 September
Preparing draft report (due within 3 weeks of the MTR mission)	10 days	26 September-14 October

Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft)	4 days	17 October -28 October
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Options for site visits should be provided in the Inception Report.

#### MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	<b>MTR Inception Report (20%)</b>	Project Management Support – Advisor clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	Project Management Support – Advisor submits to the Commissioning Unit and project management
2	<b>Presentation</b>	Initial Findings	End of MTR mission	Project Management Support – Advisor presents to project management and the Commissioning Unit
3	<b>Draft MTR Report (40%)</b>	Full draft report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	<b>Final Report**8 (40%)</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

#### MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is the *UNDP Country Office of Costa Rica*.

The Commissioning Unit will contract the Project Management Support - Advisor and ensure the timely provision of per diems and travel arrangements within the country for the Project Management Support - Advisor and will provide an updated stakeholder list with contact details (phone and email). The Project Team will be responsible for liaising with the Project Management Support - Advisor to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

#### 4. Qualifications and Experience

One independent international consultant will conduct the MTR - with experience and exposure to projects and evaluations in other regions globally. The Project Management Support - Advisor will be responsible for the overall design and writing of the TE report and in country visits.

The Project Management Support - Advisor cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

**a. Education**

- Master’s degree preferably in the areas of environment and/or sustainable development, or other closely related field. A Bachelor’s degree is acceptable with an additional 2 years’ experience.







**b. Work Experience**



- Minimum seven (7) years’ experience in environmental management, sustainable development or a related field;
- Experience in evaluating projects is required;
- Relevant experience with result-based management evaluation methodologies is desirable;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios is desirable;
- Experience in adaptive management, as applied to BD (biodiversity), CCM (climate change mitigation) and LD (land degradation) is desirable;
- Experience working in Latin America will be considered an asset;
- Experience in relevant technical areas for at least 10 years is desirable;
- Experience related to gender and Biodiversity Conservation, Climate Change and Land Degradation; experience in gender sensitive evaluation and analysis is desirable.
- Project evaluation/review experiences within United Nations system will be considered an asset.

**c. Language**

- Fluency in written and spoken English.
- *Ability to read Spanish and fluency in spoken Spanish is definitely an asset.*

**d. Key Competencies**

	<p>Develops and implements sustainable business strategies, thinks long term and externally in order to positively shape the organization. Anticipates and perceives the impact and implications of future decisions and activities on other parts of the organization.</p>
	<p>Treats all individuals with respect; responds sensitively to differences and encourages others to do the same. Upholds organizational and ethical norms. Maintains high standards of trustworthiness. Role model for diversity and inclusion.</p>
	<p>Acts as a positive role model contributing to the team spirit. Collaborates and supports the development of others. For people managers only: Acts as positive leadership role model, motivates, directs and inspires others to succeed, utilising appropriate leadership styles</p>
	<p>Demonstrates understanding of the impact of own role on all partners and always puts the end beneficiary first. Builds and maintains strong external relationships and is a competent partner for others (if relevant to the role).</p>
	<p>Efficiently establishes an appropriate course of action for self and/or others to accomplish a goal. Actions lead to total task accomplishment through concern for quality in all areas. Sees opportunities and takes the initiative to act on them. Understands that responsible use of resources maximizes our impact on our beneficiaries.</p>
	<p>Open to change and flexible in a fast paced environment. Effectively adapts own approach to suit changing circumstances or requirements. Reflects on experiences and modifies own behaviour. Performance is consistent, even under pressure. Always pursues continuous improvements.</p>

	<p>Evaluates data and courses of action to reach logical, pragmatic decisions. Takes an unbiased, rational approach with calculated risks. Applies innovation and creativity to problem-solving.</p>
	<p>Expresses ideas or facts in a clear, concise and open manner. Communication indicates a consideration for the feelings and needs of others. Actively listens and proactively shares knowledge. Handles conflict effectively, by overcoming differences of opinion and finding common ground.</p>

Project Authority (Name/Title):Kirk Bayabos Head of Cluster	Contract holder (Name/Title):
Signature                      Date	Signature                      Date

## ANNEX 2: MTR evaluative matrix

Preguntas Evaluación	Indicadores	Fuentes de documentación	Metodología
<b>i. ESTRATEGIA DEL PROYECTO ¿Hasta qué punto es relevante la estrategia de proyecto para las prioridades nacionales y la propiedad e implicación del país? ¿Es el mejor camino para obtener los resultados deseados?</b>			
<b>Diseño</b>			
<p>¿Corresponde la calidad de las hipótesis del proyecto al problema?</p> <p>¿La calidad de las hipótesis y el contexto incidieron en el nivel logro de proyecto?</p>	<p>Las hipótesis del proyecto son pertinentes con relación al problema.</p> <p>El nivel logro de proyecto no se vio afectado por la calidad de las hipótesis y el contexto incidieron en el logro del proyecto-.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con equipo del proyecto.</li> <li>• Entrevistas con Comité Directivo</li> </ul>
<p>¿Se incorporaron adecuadamente al diseño del proyecto las lecciones aprendidas en otros proyectos relevantes?</p>	<p>Experiencias y lecciones aprendidas de otros proyectos relevantes fueron consideradas en el diseño del proyecto</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Comité Directivo</li> <li>• Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con equipo del proyecto.</li> <li>• Entrevistas con comité directivo y socios clave</li> </ul>
<p>¿Estuvo el concepto del proyecto alineado con las prioridades de desarrollo del sector nacional y los planes para el país?</p>	<p>Grado en el que el proyecto apoya el objetivo de manejo sostenible del medio ambiente de la Estrategia Nacional de Desarrollo.</p>	<ul style="list-style-type: none"> <li>• Documentos sobre la Estrategia Nacional de Desarrollo del país.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con Coordinadora y el equipo del proyecto.</li> <li>• Entrevistas con comité directivo y socios contrapartes.</li> </ul>
<b>Preguntas de Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
<p>¿Se tuvo en cuenta durante los procesos de diseño del proyecto la perspectiva de quienes se verían afectados por las decisiones relacionadas con el proyecto, de quienes podrían influir sobre sus resultados y de quienes podrían aportar información u otros recursos durante los procesos de diseño del proyecto?</p>	<p>Nivel de involucramiento de funcionarios gubernamentales y otros socios en el proceso de diseño del proyecto.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con Coordinadora y el equipo del proyecto.</li> <li>• Entrevistas con comité directivo y socios contrapartes.</li> </ul>
<p>¿Se plantearon cuestiones de género relevantes en el documento del proyecto?</p>	<p>El proyecto considera cuestiones relevantes y presupuestos en temas de género.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con Coordinadora y el equipo del proyecto.</li> <li>• Entrevistas con comité directivo y socios contrapartes.</li> </ul>
<b>Marco de resultados/marco lógico</b>			
<p>¿Hasta qué punto los indicadores del proyecto cumplen los criterios "SMART"?</p>	<p>Las metas de mitad y final de período cumplen con los siguientes criterios: Específicos, Cuantificables, Conseguidos, Relevantes y Sujetos a plazos.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con equipo del proyecto.</li> <li>• Expertos en S&amp;E, RR PNUD. y Género de PNUD</li> </ul>
<p>¿Son los objetivos y resultados del proyecto o sus componentes claros, prácticos y factibles de realizar durante el tiempo estipulado para su ejecución?</p>	<p>Los objetivos y resultados del o sus componentes son claros, prácticos y factibles de realizar en el tiempo definido para el proyecto.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto</li> <li>• Informes de consultorías del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con equipo de proyecto.</li> <li>• Expertos en S&amp;E, RR PNUD. y Género de PNUD.</li> </ul>
<p>¿Ha generado efectos de desarrollo beneficiosos o podría catalizarlos en el futuro de manera que deberían incluirse en el marco de resultados del proyecto y monitorizarse de forma anual?</p>	<p>Los efectos de desarrollo son beneficiosos y se pueden catalizar.</p> <p>Estos efectos están incluidos en el marco de resultados y se monitorean anualmente.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con equipo del proyecto.</li> <li>• Entrevistas con el comité directivo y socios</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>

¿Se incluyen indicadores desagregados en función del género y otros que capturen los beneficios de desarrollo?	Los indicadores de 'desarrollo' SMART, incluyen indicadores desagregados en función del género y otros que capturen los beneficios de desarrollo	<ul style="list-style-type: none"> <li>• Documentos del proyecto</li> <li>• Informes del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas equipo del proyecto.</li> <li>• Expertos en S&amp;E y Género de PNUD, , RR PNUD.</li> </ul>
¿Se ha dado un seguimiento efectivo de los aspectos más amplios de desarrollo y de género del proyecto?	Los aspectos de desarrollo y género tienen un seguimiento efectivo.	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas con Coordinadora del proyecto.</li> <li>• Expertos en S&amp;E y Género de PNUD, RR PNUD.</li> </ul>
<b>ii. PROGRESO EN EL LOGRO DE RESULTADOS ¿Cuál es el grado de cumplimiento de los resultados y objetivos deseados hasta el momento?</b>			
Análisis del progreso en el logro de resultados (Marco lógico)	<p><b>Objetivo del proyecto:</b> Construir la resiliencia socioecológica y económica de las cuencas de los ríos Jesús María y Barranca, las cuencas baja y media del río Grande de Tárcos y el Corredor Biológico Paso de Las Lapas en Costa Rica, a través de iniciativas comunitarias a favor de beneficios ambientales globales y de desarrollo sostenible.</p> <p>Análisis de 5 indicadores obligatorios (1-5)</p> <p><b>Componente 1 del Proyecto</b> Paisajes resilientes para el desarrollo sostenible y la protección ambiental global</p> <p><b>Análisis de 11 indicadores (7-16) y 4 resultados</b></p> <p><b>Componente 2 del proyecto</b> Gobernanza del paisaje y gestión adaptativa para la ampliación y la replicación</p> <p><b>Análisis de 5 indicadores (17-21) y 1 resultado</b></p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Instrumentos de seguimiento del proyecto</li> <li>• Matriz de progreso en el logro de resultados</li> <li>• Reportes de avance trimestral y anual</li> <li>• Equipo del proyecto</li> <li>• Políticas y estrategias nacionales</li> <li>• Socios e interesados clave del proyecto.</li> <li>• Proyectos beneficiados por PPD</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas equipo del proyecto.</li> <li>• Entrevistas con comité directivo</li> <li>• Observación en el campo (áreas de implementación directa del proyecto)</li> <li>• Entrevistas con personal de organizaciones socias.</li> <li>• Entrevistas grupales con personas de grupos beneficiarios beneficiarias del proyecto, con especial atención al tema de género.</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿De qué manera los resultados son alcanzados son beneficiosos en términos de generación de ingresos, igualdad de género y empoderamiento de la mujer?	Los resultados hasta el momento han generado efectos de desarrollo beneficiosos en términos de generación de ingresos, igualdad de género y empoderamiento de la mujer	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Equipo del proyecto</li> <li>• Socios e interesados clave del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> <li>• Entrevistas equipo del proyecto.</li> <li>• Entrevistas con socios implementadoras y entidades involucradas.</li> </ul>
<b>iii. EJECUCIÓN DEL PROYECTO Y GESTIÓN ADAPTATIVA ¿Hasta el momento se ha implementado el proyecto de manera eficiente, rentable y adaptada a las condiciones cambiantes? ¿Hasta qué punto contribuyen los sistemas de seguimiento y evaluación, información y comunicación del proyecto a su ejecución?</b>			
<b>Mecanismos de gestión</b>			
¿Se han realizado cambios y son efectivos? ¿Están claras las responsabilidades y las líneas jerárquicas? ¿La toma de decisiones es transparente y se lleva a cabo de manera oportuna?	<p>Cambios generados a partir de las intervenciones del proyecto.</p> <p>Definición y ejecución de las responsabilidades y líneas jerárquicas.</p> <p>Ejecución de la toma de decisiones.</p>	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> <li>• Instrumentos de seguimiento del proyecto</li> <li>• Matriz de progreso en el logro de resultados</li> <li>• Equipo del proyecto</li> <li>• Comité y socios ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de datos de progreso y documentos.</li> <li>• Observación en el campo (áreas de implementación directa del proyecto)</li> <li>• Entrevistas con equipo del proyecto.</li> <li>• Entrevistas con socios implementadoras y entidades involucradas.</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿Cuál es la calidad de la	Ejecución por parte del	<ul style="list-style-type: none"> <li>• Equipo del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>• Entrevistas con equipo del proyecto.</li> </ul>

