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ASSESSMENT OF DEVELOPMENT RESULTS
## EVALUATION OF UNDP CONTRIBUTION COSTA RICA

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efficiency COORDINATION AND PARTNERSHIP
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FOREWORD

This report presents an independent assessment of the contribution of the United Nations Development Programme (UNDP) to the development results in Costa Rica. The evaluation, conducted by the Evaluation Office of UNDP, examined the relevance and strategic positioning of UNDP support and its contribution to development results in the country between 2002 and 2010.

The evaluation found that UNDP in Costa Rica has a coherent, substantive and efficient programme that even with limited resources has made significant contributions to national development. Its main accomplishments relate to further achievements in environmental protection, the mainstreaming of the human development concept, the promotion of the Millennium Development Goals and security matters, and the advancements in disseminating and supporting democratic and humanitarian principles.

UNDP programmes in Costa Rica have been characterized by a long association with the Government of Costa Rica. The evaluation illustrates how this relationship, based on common goals and mutual trust, facilitated a favourable positioning for UNDP in the country. The organization showed its relevance to the needs and priorities of the country in responding to changes in political, economic and social contexts.

However, UNDP still faces the challenge of combining the demands of short-term support to different sectors of the national Government with supporting capacity development strategies and poverty reduction over time.

UNDP has contributed to progress in the protection and management of the environment and supported decentralized national development with a focus on human development, helping to expand institutional and community capacities and productive opportunities to overcome poverty.

UNDP in Costa Rica has assembled various comparative advantages, such as the ability to facilitate political dialogue, building upon its credibility, legitimacy and convening power. It has good analytical skills and the information produced is deemed reliable, fair and technically sound.

UNDP has also been a significant player in the area of gender equality, especially in terms of strategic issues relating to the promotion of women's representation through public policies and expansion of opportunities. This approach is yet to be further integrated throughout the programme.

UNDP in Costa Rica is known for its substantive capacity and positive contribution to the different thematic areas of the country's development agenda. The organization's contribution in the sphere of human development deserves special recognition.

The evaluation found UNDP weaknesses related to knowledge management, evaluation, project design and analysis, risk management, effective follow-up of partners and the strengthening of links with target populations, the civil society and the private sector. The evaluation also showed that the added value of UNDP has been held back by insufficient coordination with civil society and the private sector.

The Evaluation Office hopes this report would help UNDP in Costa Rica and its partners to further sharpen their effort to assist the Government in achieving higher levels of sustainable human development for the people of Costa Rica.

Juha Uitto
Deputy Director, UNDP Evaluation Office

ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
AECID	Spanish Agency for International Development Cooperation
ASTRADOMES	Domestic Workers Association
BCCR	Central Bank of Costa Rica
BCPR	Bureau for Crisis Prevention and Recovery (of UNDP)
BDP	Bureau for Development Policy (of UNDP)
CCA	Common Country Assessment
CCF	Country Cooperation Framework
CCNRS	Costa Rican National Advisory Council for Social Responsibility
CEFEMINA	Women's Centre for Information and Action
CEGESTI	Centre for Technological and Industrial IT Management
CPAP	Country Programme Action Plan
CPD	Country Programme Document
DEX	Direct Execution (modality of UNDP)
EO	UNDP Evaluation Office
FAO	Food and Agriculture Organization of the United Nations
FLACSO	Latin American Faculty of Social Sciences
FOMUDE	Municipal Building and Decentralization Project/Costa Rica
GEF	Global Environment Facility
HDR	Human Development Report
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
IBRD	International Bank for Reconstruction and Development
IDB	Inter-American Development Bank
IFAM	Institute of Municipal Training and Advice
IIHR	Inter-American Institute of Human Rights
ILO	International Labour Organization
IMF	International Monetary Fund
INAMU	National Institute of Women
INEC	National Institute of Statistics and Census
IMAS	Joint Institute for Social Aid
MDG	Millennium Development Goal
MAE	Spanish Ministry of Foreign Affairs and Cooperation

MICIT	Ministry of Science and Technology
MIDEPLAN	Ministry of Planning and Economic Policy
MJP	Ministry of Justice and Peace
MSP	Ministry of Public Safety
NCC	Net Contributor Country
NEX	National Execution (modality of UNDP)
NHDR	National Human Development Report
OHCHR	Office of the UN High Commissioner for Human Rights
PAIRCA	Support Programme for Regional Integration in Central America
POLSEPAZ	Integrated and Sustainable Policy for Citizen Security and the Promotion of Social Peace
RBLAC	Regional Bureau for Latin America and the Caribbean (of UNDP)
RCAR	Resident Coordinator's Annual Report
SGP	Small Grants Programme
SICA	Central American Integration System
SINAC	National Conservation Areas System
SINAMI	National Infant Mortality System
TRAC	Target for Resource Assignment from the Core
TSE	Supreme Electoral Tribunal of Costa Rica
UCR	University of Costa Rica
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-HABITAT	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women (now part of UN Women)
UNOPS	United Nations Office for Project Services
UNS	United Nations System
UNV	United Nations Volunteers
UTIEG	Technical Unit for Equality and Gender Equity
WFP	World Food Programme

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EXECUTIVE SUMMARY

This report is the result of the first evaluation of the contribution of the United Nations Development Programme (UNDP) to development results in Costa Rica. The objective of the evaluation is to provide an analysis of the achievements regarding the expected results in the UNDP programming documents, and the positioning of the organization in responding to national needs and changes in the national development context. The evaluation also aims to provide practical recommendations for adjustments to the current strategy of UNDP and the next Country Programme Document (CPD) for Costa Rica.

The exercise had two components: analysis of results by thematic areas and analysis of the strategic positioning of UNDP in the country. Results by thematic area were evaluated based on the criteria of relevance, effectiveness, efficiency and sustainability. The evaluation team selected and analysed a sample of interventions to reflect the work of UNDP during the evaluated period. The analysis of the strategic positioning of UNDP constituted the dimensions of strategic relevance, responsiveness, value added, comparative advantages and promotion of the values of the United Nations.

The evaluation followed a multi-method approach for both data collection and analysis. The collection methods included the review of documentation, interviews and discussion groups. Analytical methods included triangulation techniques based on various sources and methods of verification and validation, such as organizing a National Reference Group, team meetings and internal workshop to discuss preliminary findings.

UNDP PROGRAMME

The Assessment of Development Results (ADR) in Costa Rica includes a review of two programming cycles of UNDP in the country (2002-2007 and 2008-2012), with an emphasis on the period 2004-2010. The time span covered by the evaluation coincides with four governmental periods, during which there were three Resident Representatives, with rotation occurring in 2004 and 2008.

The geographic scope of the evaluation is national and the frameworks developed by UNDP for the two evaluated periods determine its scope in time. The assessment also takes into account the United National Development Assistance Framework (UNDAF) for 2008-2012 and the National Development Plans (NDPs).

UNDP in Costa Rica has five programme areas: i) human development; ii) reduction of poverty, inequality and social exclusion; iii) environment, energy and risk management; iv) democracy and governance; and v) gender equality.

Over the two cycles, between 2002 and 2011, programmatic expenditure was just under USD 32 million. The programme has focused its contribution to each area as follows:

i) information about and ample mainstreaming of the human development approach, and state planning capabilities for its implementation;

ii) targeting state action to vulnerable groups, to meet the Millennium Development Goals (MDGs), with expanded opportunities and strategies for sustainable development at a local level;

iii) biodiversity, climate change, energy efficiency and sustainability, and pre- and post-emergency action;

iv) institutional and legislative strengthening, public policy advocacy and democratic arrangements; and

v) the inclusion of gender equality in policies, institutions and regulations, as well as in economic activity.

The main conclusions and recommendations of the evaluation were:

CONCLUSIONS

The evaluation team presents the findings of this ADR to contribute to UNDP learning and to the strategic direction of the programme and for purposes of transparency and accountability to its partners and stakeholders. The findings relate to the strategic positioning and performance of UNDP Costa Rica, and the relevance, effectiveness, efficiency and sustainability of its contribution to national development in the period under review (2002-2010).

Conclusion 1. In Costa Rica, UNDP has a coherent, effective, and substantive programme that, with efficiency, has made significant contributions to national development. By impacting on governmental priorities and the main human development challenges in the country through successive scenarios, the organization has made significant contributions in spite of meagre financial resources. UNDP's most solid achievements relate to mainstreaming human development and the MDGs throughout the programme and projects, the formulation of public policies and NDPs and especially through government support initiatives to ensure compliance with international agreements on environmental protection.

Conclusion 2. The human development area is the core of the conceptual work that informs and supports the whole of UNDP undertakings and widens their paths in Costa Rica and in the region. The National Human Development Report on security catalysed subsequently the important contributions of UNDP to address gaps and inequalities in the country. The concepts of human development and security have been applied to the design of national and local prevention programmes (offering, for example, options in training and management or upkeep of public spaces) and the generation of local economic opportunities. The learning in the area has had

an impact at the UNDP corporate level (e.g., the regional security report, and global reports). Despite the delay in the production of the second NHDR, UNDP's highly respected analysis is eagerly awaited.

Conclusion 3. In the area of poverty reduction, inequality and social exclusion, UNDP has helped the Government in strengthening its capacities (conceptualization and measurement of social and economic variables, with the National Institute of Statistics and Census and the Ministries of Economy, Labour, Health and Justice). Through this, UNDP has expanded state capacity to give decentralized attention to disadvantaged populations on a national and local level (including monitoring of the MDGs and the creation of environmentally sustainable economic enterprises). In the face of persisting harsh living conditions for vulnerable sections of society and indigenous populations, UNDP still finds it a challenge to strengthen the longer-term scope of its work and balance its support to capacity-development and poverty-reduction strategies for the long haul with support from different sectors of the national Government.

Conclusion 4. UNDP has influenced the formulation and implementation of public policies in the fields of biodiversity and water resource protection and management (with the system for protected areas and related programmes) and sustainable energy, rural electrification and land management, especially through its support for state capacity building and legal instruments. UNDP has undertaken important work in the advancement and innovations by Costa Rica in risk management, including the establishment of inter-agency and cross-sectoral synergies. The GEF Small Grants Programme (SGP) has proved a good channel to apply the approach to human development at a local level, and to carry out within the poverty reduction programme. This has helped to capitalize experiences for national development and to involve vulnerable communities (rural and indigenous communities and women) in conservation and sustainable development through ecotourism and agroindustry;

and small enterprises in agro-industry, expanding economic opportunity and human development – particularly at a decentralized level. In relation to the expected results on the control and elimination of ozone depleting substances, the contribution of UNDP to environmental effectiveness has been relatively weak in view of the expected results agreed upon.

Conclusion 5. In the area of democratic governance, UNDP has made important contributions in state planning (from information systems to implementation capacities at a central, sectoral, regional and municipal level). In addition, UNDP has helped the country to make improvements in the exercise of citizenship rights and participation through the dissemination of knowledge products, technical assistance in deliberation processes and promotion of forums and consultations on key and particularly sensitive public policy issues (e.g., free-trade agreements, the international economic crisis, and the reform of the State). UNDP has helped to channel citizen participation and perspectives and to strengthen the policy dimension of political parties. It has also had bearing on spotlighting and institutionally mainstreaming themes and issues through practical proposals and inputs for public policy. For example, UNDP has facilitated the positioning of the issue of citizen security with the organization's human development approach. This has been incorporated into the Integrated and Sustainable Policy for Citizen Security and the Promotion of Social Peace (POLSEPAZ), local security schemes and various preventive programmes to promote a democratic praxis in citizen interaction and to expand both recreational and economic opportunities for vulnerable groups, such as young people.

Conclusion 6. UNDP has impacted on strategic points of the issue of gender equality, especially with regard to adjusting some public policies to the real conditions facing women and expanding opportunities for representation. It has also contributed to strengthening a gender-sensitive approach in institutional actors such as the Ministry of Justice, the Supreme Electoral Tribunal and the private sector. The contributions of these partners together for the development of a National Statistical Indicators for Gender and Economic Management (ISO) stand out, as do various initiatives related to local sustainability where the gender-equality approach is fruitfully applied, and its input in discussions on legislation and public policy paths. For some initiatives, inadequate systematization and dissemination have resulted in failure to fully capitalize on good practice. The integration of the equality and gender equity approach has been uneven, and the links with civil society on these issues has been sparse, even though they have been taking opportunities to develop or strengthen partnerships.

Conclusion 7. UNDP, with its gained ethical and technical prestige, is a sought-after partner by State and society for work on capacity development and knowledge management within the framework of human rights and the values of the United Nations. UNDP has responded promptly and appropriately to the changing socio-political context, public policy priorities and NDPs. It has also been known to capitalize on its comparative advantages and thus increased its legitimacy and leadership to heighten policy attention to vulnerable populations, their access to opportunities and dissemination of sustainable ventures. UNDP has been able to direct its efforts to the more specific development challenges that a middle-income country faces, identifying deficit areas and drawing attention to them. It has used the country's comparative advantages, in terms of human rights, peace, democracy and environmental protection, to integrate them into human development work.

Conclusion 8. There has been insufficient attention to the monitoring, evaluation and formulation of projects and the feedback thereof. An additional weakness, in terms of formulation, is insufficient accuracy of expected results and indicators, both in the country programme and the projects. There are two interrelated factors at play. Evaluation has been scarce and, when materialized, rarely had any practical bearing. There are concurrent failures in the systematization and

dissemination of experiences and materials. The other factor is that the design and formulation of projects do not sufficiently anticipate and mitigate risks that may affect the implementation and sustainability of initiatives. Thereby weaknesses appear in the system of project monitoring and counterpart follow-up; partners have reported the need for UNDP to maintain a closer and consistent link with themselves and beneficiaries, to help them boost performance or consolidate results. Also, projects often involve shared management by a variety of partners, entailing organizational complications and giving rise to obstacles or delayed execution. Furthermore, there have been scenarios of controversy or resistance, for which no strategies of communication, advocacy and alliances had been foreseen. On many occasions, deadlines have not been adequately planned to reflect the typically occurring procedural burden, thus causing delays.

Conclusion 9. The coordination and joint work of the United Nations System (UNS) in Costa Rica has been progressively strengthened through the successive management efforts of the Resident Coordinators (RC) throughout the period and the involvement of the respective Country Teams (CT). The RC's functions have been aptly exercised and channelled the efforts of the CT to provide leadership to the UN System in the country, having established a valuable support office. There has been a synergy with UNDP's efforts to contribute to the strengthening of the UNS. An expression of the stronger and more active cooperation are the joint programmes and the common monitoring system created. Some partners have reported some coordination difficulties in the implementation of the joint programmes, including the delay that comes from the density and juxtaposition of the procedures of the participating agencies.

Conclusion 10. UNDP Costa Rica operates in a privileged setting, which allows it to experiment in different areas (human development, sustainable local development, South-South cooperation). The country office has accumulated experience and conceptual capital to address many

of the challenges and opportunities that arise in development. It has, therefore, room to expand its contribution in the country and for the dissemination of this learning in other regions.

Conclusion 11. The UNDP programme has been developed under financial constraints that have prevented the country office from acting in a more effective, efficient and sustainable manner. Since 2004 the Government of Costa Rica has not contributed financially to the UNDP programme, in contrast to what happens in many other countries. The country office currently receives less than 10 percent of its budgetary resources from UNDP headquarters, with the rest of the financial resources coming from external sources. In this context of financial pressure, there has been a strong dependence on external resources, especially those for environmental issues, due to their greater availability. Capitalizing on this fact, the country office has been developing work in the environmental field and encouraging new learning based on skills acquired in human development and resource mobilization. The effort required to raise funds is costly in terms of human resources, especially considering the small staff. Particularly troubling is the prospect of staff members having to devote more time to fund-raising at the expense of programmatic attention. The position and continuity of UNDP in the country remain complex due to its financial situation, particularly with the imminent graduation of Costa Rica to a Net Contributor Country (NCC) at the UNS. A new model will be essential under which UNDP can continue to provide a contribution to the development of Costa Rica in consonance with the challenges and needs of the country.

RECOMMENDATIONS

UNDP in Costa Rica is facing imminent challenges that concern not only its ability to act but also its presence in a country acceding to NCC status. UNDP has been and may continue to be a provider of ideas and services, capable of channelling foreign aid for the country's human

development. This will require providing for itself in order to continue fulfilling its mandate in the future, in line with the challenges of Costa Rica. Therefore, based on the programmatic aspects required to attain these strategies, this ADR makes the following recommendations.

RECOMMENDATIONS FOR UNDP COSTA RICA

Recommendation 1. UNDP Costa Rica should scale up the integration of human development in the environmental field and strengthen the learning and content coming from these areas into the others to advance the implementation and synergies with wider priority regional approaches and strategies of donors. For example, it should develop the environmental component into local plans and other instruments for governance, community and microenterprise development. The SGP provides valuable elements for all: integrated approaches and methodologies that combine different themes (vulnerable populations, gender, poverty reduction, human development, environment, energy, etc.) and flexible procedures.

Recommendation 2. The country office should be more proactive in the areas of transportation, renewable energy and water governance issues, which are already included in the current results framework and are fundamental for achieving carbon-neutrality by the year 2021 but results lag behind. These areas will be crucial for the country office to contribute effectively to achieving national objectives in the new phase of the United Nations Framework Convention on Climate Change, especially in the dissemination and development of new horizons for a wider position, for what will be functional and more actively spread within and outside Costa Rica: knowledge, processes and existing environmental technologies.

Recommendation 3. In the area of democratic governance, UNDP Costa Rica should strengthen practical impact, efficiency and ownership (of the initiatives by the partners, and content and values of human development and the UN) as better

conditions for sustainability and replication. An important element is to strengthen the support base and partnerships, in particular, to establish a greater link with other local and sub-national bodies, such as the National Union of Local Authorities and the Association of Mayors and Governors, to achieve greater involvement of subnational authorities. The country office can further deepen the programme on security and formalize its current role in the programme to achieve the expected results.