ejecución del organismo ejecutor / socio (s) implementador?	organismo ejecutor del proyecto.	<ul style="list-style-type: none"> <li>Socios e interesados clave del proyecto. Informes de consultorías del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>Entrevistas con equipo del proyecto. Entrevistas con socios implementadoras y entidades involucradas..</li> </ul>
¿El organismo ejecutor / socio en la implementación y / o el PNUD y otros sociostienen la capacidad de brindar beneficios o involucrar a las mujeres?	Nivel de involucramiento de las mujeres en todos los niveles de la ejecución del Proyecto.	<ul style="list-style-type: none"> <li>Documentos del proyecto.</li> <li>Instrumentos de seguimiento del proyecto</li> <li>Matriz de progreso en el logro de resultados</li> <li>Equipo del proyecto y socios ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas equipo del proyecto.</li> <li>Entrevistas con equipo del proyecto. Entrevistas con socios implementadoras y entidades involucradas.</li> </ul>
¿Cuál es el equilibrio de género del personal del proyecto? ¿Qué medidas se han tomado para garantizar el equilibrio de género en el personal del proyecto?	Número de mujeres y hombres trabajando en el proyecto.  Medidas y prácticas (políticas, lineamientos) para garantizar el equilibrio de género en el personal.	<ul style="list-style-type: none"> <li>Documentos del proyecto (PRODOC, contratos o planillas, informes).</li> <li>Equipo del proyecto y socios ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con equipo del proyecto.</li> <li>Entrevistas con equipo del proyecto.</li> <li>Entrevistas con socios implementadoras y entidades involucradas.</li> </ul>
¿Cuál es el equilibrio de género de la Junta de Proyecto? ¿Qué medidas se han tomado para garantizar el equilibrio de género en la Junta de Proyecto?	Número de mujeres y hombres en la Junta Directiva.  Medidas y prácticas (políticas, lineamientos) para garantizar el equilibrio de género en el personal.	<ul style="list-style-type: none"> <li>Documentos del proyecto que contengan información sobre las personas de la Junta Directiva (incluidas memorias de reuniones, etc).</li> <li>Equipo del proyecto y miembros de la JD.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con equipo PPD</li> <li>Entrevistas con personal del PNUD y UNOPS</li> </ul>
<b>Planificación del trabajo</b>			
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿Existen demoras en la puesta en marcha e implementación del proyecto, identificar sus causas? si existen, ¿ya se han resuelto?	Ejecución de las actividades según Plan de Trabajo Multianual.  Medidas correctivas para ejecución de actividades con demora.	<ul style="list-style-type: none"> <li>Documentos del proyecto (Plan de Trabajo Multianual).</li> <li>Instrumentos de seguimiento del proyecto</li> <li>Matriz de progreso en el logro de resultados Equipo del proyecto y socios ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de datos de progreso y documentos.</li> <li>Observación en el campo proyectos PPD)</li> <li>Entrevistas con equipo</li> <li>Entrevistas con Comité Directivo</li> <li>Entrevistas con socios ejecutores</li> <li>Entrevistas a Proyectos PPD</li> </ul>
¿Están los procesos de planificación del trabajo basados en los resultados? Si no es así, ¿se pueden sugerir maneras de reorientar la planificación del trabajo para enfocarse en los resultados?	Ejecución de actividades dentro del Marco de Resultados del proyecto.	<ul style="list-style-type: none"> <li>Documentos del proyecto (énfasis en Plan de Trabajo Multianual y Marco de Resultados) e informes de seguimiento).</li> <li>Matriz de progreso en el logro de resultados.</li> <li>Equipo del proyecto y socios ejecutores.</li> <li>Informe de la junta de proyecto</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con equipo del proyecto.</li> <li>Entrevistas con Comité Directivo</li> <li>Entrevistas con socios ejecutores</li> <li>Entrevistas a Proyectos PPD</li> </ul>
¿Se utiliza el marco de resultados/marco lógico del proyecto como herramienta de gestión? ¿Se ha dado cambios desde el inicio del proyecto?	Ejecución de actividades dentro del Marco de Resultados del proyecto.	<ul style="list-style-type: none"> <li>Documentos del proyecto (énfasis en Plan de Trabajo Multianual y Marco de Resultados) e informes de seguimiento).</li> <li>Matriz de progreso en el logro de resultados.</li> <li>Equipo del proyecto y socios ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con equipo del proyecto.</li> <li>Entrevistas con Comité Directivo</li> <li>Entrevistas con socios ejecutores</li> </ul>
¿Se han producido impactos y desafíos debido a la pandemia de COVID-19?	Cambios en la ejecución del Proyecto por COVID 19.	<ul style="list-style-type: none"> <li>Documentos del proyecto (énfasis en Plan de Trabajo Multianual y Marco de Resultados) e informes de seguimiento).</li> <li>Matriz de progreso en el logro de resultados.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de datos de progreso y documentos.</li> <li>Observación y entrevistas en el campo (áreas de implementación directa del proyecto).</li> <li>Entrevistas con el equipo del proyecto.</li> </ul>



		Equipo del proyecto y socios ejecutores.	
<b>Financiación y cofinanciación</b>			
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿Cómo ha sido la gestión financiera del proyecto? ¿Cómo ha sido la rentabilidad de las intervenciones?	Ejecución presupuestaria según intervenciones. Número de actividades ejecutadas. Resultados alcanzados.	<ul style="list-style-type: none"> <li>• Documentos del proyecto (énfasis en Plan de Trabajo Multianual y Marco de Resultados) e informes de seguimiento).</li> <li>• Informes de ejecución financiera.</li> <li>• Equipo del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de informes de progreso y documentos financieros.</li> <li>• Entrevistas con administradora del proyecto</li> </ul>
¿Se han dado cambios producidos en las asignaciones de fondos como resultado de revisiones presupuestarias? ¿dichas revisiones han sido apropiadas y relevantes?	Ejecución presupuestaria del Proyecto.	<ul style="list-style-type: none"> <li>• Informes de ejecución financiera.</li> <li>• Equipo del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de informes de progreso y documentos financieros.</li> <li>• Entrevistas equipo proyecto</li> <li>• Entrevista UNOPS, PNUD</li> </ul>
¿Cuenta el proyecto con controles financieros adecuados, incluyendo una apropiada información y planificación, que permitan a la Dirección tomar decisiones informadas relativas al presupuesto y que faciliten un flujo de fondos en tiempo y plazos adecuados?	Controles e instrumentos para la ejecución presupuestaria.	<ul style="list-style-type: none"> <li>• Informes de ejecución financiera.</li> <li>• Equipo del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de informes de progreso y documentos financieros.</li> <li>• Entrevistas equipo proyecto</li> <li>• Entrevista UNOPS, PNUD</li> </ul>
¿Se utiliza la cofinanciación estratégicamente para ayudar a los objetivos del proyecto? ¿Se reúne el Equipo del Proyecto regularmente con todos los socios en la cofinanciación a fin de alinear las prioridades financieras y los planes de trabajo anuales?	Ejecución presupuestaria del Proyecto.  Reuniones de coordinación técnica y financiera de Ejecutores y co-ejecutores del Proyecto.	<ul style="list-style-type: none"> <li>• Informes de ejecución financiera.</li> <li>• Informes y memorias de reuniones de coordinación.</li> <li>• Equipo del proyecto y co ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de informes de progreso y documentos financieros.</li> <li>• Análisis de reportes o informes de coordinación.</li> <li>• Entrevistas equipo proyecto</li> <li>• Entrevista UNOPS, PNUD Entrevistas con con cofinanciadores.</li> </ul>
<b>Sistemas de seguimiento y evaluación a nivel de proyecto</b>			
¿Las herramientas de seguimiento usadas actualmente ofrecen la información necesaria? ¿Involucran a socios clave? ¿Están alineadas con los sistemas nacionales o incorporadas a ellos? ¿Usan la información existente? ¿Son eficientes? ¿Son rentables?	Herramientas de seguimiento del Proyecto contienen información pertinente, involucra socios y están alineados con sistemas nacionales. Usan información necesaria y son eficientes y rentables, participativas e inclusivas.	<ul style="list-style-type: none"> <li>• Herramientas de Seguimiento del Proyecto.</li> <li>• Sistemas nacionales relacionados.</li> <li>• Equipo del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de informes de progreso y documentos de proyecto.</li> <li>• Análisis del Sistema de seguimiento utilizado.</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿Se requieren herramientas adicionales? ¿Cómo pueden hacerse más participativas e inclusivas?			<ul style="list-style-type: none"> <li>• Entrevistas con equipo PPD, el equipo del proyecto y con encargado de monitoreo y seguimiento PNUD.</li> </ul>
¿Se asignan recursos suficientes para el seguimiento y evaluación? ¿Se usan estos recursos con eficacia?	Asignación de recursos para seguimiento y evaluación según requisitos y su uso.	<ul style="list-style-type: none"> <li>• Herramientas de Seguimiento del Proyecto.</li> <li>• Presupuestos y ejecución presupuestaria.</li> <li>• Equipo del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de informes de progreso y financieros.</li> <li>• Análisis del Sistema de seguimiento utilizado.</li> <li>• Entrevistas equipo del proyecto y con encargado de monitoreo y seguimiento PNUD.</li> </ul>
¿Se incorporaron las cuestiones de género relevantes en los sistemas de seguimiento?	Sistemas de Seguimiento están alineados con el monitoreo de temas de género y dan cuenta de su ejecución en ese sentido.	<ul style="list-style-type: none"> <li>• Herramientas de Seguimiento del Proyecto.</li> <li>• Equipo del proyecto</li> <li>• Especialistas de PNUD (género de S&amp;E)</li> </ul>	Análisis basado en los temas de género que contiene la Guía para realizar exámenes de mitad de período de proyectos financiados por el FMAM y respaldados por el PNUD para obtener más directrices. Entrevistas especialistas de género y de S&E, equipo PPD.
<b>Implicación de las partes interesadas</b>			
¿Ha desarrollado y forjado el proyecto las alianzas adecuadas,	Alianzas (establecidas) son adecuadas, tanto con las partes	<ul style="list-style-type: none"> <li>• Documentos del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>• Análisis de documentos.</li> </ul>

tanto con las partes interesadas directas como con otros agentes tangenciales?	interesadas directas como con otros agentes tangenciales	<ul style="list-style-type: none"> <li>Equipo del proyecto</li> <li>Socios e interesados clave.</li> </ul>	<ul style="list-style-type: none"> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con socios, cofinanciadores e interesados clave.</li> </ul>
¿Apoyan los gobiernos locales y nacionales los objetivos del proyecto? ¿Siguen teniendo un papel activo en la toma de decisiones del proyecto que contribuya a una ejecución eficiente y efectiva del mismo?	Gobiernos nacionales y locales apoyan el proyecto y tienen un papel activo en la toma de decisiones incidiendo en su eficiencia y efectividad.	<ul style="list-style-type: none"> <li>Documentos del proyecto.</li> <li>Equipo del proyecto</li> <li>Personal del Proyecto.</li> <li>Socios e interesados clave en gobiernos nacionales y locales.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con interesados clave.</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿Hasta qué punto ha contribuido la implicación y la sensibilización pública en el progreso realizado hacia el logro de los objetivos del proyecto?	Implicación y la sensibilización pública en el progreso realizado hacia el logro de los objetivos del proyecto	<ul style="list-style-type: none"> <li>Documentos del proyecto.</li> <li>Equipo del proyecto</li> <li>Personal del Proyecto.</li> <li>Socios e interesados clave en gobiernos nacionales y locales.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con interesados clave.</li> <li>Entrevistas con comité directivo.</li> </ul>
¿Cómo involucra el proyecto a mujeres y niñas? ¿Es probable que el proyecto tenga los mismos efectos positivos y / o negativos en mujeres y hombres, niñas y niños? Identifique, si es posible, las limitaciones legales, culturales o religiosas sobre la participación de las mujeres en el proyecto. ¿Qué puede hacer el proyecto para mejorar sus beneficios de género?	Involucramiento y efecto en niños y niñas diferenciada.	<ul style="list-style-type: none"> <li>Documentos del proyecto (énfasis en Plan de Trabajo Multianual y Marco de Resultados e informes de seguimiento).</li> <li>Matriz de progreso en el logro de resultados.</li> <li>Equipo del proyecto y socios ejecutores.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de datos de progreso y documentos.</li> <li>Observación en el campo (áreas de implementación directa del proyecto).</li> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevista y grupos focales con proyectos PPD</li> <li>Entrevista con consultores/expertos en el tema de género.</li> </ul>
<b>Estándares sociales y ambientales (salvaguardias)</b>			
¿Se necesitan revisiones en los riesgos identificados en el SESP más reciente del proyecto y las calificaciones de esos riesgos?	Riesgos identificados en el SESP más reciente del proyecto y las calificaciones de esos riesgos.	<ul style="list-style-type: none"> <li>Documentos del proyecto</li> <li>SESP</li> <li>Equipo del Proyecto</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de informes de progreso y documentos financieros.</li> <li>Análisis del SESP.</li> <li>Entrevistas con el equipo del proyecto.</li> </ul>
¿Cuáles y cómo han sido las revisiones realizadas desde la aprobación / aprobación del director ejecutivo (si corresponde) para: La categorización de riesgos de las salvaguardias generales del proyecto. Los tipos de riesgos identificados (en el SESP).	Revisión y aprobación de la categorización de riesgos de las salvaguardias generales del proyecto.  Revisión y aprobación de los tipos de riesgos identificados (en el SESP).	<ul style="list-style-type: none"> <li>Documentos del proyecto</li> <li>SESP</li> <li>Equipo del Proyecto</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de informes de progreso y documentos financieros.</li> <li>Análisis del SESP.</li> <li>Entrevistas con el equipo del proyecto.</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
Las calificaciones de riesgo individuales (en el SESP)?	Revisión y aprobación de las calificaciones de riesgo individuales.		
<b>Información</b>			
¿Cómo han sido los mecanismos empleados por la Dirección del proyecto para informar de los cambios en la gestión adaptativa y comunicarlos a la Junta del Proyecto?	Mecanismos para la comunicación de cambios en la gestión adaptativa y comunicarlos a la Junta del Proyecto.	<ul style="list-style-type: none"> <li>Documentos del proyecto</li> <li>Documentos y estrategia de comunicación interna y externa del Proyecto.</li> <li>Equipo del proyecto (con énfasis en la dirección).</li> <li>Junta Directiva del Proyecto.</li> <li>Memorias de reuniones e informes de comunicación hacia la JD.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas equipo del proyecto.</li> <li>Entrevistas con interesados clave (comité directivo y socios ejecutores)</li> <li>Entrevistas con personal del proyecto. Oficial PNUD de S&amp;E y UNOPS.</li> </ul>
¿Hasta qué punto el Equipo de	Cumplimiento de requisitos	<ul style="list-style-type: none"> <li>Documentos de lineamientos</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> </ul>

Proyecto y sus socios llevan a cabo y cumplen con todos los requisitos de información del GEF?	de información del GEF.	GEF. • Documentos e informes del proyecto. • Equipo del proyecto. • Representante de GEF	• Entrevistas con la coordinadora y el equipo del proyecto. • Entrevistas con representante del GEF interesados clave. • Entrevistas con personal del PNUD • Oficial PNUD de S&E y UNOPS.
¿Cómo se han documentado y compartido las lecciones derivadas del proceso de gestión adaptativa con los socios clave y cómo han sido internalizadas por éstos?	Documentación y difusión de lecciones derivadas del proceso de gestión adaptativa con los socios clave y su internalización.	• Instrumentos de documentación de información y construcción de conocimiento (lecciones aprendidas). • Documentos, procesos y herramientas de comunicación interna y externa. • Equipo del proyecto. • Socios clave.	• Análisis de documentos. • Entrevistas con el equipo del proyecto. • Entrevistas con interesados clave. • Entrevistas con comité directivo y socios ejecutores.
<b>Comunicación y gestión del conocimiento</b>			
¿Existe una comunicación regular y efectiva? ¿Hay partes interesadas importantes que se quedan fuera de los canales de comunicación? ¿Existen mecanismos de retroalimentación cuando se recibe la comunicación? ¿Contribuye la comunicación	Comunicación regular y efectiva  Partes interesadas en la comunicación.  Mecanismos de retroalimentación de la comunicación.	• Documentos, procesos y herramientas de comunicación interna y externa. • Documentos del proyecto. • Equipo del proyecto. • Socios clave (partes interesadas).	• Análisis de documentos. • Entrevistas con el equipo del proyecto. • Entrevistas con interesados clave. • Entrevistas con comité directivo.
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
con las partes interesadas a que estas últimas tengan una mayor concienciación respecto a los resultados y actividades del proyecto, y a un mayor compromiso en la sostenibilidad a largo plazo de los resultados del mismo?	Comunicación con las partes interesadas contribuye a una mayor concienciación respecto a los resultados y actividades del proyecto, y a un mayor compromiso en la sostenibilidad a largo plazo de los resultados del mismo.		• Oficial PNUD de S&E, y UNOPS
¿Se han establecido canales de comunicación externa adecuados – o se están estableciendo – para expresar el progreso del proyecto y el impacto público deseado (por ejemplo, ¿hay presencia en la Web)? ¿Llevó a cabo el proyecto campañas de comunicación y sensibilización pública adecuadas?	Canales de comunicación externa adecuados para expresar el progreso del proyecto y el impacto público deseado.  Campañas de comunicación y sensibilización pública.	• Documentos, procesos y herramientas de comunicación interna y externa. • Documentos del proyecto. • Equipo del proyecto. Socios clave (partes interesadas).	• Análisis de documentos. • Entrevistas con equipo del proyecto (énfasis en el comunicador). • Entrevistas con socios ejecutores y comité directivo.
¿Cuáles han sido (de forma enumerada) las actividades / productos de conocimiento desarrollados (con base en el enfoque de gestión del conocimiento aprobado en el Endoso / Aprobación del CEO)?	Actividades / productos de conocimiento desarrollados.	• Documentos, procesos y herramientas de comunicación interna y externa. • Documentos del proyecto. • Equipo del proyecto. Socios clave (partes interesadas).	• Análisis de documentos. • Entrevistas con el equipo del proyecto. • Entrevistas con interesados clave.
<b>iv. SOSTENIBILIDAD</b>			
¿Son los riesgos identificados en el Documento del Proyecto, el Examen Anual del Proyecto/PIR y el Módulo de Gestión de Riesgos de ATLAS los más importantes? ¿las valoraciones de riesgo aplicadas son adecuadas y están actualizadas? En caso contrario, ¿por qué?	Riesgos identificados en el Documento del Proyecto, el Examen Anual del Proyecto/PIR y el Módulo de Gestión de Riesgos de ATLAS.	• Documentos del proyecto (PRODOC, Examen Anual, PIR, Gestión en Altas). • Instrumentos de seguimiento del proyecto • Equipo del proyecto • Personal del proyecto. Socios e interesados clave del proyecto.	• Análisis de documentos (PRODOC, Examen Anual, PIR, Gestión en Altas). • Entrevistas con el equipo del proyecto. • Entrevistas con interesados clave. • Entrevistas con Comité directivo y socios ejecutores. • Entrevistas a Proyectos PPD.
¿Cuál es la probabilidad de que se reduzca o cese la	Factores de riesgo financiero a la sostenibilidad de los	• Documentos del proyecto.	• Análisis de documentos.

disponibilidad de recursos económicos una vez concluya la ayuda del	resultados del Proyecto	<ul style="list-style-type: none"> <li>Instrumentos de seguimiento del proyecto</li> <li>Equipo del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con interesados clave.</li> <li>Entrevistas con Comité directivo y socios ejecutores.</li> <li>Entrevistas a Proyectos PPD.</li> </ul>
<b>Preguntas Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
GEF (teniendo en cuenta que los recursos potenciales pueden provenir de múltiples fuentes, como los sectores público y privado, actividades generadoras de ingresos y otros recursos que serán adecuados para sostener los resultados del proyecto)?		<ul style="list-style-type: none"> <li>Personal del proyecto.</li> <li>Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>Entrevistas PNUD, UNOPS</li> </ul>
¿Existen riesgos sociales o políticos que puedan poner en peligro la sostenibilidad de los resultados del proyecto? ¿Cuál es el riesgo de que el nivel de propiedad e implicación de las partes interesadas (incluyendo el de los gobiernos y otras partes interesadas) sea insuficiente para sostener los resultados/beneficios del proyecto? ¿Son conscientes las diversas partes interesadas clave de que les interesa que los beneficios del proyecto sigan fluyendo? ¿Tienen el público y/o las partes interesadas un nivel de concienciación suficiente para apoyar los objetivos a largo plazo del proyecto? ¿Documenta el Equipo del Proyecto las lecciones aprendidas de manera continuada? ¿Se comparten/transfieren a los agentes adecuados que estén en posición de aplicarlas y, potencialmente, reproducirlas y/o expandirlas en el futuro?	Factores de riesgo socioeconómicos a la sostenibilidad de los resultados del Proyecto	<ul style="list-style-type: none"> <li>Documentos del proyecto.</li> <li>Instrumentos de seguimiento del proyecto</li> <li>Equipo del proyecto</li> <li>Personal del proyecto.</li> <li>Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con interesados clave.</li> <li>Entrevistas con Comité directivo y socios ejecutores.</li> <li>Entrevistas a Proyectos PPD.</li> <li>Entrevistas PNUD, UNOPS</li> </ul>
¿Presentan los marcos legales, las políticas, las estructuras y los procesos de gobernabilidad riesgos que puedan poner en peligro la continuidad de los beneficios del proyecto? Al evaluar este parámetro, es preciso tener en cuenta también si están instalados los sistemas/mecanismos requeridos para la rendición de cuentas, la transparencia y los conocimientos técnicos.	Factores de riesgo institucional a la sostenibilidad de los resultados del Proyecto	<ul style="list-style-type: none"> <li>Documentos del proyecto.</li> <li>Instrumentos de seguimiento del proyecto</li> <li>Equipo del proyecto</li> <li>Personal del proyecto.</li> <li>Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con interesados clave.</li> <li>Entrevistas con Comité directivo y socios ejecutores.</li> <li>Entrevistas a Proyectos PPD.</li> <li>Entrevistas PNUD, UNOPS</li> </ul>
<b>Preguntas de Evaluación</b>	<b>Indicadores</b>	<b>Fuentes de documentación</b>	<b>Metodología</b>
¿Hay algún riesgo medioambiental que pueda poner en peligro la continuidad de los resultados del proyecto?	Factores de riesgo medioambiental a la sostenibilidad de los resultados del Proyecto	<ul style="list-style-type: none"> <li>Documentos del proyecto.</li> <li>Instrumentos de seguimiento del proyecto</li> <li>Equipo del proyecto</li> <li>Personal del proyecto.</li> <li>Socios e interesados clave del proyecto.</li> </ul>	<ul style="list-style-type: none"> <li>Análisis de documentos.</li> <li>Entrevistas con el equipo del proyecto.</li> <li>Entrevistas con interesados clave.</li> <li>Entrevistas con Comité directivo y socios ejecutores.</li> <li>Entrevistas a Proyectos PPD.</li> <li>Entrevistas PNUD, UNOPS</li> </ul>

## ANNEX 3: Example questionnaire (interview guide)

### Guía de entrevistas

Coordinador Nacional PPD (se llevará a cabo una entrevista individual a profundidad con las preguntas de abajo como base, y al finalizar la ronda de entrevistas con otros actores clave se hará una entrevista de cierre para tratar temas que hayan quedado pendientes o requieran de alguna corroboración).