Recommendation 4. In the area of gender equality and equity, the country office should strengthen the integration of this approach into the other programme areas. Encourage more robust and extensive partnerships with organizations such as the Parliament and civil society, and expand outreach mechanisms that also contribute to greater visibility to these issues in the media.

Recommendation 5. UNDP Costa Rica should reinvigorate the initiative of the National Human Development Report and issue the publication of the long-delayed second report on coexistence. In addition, special emphasis should be placed on supporting the Government in formulating and implementing long-term strategies to reduce poverty with a focus on human development. This may possibly require an additional search for and allocation of resources. Knowledge management can be improved to facilitate the channelling of the knowledge generated to the lives of people. Experiences should be disseminated and potential target groups consulted as to how to make human development materials more adaptable to practical use.

Recommendation 6. The country office should review the project implementation mechanisms as well as develop and actively implement risk forecasting and mitigation from the phase of design and into that of securing sustainability. It should strengthen the formulation in the definition of expected results and indicators and baselines (more directly and clearly focused on development results outcomes) and congruently

align the programme's evaluation and monitoring system for an improved performance in results-oriented management. Formulation work must incorporate a risk management framework, with careful investigation both of institutionalization requisites (actors, factors and scenarios that may affect implementation or sustainability), and the management of these variables. This includes planning, advocacy, communications and alliance-making strategies. Organizing systematic and frequent spaces for joint monitoring and evaluation with the regular participation of partners may be valuable here. The implementation process should be organized such as to manage the technical conditions and foreseeing the time for compliance with institutional procedures. In particular, identify the requirements associated to project monitoring and follow-up/support of partners, and incorporate them in the design and operational planning, so that each programme officer develops his/her monitoring functions to increase effectiveness and knowledge management. The evaluation dimension requires greater attention, not only in meeting the timetables for planned evaluations but especially regarding the implementation of the management response to findings and recommendations.

Recommendation 7. To meet the widespread demand for collaboration amid staff limitations, the country office should seek ways to more effectively streamline business processes. For example, it should fine-tune its selectivity in taking up projects according both to priorities and a realistic analysis of the availability of the country office's own team to cover the full range of project-management functions. Simplification and minimization of procedures should be ensured, including how to better organize partners in the management and implementation of projects (in cases involving more levels and occasions for coordination and follow-up). The country office can also create new niches for action harbouring funding options. Thus, a field to exploit in view of the unique characteristics of Costa Rica is South-South cooperation and the triangulation of development cooperation.

Recommendation 8. UNDP Costa Rica, with appropriate institutional support, should explore with the State how the latter could contribute to reach a new model suited to retain and enhance the contribution of UNDP to development in the country, while ensuring its consistency with national challenges and needs and is not overly dependent on and constrained by external resources. With as much corporate support as may be fit, the country office should keep up efforts to jointly build, with the State, the instruments with which Costa Rica can provide the basis for UNDP continuing in the country. This will involve designing new legal and financial conditions of their cooperation as well as the contents of the substantive contributions.

RECOMMENDATIONS FOR THE COORDINATION OF THE UNS

Recommendation 9. The coordination office of the UNS in Costa Rica should supplement the achievements of the Information System for Convergence (SICON) platform, and explore improvements and other regular mechanisms for joint monitoring and evaluation. Furthermore, it is important to encourage further steps towards streamlining and coordinating procedures for joint projects and initiatives with a view to reducing or even, where possible, to unifying the processes of the participating agencies.

RECOMMENDATIONS FOR HEADQUARTERS AND ON A REGIONAL LEVEL

Recommendation 10. The Regional Bureau for Latin America and the Caribbean (RBLAC) and the country office should explore additional ways of supporting the latter addressing its needs and, especially scarce human-resource conditions, as well as its considerable technical potential. One way could be more direct technical assistance from regional structures to alleviate the shortage of human and financial resources. It is important that the regional management lends the support that the country office may need to facilitate and encourage a new, revitalized model of relationship

with the Costa Rican Government, upon a basis that can sustain the continued contribution of UNDP. This may include providing the country office assistance to prepare, e.g., to develop a proposal of the value added, by UNDP and the State, to the country towards fulfilling the human development mandate in future years. Finally, it would be also useful to explore measures to facilitate the simplification of procedures.

Recommendation 11. The RBLAC should lay out a joint strategy for the dissemination and positioning of UNDP Costa Rica on a regional/global level, enhancing the functionality and added value of the respective, regional and national roles, for the fulfilment of the human development mandate. The capacity and technical quality that UNDP Costa Rica has consolidated on the conceptual and practical levels can be used in other contexts, for example, in South-South cooperation or for transfer to other UNDP country offices, applying the conceptual and programme capital beyond the contribution made through the School of Human Development. They could even seek to generate resources for the country office on the basis of these capabilities, if UNDP Costa Rica had conditions to offer its services to other countries.

General Information on Costa Rica	
Population	**2010**
Population, total (millions) - INEC (The Costa Rican National Institute of Statistics and Census) 2010	4.6
Population growth rate (annual %) - INEC 2010	1.3
Area (square kilometres, thousands) - INEC 2010	51.1
Incidence of poverty above the national poverty line (% of population) - INEC 2010	18.5
Economy	**2009/2010**
Gross Domestic Product-GDP (current USD in billions) 2009	29.24
GDP growth rate (annual %) - BCCR/MEIC 2010	4.2
Inflation (annual %) - INEC 2010	5.17
Agriculture, value added (% of GDP) - BCCR 2010	9.2
Industry, value added (% of GDP) - BCCR 2010	21.2
Services, etc., value added (% of GDP) - BCCR 2010	64.7
Exports of goods and services (% of GDP) - BCCR 2010	52.8
Imports of goods and services (% of GDP) - BCCR 2010	49.4
Military expenditure (% of GDP)	0
Mobile phone subscribers (per 100 people) - INEC 2010	34
Internet users (per 100 people) - INEC 2009	24.2
Social Indicators	**2009/2010**
Public expenditure on health (% of GDP)	5.9
Mortality rate of children under five (per 1,000 live births) - INEC 2010	9.5
Life expectancy at birth (years) - MIDEPLAN	79.0
Fertility rate (number of births per woman) - INEC 2010	1.8
Adolescent fertility rate (births per 1,000 women aged 15 to 19 years)	67
Immunization, measles (% of children between 12 and 23 months)	81
Completion rate for primary education (% of the relevant age group)	96
HIV prevalence total (% of the population between 15 and 49 years of age)	0.3
Adult literacy rate (% of ages 15 and older)	96.3
Education expenditure (% of GDP)	5
Average years of education	8.3
Gini coefficient, income - MIDEPLAN 2010	0.43
Inequality adjusted education index	0.519
Inequality adjusted income index	0.428
Maternal mortality ratio (maternal deaths per 100,000 live births)	30
Gender inequality index, value (updated) - MIDEPLAN 2010	0.526
Sustainability	**2009**
Per capita emissions of carbon dioxide (tonnes)	1.8
Protected area (% of land area)	20.9
Human Security	**2009**
Unemployment rate, total (% of the workforce) - INEC 2010	3.3
Murder rate (per 100,000)	8.3
Robbery rate (per 100,000) - INEC 2010	527
Population affected by natural disasters (annual average, per million people)	11,383
Composite indices	**2010**
Human Development Index (HDI) in 2010 - MIDEPLAN	0.725
Gender inequality index - MIDEPLAN 2010	0.501
Human Development Index, adjusted for inequality - MIDEPLAN 2010	0.576

Sources: BCCR – The Costa Rican Central Bank, INEC – The Costa Rican National Institute of Statistics and Census, MIDEPLAN – The Ministry of Planning and Cooperation. Other sources: World Bank, World Development Indicators Database, 2010; UNDP, International Human Development Indicators, 2009.

Chapter 1
INTRODUCTION

Each year, the Evaluation Office (EO) of the United Nations Development Programme (UNDP) carries out Assessments of Development Results (ADRs) in a select group of countries where it operates. These are independent evaluations of UNDP's contribution to development results[1] with a dual purpose: accountability and corporate learning supported by the collected evidence. Thus, the lessons learned from the strategy and UNDP operations in the country may be capitalized in the corporate environment and for future programming for the respective country office.

The ADR in Costa Rica includes an analysis of two programme cycles – 2002-2007 and 2008-2012 – although there is an emphasis on the period 2004-2010 due to the greater accessibility of data and documents. The time span covered by the evaluation coincides with the tenure of four governments. The period 2002-2006 included the last half of the presidency of Miguel Ángel Rodríguez and the government of Abel Pacheco, both of the Social Christian Unity Party. Subsequently, Oscar Arias served as President (2006-2010), followed by Laura Chinchilla's administration, whose term began in 2010 and will end in 2014 and, like Arias, is with the National Liberation Party. During this period, there were three UNDP Resident Representatives in Costa Rica: Ligia Elizondo, from 2001 to 2004, José Manuel Hermida, from 2004 to 2008, and Luiza Carvalho, from November 2008.

1.1 PURPOSE AND SCOPE OF THE EVALUATION

The objectives of the ADR in Costa Rica are threefold:

1. to provide an independent assessment of progress on the expected results for the period 2002-2011 in the UNDP programming documents in Costa Rica, also highlighting, where appropriate, unexpected results (positive or negative) and the opportunities that were generated or lost;

2. to provide an analysis of the strategic positioning of UNDP and its added value; and

3. to present key findings, key lessons and recommendations to help improve the current strategy and next country programme, which will be prepared by the UNDP office in Costa Rica with the stakeholders involved and submitted to the UNDP Executive Board in 2012.

The geographical coverage of the evaluation is defined by the territorial scope of the portfolio of UNDP interventions in the country. The programme's scope is determined by the frameworks developed by the organization for each of the two evaluated periods: the second Country Cooperation Framework (CCF) with Costa Rica between 2002-2007 for the first cycle, the Country Programme Document (CPD) for Costa Rica for 2008-2012 and the Country Programme Action

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[1] The outcomes are the actual or intended changes in development conditions of a country that governments and other partners obtain through interventions (programmes or projects) supported by different partners, including UNDP. Not to be confused with outputs, which are the most tangible and immediate results obtained by an intervention (activities, components or projects) and they include what UNDP and other participants contribute to the achievement of results.

Plan (CPAP) for 2008-2012 signed between the Government of Costa Rica and UNDP for the second cycle.

The assessment also takes into account the United Nations Development Assistance Framework (UNDAF) for 2008-2012, the result of joint programming of the various UN agencies in the country[2], and the main programming document for each period of government: the National Development Plans (NDP) for 1998-2002, 2002-2006, 2006-2010 and 2011-2014.

1.2 METHODOLOGY AND EVALUABILITY

The characteristics and methods for evaluation in Costa Rica were made pursuant to the guidelines for the ADRs from the Evaluation Office[3] and the corresponding terms of reference. According to its objectives, this ADR pays attention to two levels:

■ The first involves the strategic positioning of UNDP (organization and programme) in Costa Rica and the strategic vision that underpins it. This applies to:

   a) its place and niche vis-à-vis scope, development policies and the range of actors and stakeholders, both national and international, in the country;

   b) the action taken to achieve them and to position the central themes of human development;

   c) organizational, managerial and financial factors that determine programme implementation and outcomes, including elements of monitoring, evaluation,

communication and organizational learning; and

   d) main aspects of the coordination of the United Nations System, in terms of the function of a Resident Coordinator corresponding to the UNDP Resident Representative.

■ At the second level, the ADR addresses the programmatic contribution to development results, which implies:

   a) the contribution of the implemented projects and programmes to achieve the objectives proposed as expected outcomes in each thematic area; and

   b) the development results achieved, progress made, and UNDP contribution and key interventions to them.

The main methods used in collecting data and information for the analysis were the review and study of documentation, semi-structured individual interviews and focus groups in various subject areas. The evaluation criteria used in assessing results by topic (in the programme plan) were: relevance, effectiveness, efficiency and sustainability.[4]

The consulted sources included documents associated with knowledge products, national and international statistical records, evaluations of projects, government plans, UNDP programme documents and management reports; project documents (PRODOC), progress reports, annual reports, internal documents or presentations and documents of the UN System. A wide range of actors were interviewed: UNDP personnel, representatives of the Government, civil society organizations, including various NGOs and

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2   Known as the United Nations System (UNS) in each country.

3   UNDP Evaluation Office, *ADR Method Manual, Guidelines for an Assessment of Development Results* (ADR), January 2009; *ADR Method Manual*, March 2010 and *The Evaluation Policy of UNDP*, document DP/2005/28, May 2006. Spanish version at: <www.undp.org/evaluation/documents/Sp-Evaluation-Policy.pdf>.

4   The Terms of Reference of the ADR contain a general description of these criteria (Annex 2). The Evaluation Matrix presents a breakdown of the basic parameters within each criterion (Annex 6) and related questions. For both, there were nuances and emphasis depending on the roles and characteristics of respondents. These parameters also led the analysis performed by the other methodologies employed in the ADR.

Table 1. Criteria for Selecting the Sample of Analysed Interventions
It was stipulated that the sample should necessarily include:
Initiatives implemented during the 2002-2007 and 2008-2012 periods.
Initiatives underway and initiatives already completed, i.e., closed projects.
Initiatives implemented in the capital and initiatives implemented in the rest of the country.
High-budget projects and projects of low budget.
Pilot and non-pilot projects.
Initiatives executed with the Government, as well as initiatives with civil society
Projects implemented by both the NEX/NIM (national execution) and DEX/DIM (direct execution) modalities.
Initiatives with good performance and initiatives with performance problems.
Interventions that incorporated elements of South-South cooperation.
Inter-agency projects.
Regional projects, to the extent they had a direct contribution to a national objective; and non- projects.

academics. Apart from numerous meetings in the capital, San Jose, members of the evaluation team conducted field visits in the Brunca region (Pérez Zeledon, Buenos Aires and Coto Brus zones) and the Municipality of Aguirre.

For the analysis of results by subject area, an illustrative sample of interventions was selected (Annex 5) reflecting the work of UNDP during the period 2002-2011. To ensure that the selected sample incorporates the full range of actions in the UNDP portfolio, the selection criteria presented in Table 1 was applied. Thus, the evaluation exercise could cover the various types of intervention with which UNDP has worked during the evaluated period.

In the data analysis process, triangulation techniques and methods for verification and validation were used. The first consisted of cross-checking the results of interviews with the study of documentation. The verification methods were based on collective/joint review tools, such as internal meetings, discussion groups and presentation of preliminary findings to the staff of the UNDP office in San José and the National Reference Group. Both mechanisms were used to verify the extent, validity and robustness of the preliminary findings and thus be able to assess whether to further work on them or reject them in the following phases of the evaluation.

1.2.1 INFORMATION EVALUABILITY AND GAPS

The evaluability[5] of the UNDP programme in the first period (2002-2007) has been conditioned by restrictions on the availability of documentation[6]. This has constrained the accuracy and depth of the findings, assessments and judgements made in connection with the first evaluation period. Another limitation is the scarcity of previous

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5   The term 'evaluability' refers to the extent to which a programme or project is susceptible to evaluation in the framework and standard conditions for these exercises.

6   The availability of information (and opportunity) in this ADR refers to the evaluation team and the time-frame that this had to be examined in; not meaning that the documentation does not exist. During the evaluation it was found that the registration of project information has not been uniform, with variations in the way it is organized and classified, both in the registries of the country office and the corporate system, making it difficult to discriminate and analyse the data. These factors delayed the analysis period and contributed to extending the duration of the ADR process.

evaluations for the period under review. These information gaps were compensated, at least partially, through interviews with key partners and by exploring other sources of secondary information (studies and reports by other organizations).

1.3 THE EVALUATION PROCESS FOR COSTA RICA

The evaluation was conducted by an evaluation team consisting of a team leader, three national thematic consultants and an international evaluation-expert senior adviser, the EO task manager responsible for the ADR and a research assistant.

The process had an initial phase of study by the EO, with a scoping mission and the selection and hiring of the evaluation team. An inception mission (design and methodological guidance) was then undertaken, with the participation of the team leader and members of the national evaluation team accompanied by the EO task manager. This mission served to strengthen the conditions for the assessment and gather inputs to refine the object and design of the evaluation. Meetings were held with management and programme and operations team members of UNDP Costa Rica to deepen their understanding on the objectives and dynamics of the ADR, and to arrange

for their coordination and support. It also established a National Reference Group (NRG) with national partners, clarifying to its members the objectives of the evaluation and their own role in providing inputs and enhancing its quality.

The inception report was prepared with a matrix of questions and sources for the evaluation based on feedback with the EO, the country office and the NRG. In parallel, work began on gathering information through document review and interviews.

Afterwards, the main mission of the team leader included additional interviews, group discussions and a field visit to the zone of Aguirre, in the Puntarenas province, plus additional meetings with the country office. In parallel, the team worked on its preliminary analysis. A week later, the EO task manager and the international senior adviser joined the mission in reviewing the consolidated information and analysis. The findings, conclusions and preliminary recommendations were presented to the country office and, after integrating their input, to the NRG.

The last stage included the preparation of the report, including feedback from the NRG and subsequent quality control by the UNDP Evaluation Office.

Chapter 2
DEVELOPMENT CHALLENGES AND STRATEGIES

2.1 COUNTRY CONTEXT AND DEVELOPMENT CHALLENGES

Costa Rica is a country of medium-high income, with 4.6 million inhabitants and a per capita income of USD 7,691.[7] The country has distinguished itself in Latin America for its commitment to peace and a strong and stable democracy.[8]

With 51,000 km^2 of territory, Costa Rica is situated on the Central American isthmus, between Nicaragua (north) and Panama (south). It has a mountain range that separates its shores and 589,000 km^2 of territorial sea. Located in a tropical area, Costa Rica has a wide variety of ecosystems (agricultural, forest, wetlands and marine) and is rich in biodiversity. Around 25 percent of its surface is under some form of environmental protection.[9]. The political territory is divided into seven provinces, 81 cantons (with municipal government) and 473 districts

The country has a population density of 86 inhabitants per km^2; 36 percent of the population lives in rural areas and 64 percent in urban areas. Of this, most live in the greater metropolitan area (concentration of about 60 percent of

the total population), formed by the four central cantons and where the capital, San José, is located. According to the 2000 census, the population that describes itself as white or white-mestizo is the majority (96 percent). About 2 percent is of African descent and 1.7 percent is indigenous. The eight native ethnic groups are concentrated in the south and centre, and approximately 80 percent live in rural areas in 22 territories.

2.1.1 POLITICAL-INSTITUTIONAL CONTEXT[10]

Costa Rica is a presidential republic, with balance and separation of powers and wide constitutional controls. Its legislature is unicameral. After the end of the Civil War in 1948, Costa Rica abolished the army and went on to rely solely on police forces, making it possible for the country to devote significant resources to social investment.

The Costa Rican Government has operated under a strongly centralized state, with little political and administrative decision-making anchored at subnational levels. The provinces are the basis for political demarcation of national elections, but do not have their own government or status as

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7   In terms of GDP per capita 2010 in U.S. dollars at current prices, for the same year-PPP GNI per capita is USD 11,569 (Gross National Income to price parity in current international dollars, purchasing power parity). See World Bank, *World Development Indicators* 2011, Digital consultation January 9, 2011: and <datos.bancomundial.org/pais/costa-rica> <api.worldbank.org/datafiles/CRI_Country_MetaData_es_EXCEL.xls<datos.bancomundial.org/pais/costa-rica> <api.worldbank.org/datafiles /CRI_Country_MetaData_es_EXCEL.xls> (containing the respective technical explanations, for further reference for the reader).

8   The data and sources of the section (used also in the rest of the chapter and cited when relevant) from these sources: MIDEPLAN, 'Basic Indicators of Costa Rica 2004-2009', August 2010; SINAC-MINAET, 'IV Country Report to the Convention on Biological Diversity', GEF-UNDP, Costa Rica, 2009; Municipal Code, 1998; National Biodiversity Institute (INBio), <www.inbio.ac.cr>; INEC, *2009 Demographic Overview*; World Bank, 'World Development Report, 2011,: Conflict, Security and Development', Washington, D.C., 2011.

9   See Country Report IV (SINAC-MINAET 2009) cited in the previous note and <www.sinac.go.cr/planificacionasp.php and http://www.inbio.ac.cr/es/biod/ContextoNal.html>.

10   For this section, among the sources consulted are Ordoñez et al. (2010), UNDP/FLACSO (2005) and (2006), FLACSO et al. (2010) and Zeledón (2006).

an administrative seat. Municipal elections were introduced in 2002.

Over time, the state administration has been disaggregating into a multiplicity of autonomous agencies at a ministerial level, many of which are alternative seats of power and decision making. Since the late 1980s, the State demarcated administrative regions – still not yet fully consolidated – seeking a governing platform intended to be more unified and more coherent with national, long-term objectives.

The Costa Rican political system has been operationally based on bipartisanship and a general consensus around a 'welfarist' vision.[11] In the 1990s there began to surface manifestations of national malaise about the traditional forms and content of decision making in the country, and there were expressions of popular disenchantment with politics. These developments have led to a reconfiguration of the party system, with a breakdown of traditional bipartisanship.

2.1.2 SOCIO-ECONOMIC TRANSFORMATIONS AND CHANGES TO THE STATE[12]

In the middle of the last century, Costa Rica adopted a model aimed at a welfare state with a substantial state role. In the 1960s, it implemented an economic strategy of import substitution (under the Central American Common Market).

In the 1980s, the country experienced an explosion of public debt issues and fiscal deficit, a situation that was exacerbated by the international crisis that strongly affected the whole of Latin America. Then began the transition to a growth strategy structured around trade liberalization and export expansion. In the middle of that decade, the country achieved economic stabilization.

In the period 1990-1996 and beyond, Costa Rica entered a process of significant structural and institutional changes, which, among other things, paved the way for trade liberalization. The reforms reshaped the country's institutions, especially for macroeconomic management.[13] There were improvements in other areas, with the creation of the Constitutional Court and the Ombudsman. Institutional networks of social protection[14] were strengthened, with a significant increase in public spending on education, health, pensions and housing.

In recent decades trade liberalization and foreign investment have changed the economic profile of the country.[15] Non-traditional agriculture has gained importance over the traditional. Currently, the main crops are bananas, coffee, sugar cane and pineapple, of which latter Costa Rica is the world's largest exporter.

Costa Rica has also diversified its economy and, in general, maintains a moderate average growth[16] driven particularly by exports and services, with sustainable tourism and the high technology and IT sectors[17] playing a greater role and which are now leading productive activities.

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11 'Welfarist' visions advocate a 'welfare state' providing universal coverage (free in essentials) of the needs of the population through the regulatory framework, basic services, protection mechanisms and subsidies for disadvantaged populations.

12 The following sections on economic conditions and social policy draw also on Agustín Fallas-Santana, 'Costa Rica: Institutional Development and Crisis Response. Global Finance, 2008', Draft working paper, UNDP-CR/Observations on Universal-Development in Costa Rica San José, Costa Rica, March 2011; Yen Sanchez et al. (2010).

13 The Central Bank of Costa Rica, the Ministry of Finance, the customs, ports and excise taxes.

14 The Social Security Fund, the Ministries of Health and Education, and the Joint Institute of Social Aid (IMAS).

15 The free trade agreements have encouraged direct foreign investment, which in 2007 reached 6.2 percent of GDP and in 2008 rose to 6.9 percent. It then dropped in 2009 and 2010 (4.6 and 4.1 percent respectively), with projections of up to 4.6 percent in 2011.

16 Sanchez et al (2010), World Bank, 'Country Partnership Strategy for 2012-2015,' Washington D.C., 2011; IDB, 'The Bank's Country Strategy with Costa Rica, 2011-2014', Washington D.C., 2011.

17 The services include transportation, communications, finance and construction.

Figure 1. Costa Rica: GDP Growth Rate, 1990-2010
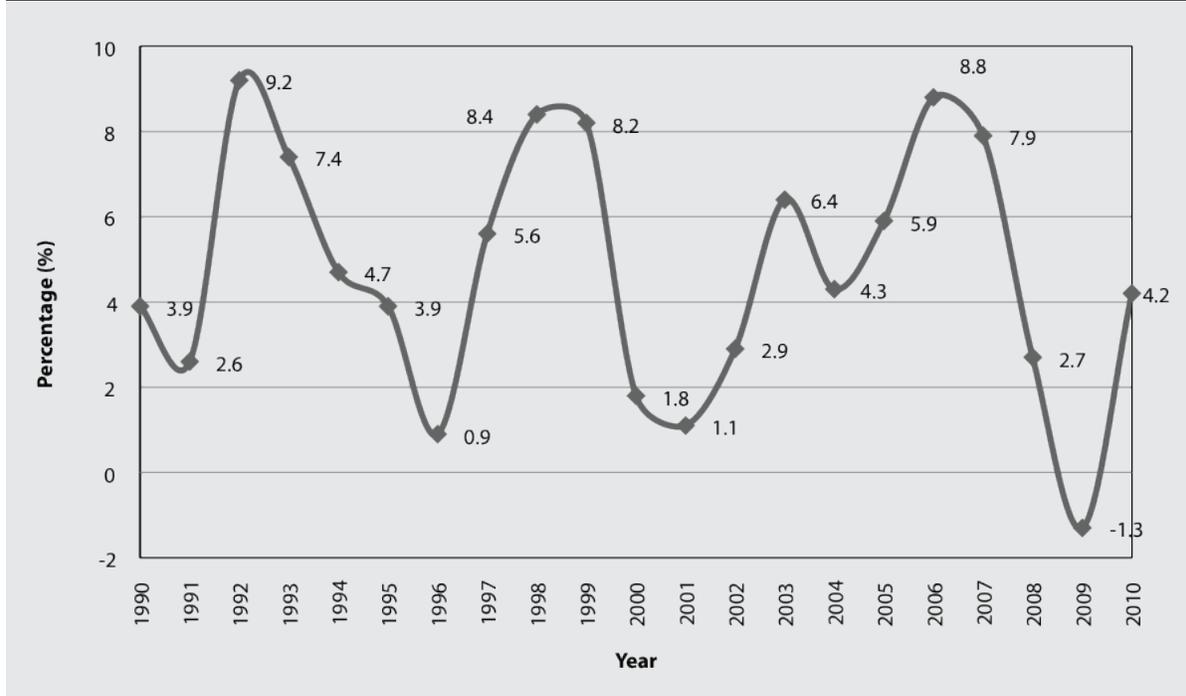
Source: BCCR.

Between 2003 and 2007, the Costa Rican economy grew significantly, at an average annual rate of 6.7 percent, which resulted in improving social indicators and, in particular, poverty reduction (Figures 1 and 3). The growth lost momentum in 2008 (2.7 percent) and became negative in 2009 (-1.3 percent)[18], to recover in 2010 (4.2 percent). For 2011, it was estimated at 4.3 percent.[19]

These figures reflect the impact of the international crisis of 2008 on Costa Rica, although the country had institutional conditions that avoided the devastating effects many other countries suffered. Accumulated fiscal reserves allowed for an expansion of social spending to mitigate the effects of the crisis. With the greater revenue that the growth allowed, a fiscal surplus was achieved in 2007-2008. But in 2009 and 2010 fiscal deficits (of 4.0 percent and 5.0 percent of GDP respectively)[20] were generated. Collection has since recovered. However, the net tax revenue was 13.2 percent.[21]

Economic and social policies have been intertwined in Costa Rica. Figure 2 shows that, since 1990, social expenditure grew progressively as a percentage of GDP and although it fell 0.4 percent between 2005 and 2006, it underwent a sustained growth process since 2006.

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18   That year exports and especially imports fell, fairly subject to external markets. Trade tax revenues fell, causing reductions of about 13.5 percent in GDP each year.

19   World Bank, 2011, p.5, with sources from the Ministry of Finance, Central Bank of Costa Rica and World Bank and IMF estimates.

20   The fiscal problem arose in the 1980s with the reduction in collection for trade opening. In the 1990s the country faced a large pension load (due to an increase of benefits) which resulted in large internal debt (rates which were onerous to the State) exacerbating the tax deficit. The tax policy changed in 2002, curbing public spending, Sanchez et al, 2010.

21   Ministry of Finance, 2012, pp. 39, 65.

Figure 2. Costa Rica: Progress of Spending in the Main Social Sectors*, 1990-2009 (% GDP)
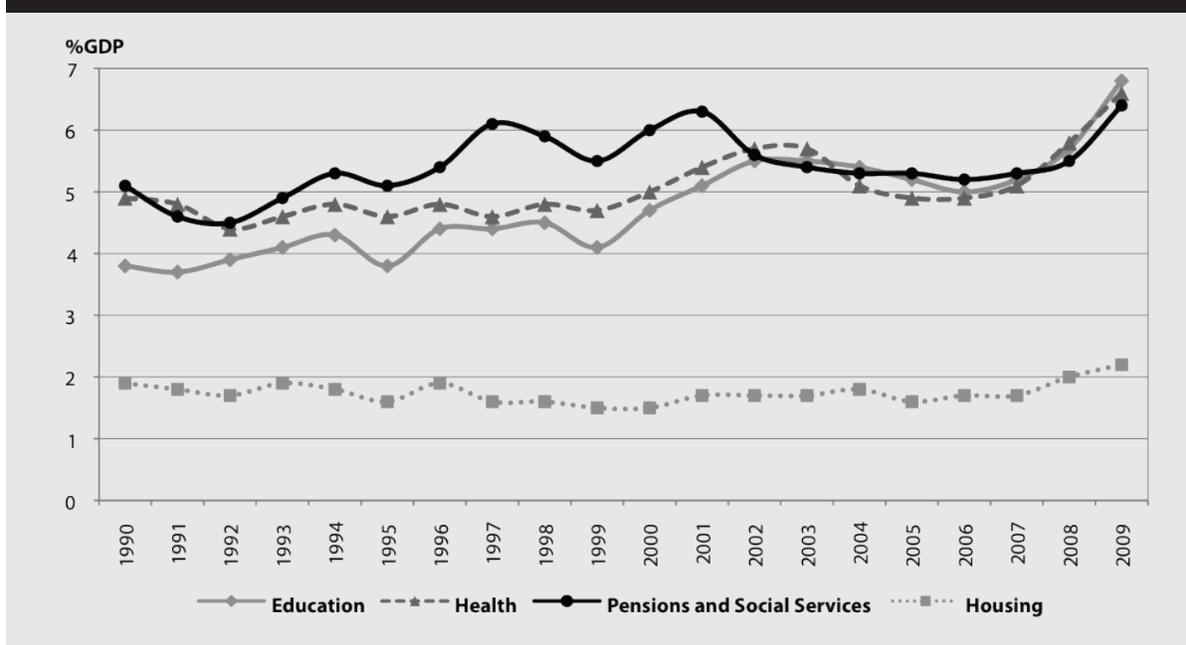
* The heading Housing includes other community services.
Source:Technical Secretariat of the Budgetary Authority of the Ministry of Finance and the Central Bank of Costa Rica

Prior to the crisis in 2008, the Government had implemented measures for the protection of household income, the extension of fringe benefit costs, unemployment benefits, the increased coverage of social services and pensions and the protection of the national finance system to guarantee the availability of credit. Social spending peaked in 2009 at 22.3 percent of GDP, the largest figure for the last 20 years.

Over the last few decades, the level of poverty in Costa Rica has remained between 15 percent and 20 percent. Extreme poverty has had, with slight variations, a decreasing tendency up until 2007. The economic crisis has brought about an increase in the levels of poverty and extreme poverty, greater in the first, as illustrated in Figure 3. The year 2010[22] showed for them levels of 21.3 percent and 6 percent respectively.

2.1.3 THE HUMAN DEVELOPMENT PERSPECTIVE

The 2010 Human Development Report ranks Costa Rica among countries with 'high human development' with a Human Development Index (HDI) of 0.725, placing the country at 62nd position on a worldwide level. In the Latin American context, Costa Rica has the fifth highest level of human development and its HDI is above the regional average (0.704).[23]

This position reflects progress in Costa Rica's human development levels in the past 30 years. Since 1980, the HDI has grown 0.6 percent annually, an increase from 0.599 to 0.725. The country has achieved progress in education, health and an increase in per capita income. Between 1980 and 2010, life expectancy at birth

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22   2010 is not comparable with the 1990-2009 data due to a change in methodology. According to the National Institute of Statistics and Census (NISC), this new methodology (ENAHO) refines measurement and captures the incidence of poverty better. See: <www.inec.go.cr/Web/Home/GeneradorPagina.aspx>.

23   UNDP, *Human Development Report 2010*, New York, 2010.

Figure 3. Costa Rica: Incidence of Poverty with Regard to Total Number of Households*
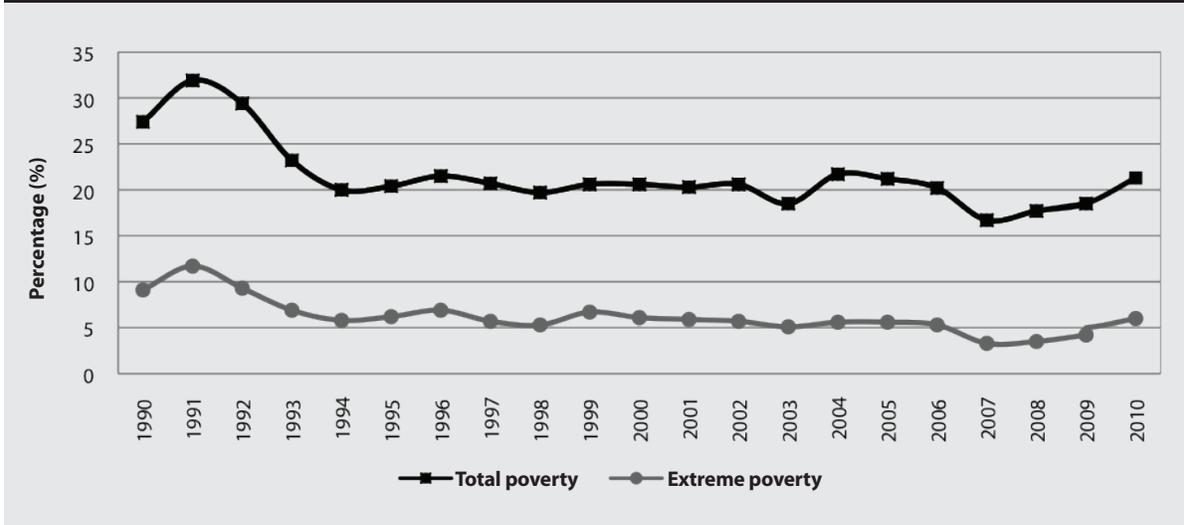
Source: INEC (2009, 2010).   * From 2010, the official estimation methodology changed.

rose from 72.6 to 79.1 and, in the same period, an increase in average years of schooling from 5.4 to 8.3 and expected years of schooling from 9.5 to 11.7. Likewise, Gross National Income (PPP) per capita increased from USD 3,290 in 1980 and USD 6,650 in 2000 to USD 10,830 in 2009.[24]

Despite a positive swing in the HDI indices over the past 30 years, Costa Rica faces important challenges. The gap between the HDI in the country and the regional average has been reduced in recent years. Thus, it can be pointed out that progress achieved by Costa Rica in comparison with other countries of the world and the region has lost impetus.[25]

Inequality has also presented a challenge. Although the country is less unequal than the average for the region, Costa Rica has considerable inequality in comparison with other countries at the same level

Table 2. Human Development Index in Costa Rica, 1980-2010

Year	HDI
1980	0.599
1985	0.609
1990	0.639
1995	0.668
2000	0.684
2005	0.708
2010	0.725

Source: UNDP, 2010 Human Development Report[26]

of development. The 2009 Human Development Report indicates that the Gini coefficient for Costa Rica is above the average for the 'high human development' group to which it belongs. Furthermore,

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24   In current international dollars; World Bank, World Development Indicators, 9 January 2012: <api.worldbank.org/datafiles/CRI_Country_MetaData_es_EXCEL.xls> (with the respective explanations)

25   UNDP Costa Rica, 'Regional Report on Human Development for Latin America and Caribbean 2010. National Document: Inequality in Costa Rica', San Jose, 2011.