1. Con respecto al diseño del proyecto ¿cómo se construyó y alineó con las estrategias nacionales, sigue siendo pertinente desde su perspectiva? ¿qué ajustes consideraría necesarios? ¿cómo se construyó la perspectiva de género y qué actores clave estuvieron involucrados?
2. Con respecto al marco lógico ¿es coherente con las acciones que se llevan a cabo (y se relaciona con indicadores y productos)? Permite dar un seguimiento adecuado a la ejecución del proyecto.
3. Desde su perspectiva ¿cuáles han sido los principales logros y qué factores han incidido para el alcance lo mismos? Y ¿cuáles han sido las principales limitantes? ¿se han dado retrasos y qué medidas correctivas se están tomando?
4. Tomando en cuenta el organigrama del Proyecto ¿cómo se lleva a cabo la toma de decisiones? ¿cuál es la relación con el Comité Técnico y con la Junta directiva (periodicidad de reuniones, proceso para tomas de decisiones, rendición de cuentas, etc)?
5. Como énfasis particular es importante conocer ¿Cómo se definieron las personas participantes en los comités técnicos y en la JD?
6. En cuanto a la gestión financiera del proyecto ¿cómo se ha dado la ejecución de los recursos hasta la fecha y los aportes del co-financiamiento? ¿se han dado cambios importantes en los rubros asignados? ¿cómo se lleva el control de la gestión financiera y la rendición de cuentas?
7. ¿Cómo valora las alianzas estratégicas con actores claves que se han establecido? ¿existen actores/instituciones clave que no estén involucradas y que deberían estarlo (instituciones públicas, gobiernos locales, empresa privada, entre otros)? ¿considera que el proyecto está incidiendo/sensibilizando a sectores clave (gobiernos, sociedad civil, etc)?
8. ¿Cuál es la relación con GEF y los procesos de rendición de cuentas? ¿considera que se requieren ajustes?
9. En cuanto a la comunicación del proyecto ¿cómo se han definido los canales y contenidos de comunicación y los públicos a quienes se dirige, así como los fines con los que se desarrollan estas iniciativas?
10. Desde su perspectiva ¿cuáles son los mayores retos y ventajas para la sostenibilidad del proyecto?

#### Encargado de Monitoreo y evaluación (entrevista individual a profundidad)

1. Con respecto al diseño del proyecto ¿cómo se construyó y alineó con las estrategias nacionales, sigue siendo pertinente desde su perspectiva? ¿qué ajustes consideraría necesarios? ¿cómo se construyó la perspectiva de género y qué actores clave estuvieron involucrados?
2. Con respecto al marco lógico ¿es coherente con las acciones que se llevan a cabo (y se relaciona con indicadores y productos)? Permite dar un seguimiento adecuado a la ejecución del proyecto.
3. Con respecto a los sistemas de seguimiento y evaluación a nivel de proyecto:
  - Las herramientas de seguimiento usadas actualmente. ¿Ofrecen la información necesaria? ¿Involucran a socios clave? ¿Están alineadas con los sistemas nacionales o incorporadas a ellos? ¿Usan la información existente? ¿Son eficientes? ¿Son rentables? ¿Se requieren herramientas adicionales? ¿Cómo pueden hacerse más participativas e inclusivas?
  - Desde su perspectiva ¿Se asignan recursos suficientes para el seguimiento y evaluación? ¿Se usan estos recursos con eficacia?
  - ¿Cómo se incorpora la perspectiva de género en este seguimiento?
4. Desde su perspectiva ¿cuáles han sido los principales logros y qué factores han incidido para el alcance lo mismos? Y ¿cuáles han sido las principales limitantes? ¿se han dado retrasos y qué medidas correctivas se están tomando?
5. ¿Cómo se traduce la información recopilada en lecciones aprendidas, conocimiento técnico y contenido para comunicar los logros del proyecto? ¿cómo se incorpora esta información a los sistemas de gestión de las instituciones involucradas?
6. Desde su perspectiva ¿cuáles son los mayores retos y ventajas para la sostenibilidad del proyecto?

#### Experta en temas de género (se empeará una entrevista semiestructurada individual a profundidad)

Esta entrevista será un poco menos estructurada, pero se dará énfasis a entender cómo se consideraron temas de género en:

- El planteamiento del problema del proyecto y en su diseño.
- En el Sistema de Monitoreo y Seguimiento (incluido el Marco Lógico y en el seguimiento al logro de resultados).
- En la estructura de toma de decisiones del Proyecto (participación de mujeres en el equipo, en la Junta Directiva, los Comités técnicos y en las poblaciones beneficiarias).

Además, se abordará la perspectiva de la persona experta con respecto a la forma en la que el proyecto está incidiendo sobre temas de inequidad de género en la distribución de recursos, de la participación de la toma de decisiones y en estructuras de gestión, entre otros. Así como la manera en la que las acciones del proyecto están afectando de forma positiva o negativa a mujeres y niñas.

Encargado de comunicación (entrevista individual a profundidad). Esto en caso de que hubiese, de lo contrario se aplicaría al equipo de PPD.

- ¿Cómo se lleva a cabo la comunicación interna y externa del Proyecto? (canales de comunicación, desarrollo de contenido, involucramiento de las partes interesadas)?
- ¿Cómo se da seguimiento al alcance de los productos de comunicación (visitas a páginas web, redes sociales, etc)?
- ¿Qué actividades / productos de conocimiento han sido desarrollados?
- ¿Cómo se traduce la información recopilada en lecciones aprendidas, conocimiento técnico y contenido para comunicar los logros del proyecto? ¿cómo se incorpora esta información a los sistemas de gestión de las instituciones involucradas?
- Desde su perspectiva ¿cuáles son los mayores retos y ventajas para la sostenibilidad del proyecto?

Equipo del PPD (Se aplicaría PNUD, UNOPS, socios estratégicos y el Comité Directivo en la medida de si fuera pertinente)

Diseño:

1. Con respecto al diseño del proyecto ¿cómo se construyó y alineó con las estrategias nacionales, sigue siendo pertinente desde su perspectiva? ¿qué ajustes consideraría necesarios? ¿cómo se construyó la perspectiva de género y qué actores clave estuvieron involucrados?
2. ¿Considera que existen elementos que se puedan recomendar para mejorar el diseño?

Marco de resultados:

3. ¿Son los objetivos y resultados del proyecto o sus componentes claros, prácticos y factibles de realizar durante el tiempo estipulado para su ejecución? (son SMART?)
4. El progreso hasta el momento ¿ha generado efectos de desarrollo beneficiosos o podría catalizarlos en el futuro (por ejemplo, en términos de generación de ingresos, igualdad de género y empoderamiento de la mujer, mejoras en la gobernabilidad, etc.)? ¿Están todos dentro del marco de resultados del proyecto y se monitorean de forma anual?

Progreso en el logro de resultados

5. ¿De qué manera y en qué medida se están alcanzando los resultados esperados del proyecto?
6. ¿Cuáles son las barreras u obstáculos que ha enfrentado el proyecto para avanzar hacia las metas estipuladas en la matriz de progreso?
7. ¿Qué factores han facilitado el avance hacia las metas estipuladas en la matriz de progreso?
8. ¿Cuáles cambios pudieron haberse hecho (de haberlos) al diseño del proyecto para mejorar el logro de los resultados esperados?

Ejecución del proyecto y gestión adaptativa

9. ¿Qué tan eficaz ha resultado la gestión del Proyecto según lo descrito en el Documento de Proyecto -PRODOC?
10. ¿Se utilizó o necesitó el manejo adaptativo para asegurar un uso eficiente de los recursos?
11. ¿Cómo califica la calidad del apoyo prestado por el PNUD?
12. ¿Se ha desarrollado y forjado el Proyecto las alianzas adecuadas, tanto con las partes interesadas directas como con otros agentes tangenciales?
13. ¿De qué manera apoyan los gobiernos locales y nacionales los objetivos del Proyecto?
14. ¿De qué manera se ha dado la implicación y la sensibilización pública y hasta qué punto éstas han contribuido en el progreso realizado hacia el logro de los objetivos del Proyecto?
15. ¿De qué manera la información de la gestión del proyecto cumple con los requisitos del GEF, es comunicada a la Junta del proyecto y compartidas las lecciones con los socios clave y es internada por estos?
16. ¿El actual enfoque de planificación y las herramientas utilizadas orientan eficazmente la gestión del proyecto?
17. ¿En qué medida la gestión financiera y el cofinanciamiento se han ejecutado y como han apoyado a la realización de las acciones del proyecto?
18. ¿De qué manera el seguimiento y evaluación facilita la gestión del proyecto y la orientación dirigida a los resultados?
19. ¿Con que acciones fortalecería la gestión del proyecto en el período restante de ejecución?

Sostenibilidad

20. ¿Hasta qué punto existen riesgos financieros, institucionales, socio-económicos y/o medioambientales para la sostenibilidad a largo plazo de los resultados del Proyecto?

21. ¿De qué manera los riesgos identificados pueden ser superados y gestionados con el fin de alcanzar los resultados esperados por el proyecto?

#### Comité (entrevista grupal semiestructurada)

1. Con respecto al diseño del proyecto ¿cómo se construyó y alineó con las estrategias nacionales, sigue siendo pertinente desde su perspectiva? ¿qué ajustes consideraría necesarios? ¿cómo se construyó la perspectiva de género y qué actores clave estuvieron involucrados?
2. Con respecto al marco lógico ¿es coherente con las acciones que se llevan a cabo (y se relaciona con indicadores y productos)? Permite dar un seguimiento adecuado a la ejecución del proyecto.
3. Desde su perspectiva ¿cuáles han sido los principales logros y qué factores han incidido para alcanzar lo mismo? Y ¿cuáles han sido los principales limitantes? ¿se han dado retrasos y qué medidas correctivas se están tomando?
4. Tomando en cuenta el organigrama del Proyecto ¿cómo se lleva a cabo la toma de decisiones? ¿cuál es la relación con el Comité Técnico y con la Junta Directiva (periodicidad de reuniones, proceso para tomas de decisiones, rendición de cuentas, etc)?
5. Como énfasis particular es importante conocer ¿Cómo se definieron las personas participantes en los comités técnicos y en la Junta Directiva?
6. ¿Cómo se establecen y ejecutan canales de comunicación y de ejecución de decisiones entre la Junta Directiva y la Unidad ejecutora, así como con otros actores/instituciones involucradas?
7. En cuanto a la gestión financiera del proyecto ¿cómo se ha dado la ejecución de los recursos hasta la fecha y los aportes del co-financiamiento? ¿se han dado cambios importantes en los rubros asignados? ¿cómo se lleva el control de la gestión financiera y la rendición de cuentas?
8. ¿Cómo valora las alianzas estratégicas con actores claves que se han establecido? ¿existen actores/instituciones clave que no estén involucradas y que deberían estarlo (instituciones públicas, gobiernos locales, empresa privada, entre otros)? ¿considera que el proyecto está incidiendo/sensibilizando a sectores clave (gobiernos, sociedad civil, etc)?
9. ¿Cuál es la relación con GEF y los procesos de rendición de cuentas? ¿considera que se requieren ajustes?

#### Grupos focales en campo

En este punto es difícil presentar una herramienta detallada para la recolección de información en campo sin embargo durante las sesiones de levantamiento de información con personas u organizaciones clave se levantará información clave con respecto a:

- Relevancia del proyecto en el contexto social, ambiental y productivo.
- Actividades ejecutadas y seguimiento (relación) con ejecutores del proyecto.
- Cambios percibidos a nivel personal y comunal en aspectos: ambientales, productivos/ingresos, sociales.
- Recomendaciones para la ejecución de las acciones (posibles medidas correctivas).
- Enfoque de género (y empoderamiento económico de las mujeres)

ANNEX 4: Online Questionnaire

Response to the questionnaire: National Steering Committee

1. ¿Es su primera vez como parte del Comité Directivo?	1.1. En caso de haber participado varias veces en el Comité, ¿cuántas veces?	2. ¿Cuáles cree que son las fortalezas el PPD? Por favor mencione máximo 3	3. ¿Cuáles cree que son las debilidades el PPD? Por favor mencione máximo 3	4. Por favor haga 3 recomendaciones con respecto a la ejecución del segundo término del PPD (mencione máximo 3)	5. ¿Cuáles cree que son los retos para la sostenibilidad? Por favor mencione máximo 3	6. En una escala del 1 al 5, ¿qué calificación le daría a la ejecución de la 7ma fase del PPD?
Sí		<ul style="list-style-type: none"> <li>• Tiene un equipo muy comprometido con las causas, además de estar muy bien preparado.</li> </ul>	<ul style="list-style-type: none"> <li>• Se promocionan nada más a ellos mismos, y no le dan tanta relevancia a otros entes (si los mencionan pero no tanto), en este caso CADETI. Deberían promulgarlo por igual.</li> </ul>	<ul style="list-style-type: none"> <li>• No tengo respuesta a esta pregunta.</li> </ul>	<ul style="list-style-type: none"> <li>• Hacerla sostenible en el tiempo y que se fortalezca.</li> <li>• Invertir en proyectos que realmente trasciendan en esta área.</li> <li>• Involucrar a las comunidades, personas de todas las edades y condiciones.</li> </ul>	4
Sí		<ul style="list-style-type: none"> <li>• Estar muy bien anclado en la realidad de Costa Rica, específicamente en ese territorio.</li> <li>• Ampliamente participativo y riguroso en el análisis de propuestas.</li> <li>• Procesos bastantes simples de desembolso.</li> </ul>	<ul style="list-style-type: none"> <li>• La amplia participación a veces complica la participación de todos.</li> </ul>	<ul style="list-style-type: none"> <li>• No tengo claro cuál es el rol de CADETI y me pregunto si es una capa más administrativa que se ha impuesto.</li> </ul>	<ul style="list-style-type: none"> <li>• No comprendo la pregunta.</li> </ul>	5
No	5 veces	<ul style="list-style-type: none"> <li>• Financiamiento a grupos de mujeres.</li> <li>• Juntas de desarrollo comunal</li> <li>• Manejo sostenible de los recursos naturales.</li> </ul>	<ul style="list-style-type: none"> <li>• Mucho financiamiento administrativo.</li> <li>• Poco efecto sobre el cambio climático.</li> <li>• Falta de cosecha de agua.</li> </ul>	<ul style="list-style-type: none"> <li>• Disminución de los costos administrativos.</li> </ul>	<ul style="list-style-type: none"> <li>• Para el proyecto conseguir recursos financieros de otras fuentes diferentes al GEF.</li> </ul>	4



## Response to the questionnaire: participating projects

1. ¿Qué apoyo ha brindado el PPD a su organización?	2. ¿Cuál cree que es la ventaja de tener una relación entre el PPD y su organización?	3. ¿Qué otras organizaciones apoyan su proyecto/organización?	4. Podría mencionar recomendaciones para el PPD. Por favor indicar máximo 3 recomendaciones	5. ¿Cuáles son los principales retos de su organización? Por favor indicar máximo 3 retos	6. En una escala del 1 al 5, ¿qué calificación le daría al Programa Pequeñas Donaciones?
<ul style="list-style-type: none"> <li>Financiera y promocional.</li> </ul>	<ul style="list-style-type: none"> <li>La proyección internacional que tiene, el enfoque hacia temas medio ambientales y promoción de acciones para reducir la pobreza (acordes al CINAT), la rigurosidad en los requerimientos para la ejecución de fondos pero sin ser una barrera de gestión.</li> </ul>	<ul style="list-style-type: none"> <li>Beneficia a afiliados directos a la Cámara Nacional de Fomento de la Apicultura y en forma indirecta a sus familias, a gobiernos locales (Municipalidad de San Ramón), agencias de extensión agropecuaria del MAG (San Ramón, Puriscal y Esparza), Colegios Técnicos profesionales (Piedades Sur y Puriscal) y proveedores (empresa privada).</li> </ul>	<ul style="list-style-type: none"> <li>Incrementar la promoción de las actividades de su proyecto por medio de sus redes sociales y demás medios de comunicación.</li> <li>Procurar interacciones (en la medida de sus posibilidades) con actores de proyectos vigentes o pasados que puedan ser de interés de ejecutores actuales (convivos).</li> <li>Impulsar nuevas convocatorias que puedan impulsar nuevas fases de un proyecto en vigencia.</li> </ul>	<ul style="list-style-type: none"> <li>Continuar identificando fuentes de financiamiento mixto para apoyar el sector apícola.</li> <li>Construir un observatorio de innovación en temática de abejas y sus actores.</li> <li>Generar mayores alianzas con el ecosistema apícola a la luz de los aprendizajes y productos generados y potencializarlo hacia nuevos proyectos.</li> </ul>	5
<ul style="list-style-type: none"> <li>Apoyo a pequeños productores y productoras del cantón.</li> </ul>	<ul style="list-style-type: none"> <li>Nos permite ejecutar de forma participativa proyectos de gran beneficio para la población con la que trabajamos.</li> </ul>	<ul style="list-style-type: none"> <li>SENASA</li> <li>MAG</li> <li>CCSS</li> </ul>	<ul style="list-style-type: none"> <li>Por el momento no tengo ninguna recomendación</li> </ul>	<ul style="list-style-type: none"> <li>Mejorar la divulgación de programas y proyectos principalmente.</li> </ul>	5
<ul style="list-style-type: none"> <li>A nivel de financiamiento y acompañamiento para nuestro proyecto de ganadería sostenible</li> </ul>	<ul style="list-style-type: none"> <li>Es de mucha importancia para la organización, ya que el aporte del proyecto ha ayudado a los productores a realizar los cambios y adaptaciones para mejorar y cuidar el medio ambiente.</li> </ul>	<ul style="list-style-type: none"> <li>MAG</li> <li>INDER</li> <li>CORFOGA</li> <li>Universidad Nacional</li> </ul>	<ul style="list-style-type: none"> <li>Apoyar iniciativas con más recursos</li> <li>Ampliar las áreas, como en temas de trazabilidad de ganadería</li> <li>Periodos más cortos para aprobar proyectos</li> </ul>	<ul style="list-style-type: none"> <li>Ampliar la cantidad de productores en ganadería sostenible</li> <li>Tener trazabilidad de la producción bovina</li> <li>Contar con una marca de carne en ganadería sostenible</li> </ul>	5
<ul style="list-style-type: none"> <li>Apoyo financiero y capacitaciones diferentes.</li> </ul>	<ul style="list-style-type: none"> <li>Es tener acceso a formar y participar en proyectos en pro de los(as) campesinas agricultores (es) y en la parte pecuaria.</li> </ul>	<ul style="list-style-type: none"> <li>MAG</li> <li>Municipalidad</li> </ul>	<ul style="list-style-type: none"> <li>Posibilidad de atraer más fondos y diversificar proyectos.</li> <li>Ampliar el seguimiento por cada proyecto.</li> <li>Mantener el</li> </ul>	<ul style="list-style-type: none"> <li>Velar porque los proyectos se ejecuten y mantengan para el fin que fueron tramitados.</li> <li>Mantener la confianza que han tenido en la organización por parte de</li> </ul>	5

1. ¿Qué apoyo ha brindado el PPD a su organización?	2. ¿Cuál cree que es la ventaja de tener una relación entre el PPD y su organización?	3. ¿Qué otras organizaciones apoyan su proyecto/organización?	4. Podría mencionar recomendaciones para el PPD. Por favor indicar máximo 3 recomendaciones	5. ¿Cuáles son los principales retos de su organización? Por favor indicar máximo 3 retos	6. En una escala del 1 al 5, ¿qué calificación le daría al Programa Pequeñas Donaciones?
			personal que actualmente labora en ppd.	las instituciones mencionadas. • Capatacarse si es necesario para los diferentes proyectos..	
<ul style="list-style-type: none"> <li>• Aprobación del Proyecto "Desarrollo del Turismo Sostenible para el manejo y conservación de la Biodiversidad en el area de amortiguamiento del Parque Nacional La Cangreja".</li> </ul>	<ul style="list-style-type: none"> <li>• Posibilidad de presentar y lograr la aprobación de Proyectos</li> <li>• Ventana de coordinación interinstitucional</li> <li>• Posibilidad de establecer alianzas estratégicas con organizaciones e instituciones</li> </ul>	<ul style="list-style-type: none"> <li>• MINAE</li> <li>• MAG</li> <li>• FONAFIFO</li> <li>• empresa Claro Costa Rica.</li> </ul>	<ul style="list-style-type: none"> <li>• Hacer mayor promoción de sus servicios</li> <li>• Ampliar la zona de cobertura</li> <li>• Hacer una red de apoyo entre los grupos beneficiarios para intercambiar experiencias.</li> </ul>	<ul style="list-style-type: none"> <li>• Ejecutar el proyecto</li> <li>• Lograr los objetivos</li> <li>• Contribuir con el desarrollo de las comunidades.</li> </ul>	5
<ul style="list-style-type: none"> <li>• Gestión de fondos de un proyecto estratégico.</li> </ul>	<ul style="list-style-type: none"> <li>• Reconocimiento</li> <li>• Capacidad de innovación</li> <li>• Agilidad en procesos de transferencia de tecnología a comunidades</li> </ul>	<ul style="list-style-type: none"> <li>• IICA</li> <li>• AECID</li> </ul>	<ul style="list-style-type: none"> <li>• Plataforma digital para subir gastos por partida</li> <li>• Plataforma digital para subir propuestas de proyectos</li> </ul>	<ul style="list-style-type: none"> <li>• Gestión contable más ágil.</li> </ul>	5
<ul style="list-style-type: none"> <li>• Desarrollo Proyecto de Acuapónica en la comunidad.</li> </ul>	<ul style="list-style-type: none"> <li>• Gracias a su aporte hemos podido llevar a cabo y con éxito el proyecto de acuapónica.</li> </ul>	<ul style="list-style-type: none"> <li>• Municipalidad de Santa Ana</li> </ul>	<ul style="list-style-type: none"> <li>• Dar más capacitaciones, visitas más frecuentes y ayudar más económicamente, para hacer el proyecto más grande.</li> </ul>	<ul style="list-style-type: none"> <li>• Mejorar la calidad de vida de los beneficiarios</li> <li>• Mantener el proyecto de Acuapónica de manera sostenible</li> <li>• Lograr que las mujeres del grupo sea grandes empresarias.</li> </ul>	5
<ul style="list-style-type: none"> <li>• Aporte de \$30 mil de fondos no reembolsables.</li> </ul>	<ul style="list-style-type: none"> <li>• El apoyo de dineros no reembolsables a nuestra organización nos ha venido a fortalecer proyectos con pequeños productores y ayudarlos a desarrollar proyectos para su crecimiento, para que trabajen con nuevas tecnologías, mejorando la sostenibilidad en sus fincas.</li> </ul>	<ul style="list-style-type: none"> <li>• Municipalidad de Santa Ana, el departamento de Seguridad Alimentaria específicamente.</li> </ul>	<ul style="list-style-type: none"> <li>• Seguir aportando presupuestos para financiar proyectos con los agricultores.</li> <li>• Dar un seguimiento a esos proyectos desarrollados.</li> <li>• Dotar de nuevas tecnologías para mejorar la conservación de suelos, agua y que cada vez tengamos</li> </ul>	<ul style="list-style-type: none"> <li>• Crecer como organización, en afiliados.</li> <li>• Dotar de tecnología a productores para combatir el cambio climatico.</li> <li>Tener fondos disponibles para desarrollar proyectos</li> </ul>	5