26   The methodology of measuring the HDI constantly undergoes modifications intended variously to gain greater precision (see <hdr.undp.org/es/estadisticas/faq>). Growth tendencies for HDI values are calculated on the basis of measurement in a given year. The set of data in Table 2 is associated with the measurement made for 2010.

inequality has increased in the last 20 years; in 1990, the Gini coefficient for the country was 0.374, while in 2009 it reached 0.437. This inequality affects the level of human development of the population. According to the new Inequality-Adjusted Human Development Index (IHDI) presented in the 2010 Human Development Report, the HDI for Costa Rica is reduced by 21 percent when inequality is factored in.

Inequality in the levels of human development in Costa Rica is shown in large regional differences. The HDI varies significantly between cantons. In 2009, the highest level was 0.946 (the Montes de Oca canton) and the lowest 0.584 (Alajuelita), while it was 0.754 in the capital (San Jose).[27] In the central region (of the metropolitan area, to which San Jose belongs) 15.3 percent of the households are poor. The education average is 9.2 years and the rate of infant mortality is 8.6/1000 live births. This is in sharp contrast to the Central Pacific region, where 26.2 percent of households are poor, the average education is 7.5 years and the rate of infant mortality is 10.6 percent.[28] Although levels of poverty have been reduced in the last decade, geographically based gaps in the levels of human development have been maintained in that time.[29] It is worth adding that poverty conditions and inequality are particularly prevalent among women and youth, which add to the differences between cantons. According to the Multipurpose Household Surveys (MPHS) in 2009, females headed 37.5 percent of households in conditions of poverty (extreme and non-extreme) and 47.5 percent of the households in extreme poverty. This contrasts with the national total percentage of 31.7 percent of households (poor and not poor) headed by a female. There is also a sizable difference in comparison with the increase over previous years: between 2006 and 2009 of 1.3 percent in non-extreme poverty and 3.4 percent in extreme poverty.[30]

A worrying problem for the country in the last decade has been citizen security. This has been one of the main priorities of the last three NDPs (see section 2.2). The NDP of the current administration indicates that concrete expressions of the phenomenon include an increase in traditional forms of crime, victimization rates, extortive kidnapping and hired assassination, as well as regionalization of certain types of crime.[31] The plan indicates growing perceptions of citizen insecurity and consequent dissatisfaction, producing tensions with the values of social protection and respect, which would indicate a tendency to a deterioration of coexistence. In this area, there are also regional differences. In the central region, 81 percent of cases reported to the Judicial Investigations Department of Costa Rica in 2008 concerned crimes against property. In Huetar Atlantica it was 71 percent. On the other hand, in the latter, crimes against human life represented 10.4 percent (the highest percentage in the country), while in the Central region it was reported to be 7.1 percent.

Costa Rica took on the commitment, with the international community, of fulfilling the main aims of the Millennium Development Goals, (MDGs), derived from the Millennium Summit held in 2000, whose principal aim is to promote

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27 UNDP-UCR, Cantonal Atlas of Human Development in Costa Rica, 2011: <www.pnud.or.cr/mapa-cantonal/<www.pnud.or.cr/mapa-cantonal/>.

28 INEC, 'Multi-purpose Household Surveys and Statistics', 2009.

29 MIDEPLAN, 'Costa Rica: regional statistics 2001-2008', Ministry of National Planning and Economic Policy (MIDEPLAN), Development Analysis Area for San José, 2009.

30 INEC 2009: "C.03 Households with known income, poverty status, region, household characteristics for 1997-2009.xls" in <www.inec.go.cr/Web/Home/GeneradorPagina.aspx> (Historical Series.) EHPM is used and not the new type of survey (ENAHO) by reference to comparability over time.

31 MIDEPLAN, "PND, 2011-2014", 2014', p.61. Traditional forms would include theft, drug offences, and murder. The aforementioned regionalization includes offences such as drug, arms and people trafficking, the transportation of illegal immigrants and smuggling.

human development in the world. In seeking to meet this commitment, the Government included the principal aims of the MDGs in its NDPs for 2006-2010 and 2011-2014. Given that the country started from a relatively high level in regard to these objectives, the associated aims were reconfigured with a special focus on disadvantaged and vulnerable groups.

The second report on fulfilment of the MDGs in Costa Rica (2010) acknowledges a positive step forward in the achievement of the national targets, which heralds the possibility of reaching 2015 with a good part of the aims achieved. According to the MDG Monitor[32] criteria, the objectives relating to infant mortality, maternal health; HIV/AIDS, malaria and other illnesses; and sustainability of the environment are 'very close to being reached'. Those regarding poverty, education and gender equality can be classified in each case as 'possible to reach if some changes are made'.

2.2   STRATEGIES OF NATIONAL DEVELOPMENT

Faced with these large aims, administrators have included their strategies in the NDP, where priorities and objectives of each Government are set out.

The NDP for 2002-2006, under the administration of Abel Pacheco, was structured along five axes: 1) development of human capacities in the various social sectors; 2) stimulus and economic growth to create employment; 3) citizen security and justice; 4) modernization of the State, external relations and international cooperation; and 5) environmental harmony.

The NDP for 2006-2010, of the Oscar Arias government, launched two major policies that were, at the same time, international campaigns. One, Peace with Nature, was geared towards the promotion of principles and practices of

environmental sustainability. The other, Consensus of Costa Rica, sought to address the decreasing international cooperation by proposing formulas of eligibility based on the proper fulfilment of human development. The NDP for this period included both policies as part of its proposals and incorporated the MDGs. The document establishes priority goals, which correspond to one or more axes of public policy, and to each one of them, various strategic actions in the areas of: 1) social policy; 2) productive policy; 3) legal and institutional reform; 4) environmental sustainability; and 5) external policy.

The 2011-2014 NDP, which corresponds to the current presidential period of Laura Chinchilla, also systematically assimilates the MDGs and includes an appendix with sectoral guidelines. The plan contains a wide matrix of strategic actions for each proposed goal[33] which, as the 'Country Vision' specifies, are: 1) a more supportive and fairer nation, attending to households living in extreme poverty and lowering the rate of unemployment; 2) a nation that is more competitive and better connected with the global dynamic, with an annual growth rate of 5 percent to 6 percent with sustainability at the end of the period, improving the position of the country in the Competitiveness Index and maintaining a low and stable rate of inflation; 3) a more secure nation, with a reduced growth rate of the more serious and frequent crimes; and 4) a nation with strengthened democratic governance and state modernization.

2.3   THE ROLE OF DEVELOPMENT COOPERATION

In Costa Rica, international organizations have multiannual programmes framed in country strategies and formulated together with the national Government. The Ministry of Planning and Economic Policy (MIDEPLAN) is the institute in charge of defining priorities of international

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32   It is a website that gathers information on the fulfilment of MDGs at a global and country level, created by a United Nations initiative, (only available in English) <www.mdgmonitor.org/index.cfm>.

33   Under four strategic lines: security and social peace; social well-being; competitiveness and innovation; environment and land use regulations, with two cross-cutting axes, modernization of the State and external relations.

cooperation that enters the country based on objectives of the NDP.[34] From 2002 to 2005, the total annual volume of international cooperation fluctuated between 2 percent and 6 percent of GDP.[35] Figure 4 shows the contributions from international cooperation to Costa Rica since 1990.[36]

MIDEPLAN reports that from 1990 to 1999, cooperation for development declined worldwide, but the decrease was greater in Costa Rica. This organization notes that, according to a report by the UN Secretary General[37], the global flow decreased at a rate of 5.33 percent, while in Costa Rica it declined at a rate of 17.65 percent. Furthermore, the level of development of Costa Rica and its status as a middle-income country dates occasioned, since 2000, the withdrawal of bilateral agencies such as the United States, Canada and the Netherlands.[38]

As shown in Figure 4, one of the stages of low flow of non-refundable international cooperation

Figure 4. Progress of Non-Refundable Cooperation in Costa Rica, 1990-2008
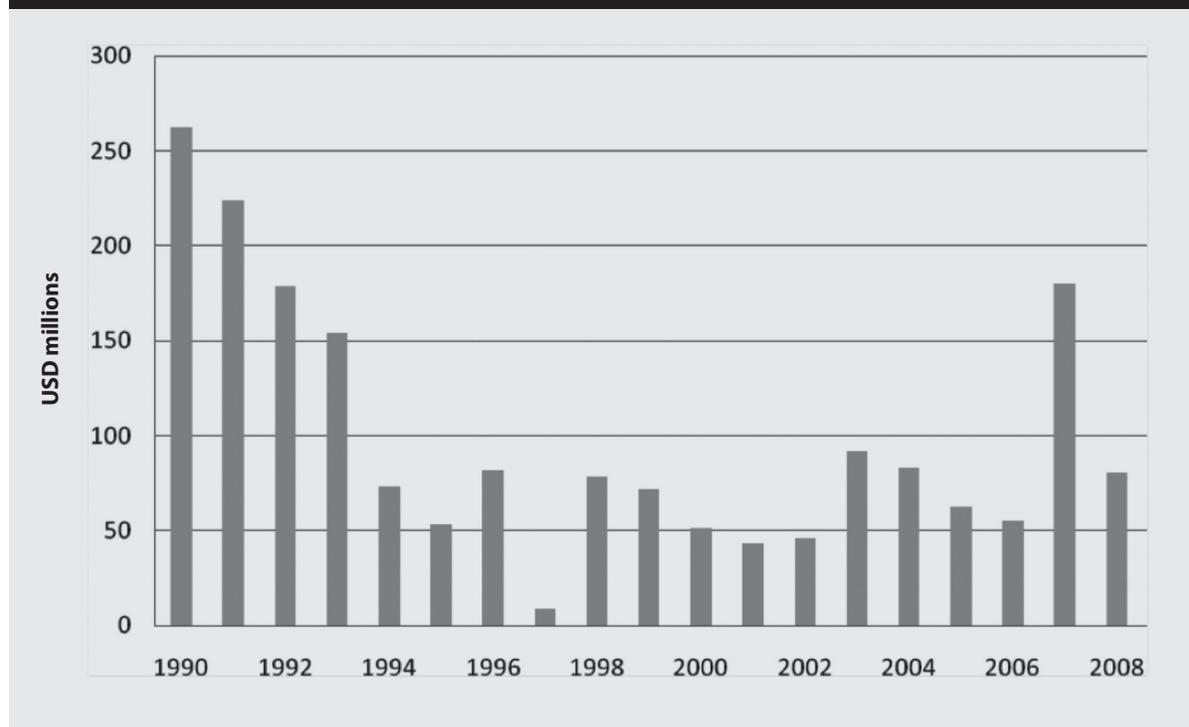
Source: MIDEPLAN, *Comportamiento de la cooperación internacional en Costa Rica 2006–2008*, MIDEPLAN, UNDP, Embassy of Spain and AECID, San José, 2010, p. 9.

34   Article 11 of the National Planning Law No. 5525 and Decree No. 33206-PLAN. The Ministry of Foreign Relations shares presidency with MIDEPLAN with regard to international cooperation.

35   MIDEPLAN, 'Diagnostic of the International Cooperation in Costa Rica 2000-2005', San Jose, 2007, pp. 46-47.

36   In this section, the most recent data refers to MIDEPLAN, 'Strategy of Non-Reimbursable Cooperation 2010-2014', PowerPoint presentation, 2010 (online) and MIDEPLAN, 'Behaviour of International Cooperation in Costa Rica 2006-2008', MIDEPLAN, UNDP, Spanish Embassy and AECID, San Jose, 2010. Likewise, OECD, 'Statistics on Resource Flows to Developing Countries', Development Cooperation Directorate (DCD-DAC), 2011.

37   This refers to the Report of the [former] Secretary General of the United Nations, Kofi Annan, *We the peoples: the role of the United Nations in the 21st Century*, 2000.

38   MIDEPLAN, 'Diagnostic of the International Cooperation in Costa Rica 2000-2005', San Jose, 2007, pp. 52, 111.

Figure 5. Bilateral Assistance for Development (DAC)
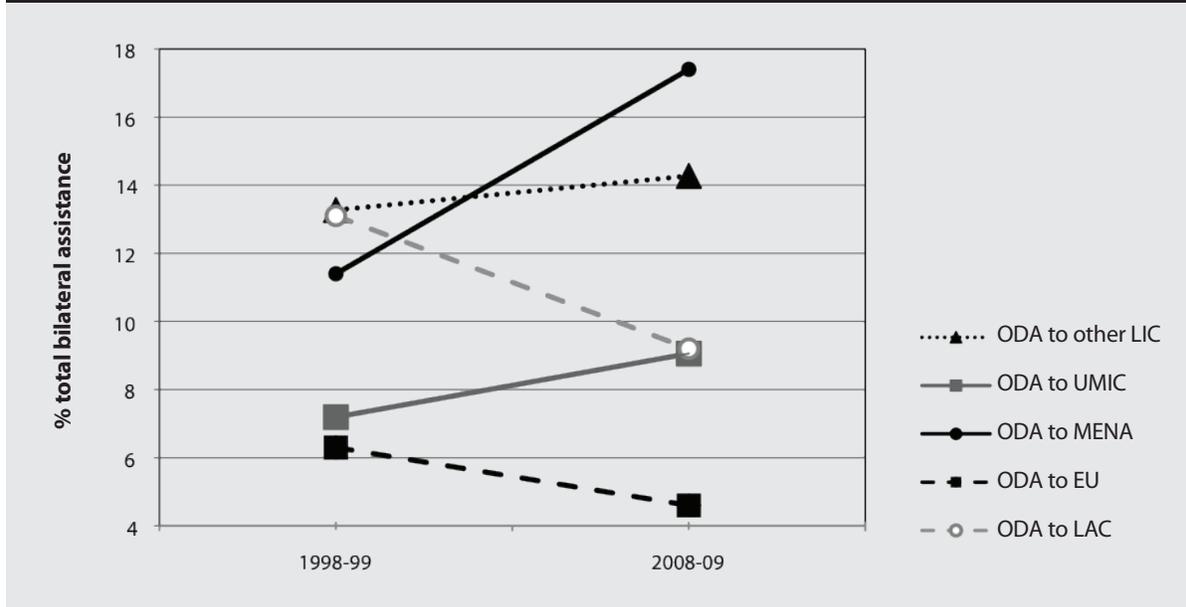
Legend: ODA – Official Development Assistance, LIC – Low-income countries, UMIC – Upper-middle income countries, MENA – Middle East and North Africa, EU – European Union and LAC – Latin America and the Caribbean.

Source: OECD, *Statistics on Resource Flows to Developing Countries Development Co-operation Directorate.*

was given between 2000 and 2003, while in 2007 there was an increment of more than 200 percent over the previous year. During the period 2006-2010, the country received non-refundable international cooperation for an amount of USD 520.2 million.[39]

Figure 5 shows tendencies of bilateral coopera-tion for different groups of countries, including those in Latin America and of medium-high income, to which Costa Rica belongs. It can be seen that the flow has diminished profoundly in the region from the first to second period; however, that directed at countries of medium-high income has increased. The last OECD report (2011) regarding international cooperation indicates that, in the following years, multilateral and bilateral assistance will tend to channel aid to the countries with lower incomes, with a growth flow inferior to that of past years.[40]

MIDEPLAN[41] indicates that the image that Costa Rica has attained in the world has encour-aged the participation of international financial institutions in development projects and invest-ment, both public and private.[42] Between 2006 and 2009, the composition of cooperation became 17 percent of non-reimbursable assistance versus 83 percent of loans. The development achieve-ments of the country and the greater participa-tion of multilateral financial entities have become a factor that, in the long run, could de-accelerate

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39   MIDEPLAN, 'Strategy of Non-Reimbursable Cooperation 2010-2014', 2010, Slide 7.

40   OECD, *Development Co-operation Report 2011 Annex A: DAC members' aid performance in 2010,* 2011, p.141.

41   MIDEPLAN 2009 and 2010. The following paragraphs convey this calculation unless where indicated with an alterna-tive or additional reference.

42   For example, after almost ten years of negligible participation, the World Bank returned to Costa Rica strongly with its second strategy (09-FY11 Country Partnership Strategy, CPS). The third was approved in June 2011. World Bank and IMF, 'Country Partnership Strategy (FF2012-2015) for the Republic of Costa Rica', 10 June 2011.

the registered progress and even undo some concrete achievements if different international donors consider the country as a non-priority recipient of development cooperation. Thus, the Government considers that the idea of Costa Rica not requiring external resources (above all, of a non-reimbursable nature) is inaccurate.

The express objective of the Costa Rican Government continues to be to attract international cooperation, including non-refundable, and channel it towards priority areas for the development of the country. The agenda corresponding to MIDEPLAN explicitly tries to comply with the principles of the Rome Declaration regarding harmonization, and the Paris Declaration regarding the efficacy of development cooperation (although Costa Rica is not a signatory), appropriation, alignment, harmonization, management oriented towards results (which is part of the goal to modernize the State in general) and mutual responsibility. It also sets out priority themes to decrease internal gaps in human development, in particular citizen safety, programmes focusing on the most vulnerable, environmental sustainability and competitiveness.