1. ¿Qué apoyo ha brindado el PPD a su organización?	2. ¿Cuál cree que es la ventaja de tener una relación entre el PPD y su organización?	3. ¿Qué otras organizaciones apoyan su proyecto/organización?	4. Podría mencionar recomendaciones para el PPD. Por favor indicar máximo 3 recomendaciones	5. ¿Cuáles son los principales retos de su organización? Por favor indicar máximo 3 retos	6. En una escala del 1 al 5, ¿qué calificación le daría al Programa Pequeñas Donaciones?
			más sostenibilidad en el planeta.		
<ul style="list-style-type: none"> <li>Nos ha colaborado económicamente, para alcanzar nuestras metas, nos ha brindado contactos de suma importancia y nos ha dado seguimiento.</li> </ul>	<ul style="list-style-type: none"> <li>Un gran apoyo para desarrollar nuestra agrupación, tanto económico como de formación.</li> </ul>	<ul style="list-style-type: none"> <li>MAG</li> <li>UNA</li> <li>INA</li> <li>empresas privadas</li> </ul>	<ul style="list-style-type: none"> <li>Ubicarse en el contexto de las agrupaciones</li> </ul>	<ul style="list-style-type: none"> <li>Continuar generando y creciendo como agrupación</li> </ul>	5
<ul style="list-style-type: none"> <li>Apoyo económico, asistencia técnica, asesoramiento y acompañamiento.</li> </ul>	<ul style="list-style-type: none"> <li>Al ser una organización grande, cuenta con acceso a contactos y facilita a que ayuden a las asociaciones.</li> </ul>	<ul style="list-style-type: none"> <li>APROCETU</li> <li>MAG</li> <li>INA</li> </ul>	<ul style="list-style-type: none"> <li>Un porcentaje más alto en imprevistos, ya que los materiales suben de precio.</li> <li>Flexibilidad de tiempo, por lluvias se atrasa para cumplir con el objetivo.</li> </ul>	<ul style="list-style-type: none"> <li>La distancia para mobilizarnos.</li> <li>El tratar con personas machistas.</li> <li>Consentizar el uso de productos orgánicos.</li> </ul>	5

## ANNEX 5: MTR Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ANNEX 6: Field mission itinerary

SETIEMBRE				
lunes	martes	miércoles	jueves	viernes
5 entrega informe preliminar	6	7 Equipo gestor PPD (presencial - PNUD) 9-12am	8	9
12 Manos la Promesa, Santa Ana (13) 09-10 am; APSSA, Santa Ana (4) - 10.30-12.00 PNUD (Kifah, Rafaella, Jose Daniel) - 13:30-17:00 (presencial o virtual)	13 FUBONO (7), PANTHERA (9), ASOFAGRO (23) - CBMA, San Ramón - mañana/tarde	14 (VIRTUAL) Comité Directivo PPD - 08.00 - 09:00; AVINA (2) 10.30-11.30; BIOMATEC (1) 13-14:00 CINAT-UNA (8) 14-15:00 UPAP (27) 15.30-16.30	15 FERIADO	16 ZAPATON (16) 08:30-10:30, ECOTROPICA (29) - camino a Zapaton - 11-12:00 ADAFARCES (17) - Puriscal 14:00-15:00
19 LAGUNILLAS (14) - 8:00-09:45, mujeres BIJAGUAL (25) - 10:30-12:30 FMV-BRIF (6) (Bijagual/Carara) 14:00-16:00	20 DUNOMA (18) - Dulce Nombre, San Mateo - 08 - 10:00, CACE (26) - MAG San Mateo (10:30-12:00; APEMEGO (15) - Orotina (tarde, en el MAG)	21 APASARAT (19) Y APROCETU (1) - San Rafel de Turrubares, APAECTU (22) - San Luis de Turrubares por la mañana	22 ASOPEÑAS (24), ADI CERRILLOS (28) CACE (26) - Esparza	23 ASONALAC (05) /ADI BARRANCA (11) - VIRTUAL

## ANNEX 7: List of stakeholders interviewed

<b>Name</b>	<b>Organization</b>
Sergio Delgado	MAG
Pamela Campos	Fundación madre verde
Nuria Mora	UPAP
Marco Chavez	BIOMATEC
Paola Hernández	CINAT
Lil Soto	AVINA
Saskia Rodríguez	MIDEPLAN
Marlon Salazar	UNED
Aitor Llodio	ALIARSE
Rossana de Luca	UNOPS
Luis Sánchez	CINAT
Juan Bautista Alvarado	CINAT
Hannia Gómez	CINAT
Fernando Mujica	CADETI
Carlos Manuela Rodríguez	GEF
<b>UNDP/SGP/UNOPS</b>	
Kifah Sasa	UNDP
Jose Estrada	UNDP
Rafaella Sánchez	UNDP
Ingrid Sánchez	SGP
Charles Dixon	SGP
Nick Remple	PNUD NY
Diana Salvemeni	PNUD NY
<b>Rosanna de Luca</b>	UNOPS NY
<i>Regional extensionists</i>	
Marianela Chavez	Clubes 4s San Mateo
Leda Ramos	MAG Esparza
Marco Sibaja	MAG San Mateo
Sergio Salas	MAG San Mateo
Ulises Espinoza	MAG San Mateo
Sandra Rodríguez	MAG San Mateo
Douglas Rodríguez	MAG Esparza
Rodrigo Morales	INA
Franklin Castro	MAG Turrubares
Tatiana	MAG Turrubares
Alex	MAG Turrubares
Eylin Quirós	MAG Orotina
Javier Marín	MAG Orotina
José Cárdenas	MAG Bijagual

ANNEX 8: List of beneficiaries/projects visited and interviewed

Project/organization	Location	Name
ASOFAGRO 06.09.22	San Ramón	Anayansi Vásquez
		Teresa Vásquez
		Cecilia Rodríguez
		Roxana Zúñiga
		Zeneida Salas
		Lidieth Castillo
		Denia Vásquez
Lagunillas 08.09.22	Orotina	Luza Marina Rojas
		Marisol Solano
		Alexandra Zamora
		Graciela Zeledón
		Jason Marín
		Rocío Vargas
		Andy Morales
		Paola Vargas
Bee Jagual 08.09.22	Bijagual	Adriana Medina
		Tatiana
		Felipa Silverio
		Ariana Zamora
		Ámbar Rubí
		Johana Chávez
		Roxana Mora
APSSA 12.09.22	Santa Ana	Yulienski Castro
		Minor Azofeifa
		Oscar Álvarez
		Gladis Sandí
		Marian Azofeifa
		Jesús Castro
		Juan Miguel Córdoba
		Héctor Azofeifa
		Stephanie Córdoba
		Raquel Hernández
		Karla Rodríguez
Asociación Manos Amigas 12.09.22	Santa Ana	Ana Virginia Zelles
		Nicolasa Jirón
		Sidalí Elizondo
		Seidi Zelles
		Elizabeth Elizondo
		Lourdes Cordero
		María Fernanda Acuña
PANTERA 13.09.22	San Ramón	José Luis Rodríguez
		Jorge Vindas
		Daniel Corrales
		Ana Yansi Jiménez
		Edgar Ulate
Red de Turismo Sostenible (FUBONO) 13.09.22	San Ramón	Hugo Villalobos
		Diego Madrid
		Romalí
ADAFARSES	Puriscal	Marvin Cubillo

15.09.22		Ricard Astua
		Maribel Porras
UPAP 15.09.22	Puriscal	Nuria Mora
		Rafael
DUNOMA 20.09.2	San Mateo	Shirley Moscoso
		Urania Salas
		Bianca Mena
		Donay Suarez
		María del Rocio Perez
		Sara Moscoso
		Angélica Moscos
		Maylin Madriz
CACE 20.09.2	San Mateo	Walter Vargas
		Alexander Villalobos
		Willie Solórzano
APEMEGO 20.09.2	Orotina	Sonia Serrano
		Stalin Badilla
APASARAT 21.09.22	Turrubares	Selin Pollet
		Ivania Jiménez
		Margarita García
		Shirley Trejos
		Felicia Jiménez
		Susana Chavarría
APROCETU 21.09.22	Turrubares	Arnoldo Guerrero
APAECTU 21.09.22	Turrubares	Joselyn González
		Marvin Quirós
		William Fernández
ASOPEÑAS 22.09.22	Peñas Blancas	Victor Salazar
		Isaac Carvajal
		Leda Paniagua
		Flory Salas
		Hnnia Mora
		Yasmin Segura
		Enith Carvajal
		Edith González
		Roxana Arroyo
CACE Esparza 23.09.22	Esparza	Eduardo Badilla
ADI Cerrillos 22.09.22	Cerrillos	Maribel Hernández
		Daysi Chávez
		Lida Carranza
		Lucrecia Álvarez
		Maribel Ledezma
		Licelda Castro
		Ivette González



## ANNEX 9: List of documents reviewed

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Social and Environmental Screening Procedure (SESP)
5. Project Inception Report
6. Project Implementation Reports (PIR, 2022)
7. Quarterly progress reports and work plan
8. Finalized GEF Core Indicators at CEO endorsement and midterm
9. Oversight mission reports
10. Monitoring Tool prepared by the project
11. Financial and Administration guidelines used by Project Team
12. List of Grantee projects, Project Documents and progress Reports
13. Project operational guidelines, manuals and systems
14. UNDP country/countries Program document(s)
15. Minutes of the NSC Board Meetings and other meetings
16. Project site location maps

## ANNEX 10: UNEG Code of Conduct for Evaluators/Midterm Review Consultants

### Evaluator/Consultants:

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

Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.

Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.

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

Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.

Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

### MTR Consultant Agreement Form

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

Name of Consultant: Ariana Araujo Resenterra

ANNEX 11: Signed MTR final report clearance form

**MTR Report Clearance Form**

*(to be completed and signed by the Commissioning Unit and RTA and included in the final document)*

**Midterm Review Report Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Regional Technical Advisor (Nature, Climate and Energy)**

ANNEX 12: List of Projects

#	OBC/OSC
1	Fundación BIOMATEC (todo el área)
2	Fundación AVINA (todo el área)
3	Asociación para el Movimiento de Agricultura Orgánica del Pacífico Central (MAOPAC)
4	Asociación de Productores Sostenibles de Santa Ana - APSSA
5	Asociación Naranjeña Agroindustrial de Lácteos ASONALAC
6	Fundación Madre Verde
7	FUBONO
8	CINAT-UNA
9	Panthera Costa Rica
10	Grupo de Mujeres Naranjeñas Agroindustriales de Lácteos (MUNALAC)
11	ADI Barranca
12	ADI Guacalillo
13	Asociación por el Desarrollo Humano Manos Amigas la Promesa
14	ADI Lagunillas
15	APEMEGO
16	Asociación de Mujeres Indígenas Huetares de Zapatón (AMIHZ).
17	ADAFARCES
18	DUNOMA
19	Asociación de Productoras Ambientalistas de San Rafael de Turubares (APASARAT).
20	Centro Agrícola Cantonal de Orotina (CACO)
21	Asociación de Desarrollo Específico Pro Conservación del Medio Ambiente de Atenas ADECA
22	Asociación de productores agropecuarios ecológicas de la cuenca baja del río de Turubares APAECTU
23	Asociación de Familias Agrocoempresarias del Socorro de Piedades Sur de San Ramón (ASOFAGRO)
24	Asopeñas
25	Asociación Mujeres Emprendedoras de Bijagual de Turubares
26	Centro Agrícola Cantonal de Esparza (CACE)
27	Union de Productores Agropecuarios de Puriscal UPAP
28	ADI Cerrillos
29	ECOTROPICA
30	Señoras Amas de Casa Emprendiendo el Desarrollo (SAED)
31	ADE Tufares
32	ASOPROGUARUMAL
33	ADI Santiago