The 2006-2010 NDP sets out the review and restructuring of the management of international cooperation with a sectoral agenda and a database for management. The aim was to guide non-refundable resources to strategic programmes, avoiding the duplication of functions and institutional, information and programme dispersion. The starting point for this was the regulatory and institutional framework, with the Government seeking to counteract the institutional atomization of the management.[43]

South-South cooperation. The Government maintains that Costa Rica is a country which can and should transfer knowledge to other countries through South-South cooperation and emphasizes the support of international cooperation to obtain resources for triangular cooperation.

Since 1997, Costa Rica has made efforts to encourage horizontal cooperation with institutional modifications, regional systematizations and workshops. For 2002, a series of assistance actions with Latin American countries and Organization of American States funding had materialized. The following year, a new emphasis on best practices was adopted, with an electronic platform for the Costa Rican offer. Towards the end of 2003, an offer from Costa Rica to the Central America-Republic of China Fund was approved to create an exchange network of institutional expertise with countries friendly to the Republic of Taiwan (and its financing). A web space was created in the framework of the Central American Integration System (CAIS) to list best practices of each country. In 2003, an Environmental Solutions Fair took place with the support of UNDP.

Thanks to Dutch support, since 2002 Costa Rica has participated in a transfer of knowledge programme with Benin and Bhutan in practices, for example, of sustainable biodiversity, management of natural resources and energy efficiency. This programme, Partners in South-South Cooperation, received the United Nations Partnership Award for South-South Cooperation in 2010 and a special acknowledgement for being one of the most innovative solutions in the Environmental and Climate Change Forum.

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43   A major element associated with this objective is the national mechanism for the receipt and administration of external resources. Another point, a source of the previous, is the rigidity of the controls and regulations (not very favourable to the time framework limits of cooperation projects). The management of the international cooperation has been atomized in such a way that priorities have been set for each body and the link with their donors has been bilateral and direct. There are no integral laws or regulations specific to international cooperation. Progress has been made with standards that better define the areas of competence for MIDEPLAN (managing cooperation) and for the Ministry of Foreign Affairs (relationship with donors) but there are still different parts of regulations that assign functions to ministries and autonomous institutions. See MIDEPLAN, 'Diagnostic of the International Cooperation in Costa Rica 2000-2005', San Jose, 2007, pp.114-116; AECID, 'Quality Evaluation of Spanish Aid to Costa Rica: Technical Assistance Report', by Carlos Sojo (in collaboration with Montserrat Blanco), Costa Rica: AECID, 2009, pp. 4-6, and MIDEPLAN, 'Costa Rica: Millennium Development Goals, II Country Report', San Jose, 2010, p.153.

At the Latin American and Caribbean level, Costa Rica maintains actions and projects of bilateral and subregional South-South cooperation with some countries. For example, in 2009, it took part in projects, as a bidder, with Brazil, Colombia, Ecuador, Mexico and the Dominican Republic. As the receiving party, it participated in 43 projects of some of those countries and with Argentina and Uruguay. With regard to triangular cooperation, it participates in programmes with Japan-Brazil, Japan-Chile, Inter-American Development Bank-Chile, with Guatemala and Honduras and with Germany towards Salvador and Nicaragua. At a global level, in addition to programmes that include non-Latin American countries, it is developing triangular initiatives with France, Austria and the Netherlands and highlights the progress with Spain to activate triangular cooperation with each of them. There have also been exchanges of experience in cross-border management with Peru, Ecuador, Panama and Nicaragua.

Chapter 3
UNDP RESPONSES AND STRATEGIES

3.1 STRATEGY AND COORDINATION OF UNDP WITH UNS

The UNS and UNDP in the country.[44] The United Nations System (UNS) of Costa Rica is comprised of 14 agencies. The role of UNS Resident Coordinator falls under the charge of the Resident Representative of UNDP. As leader of the UNS Country Team, the Resident Coordinator leads the coordination and support of the action of its members to strengthen the quality of the cooperation of the system with the country. The Framework Agreement for Cooperation between Costa Rica and UNDP came into force in August 1973.[45] Since 1976, after its approval in the Legislative Assembly, it has acquired the status of an international agreement. The action of the UNS in the country has the UNDAF as a reference, which is prepared every five years in consultation with the State and governs each agency (together with the guidelines of its own regulatory framework), including UNDP.

Profile of the UNS: policies and deliberation in a progressive framework of consultation. The presence of the UNS in the country has been directed principally at contributing to the preparation of public policies with a framework on the focus of rights and the promotion of dialogue and agreement, in particular, through the support and instruments of national planning, strategies and framework of action (both the State in its entirety and at sectoral level). Each agency has put this orientation into practice in its thematic specialization and the system has made common initiatives. The UNS has also supported the Costa Rican State in the adoption of agreements and instruments of protection and the promotion of human rights and their basic values. The cooperation of the UNS and UNDP with Costa Rica is based on the Common Country Assessment (CCA)[46] whose preparation includes participative consultation, information and indicators of support.

Joint learning with the UNS. In 2006 the UNS used a consultation process similar to that of 2000 for the programming of the subsequent period and, in 2007, during preparation, under new corporate guidelines, of the 2008-2012 UNDAF. This document brings together the Costa Rican Government's initiatives and those arising from the MDGs and other international commitments taken on by the State. A process of internal reinforcement was carried out aimed at incorporating the focus of human rights in joint programming and in each agency in the same way as the internal reform of the United Nations at the global level, in the formulation of the 2008-2012 UNDAF in Costa Rica. Since 2002, these training and joint programming have allowed the UNS to put together a series of thematic interagency groups and tasks oriented at boosting common initiatives (e.g., gender, disasters, communications, learning strategy regarding HIV/AIDS, MDGs, common services as well as the technical group).

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44 Documents consulted in this chapter include Resident Coordinator's Annual Reports (RCAR) for 2002 to 2010 and diagnostic and programming documents of the UNS and UNDP: CCA 2000, UNDAF 2002-2007 and 2008-2012, CCF I and II, CPAP 2008-2012 as well as presentations (PowerPoint format) of the Coordination Office of the UNS and web pages of UNDP and UNS in Costa Rica.

45 UNDP Costa Rican Government Framework Agreement signed on 7 August 1973 and ratified by the Law No 5878.

46 The CCA is the joint diagnosis undertaken by the UNS and the State of Costa Rica. It serves as a basis for planning by the agencies for the period. In the period under assessment, the UNS of Costa Rica produced two CCAs (2000 and 2007).

The contribution of the UNS and of each agency is structured around the areas of cooperation that the UNDAF establishes. In the on-going period (2008-2012), these areas are: an inclusive, sustainable and equitable style of development, public policies, citizen participation, sustainable environment and socio-cultural practices. Based on the areas of cooperation agreed in the UNDAF, the UNS has developed joint programmes among various agencies, which are implemented in this period, through the Spanish MDG Fund of UNDP[47], among which feature the following:

1. Culture and Development: promotion of intercultural policy drive and cultural diversity through the creation of cultural and artistic space.

2. Employment, Youth and Migration: promotion of employment and entrepreneurship of the youth through a unified service-provision window (venue).

3. Construction of Peace: formation of coexistence networks and communities without fear.

4. Development and Private Sector Programme: boost of a model of competitiveness for the supply chain with an emphasis on rural tourism and agro-industry in the region of Brunca.

Contribution to achieving the MDGs and the commitments of the country. The four programmes of the MDG Fund that the UNS convened with Costa Rica (USD 17 million for three years) signified not only an important boost to the system in the country, but also accentuated the commitment of the State and the priority that this offers to fundamental objectives, such as human development. Thereby the country increased the counterpart in each programme (around twice of what was originally foreseen) at the same time, facilitating the expansion of possible impact. The UNS has likewise supported the country in the incorporation of the MDGs in public policy and other instruments of the State in its dissemination among civil society, in the academic field and the private sector. The UNS collaborated, likewise, with the State to produce Country Reports 1 and 2 on the progress of fulfilling the MDGs and contributed to adapting the goals to the national situation. For its level of development, Costa Rica demonstrated indicators close to or in line with the goals established internationally. The UNS supported the process of reconfiguration of the goals and actions to focus on disadvantaged or vulnerable groups.

Another commitment of the country that received support from the UNS was the 2009 process of the Universal Periodic Review (UPR) of Costa Rica, in which it contributed to: i) the production of the inter-agency report which formed part of the compilation that the United Nations High Commission for Refugees (UNHCR) should present within the framework, and ii) the formulation of the Costa Rican Country Report, offering inputs.[48] In a similar way, it provided inputs to the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) for the revision of the country report regarding the fulfilment of Costa Rica in this area.[49] There have also been contributions in terms of childhood and adolescent rights, for example, for the Costa Rican State Report on its follow-up.[50]

Support base for the work and coordination of the UNS. The coordinating function of the UNS

47　See <www.nacionesunidas.or.cr/index.php?option=com_content&view=article&id=210&Itemid=134>.

48　The UPR is a mechanism of the United Nations Human Rights Council supporting through supervision. This is the review, every 4.5 years, of the human rights situation in each member country. The country reports to the Council, which, and through this and a consolidated report from the OHCHR (including input from local NGOs), prepares a final report with recommendations for the State and the compliance review process from the report. The OHCHR is the Office of the UN High Commissioner for Human Rights.

49　For the periods 1998-2002, 2002-2003 and 2003-2007. They are respectively considered by the committee in 2003 and 2011.

50　This programme began in 2003. Originally, Costa Rica should have been part of the 'One UN' initiative that emerged from the UN to advance the harmonization and unification of processes between the agencies of a country. The initiative was never formalized and was eventually dismissed.

counts on a support team led by the Resident Coordinator. It comprises the areas of communication, monitoring and follow-up. Its work is directed at facilitating the internal coordination and the positioning of the UNS and the themes and values that it sponsors (for example, via communication campaigns). The UNS forms part of the joint office model, via which some agencies share installations (UNFPA, UNICEF and UNDP). This has permitted a widening of inter-agency cooperation. The current joint programmes have contributed to energizing the process and instruments of coordination among participating agencies, especially through the monitoring unit and SICON data platform (information system for convergence) on the web. SICON includes an administration tool, which is utilized for joint programmes to offer detailed information about its activities and products with the aim of orienting officers' decisions, coordinating joint actions, interchanging products and resources, avoiding duplication of efforts and identifying opportunities.[51] This tool was also designed with a perspective of helping to strengthen the UNS coordination. The office of the current Resident Coordinator indicates that it will be utilized later for the monitoring and evaluation of the future UNDAF.

3.2 ORGANIZATION AND PROGRAMME OF UNDP OFFICE

3.2.1 OPERATIONAL CONTEXT AND FRAMEWORK 2002-2010

UNDP strategic instruments have been adjusted to the evolution of the approaches that have taken place at UNDP at the global level as well as at the UN to re-orientate the mission and strengthen results.

As already indicated, the framework under which

the UNS operates in the country is the UNDAF. The UNDP's global planning documents are: the Multi-Year Funding Framework (MYFF) of which there are two for the period evaluated (2000-2003 and 2004-2007); and the UNDP Strategic Plan 2008-2012. At the country level, the following planning documents have been used: the 2002-2006 Country Cooperation Framework, extended to 2007 (CCF II), and the 2008-2012 CPD. Between 2004 and 2007, UNDP Costa Rica action was also guided by the Strategy of Cooperation for the development of UNDP for the years 2005-2006, which was updated and extended until 2007. This planning tool replaced the CCF II, which is related to a stage of continual, structural and managerial changes that the organization underwent from 2000.

Table 3 sets out the group of instruments that govern the intervention of UNDP Costa Rica in the evaluated period and their alignment with the national planning instruments of the UNS and UNDP.

3.2.2 STRATEGIC RESTRUCTURING AND REPOSITIONING OF UNDP IN COSTA RICA

The first years of the 2000s saw a significant reduction in funds, which affected the programme and organization.[52] A difference in interpretation also emerged as a result of a brief experience of cost-sharing[53] with the Government, which affected the image of UNDP.

In 2001, a revision took place in Costa Rica of the organizational structure of the office to adapt it to the new vision of the global UNDP, similar to the one undertaken in other countries by corporate alignment. Later, UNDP Costa Rica undertook

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51   <www.pcconvergencia.com/User/texto.aspx>.

52   In 2000, the complex situation of the office included a lack of prospective projects ('no *pipeline*'), a shortage of resources to implement ongoing projects and sustain the office, and difficulties in the actual running of the office. See the presentation 'The UNDP Costa Rica' (PnudCos_Elena.ppt, June 2000).

53   It is a model for mobilizing resources centred on the provision of administration services for development. One of the objectives of UNDP headquarters is that the operation of the country offices includes the execution of public resources in the country (*cost-sharing*) in order to foster the appropriation of initiatives and the strengthening of capacities.

Table 3. UNDP Costa Rica Planning Framework, 2002-2011*		
Field	**Programme Cycle**	
	I (2002-2007)	**II (2008-2012)**
Costa Rican Government	NDP 1998-2002 NDP 2002-2006 NDP 2006-2010	NDP 2006-2010 NDP 2011-2014
United Nations Development Programme	MYFF I 2000-2003 MYFF II 2004-2007	UNDP Strategic Plan 2008-2011
United Nations System in Costa Rica	UNDAF 2003-2007	UNDAF 2008-2012
UNDP Costa Rica	Second Joint Cooperation Framework 2002-2006 (CCF II) [Strategy 2005-2006, Updated to 2007]	Country Programme Document 2008-2012
UNDP Costa Rica with the Costa Rican Government		Country Programme Action Plan 2008-2012

* The evaluation team did not have access to the UNDAF 2003-2007, but its results framework appeared in the annual results reports that were included in the RCARs for the period.

additional restructuring to adapt to the new priorities and financial constraints.

Successive processes of restructuring brought significant changes in the organization in order to face the situation. At the same time, a strong effort was undertaken to reconfigure the programme, focusing on the contents of human development and proportioning the organization of the office towards this aim and to the changing reality of the country.

Brief application of the cost-sharing model. Over some years, the country office had attempted to introduce this model of execution, but faced regulatory constraints and resistance in some sectors. In 1999, for the first time, UNDP materialized this type of administration agreement for

national funds in Costa Rica with which projects were initiated with the Joint Institute for Social Aid (IMAS) and the Costa Rican Institute of Electricity (ICE).

However, legal difficulties arose as the State (above all, the Comptroller's office) and UNDP held different interpretations of regulations and procedures governing the execution of projects.[54] Likewise, the opposition of some sectors was renewed and media reports combined with a negative pre-disposition of public opinion on of international cooperation as an intermediary taking part in the administration of state funds. The widespread media reporting that accompanied this theme negatively affected the image of UNDP. The country office continued presenting legal documentation to overcome the differences

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54   According to the 2005-2007 strategy, as of 1998, UNDP Costa Rica entered into verbal agreements with both representatives of the Government and the Comptroller: by virtue of these, cooperation conventions (framework or specific) were signed *apart from* the PRODOCs (Project Documents) including the requirement for additional endorsements by the State. The PRODOCs are the only instruments considered by the Basic Agreement and, therefore, are binding on UNDP. But, as UNDP Costa Rica had not objected to either the conventions or the endorsement, the Comptroller interpreted that the cooperation agreements must be regarded as contracts subject to Costa Rican regulations and their resulting proceedings. This is the central point of the discrepancy as, in contrast, the Basic Agreement takes primacy for UNDP as it has the status of international convention and is only subject to the Costa Rican Constitution. See UNDP Costa Rica, 'Strategy 2005-2007', San Jose, pp.15-17.

in interpretation and finally, in 2005, decided to no longer administer state funds.

Repositioning based on programmatic content. At the end of 2002, UNDP began an effort of repositioning on the basis of its substantive content, which clearly consolidated the 2005-2007 strategy. The new strategy included incorporation of a communication and advocacy team guided to support as much the general advocacy work of UNDP as the areas and activities of the programme. With this support, in the following years, UNDP centred its intervention and public image in its substantive contributions, making human development particularly visible, as will be seen in the following chapter. Already by 2005, UNDP had achieved a renewed presence in thematic forums and public policies and in alliances and actions of cooperation with the Costa Rican State, academic circles and civil society.

In the second programmatic cycle examined and during the tenure of the current Resident Representative, this strategic focus has been maintained and revitalized from an environmental perspective, as described in the following section. The strategic effort is directed at complementarily strengthening the focus of human development, accentuating substantive aspects (the human development consequences) and the incidence of environmental-sustainability contents and values at the level of public policy and state commitments. In this way, a new strategic impetus was brought that addresses the restrictive financial conditions as well as the context of opportunities and seeks to carry forward, on this basis, the repositioning initiated in the previous cycle.

Structure of the programme and definition of the development results *(outcomes).* The said reorientation of the programme was implemented between the first (2002-2007) and second (2008-2012) programming cycles examined in this evaluation, and is reflected in the new contents and the mainstreaming of the human development

Table 4. Thematic Areas Per Programmatic Cycle			
Cycle I (2002-2007)		**Cycle II (2008-2012)**	
2002-2006 CCF2 MYFF 2005-2007	**2005-2007 UNDP Costa Rica Strategy UNDP Atlas**	**UNDP Atlas**	**CPD UNDP Costa Rica**
Reduction in poverty	Reduction in poverty and achievement of the MDGs	Reduction in poverty and achievement of the MDGs	Reduction in poverty, inequality and social exclusion*
			Human development**
Environment and energy	Environment and energy	Environment and energy	Environment, energy and risk management
	Crisis prevention and recovery	Crisis prevention and recovery	
Democratic governance	Democratic governance	Democratic governance	Democracy and governance
Information technology for development	HIV/AIDS	HIV/AIDS	Gender equality and fairness**
	Cross-cutting themes	**Cross-cutting themes**	**Other cross-cutting themes**
	Human development	Human development	Human rights and sustainability
	Gender	Gender	HIV/AIDS

* Incorporates HIV/AIDS. ** Programmatic area and cross-cutting theme.

approach. The guidelines of UNDP at the global level were incorporated into the programme configuration by area.

Table 4 summarizes the profile of the programme areas, according to the definition established by UNDP at the global level and the country office during the period, and presents the changes produced in the definition of the programme areas in 2005.

The 2005-2007 strategy thus establishes new programmatic areas that displace those initially set out in the CCF II. For the second part of the 2002-2007 cycle, the corporate definition of the thematic areas introduced crisis prevention and recovery and HIV/AIDS.

In the second cycle (2008-2012), the following feature as the programmatic areas effective in UNDP Costa Rica:

1. Environment, energy and risk management, which subsumed the theme of crisis prevention and recovery;

2. Reduction of poverty, inequality and social exclusion, that incorporated HIV/AIDS;

3. Human development;

4. Gender, as a specific area of action. From a substantive perspective, an additional element (underscored below) is the theme of citizen safety that, framed under the human development approach, came to occupy a very important place in the programme since the formulation of the 2005-2007 strategy.

The new contents show more clearly in the definition of the strategic outcomes (in English documents, UNDP uses the term outcomes[55]

for these results). Table 5 details the expected outcomes for each programmatic period, Cycle 1 (2002-2007) and Cycle 2 (2008-2012).

Development results *(outcomes)*. The framework of expected outcomes governing the country programme during the period is balanced in number (10 outcomes in each cycle). From one cycle to another, the distribution among thematic fields becomes more even in quantity. In the second cycle, three outcomes are allocated to human development and poverty (11 and 12, 15), compared to two in the previous cycle (2 and 8). In the environmental sphere there are two outcomes (16, 17), and one in risk management (18), compared to the previous four (3, 4, 5, 7). Currently, in the area of governance, there are two outcomes (13, 14), and two additional for gender issues (19 and 20), while in the previous cycle there were three for governance (1, 9, 10). Outcome 6 refers to the quality of the processes and services of the country office; in effective terms, it used to include initiatives from the diverse thematic areas that were often later relocated with more apparent consistency.[56] The new distribution reflects the rationality introduced through the process of restructuring the office and the programme.

With regard to content, a high degree of generality in the formulation of the results was observed except for those on environmental issues and the NHDR in the first period. This generality is translated into some overlap between one result and another, by alluding to broad processes or themes; for example, outcomes 13 and 15 could subsume the majority of the rest. In this sense, the formulation is not sufficiently precise and the contours between outcomes are not very well demarcated.[57]

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55 The English term *outcome* denotes an added result from a perspective much wider than *output* (direct product of a project or activity). *Outcome* expresses the sense of the word 'strategic result of development' in the context of this evaluation.

56 This complicated the situation for the evaluation team when monitoring the correlation between projects and outcomes.

57 It should be noted that this feature is transferred to the UNDAF by means of results included in it by UNDP Costa Rica from the framework of the country programme.

Table 5. Expected Outcomes of the Country Programme in Cycles 1 and 2	
Cycle 1	
Outcome 1	National dialogue on responsible governance and democratization instituted.
Outcome 2	Capacities of local rural and urban governments, and alliances with them, developed regarding policy formulation, service provision and resource management.
Outcome 3	Water governance framework addressed at national level.
Outcome 4	Greater access to cleaner energy, electricity and fuel services.
Outcome 5	Local governments and communities empowered for better management of the biodiversity and ecosystem services.
Outcome 6	Not in use. UNDP service centres provide efficient and transparent services to a range of national actors: *outcome* not associated with a principal result*.
Outcome 7	Compliance with Montreal Protocol's ODS withdrawal schedules.
Outcome 8	HDR produced, addressing the theme of national priority.
Outcome 9	Events and national dialogue forums on key development themes organized.
Outcome 10	National governance agenda on state reform, decentralization, participation and political parties, accountability with a focus on human development promoted by key partners.
Cycle 2	
Outcome 11	Favour the adoption of human development principles in national planning and evaluation.
Outcome 12	Strengthen capacities to generate and use information and knowledge on human development in Costa Rica.
Outcome 13	Support processes aimed at adjusting the role and operation of the State to the national, regional and international context.
Outcome 14	Promote processes for national deliberation and social dialogue.
Outcome 15	Promote the discussion and consolidation of the concept of human development and stimulate fair distribution of wealth and opportunities in the national and regional sphere.
Outcome 16	Contribute to the institutional strengthening and capacity building of relevant actors in the environmental and energy sectors.
Outcome 17	Strengthen mechanisms for the prevention, adaptation to and mitigation of climate change.
Outcome 18	Assist in the development and strengthening of a national system of risk management.
Outcome 19	Support processes of production, implementation and evaluation of regulations and policies for gender equality and equity.
Outcome 20	Support processes directed to the empowerment and autonomy of women.

* *The service centre of UNDP Costa Rica is the system set up to respond to and interact with partners, suppliers and contractors. It includes online attention. See: <www.pnud.or.cr/index.php?option=com_content&view=article&id=79&Itemid=14>.

Source: UNDP Costa Rica programming documents.

Figure 6. Percentage of Financial Execution By Donor, 2006-2010

Other 16%
UNDP 13%
European Union 8%
UNDP-Spain MDG Fund 7%
Norway 4%
TTF 4%
Spain 2%
GABEI 1%
UNAIDS 1%
United Kingdom 0%
Japan 0%
GEF 24%
Montreal Protocol 20%
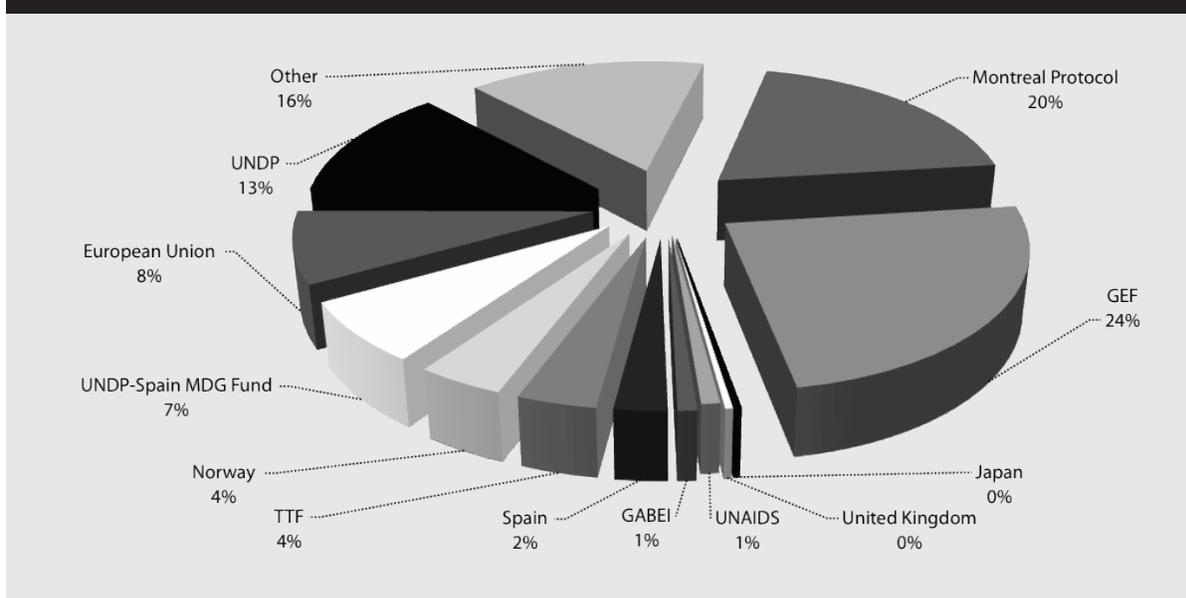
Source: Executive Snapshot v 4.5, 15 March 2011

3.2.3 BUDGETARY AND FINANCIAL ASPECTS

According to the information registered in the Atlas[58] system, the financial volume of the programme increased somewhat between 2004 and 2010. The financial distribution by area (Table 6) shows that the largest budget in the period belongs to environmental projects taken on and implemented, above all, in the first cycle.

Figure 7 shows the number of projects per area, though it is important to bear in mind the caveats mentioned earlier with regard to the projects whose thematic area is not specified.

Budgetary data exhibit a trend towards greater balance among areas, mainly on account of the theme of security (governance) and, to a lesser extent, risk prevention. Figure 9, based on Atlas data as of March 2011, shows an increase in funds assigned to projects in governance and risk prevention. It also reveals a slightly lower budget for reducing poverty and MDGs. Similarly, a budget decrease is observable for energy and the environment in 2009 (with a similar pattern in expenditure, as seen in Figure 7 and Table 6). This is due to two factors: i) disaggregation of risk prevention data from 2008, which up to that year were entered into the environmental field; and ii) the closing phase of four major projects (with resources from the Montreal Protocol and GEF). Thus the greatest reductions occur during the years of the final phases of those projects with the largest budgets (alternatives to methyl bromide and energy efficiency, with USD 4.85 million and USD 2.18 million respectively), which, by 2010, had only 12-14 percent of their budget funds pending application.

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58 The introduction of the Atlas system in 2004 has allowed to avail of comparable annual statistical series as of that year. For the 2004-2010 period there are projects registered in Atlas that do not come under any specific thematic area, representing around 9 percent of the programme budget and 11 percent of expenditure. For 2010, these percentages are greater (24 percent and 19 percent respectively),; therefore, it can be assumed they include projects that are not yet classified under the area in which they actually belong and that the 2010 figures for the areas are underestimated here. NB: this assessment was later corroborated with subsequent information regarding programme spending (see following note).

Figure 7. Distribution of the Programme Budget by Area (core and non-core resources)
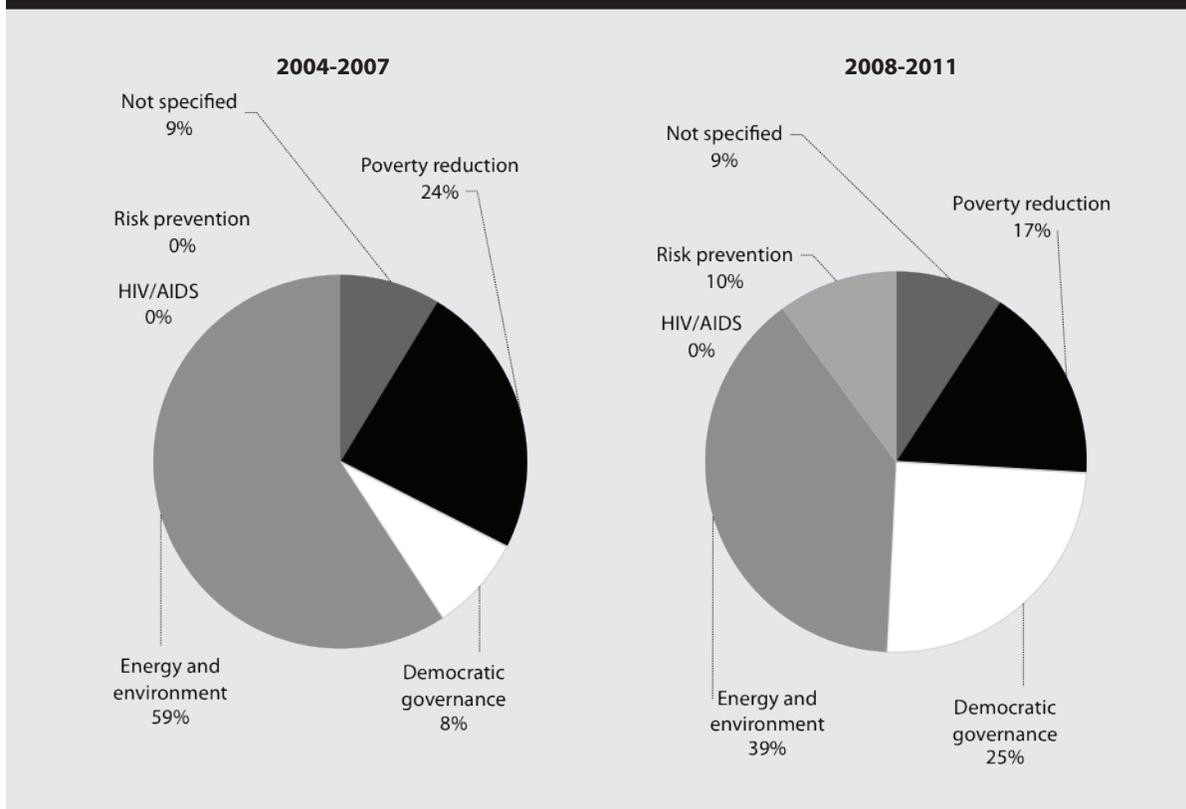
Source: Executive Snapshot v 4.5, 15 March 2011

Table 6. Financial Execution of the Programme Areas Per Year, 2004-2010 (USD Thousand)

Subject area	2004	2005	2006	2007	2008	2009	2010	2004-2007	2008-2010	2004-2010	% of total programme
Not specified	302	144	225	335	250	286	1.217	1.006	1.753	2.759	10.50%
Poverty reduction	585	825	658	877	801	897	860	2.945	2.558	5.503	20.94%
Democratic governance	134	229	215	310	1.080	1.236	1.508	888	3.824	4.712	17.93%
Energy and environment	1.412	1.287	1.960	2.143	3.014	1.864	251	6.802	5.129	11.931	45.42%
Risk prevention	0	0	0	0	0	135	1.235	0	1.370	1.370	5.21%
HIV/AIDS	0	0	0	0	0	0	0	0	0	0	0%
Total	2.433	2.485	3.058	3.665	5.145	4.418	5.071	11.641	14.634	26.275	100%

Source: UNDP-Atlas, Executive Snapshot v 4.5, 15 March 2011

Figure 8. Number of Projects Per Thematic Area and Per Cycle (2004-2007 and 2008-2011)
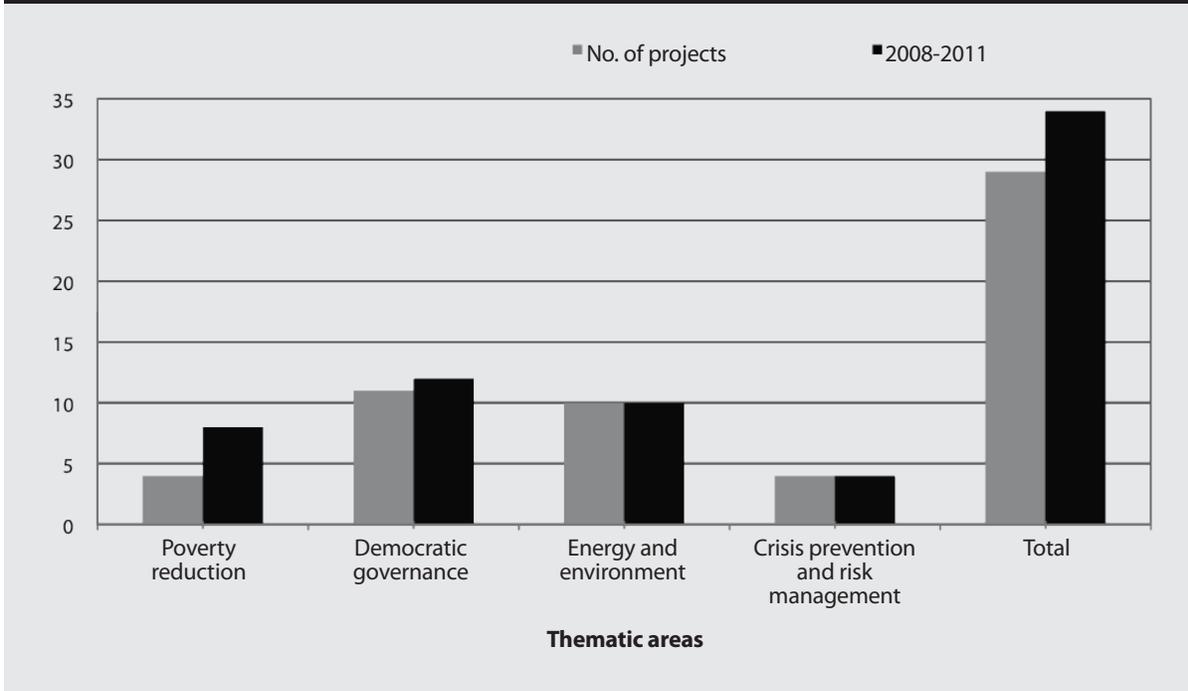
Source: UNDP, Balanced Scorecards, March 2011