## Annex 13: UNDP-GEF MTR Report Audit

The following comments were provided in track changes to the draft Midterm Review report for -the Midterm Review (MTR) of the full -sized UNDPsupported GEF-financed project titled Seventh Operational Phase of the GEF Small Grants Programme in Costa Rica (PIMS6521). They are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	#	No./comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Diana Salvemini	1	6	check this acronym (SGP) throughout the text.	Checked and adjusted throughout the document.
Diana Salvemini	2	7	small grants, please revise.	Checked and adjusted throughout the document.
Diana Salvemini	3	7	unclear. what is the remaining 5% for? strategic grants versus regular grants?	Data revised and text adjusted for a better understanding of the information.
Diana Salvemini	4	7	I'm not sure what the second report refers to, but please remember that it should be reported on the co-financing (also in the template that was sent).	Data revised and text adjusted for a better understanding of the information.
Diana Salvemini	5	7	I am unclear about the math. Also, what do you mean with starting phase? if MOAs have been signed then they should be counted in the number above.	Data revised and text adjusted for a better understanding of the information.
Diana Salvemini	6	7	assessment of....	Text adjusted.
Jose Daniel Estrada	7	7	No queda claro este rate?. La metodología ya tiene su propia escala, utilizar la que corresponde	The evaluator used the indicated GEF format in the ToR: ToR ANNEX E: MTR Ratings, and the indications for Rating (page 9 ToR), Table: MTR Ratings & Achievement Summary Table for Operational Phase 7 of the Small Grants Program in Costa Rica. The number 5 was changed to 6 to adjusted to the "highly satisfactory" rating. The same rating was included for the other outcomes, based on the GEF Guidelines and the ToR indications.
Jose Daniel Estrada	8	7	<i>Esta afirmación debe ir sustentada por evidencia, por favor incluirla. Puede ser algún dato sobre el avance de los indicadores del proyecto</i>	<i>Data related to the performance on the indicators was included: Of 21 indicators, 13 (62%) are achieved to the End-of-Project target (EoP). 5 indicators (24%) are on track for the Midterm target with an execution between 50-84% (overpassing the goal for this first half of the OP7). Only 3 indicators (14%) are not achieved yet but are on track to be reached by the EoP target.</i>
Diana Salvemini	9	7	Is this role recognized as "technical advisor" in the governance structure of the programme? as this is a committee the reference to technical advisor is a bit confusing. Is Cadeti part of a technical advisory group? or "the" technical advisory group? it may also be important somewhere to clarify the composition of cadeti.	The phrase "Actions and technical inputs are coordinated with CADETI as the Technical Advisor and other key institutions (as MAG, INA, SINAC and consultants of SGP)" was eliminated as it is explained later on the report, and it does not provide additional value in this section.
Jose Daniel Estrada	10	7	DE nuevo, reforzar con evidencia. Especialmente porque se está catalogando como "highly satisfactory"	Evidence on the indicator's performance included for all the outcome in this section/table.
Diana Salvemini	11	7	is this sufficient to justify an HS rating? if the rating is HS the language should be strengthened to clarify the rationale for such rating.	Evidence on the indicator's performance included for all the outcome in this section/table.

Author	#	No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Jose Daniel Estrada	12	7	Reforzar esta afirmación con alguna evidencia, si se tiene, especialmente para un proyecto que ha sido ejecutado en medio de una pandemia.	The paragraph was adjusted to clarify the statement and evidence related to indicators was included.
Charles Dixon	13	8	please revise syntax (see all comments related with syntax on attached document)	Syntax revised in this section and throughout the report.
Jose Daniel Estrada	14	9	Esto tiene algún tipo de respaldo en cuanto a composición de esta calificación?. Sino, me parece que es poco rigurosa y lo mejor sería seguir utilizando la escala propuesta por la metodología de la evaluación	The <b>analysis does have evidence and data</b> that can support the statement made by the evaluator. This is a qualification based on perception of the actors interviewed. Is part of a rigorous qualitative methodology used by the evaluator during the interviews. Data can be provided to support the information provided. It must be addressed that the evaluator used the guidelines and GEF formats, but still additional analysis and particular methods were used to reinforce the findings of the MTR. The evaluator considers the perceptions and ratings of the interviewed actors valid and important to be included, therefore the data and analysis was not removed from the report. Further information on this matter is presented in the conclusions section of the document.
Charles Dixon	15	9	sought or seeks? I think we are still seeking to address so best in the present tense	The heading was taken from the GEF format provided in the ToR Annex B: Problems that the project sought to address threats and barriers targeted”. The evaluator followed the indicated text; therefore, I was not adjusted.
Diana Salvemini	15	9	are these grantees?	The indication of: “grantees, actors from public institutions, NSC, among others” was included. A more detailed explanation can be found in the <i>(full)</i> conclusions section of the report.
Charles Dixon	16	9	to increase resilience through a landscape approach? please revise	Adjusted.
Charles Dixon	17	9	actually 29 years	Adjusted to 29.
Charles Dixon	18	9	such as?	Text adjusted.
Charles Dixon	19	9	targetting?	No, the word is triggering. The SGP is supporting the “dynamization” of diverse activities, projects and connection between actors and institutions beyond the immediate scope of their interventions.
Charles Dixon	20	9	who are we referring to here? MAG, SINAC etc?	Yes, that is correct. The text was adjusted with the clarification: <i>(such as MAG, SINAC, 4s Clubs, and NOGs, among others.</i>
Jose Daniel Estrada	21	9	Aportar datos/evidencias en este párrafo de estos cambios	A better explanation is provided: <i>Testimonies from women (grantees) collected during the MTR process (through interviews and focus groups), indicated the changes experienced by them in terms of self-esteem, productive activities/economic empowerment) and social networking and strengthening. Their involvement in the groups represents a space to enhance social networks, but also to get access to income generating activities which results in better administrative, financial, and even social skills, among other benefits.</i> More evidence and details can be found in the (full) conclusion section.

Author	#	No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Charles Dixon	22	9	earmarked for?	Text adjusted.
Charles Dixon	23	9	the GEF resources are assigned via MINAE for the SGP as a civil society mechanism..	Text adjusted.
Charles Dixon	24	9	channeled	Text adjusted.
Jose Daniel Estrada	25	9	Valor agregado en qué?	Text included: <i>The UNDP is an apolitical and technical body that supports the national authorities in the implementation of diverse actions, including the international conventions ratified by Costa Rica. It works under a strong gender and human-rights approach, and it has a vast experience un the implementation of the SGP over the past 29 years.</i>
Charles Dixon	26	9	lessons, methodologies and best practices?	Text included: lessons, methodologies, and best practices
Charles Dixon	27	9	only SGP or other GEF full size projects?	Text included: <i>and even other GEF full size projects</i>
Charles Dixon	28	10	NGOs?	Text adjusted.
Diana Salvemini	29	10	Implemented by UNDP in costa Rica and executed by UNOPS.	Text adjusted with suggestion.
Charles Dixon	30	10	general comment - try and make the recommendations as specific as possible, for whom they are intended, a timeframe, etc	Agree, on the full recommendation section, more specific recommendations are included.
Charles Dixon	31	10	please be more specific...what is meant by more structured coordination? and hw might this be acheived?	Agree, on the full recommendation section, more specific recommendations are included.
Jose Daniel Estrada	32	10	También se debe especificar quién debería hacer esta coordinación, a qué nivel, con quiénes?	Agree, on the full recommendation section, more specific recommendations are included.
Charles Dixon	33	10	specifically do you mean market and commercialization studies?	Yes, that is correct. Text included: <i>market and commercialization studies.</i>
Charles Dixon	34	10	what does it mean "better"? what are the weaknesses?	Yes, the communication with UNDP was affected by the Covid-19 situation and there are no formal spaces for the exchange of information, lessons, and results (this is developed and explained further in the report).
Charles Dixon	35	10	communication. We have a communication strategy. Is it possible to be more specific about how we might share the results and lessons learned?	Having a communication strategy (externally) does not imply that there are spaces for the projects to learn from each other and for the SGP to be able to present results, lessons learned and methodologies with ither actors in face-to-face activities. This is further explained and developed in the report.
Charles Dixon	36	10	do you mean the SGP OP7 grantee projects ?	That is correct, text adjusted.
Jose Daniel Estrada	37	10	La redacción de esta recomendación no es clara, favor replantear con la propuestas de mejora que hace Charles	Recommendation adjusted based on comments.
Charles Dixon	38	10	results and lessons learned?...	Text adjusted.
Charles Dixon	39	10	perhaps: "the MTR recommends that the national authorities (MINAE?) select carefully the next SGP implementing agency as proposed under GEF 8" - although I think this is a vague assertion, assuming that they will think carefully about this! This seems to me a recommendation for MINAE and UNDP?	Text adjusted: <i>These results and lessons learned should be systematized and communicated also at diverse levels: among the SGP OP7 grantee projects, ministries, strategic partners (NGOs), local governments, academia, among others. To share lessons learned methodologies and results that can be models of intervention a national level, and tatt can inform public policies. It is also key information for the design and negotiation of the next SGP phase.</i>

Author	#	No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Diana Salvemini	40	10	I am confused by this language. Who are you referring to with reference to the "next institution"? Are you referring to UNDP versus other potentially selected GEF agencies? It's confusing. If that is the case, you may need to include some reference to SGP 2.0 here. I am also not confused such a general statement is very informative, and may be beyond the scope of the MTR.	Text adjusted: <i>These results and lessons learned should be systematized and communicated also at diverse levels: among the SGP OP7 grantee projects, ministries, strategic partners (NGOs), local governments, academia, among others. To share lessons learned methodologies and results that can be models of intervention a national level, and tatt can inform public policies. It is also key information for the design and negotiation of the next SGP phase</i>
Charles Dixon	41	10	who is this? CADETI? technical Advisory Committee	Correct, text adjusted for a better understanding.
Diana Salvemini	42	10	The SGP or also UNDP during discussions in the NSC meetings?	Text included as suggested.
Charles Dixon	43	10	still some actors (CADETI ? - perhaps we just need to say it!)..have expressed to the MTR a contrary point of view	This point is further explained in detail in other sections of the report.
Jose Daniel Estrada	44	10	En serio la recomendación en este caso es tener una discusión? Qué otros mecanismos puede implementar el proyecto (incluso de los que ya tiene) para poder mejorar en este aspecto?	Yes, that is the recommendation. During the MTR process, it was verified that formal letters and emails were sent that explain this issue. However, it does not seem to be having the expected results: CADETI still affirms the SGP funds are "CADETI funds", even when this is incorrect. There has not been a face-t-face space where representatives of the government, the SGP, UNDP, GEF and CADETI (and the NSC) have discussed, based on the technical guidelines of the GEF, what is the structure of the funds and the role of the actors (such as CADETI) once and for all. Communication flows bilaterally between the various actors and there does not seem to be an agreement on this issue yet. Nevertheless, a more specific recommendation can be made: the MTR recommends the SGP coordinator to call for a meeting with MINAE, GEF representatives, UNDP, the NSC and CADETI to further explain the nature and structure of the funds and their allocation, and the role of the diverse actors, emphasizing the one of CADETI.
Charles Dixon	45	10	Operational Focal Point of the GEF in Costa Rica?	No, it was the GEF CEO. Text was included.
Charles Dixon	46	10	I think to be more specific it is the role of UNDP to clarify this. I would direct the recommendation to UNDP CO.	Agree, the comment is considered for the (full) section on conclusions.
Diana Salvemini	47	10	This points out to the risk of increased government control over SGP operations, which is likely to be perceived by the local CSOs and CBOs (i.e. key target group and beneficiaries of SGP) as inviting possible bias, political control, and conflicting interests in the selection process of SGP grantmaking. In my view, the GEF Implementation Arrangements Paper for GEF-8 needs to also clarify this point to avoid any possible misunderstanding.	It is not clear how this could be "government control", on the contrary, it would be even more clear the structure and allocation of funds of the SGP. CADETI is a government platform, and it could be riskier the control of this group over the use of funds that are meant for civil society if they keep affirming the SGP funds are "theirs".