Figure 9. Evolution of the Programme Budget Per Thematic Area (Core and Non-Core Resources), 2004-2010
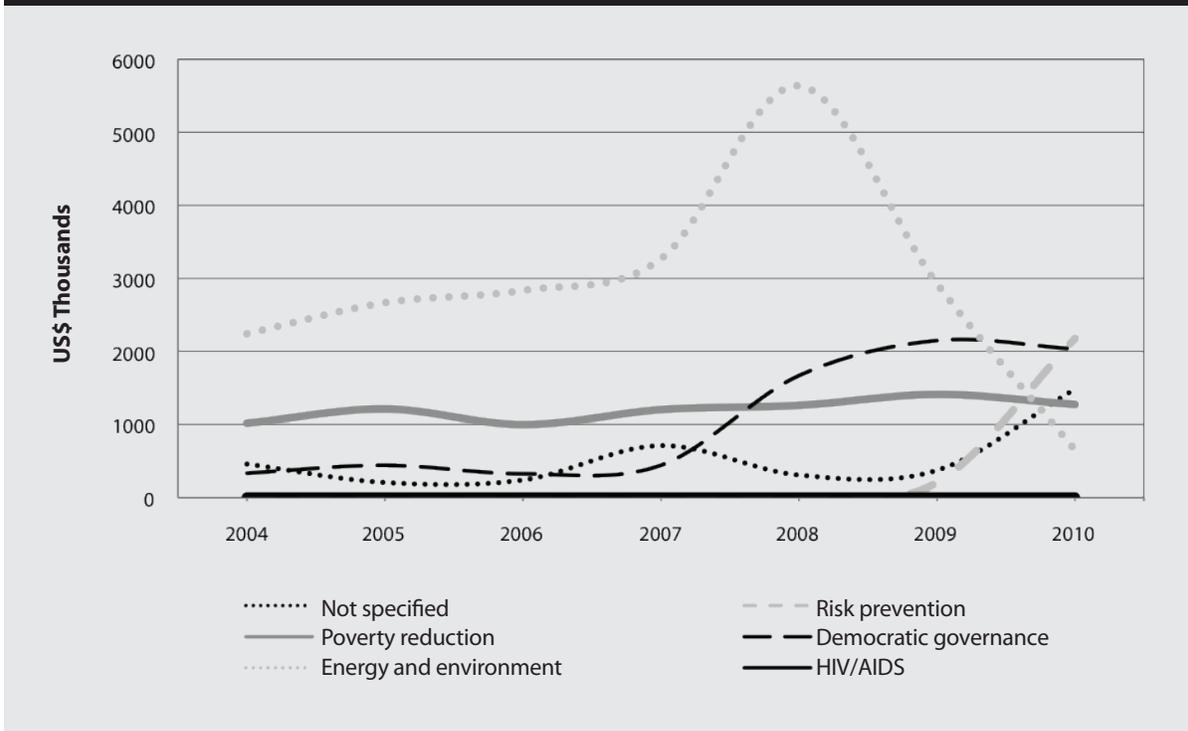
Source: UNDP-Atlas, Executive Snapshot v 4.5, 15 March 2011

Figure 10. Financial Execution of Areas, 2004-2010

US$ Thousands

Legend:
- Not specified
- Poverty reduction
- Democratic governance
- Energy and environment
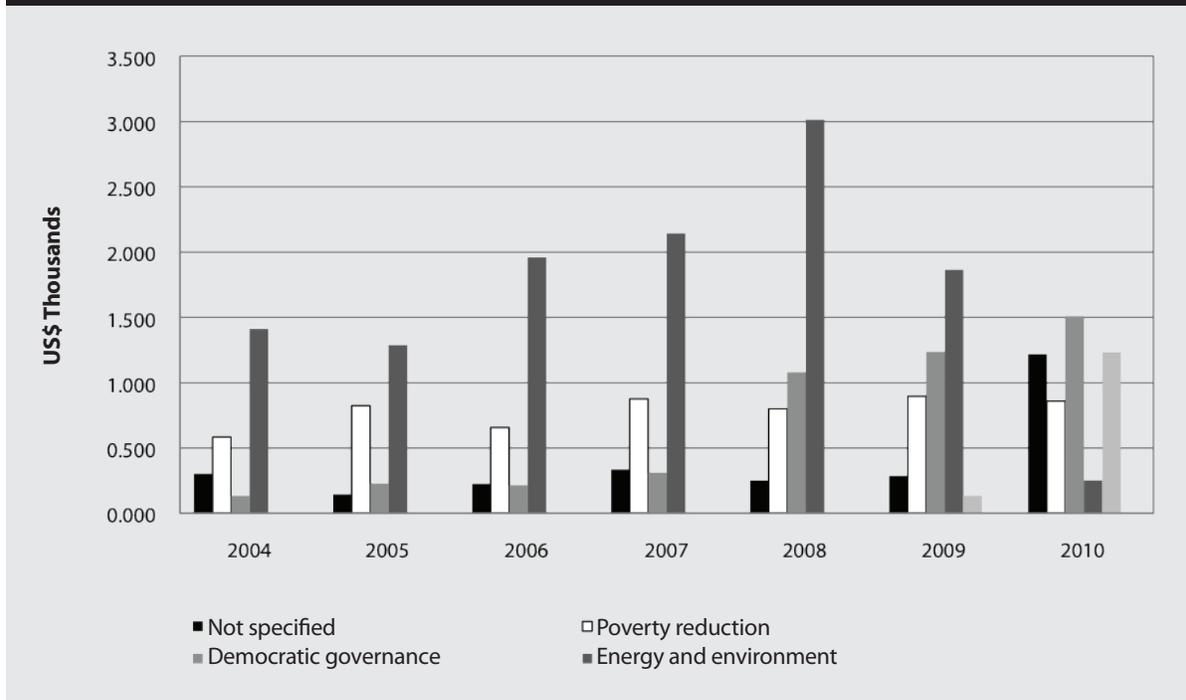
Source: UNDP Atlas, Executive Snapshot v 4.5, 15 March 2011

Updated data from the country office[59] show a 2010 budget for environment and energy of USD 2.02 million, similar to those of democratic governance and risk prevention. It is noteworthy that the environment area's budget for 2011 – outside the evaluation time-frame, but relevant here – is USD 2.7 million. The same criteria apply with regard to the budgetary execution for the area, referred to below.

The budgetary figures can be contrasted to the evolution of annual expenditure per thematic area by programmatic cycle, as per Table 6 and in Figure 10.[60] Between 2004 and 2007, the greatest volume of expenditure corresponded to the environmental field. Judging on the basis of the data for 2009, a greater balance among the areas was attained in the following cycle, even if

the sub-estimation registered in 2010 had been larger for the environment.

Changes relative to the size of each thematic area (activities and budget) have been, in part, intentional, given that UNDP wanted to reinforce its support to the development of the country in the areas of poverty reduction and governance (particularly with security issues). However, the trend in the programme is also related to the need of the office to resort to the external market for funding. This situation is approached with a strategic view during the second period examined, with the aim of making the environment the second programme pillar and making use of finance opportunities to widen the substantive focus of UNDP. In that sense, the office has actively sought funding as well as partnerships with the State. This process has

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59 Provided by the Country Office/Operations Management (November 2011), after the analyses contained in this chapter were carried out. On the basis of this information, additions were inserted in the text and Annex 1 was included (where the reader can find the updated versions of Table 6 and Figure 10 with the newer data on programme expenditure).

60 See Annex 1 that contains the equivalents to Table 6 and Figure 10 with the data for 2010 updated at a later date.

taken place in a progressive manner, particularly by obtaining funds from grants. By the end of the period, UNDP became a principal partner of the State in terms of the environment and the area was on its way to significant upturn.[61]

Similarly, UNDP Costa Rica has made the most of many financing opportunities from the highly competitive Thematic Trust Funds, or TTF[62], managed by the headquarters, which constituted a significant base of the sustainability of their work.

According to the corporate policy of UNDP, the execution of its projects should preferably stay under the control of national institutions in order to promote national ownership and the development of capacity. However, UNDP, to fulfill its mandate to promote a country's human development, also takes up initiatives on its own and implements them directly. Therefore, a distinction arises between projects executed/implemented by national agencies (NEX/NIM), and those directly executed/implemented by UNDP (DEX/DIM). NEX/NIM can include utilization of services, regulations and administrative procedures that UNDP makes available to a national organization – be it public or private – with appropriate compensation for administrative costs (which tend to vary between 3 percent to 7 percent). This method is widely applied in other Latin American countries and is used by other agencies of the United Nations.

As indicated previously, in Costa Rica the NEX/NIM method, under UNDP administrative management, was discontinued from 2003, during the first cycle examined in this assessment. In that cycle, the major proportion of projects corresponded to the NEX/NIM category, but executed by national agencies under UNDP regulations. In the second cycle, the application of the DEX/DIM method increased.

Monitoring and evaluation

The office applies the basic guidelines of results-oriented management and United Nations and corporate UNDP approaches – the latter with relative efficiency, but not in a tangible or integral manner as to the former. Project documents use logical frameworks, but they do not always employ measuring tools such as baselines, indicators and periodic reports focused on achievement of immediate effects and development results. Even though detailed evaluation plans for the programme and projects have been made, few have been implemented.

3.2.4 ORGANIZATION OF THE UNDP OFFICE IN COSTA RICA

The structure of the office has undergone a continuous and significant process of reorganization during the evaluated period. This process began with the reprofiling of 2001 and was maintained as the new strategy came into being and the 2008-2012 programme was put into effect. Between 2002 and 2004, the office changed almost all of the administrative and programme area personnel. Only three staff members who worked during that period are still employed. The reorganization process included a capacity-building programme, which carried through to the following cycle, and the incorporation of communication strategies in all projects and activities. Programme-related and organizational workshops were held for a better grasp and practical incorporation of the focus of human development, gender, MDGs, etc.

One outcome was the establishment of the Communications and Resources Monitoring Unit. The unit assists the thematic areas in project internal monitoring and reporting as well as planning exercises. On the other hand, there has been continuous effort to enhance administrative capacities.

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61 The amount budgeted for 2011 was USD 2.7 million. The projects already approved awaiting implementation (hard pipeline) for the following years represent a total of USD 8.7 million. There are other projects under negotiation (soft pipeline) for around USD 12 million.

62 UNDP's own resources or third-source funds earmarked for a specific theme allocated to UNDP by donor countries.

Table 7. Financial Execution of UNDP Costa Rica, 2002-2010 (USD)			
Periodo	**Amount budgeted**	**Amount executed**	**% Executed**
2002	4,000,000	3,500,000	87.50%
2003	3,500,000	2,800,000	80.00%
2004	3,000,000	2,433,000	81.10%
2005	3,000,000	2,485,000	82.83%
2006	3,000,000	3,058,000	101.93%
2007	4,000,000	3,665,000	91.63%
2008	5,000,000	5,332,000	106.64%
2009	4,750,000	4,521,000	95.18%
2010	5,600,000	5,093,000	90.95%
Totals	35,850,000	32,887,000	91%

Source: UNDP Costa Rica, Operations Management.

The office in Costa Rica is a small organization, with a management structure in which the function of Assistant Resident Representative (ARR) is in the hands of a national official, which is not typical in other countries. The role of ARR also includes responsibility for Programme Coordination and the Human Development Unit.

The UNDP office comprises the Programme and Operations divisions. This latter, under the responsibility of the manager, houses the units of Finance/Treasury, Human Resources, Administration, IT, Registry and coordination of the UNS's common group of services. The Communications Unit spends half of its time supporting the UNS-RC office and the other half UNDP. At the programmatic level are the thematic areas, each with a programme analyst and a programme assistant, in addition to the active participation of the ARR/Country Programme Coordinator. The unit of the National Human Development Report is also responsible for the area of poverty and MDGs. The governance unit covers the issue of gender. The Resident Representative, with the support of a recently recruited international junior officer, is currently in charge of the area of environment, energy and risk management.

It is worth mentioning that the size of payroll staff has remained stable throughout the period. Of the 16 people who make up the payroll team, eight are employed from basic headquarter resources and the remainder from extra-budgetary[63] funds (most contracts are renewed annually). However, costs have increased significantly each year. They more than doubled between 2002 and 2010[64] due to the appreciation of the colon (Costa Rican unit of currency) against the dollar, inflation and changes in staff contractual modalities (leading to annual wage and benefit increases).

Financial execution and cost recovery

The execution of expenditure relating to office projects has increased over time (Table 7). The annual average level in 2002-2007 was USD 2.9 million, whereas between 2008 and 2010 it was USD 4.9 million. Figures for cost recovery recorded by the country office in Atlas indicate that there has been an average flow of USD 60,000 a year. Significantly, it was possible to permanently maintain a level of cost recovery (despite financial constraints), but, at the same time its level was very low vis-à-vis the significant size of the programme with which UNDP RC develops its cooperation in Costa Rica.

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63 XB is the UNDP abbreviation for 'extra-budgetary'. In contrast to core or regular resources, XB funds relate to financing sources whose origin is external to corporate UNDP (multilateral and bilateral agencies, including other UN agencies). The regular budget (core) consists of an allocation of corporate resources for management and another for the development programme, called TRAC funds (abbreviation for Target for Resource Assignment from the Core). TRAC resources come from voluntary contributions from UN member countries that the UNDP Executive Board assigns to each country office at amounts defined under predetermined criteria. These funds are of three types: TRAC-1, assigned on the basis of GDP per capita of the country and population; TRAC-2, on the quality of the programme (according to preset parameters); and TRAC-3, received by country offices under special development or emergency situations.

64 According to the information provided by the country office, this represented an increase of 165 percent on the cost financed from basic resources and of 750 percent with regard to the XB Fund.

3.2.5 FUNDING MODEL OF THE UNDP OFFICE

Every national UNDP office receives financing corresponding to the contributions that each country makes as a member state of the organization. In the case of Costa Rica, the country office has channelled such support on an average proportion of between 4 percent and 6 percent of its annual budget during the period 2002-2011. Apart from this, the State does not contribute funds to cover costs of management of UNDP in the country, as is the case in other countries.[65]

The last year in which resources were incorporated from the State was 2003. In 2005, all financial resources destined to the operation of UNDP Costa Rica were from own sources or multilateral or bilateral donors. The fact of not availing of any income of national source has had implications for the financing of UNDP during the evaluated period. To complement its funding so as to be able to implement its mandate in Costa Rica, the office had to look for external financing from multilateral and bilateral agencies or UNDP head office.

According to available statistics regarding donors, the greatest source of finance for UNDP in the period 2006-2010 was the GEF, with 24 percent of the total, followed by the Montreal Protocol with 19.4 percent, UNDP headquarters with 13 percent, the European Union with 8.3 percent and the UNDP/Spain Trust Fund for the achievement of the MDGs with 7 percent.

Among additional sponsors were the Japanese, Norwegian, Spanish and United Kingdom governments, as well as multilateral agencies such as the Central American Bank for Economic Integration. In 2009 and 2010, projects financed with resources from the GEF and the Montreal Protocol are substantially less. In Chapter 4 the topic of the environment will be looked into in greater detail.

The lack of government participation in the current model of financing of the UNDP office in Costa Rica puts UNDP in a vulnerable situation, given that the current and medium-term tendency in the country, as in Latin America, is the gradual decrease in funds from bilateral donors. It is worth mentioning that the country office maintains an adequate monetary reserve with a view to sustainability, but this does not eliminate the vulnerability associated with the factors mentioned.

To this effect, UNDP Costa Rica is conscious both of the necessity to reconfigure its model of financing, and also the dangers faced concerning the type of co-financing. The Costa Rican Government as well is aware of the vulnerability of UNDP in the country and has demonstrated its willingness to address the problem. In her speech at the UN General Assembly in September 2011[66], President Laura Chinchilla expressed concern for the continuity of the work of the UN system and of UNDP in support of development in Costa Rica.

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65 In Latin America, where the decrease in UNDP's core funds has been more noticeable than in other areas of the world, this increase in additional funds (non-core) was accompanied in some countries by an exponential growth in co-financing by governments. There are UNDP offices that have a mixed model, characterized by a relative degree of balance between the sources of finance; there are models with a prevalence of co-funding by the Government (used in Brazil, Venezuela and Argentina); and models based essentially on own funds or those of an external source, outside of the national Government (Nicaragua and Costa Rica). There are even countries on the way to becoming net contributor (NCCs) and facing the possibility of UNDP withdrawal, where the Government has taken on a significant proportion of its costs (Mexico) or the whole of those costs, such as Trinidad and Tobago.

66 General debate, 56th Session of the General Assembly of the UN, New York, 22 September 2011.

Chapter 4
CONTRIBUTION OF UNDP TO DEVELOPMENT RESULTS

This chapter contains the analysis of the contribution to the outcomes per thematic area and of the strategic positioning of UNDP. It also covers the cross-cutting themes of knowledge management, capacity building, South-South cooperation, gender and human rights.

4.1 ANALYSIS BY THEMATIC AREA

This section is divided into three parts that correspond to the three large thematic groups analysed.[67] Each one gives a description of the respective area and then reviews the four evaluation criteria: relevance, effectiveness, efficiency and sustainability. With regard to these criteria, there are issues that are common to more than one area, which will be covered at the end of the chapter in a separate section.

4.1.1 HUMAN DEVELOPMENT AND REDUCTION OF POVERTY, INEQUALITY AND SOCIAL EXCLUSION

These programmatic areas belong to the corporate thematic group reduction of poverty and MDGs and, within UNDP Costa Rica, they are under the responsibility of the Human Development Unit.

Evolution and profile of the area

The CCF-II (2002-2006) included three types of actions: advice on policy development, quality assurance of social programmes, and strengthening systems for targeting poverty. Until 2004,

the focus on combating poverty prevailed, which was expressed in supporting the strengthening of the national strategy and targeted social programmes. The 2005-2006 strategy moved the focus of activities to the paradigm of human development and MDGs; a central role was assigned to public capacity building, information and knowledge. Since then, special attention has been given to building the capacity of central and local government planning and to the management of public policies.

When the strategy was revised between 2005 and 2007, the lines of action were reformulated and the link between the fields of human development and governance was stressed. Initially, the lines associated with human development and poverty were: i) consolidation and strengthening of the national model of human development (MDG monitoring, models of sustainable human development in rural areas, democracy, and equal opportunities); ii) support to human development in highly vulnerable areas (capacities and information to strengthen municipal management); and iii) security for human development (promotion of a national security policy, safe cities, access to justice and gender, and disarmament based on this approach).