Author	#	No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Charles Dixon	48	11	this paragraph seems a bit repetitive...does it need to be included?	Paragraph eliminated, based on suggestion.
Charles Dixon	49	11	an exhaustive revision of documents was carried out...	Suggestion incorporated.
Charles Dixon	50	11	suffice to say "the evaluator established meetings with key stakeholders related to the SGP OP7"?	Suggestion incorporated.
Charles Dixon	51	11	just curious - what is meant by semi-structured? maybe say - "both virtual and in the field interviews were based on semi-structured guides?"	Semi-structured interviews mean the evaluator used a predetermined thematic framework and key-guide questions in all the interviews made with different stakeholders. The questions are a reference that can be adapted (if needed) to the role of diverse actors in relation to the SGP.
Diana Salvemini	52	11	what about interviews with UNDP personnel responsible for oversight both at the country level and global level, as well as personnel from UNOPS (Rosanna, others?) responsible for execution of project activities? I believe we project team above you are referring to the SGP Costa Rica project team.  and you also interviewed GEFSEC, right? I would clarify these key elements as public institutions is quite vague hinting to national institutions.	The text was adjusted to clarify these elements, and further detailed is provided later in this section.
Charles Dixon	53	11	either in-person, in-field or in virtual meetings? (and erasing "so as for the projects that were not visited"?)	Text adjusted.
Jose Daniel Estrada	54	23	Se debe especificar cuáles son estos elementos del proyecto que van a ser considerados como "buenas prácticas", especialmente porque con el cuadro de abajo hay algunos indicadores que son catalogados como MS	This specific information is mentioned several times over the report. The rating given to the SGP OP7 in this section is based on the execution of the indicators (as indicated by the GEF Guidelines). The "measure" considers the midterm and end of project targets and the level of execution at the MTR revision.
Jose Daniel Estrada	55	24	Se debe justificar cuáles son estas buenas prácticas que el proyecto está generando para ser catalogado como HS. Entonces por favor revisar la narrativa	The possible "Good practices" or models the SGP OP7 is generating (through its pilots) are not the only criteria for rating. Table 4 includes the information and analysis required by the GEF (and ToR) format. Further analysis, data and information on this subject is presented in other sections of the report.
Charles Dixon	56	32	check the last PIR and consistency with Table 4 - this is updated: 2,530 beneficiaries, of which an estimated 1243,4 (49%) and 1286,6 (51%) are women	Data adjusted.
Charles Dixon	57	32	i wouldn't really put them under "restoration" issues, rather than improved land management - perhaps delete or change	Text adjusted based on suggestion.
Charles Dixon	58	33	IICA and AECID i Think, not sure on the amount but at least \$300,000 for direct investment in 4 countries. In CR BIOMATEC intend to channel these funds into the same SGP intervention area to consolidate and expand the best practices already implemented	Text adjusted based on suggestion and reference to an online article was included.

Author	#	No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Charles Dixon	59	34	AVINA actually is implemented under Component 2 (see PIR) - so does not fit in here	This is correct, still the MTR found that this initiative can also provide inputs for indicator 6: <i>Number of freshwater springs protected. Thus, the result was also mentioned under this outcome.</i>
Charles Dixon	60	34	increased spare time? (although I'm not sure that is an additional benefit or by product	It was mentioned as one result of the transformation cattle farms. The MTR considers it as a unexpected but positive result that could be monitored in the future (if considered convenient).
Charles Dixon	61	34	please check the phrasing. Perhaps "increased spare time to dedicate to other tasks related to diversifying farm activities and alternative income-generating opportunities in the medium and long term"?	Text adjusted as suggested.
Charles Dixon	62		please check the phrasing...not sure how the "approach" translates into the community monitoring program...	Text removed to avoid confusions.
Charles Dixon	63	35	Can you please specify how?	Text added: given it will increase the capacity of local organization structures to deal with environmental hazards (such as fires), for example.
Charles Dixon	64		I'm curious as to why the map appears under this particular outcome and not generally (either at the end, or beginning of this section, or as an Annex) as it refers to all the 33 projects. Also it is too small and lacking the index to be of any meaning. Please consider moving it, making ot bigger and including the index of projects.	The map was moved to page 36.
Charles Dixon	65	36	please check this lat bit of phrasing	Text adjusted.
Charles Dixon	66	36	This is important but not clear...or..the SGP intervention strategy through the landscape approach provides a platform and opportunities for such cross sectoral synergies between project beneficiaries and institutions..? something like that?	Text adjusted based on suggestion.
Charles Dixon	67		less labour intensive productivity?	Text adjusted based on suggestion.
Charles Dixon	68	37	highly regarded?	Text adjusted based on suggestion.
Charles Dixon	69	37	or do you mean that thanks to the SGP, MAG and SINAC staff are able to carry out their extension programs with tangible actions in the field ? (algo asi?)	Text adjusted based on suggestion.
Charles Dixon	70		or the MTR corroborates that the SGP mechanism is highly regarded in the intervention area...?	Text adjusted based on suggestion.
Charles Dixon	71	38	please check this phrase	Text adjusted.
Charles Dixon	72		not actually true...not classified as a "Strategic " project as it is under \$50,000	Text adjusted: <i>FUBONO is not categorized as a strategic project (given it is under \$50 000), another strategic project, nevertheless it represents an example of a successful approach supported by the SGP during this phase (and in previous ones).</i>

Author	#	No./comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Charles Dixon	73		SGP has not supported coffee production per se in this region before, but by supporting the coffee processing plant of APROCETU through the installation of solar panels through the BIOMATEC project, thus reducing production costs and increasing processing capacities, and by also strengthening the APASARAT compost project, a positive knock-on effect can be inferred in the wider producers community and local economy. Through relatively small investments, strategically placed, larger positive impacts are appearing to be generated.	Text adjusted based on suggestion.
Charles Dixon	74	41	we did a 2 day training on the use of GPS in cell phones and spatial mapping for MAG and SINAC staff in nov y dec 2020 "CAPACITACION EN EL USO DE SISTEMAS GLOBALES DE NAVEGACIÓN POR SATÉLITE MEDIANTE APLICACIONES MÓVILES Y APLICACIÓN EN GOOGLE donde no se logro resultados fue que CADETI mapeara sitios de mayor degradación en el area de intervención, que iba ser actividad de contrapartida de ellos EARTH"	The explanation was included based on the information provided.
Charles Dixon	75	41	please check the phrasing	Text adjusted: The SGP took a good approach by establishing this alliance with AVINA, that has implicated (among other results) to scope of action for both organizations in relation to the water-management sector, based on communal organizations.
Charles Dixon	76	44	project management team?	Correct, text adjusted.
Charles Dixon	77	45	please be clear: are you saying that UNDP, GEF and others are saying that, in effect, these funds belong to CADETI, or that there is a widely held perception of GEF, UNDP etc that CADETI believes this ? the wording is very important here. Iso worth mentioning that CADETI is a) an advisory committee for land degradation, not an implementor. b) its focus is on one convention, whereas SGP on 3 and so outside the land degradation theme, SGP and CADETI are not "natural" partners, as there is a fundamental difference in objectives and philosophy; 3) SGP is a tried and tested mechanism with almost 30 years practice; d) in the strictest terms CADETI should not be both member of the NSC and the Technical Committee, - this was a "political" arrangement	No other entity besides CADETI is mentioning this. The text was modified to provide a clear understanding: <i>The perspectives provided by different actors (mainly from CADETI) indicating the SGP fund "belongs" to this body (CADETI) were corroborated with representatives of GEF, UNDP and other national institutions, which refuted this affirmation.</i>
Charles Dixon	78	46	please clarify. Maybe "although there is not a single grantee project uniquely focused on this theme and indicator, and which was prioritized in the first half of the operational phase, the SGP is looking for ways to leverage funding for specific training on this.	Text adjusted based on suggestion/comment.

Author	#	No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Charles Dixon	79	46	The Project Document of the OP7 sets out provisions for the systemization and case studies of grantee projects, with a view to knowledge sharing, dissemination of best practice s and lessons learned. please be more specific about "internally" and "externally".	Text adjusted based on suggestion/comment.
Charles Dixon	80	46	is crucial for generating and sharing the Program's results, best practices and lessons learned with national authorities (especially, MINAE, SINAC and MAG), thus far generated with a view to influencing public policy (maybe give some examples of projects which you think can be constituted as best practice and scaleable)	Text adjusted based on suggestion/comment.
Charles Dixon	81		i believe that Rosanna provided updated information? maybe mention this figure and the percentage executed to date?	Updated data (numbers) was included on the analysis.
Charles Dixon	82	50	please clarify: how do they articulate thier activities	An example is included to provide more information and data.
Charles Dixon	83		why in "terms of budget allocated? if you mean because they are over \$50,000.. could be "strategic projects (over \$50,000) are being implemented.... UPAP is also a strategic project (\$100,000 in this case)	Text adjusted and UPAP included as a strategic project.
Jose Estrada	84	51	Cómo? hay planes para cada uno de estos?. Especificar en la narrativa.	Text is eliminated to avoid confusions.
Charles Dixon	85	52	check phrasing (also understanding)	Text is eliminated to avoid confusions.
Charles Dixon	86		check phrasing. who is reporting to who?synonym for informant which is used more in a criminal sense - interviewees?	Informant is a term used in social research, clearly in the context of the report it has nothing to do with a "criminal" sense. An informant is "a person who has specialized knowledge and/or expertise about a particular culture or members of a group" (SAGE research methods). The term grantees were included to make it more specific.
Charles Dixon	87	52	and the NC!!	NC included.
Charles Dixon	88	53	not sure we can provide further financial support!	Not necessarily by SGP. An explanation on this was included: <i>(from financial institutions or public fund, seed capital, non-reimbursable funds, etc)</i>
Charles Dixon	89	54	please check: Faced by socio-economic risks, the prospects for sustainability are likely...or socio-economic risks to sustaiability are unlikely!	The wording used responds to the GEF guidelines. The phrase is clear, and it was not changed.
Charles Dixon	90	54	ponga nombre completo	The full name for OECM was already included in previous sections of the report and also available at the abbreviations section. Please check.
Charles Dixon	91	54	not really - the GEF funds are channeled through MINAE but in practice MINAE has limited incidence in the operation of the SGP	Text adjusted: <i>It is executed under in coordination with MINAE (specially SINAC).</i>
Charles Dixon	92	54	The Upgraded countries (UCP) of which Costa Rica is one of 15, under the GEF8 "policy paper"	Suggestion included to provide more detailed information.

Author	#	No./ com men t loca tion	Comment/Feedback on the draft MTR report	MTR team response and actions taken
			are to be reintegrated into the Global Program for SGP. One the one hand this will guarantee direct access by each SGP country to GEF CORE funding, but with limitations on the amount available (\$500,000-700,000 is the likely amount). This has implications on the financial and technical viability of the Costa Rica program which would need to seek additional STAR funding, dependent on negotiations with the MINAE, especially the Minister. Additionally, the Policy Paper (soon to be a Decision Paper and formalized in December this year), also establishes the possibility that two other GEF-accredited agencies (other than UNDP) might be able to "host" the SGP with implications for the current NSC, UNDP and UNOPS and the SGP management team, as well as the historical thematic and programmatic continuity of the SGP (another agency might have other ideas and focus for the SGP)	
Charles Dixon	93	56	please check all these and compare to the comments at the beginning of the document - in some cases, changes are more linguistic and others in content/doubts	Conclusions checked and adjusted.
Jose Estrada	94	58	Las recomendación deben redactarse de una manera más específico, indicando quién debería hacer qué	Recommendations adjusted and more specific actions are proposed. General recommendations are given, indicating to which institution are directed, and the key actors involved, so as the more specific (strategic) actions proposed by the MTR:
Charles Dixon	95	58	again, check these against initial comments. check precision and clarity of recommendations, for whom are they and how might they be acheived	Conclusions checked and adjusted.