In the later version of the strategy, the action lines were reorganized based on the new focus themes and cross-cutting issues. In addition, human development and gender were defined as specific thematic areas. It adopted the following scheme: i) area of human development (with its respective lines: NHDR, the national human development

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67   Here the terms 'thematic' groups or 'focus themes' are used to allude to the focal or practice areas of the Atlas corporate system, in order to distinguish them from the thematic or programmatic areas actually used to organize the UNDP Country Programme in Costa Rica.

network and Cantonal Human Development Atlas), and ii) area of poverty reduction and fulfillment of the MDGs (follow-up, inclusion of state planning, poverty alleviation).

The outcomes covered by both areas are:

■ Expected development results (*outcomes*) for the 2002-2006 cycle:

  a. Outcome 2: Capacities and alliances of urban, rural and local governance actors developed for the formulation of policies, provision of services and handling of resources.

  b. Outcome 8: HDR prepared covering a national priority theme.

  c. Outcome 9: Events and national consultations around the main development themes organized.

■ Expected development results (*outcomes*) for 2007-2010:

  a. Outcome 11: Encouraging the adoption of the principles of human development in planning and evaluation at the national level.

  b. Outcome 12: Strengthening capacities for generating and using information and knowledge on human development in Costa Rica.

  c. Outcome 15: Promoting the fair distribution of wealth and opportunities at the national and regional levels.

Today, the area of human development includes these lines: i) consolidation and strengthening of the national model of human development; ii) dissemination of the findings of the NHDR; iii) cantonal atlas; iv) national network of human development; and v) NHDR 2007-2008.

The area of poverty reduction, social inequality and social exclusion includes: i) monitoring of the MDGs; ii) incorporation of the MDGs into the national planning process; and iii) community rural tourism (in conjunction with the area of energy and the environment). In terms of organization, the unit tasked with the NHDR (a small team) covers both areas.

Throughout the period at hand, the project portfolio of the two areas was the smallest of the programme: 18 projects with a total budget of USD 3.9 million.[68] Funding for the human development area comes primarily from TRAC[69] of UNDP. This portfolio has three different groups of projects aligned with the expected development results, although the division between the results is not very marked.

Generally speaking, outcomes 11 and 12 correspond to the area of human development, while at the same time showing a strong link with the areas of poverty and governance. The projects developed for outcome 11 were aimed at generating capacity to institutionalize the principles of human development in state planning and evaluation tools, with an emphasis on local development and a practical slant[70]. The central project of outcome 11, the project on Municipal Strengthening and Decentralization (FOMUDE)[71], delivered with

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68 'Costa Rica Project and Stakeholder List.xls', UNDP Costa Rica (latest version, June 2011).

69 Of core or regular resources; see notes 65 and 67.

70 Outcome 11 is closely related with outcome 2 from the previous cycle, which included a decentralization and development perspective for local capacities. Outcome 2 included the predecessor of the FOMUDE, the FOCAM project (Strengthening of Municipal Capacities for Local Human Development Planning in Costa Rica), which was implemented during the period 2004-2005. Some of the projects of this type would later move to the area of governance.

71 This project (FOMUDE) is under the responsibility of MIDEPLAN and is funded by the European Union. It includes the participation of the Institute of Municipal Development and Assistance (IFAM) as technical and financial counterpart. Since 2008, UNDP has been participating in the programme with UN-HABITAT as part of an agreement with MIDEPLAN and the EU, through the FOMUDE initiatives on municipal capacity building (in continuity with the previous FOCAM [see note below]) and the cantonal plans on local human development. The programme closed in 2011 but a successor is being launched. See subsection on democracy and governance.

the area of democracy and governance, is aimed at municipalities setting to generate development strategies and plans[72]. Another project that contributes to outcome 11 is the Strategic Vision of the Ministry of Science and Technology (MST) geared towards establishing the National System for Science and Technology indicators on a consultative basis.

The central aim of outcome 12 is to generate information that feeds social policy interventions and knowledge about human development in Costa Rica. It also includes strengthening the institutional capacities of the State to produce and systematically use information on the human development situation in the country.

The main projects of outcome 12 are the National Human Development Report, the cantonal atlas (with information at the decentralized level) and the Human Development Network, which brings together national and local partners. The unit also participates in the production of UNDP's respected global human development reports and thematic reports on the Central American and Latin American areas. Regarding the strengthening of state capacities, the INEC[73] has been supported as to census data categorization, collection and processing. The following projects have been completed with the Ministries of Health and Economy as part of the strategy against the economic crisis (formulated in 2009 and also linked to the area of poverty and MDGs): Analysis and Design of Information Systems on Infant Mortality (SINAMI) for the monitoring of the MDGs, and Definition and Analysis of Employment Indicators.

The third group of projects (for outcome 15), usually more practical in nature, foster conditions to strengthen capacities and opportunities for vulnerable populations in the country. These projects are in the area of poverty reduction, inequality and social exclusion, although there is strong mainstreaming. One focus is the dissemination and monitoring of the MDGs at national and local levels. Thus there is a programme, Mainstreaming of the Millennium Development Goals in the National Planning Process, by which strategies are coordinated and discussed so as to integrate them into the national plan for achieving the MDGs and into public sector planning (including sector planning tools). There are also projects to promote the MDGs, now in Phase II, and support for the preparation of national progress reports on meeting the MDG targets (2004-2010).

Another axis addresses poverty and opportunity, with a strong promotion of human development at the decentralized level and a close relationship with the areas of governance and environment. This group includes: i) the rural tourism project, which stems from before the first cycle reviewed[74]; ii) United for Costa Rica, Impacts and Solutions to the Crisis, an initiative to tackle the economic crisis that is structured around employment and is implemented with state and academic institutions; iii) actions focused on women and alternative development strategies and citizen security, targeting vulnerable rural and urban populations[75]. These are the following projects: Strengthening the Technical, Communication and Institutional Coordination Capacities of the Labour Market Observatory; Female-headed Households in

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72 FOCAM, or North Huetar, was part of the UNDP portfolio on governability and democracy and was in the broad framework of the FOMUDE programme (the counterpart was IFAM).

73 INEC: National Institute for Statistics and Census.

74 In the area of environment, as part of the Small Grants Programme (see respective section).

75 These initiatives, that also contribute to output 19 are: i) Strengthening the Capacities of Women in the Use of New Technology (2010), Women's Economic Agenda Programme implemented with Cisco Networking Academy and the University of Costa Rica; and ii) Economic Agenda for Women - Costa Rica (2007), a regional programme with RBLAC, funded by Swedish overseas aid, SIDA. This programme consists of forums of analysis and dialogue with civil society partners, the State and the corporate sector, and in subsequent publications about the consequences of the economic process in the region on equal opportunities.

Costa Rica; the joint programme Private Sector and Development Window, targeted at one of the country's most disadvantaged areas in terms of human development (Brunca region[76]); and Development and Promotion of the Concept of Human Security in Latin America, carried out jointly with the area of governance and democracy.

Activities are also implemented for outcome 15 related to corporate social responsibility. Since 2005, German and Spanish aid supported the consultation to develop a national agenda on the subject (2007) and the formation of the National Advisory Council on Social Responsibility of Costa Rica, CCNRS (2008)[77]. In 2010, the Global Compact National Network was created as part of the International Conference on Social Responsibility and Global Compact: A Partnership for Development.[78]

The issue of public safety is discussed in the NHDR 2005 and the human development approach used has led to the notion of human security gaining analytical salience. The evolution of the areas of human development and poverty reduction, social inequality and social exclusion shows how the issues of public safety and enterprise have been gradually assimilated under the human development approach. Public safety and human security have come to occupy an important place in the programme, constituting a core axis of the area of governance and democracy. Both perspectives are applied in local projects. In addition, the focus of human security is disseminated throughout the country and region. On the other hand, private sector issues are looked at from the perspective of poverty and human development opportunities through the promotion of

alternative development and microenterprises (in the area of environment, e.g., rural community tourism, agro-ecological initiatives) and also from the corporate social responsibility stance.

The theme of human development is present in most UNDP Costa Rica projects regardless of the area to which they belong. Initially, human development was placed as a fundamental, deliberate axis for the restructuring of the programme to highlight the substantive role of the office. The Human Development Unit, created in 2003, is the basis to really make this issue a focus point for the work of UNDP. In actions to strengthen state institutions, there has been an intertwining of themes and methodologies of governance and democracy, and human development content provided by the area.

The financial profile is for small, related projects and wide-ranging programmes within a limited budget. The NHDR project is the cornerstone of the budget of the human development area, which is intended to produce the national report and related initiatives (atlas, reports, network) and for dissemination activities. In addition, small-scale financial initiatives are undertaken that have a strategic impact (cross-institutional). This is the case of projects aimed at capacity building and support to generate statistical information systems for state institutions (outcome 12) such as the NISC, the Ministry of Health and MIDEPLAN.

The projects/programmes with the largest budget in the period under review are those of FOMUDE (USD 1,869,128 for 2008-2011) and the Women's Economic Agenda in Costa Rica[79]

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76 Development of Competitiveness for the Brunca Region in the Sectors of Tourism and Agro-industry, with an emphasis on the creation of green, decent jobs for the reduction of poverty (funded by the UNDP Spanish Fund for MDGs), that is implemented with UN-HABITAT, FAO, IMF and OIT (as lead agency in the programme).

77 On the Global Network and the CCNRS, see also the section on private sector under section 4.2.3 of Chapter 4.

78 Continuing the support to this theme, at the Second Conference on Corporate Social Responsibility, the document 'Strategic Guidelines for a Social Responsibility Agenda in Costa Rica 2007' was presented based on consultation with more than 300 public and corporate organizations. See <www.ccnrs.com/documentos/publicaciones/revista_UNA_RSE.pdf> and <www.ccnrs.com/documentos/prensa/Primera_Plana_280211.pdf>.

79 The Economic Agenda of Women is a regional programme (implemented with RBLAC and funded by Swedish Aid, SIDA), and so is strictly included within the framework of regional outcomes as Latin America and Caribbean Outcome 29 (LAC OUTCOME 29).

(USD 534,023 between 2008 and 2010), now both closed.

There is a similar pattern of relatively small, but related initiatives, in the area of poverty reduction, social inequality and social exclusion (social responsibility, crisis strategy). Two programmes with a significant budget are currently under way: Promotion of the Concept of Human Security (USD 503,018 for 2010-2012), implemented with the Inter-American Institute for Human Rights (IIHR), and the joint programme Private Sector and Development Window (with USD 261,000 between 2009 and 2011, as part of USD 1,357,354 for the period 2009-2012).

The small amount of resources for these two thematic areas stands out from the budgets managed by the other programme areas. The tight budget is reflected in the small technical team of a unit that has special significance for the programme and which deals with wide demands.

Relevance

Initiatives in these areas have not only been relevant and consistent with national strategies (successive NDPs and their objectives) and those of UNDP, but, as will be discussed in the following paragraphs, their relevance has gone further in two senses: i) they have helped to better understand the nature of the problems and challenges that form the framework within which national strategies are positioned as well as how to reflect on new aspects (such as security or inequality), and ii) they have provided an important input for the conceptualization, design, and in some cases, implementation of some strategies of the Government. Both points relate both to the broad intellectual production (HD reports, cantonal atlas, publications) and to projects related to mainstreaming and the practical application of approaches to human development and MDGs in plans and policies.

The mainstreaming of human development has become the hallmark of UNDP and is key to its ability to respond. On Costa Rica's human development path, there has been close collaboration between UNDP and the State in the topics covering these two areas.[80] Permeating the work of the other areas of UNDP, the focus and mainstreaming of human development and the MDGs have been incorporated within the state environment and in some spheres of society. Human development gives overall presence to the work of UNDP in the country.

This programme unit is, in a large measure, the 'conceptual vanguard' of UNDP and its intellectual production. It has often assisted UNDP to be relevant and given it the opportunity to generate information or to take initiatives for the country's problems – cyclical or more structural – that helped to trigger public action for disadvantaged populations. The intellectual output of this unit is the raw material for much of the work of UNDP in projects and strategic impact. A key point to note is the conceptual development built on the security issue from the first NHDR. UNDP provided a relevant response by analysing a fundamental concern for the country from a human development approach and by contributing to incorporate this into the public agenda. UNDP's work has included everything from promoting public discussion to assisting with the formulating of the national policy on public safety, the POLSEPAZ (see section on democracy and governance).

The work of this unit includes conceptual production and research and, on this technical basis, support to policy dialogue, which is implemented through a variety of initiatives, including studies, publications, discussion forums and international conferences. Examples include studies and proposals produced in the context of the economic crisis of 2008-2009, from meetings on employment and those of United for Costa Rica,

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80 The agreement regarding the Millennium Development Goals significantly contributes to the deliberations on the need to monitor progress of the countries in the development field.

involving the State and civil society; and analysis of the 2011 census and on infant mortality. Products like the cantonal atlas and *Igualiticos*[81] study provide data and analysis on national life that contribute to highlighting inequality and problems at subnational levels.

The office has also consistently contributed to the production of regional, subregional and global reports on human development. These initiatives of the country office are coordinated with the UNDP Regional Bureau for Latin America and the Caribbean (RBLAC). UNDP has transferred its conceptual contributions in the field of security to the regional and sub-regional levels. The search for methods to apply the notions of citizenship and human security has had scope across Latin America with the report on Central America and with the project to develop the human security approach, which is done with the IIHR and includes several countries in the region. A recent contribution has been that of the 'Human Development Report 2011, Sustainability and Equity: A better future for all'. The work for this report is indicative of the synergy that the country office has sought between areas; in this case, the environmental area, in line with its vision to enhance and strengthen its substantive contribution and impact.

At a local level, UNDP has supported local governments in the production of development plans for 41 cantonal municipalities. The technical capacity of the team in the field of human development and MDGs has helped to launch public policy through development projects. Thus, UNDP has helped guide the planning, reporting and action of central and local government. This strategy has also included the issues of poverty reduction, security and sustainable development opportunities in local and community projects implemented by UNDP. However, the organization has not always been able to capitalize on the opportunities owing to the workload of the small team working in this unit.

Beyond the achievements of the country in the field of human development, the challenges facing Costa Rica are still significant and to deal with these requires the collaboration and technical expertise that the UNDP can provide. The experts, partners and beneficiaries interviewed during this evaluation unanimously recognize this fact.

Efficacy

The efficacy of UNDP in Costa Rica is recognized in a variety of spheres. This aspect is looked at below separately for the human development and poverty reduction, inequality and social exclusion programme areas.

HUMAN DEVELOPMENT

Mainstreaming has been a factor of efficacy in UNDP's internal learning and in the results of its support. The management of mainstreaming the focus of human development has led to the transfer of learning and innovation to other programme areas, to the State and to society.

a) Human development is effectively incorporated into projects in other areas and most of the initiatives of UNDP. There is a real conceptual and operational ownership of the HD approach in UNDP activities in general. The conceptual contribution of the area has resulted, for example, in content that fed the material used by the School of Human Development (virtual) of UNDP.[82] The relevance the office has given to human development in all its programmes drives its efficacy and opens new fields of application for the approach, as seen in the projects on information systems, state planning and local development opportunities.

81   Carlos Sojo, *Igualiticos. La Construcci*ó*n Social de la Desigualdad en Costa Rica*, UNDP/FLACSO, 2010.

82   The Human Development School is a virtual learning platform of the United Nations launched by UNDP-RBLAC in 2006. It focuses on four areas: human development; governance and democracy; crisis prevention and early recovery; and information and communication technologies. See <www.escuelapnud.org/es/>.

After the 2005 NHDR on citizen safety, many initiatives in this and other UNDP areas branched out (spin-offs) from the report. Examples of these are the projects entitled Networks for Coexistence, Communities without Fear; Gun Control and Public Health; Support for National Security Policy and Peace (POLSEPAZ), and UNS joint programmes. The incorporation of human security and development to risk-prevention programmes and recovery from natural disasters is highlighted, specifically in the project developed following the earthquake in Cinchona (2009-2011).

The NHDR 2005 won the award for Excellence in Innovation in HD Concepts or Measurement at the Human Development Awards in 2007.[83] The development of other national reports in Latin America focusing on the security issue also highlights the impact of the NHDR 2005.

b) At the state level, UNDP helps to focus attention on the human development approach for social and economic indicators. The support from UNDP to assist the State to shape its operational approach in areas of blanket incidence nationwide and strengthen its capacities accordingly has been significant. It has also helped to build and use tools at the state level to address human development variables in disadvantaged or vulnerable populations. It has also contributed to the diagnosis, targeting, planning and measurement of social conditions in the fields of employment, health, safety and the census system.

Within the system of statistics and censuses, the victimization module has been introduced into household surveys and the INEC has collected inputs for the measuring of the MDGs, employment and gender. It has also helped modernize the census (map digitalization); some experts consulted were of the view that the contribution of the projects implemented by UNDP Costa

Rica in the period 2009-2011 with the NISC was central to improving the technical institutional capacity for the computerization of the 2011 census.

The health sector has a new information system on child mortality, with a digital platform that strengthens the country's ability to measure and monitor this aspect of the MDGs. In the security field, the National Survey of Citizen Security, which includes information at the subnational level, has been an input to the National Violence Prevention and Promotion of Social Peace Plan of 2011-2014 and has enabled local governments to provide information for planning. With the cantonal atlas there has been a continuous updating of the human development indicators at a decentralized level since 2005. The efficacy of incorporating the focus of human development into the indicators is also evident in the formulation of national policy on science and technology (which drew on the MICIT consultation process).

These contributions have strengthened capacities to adjust state attention to the human development approach in the ministries of Justice, Health & Safety and Planning, as well as in cantonal governments and the INEC. It is important to emphasize that the significance of all these contributions, because of their impact on the direction and targeting of state action, is of crucial value in bringing improvements (or opportunities for improvement) from the centre and the canton, to the life of the population, especially the most disadvantaged individuals and groups with little influence living in rural and poorer regions.

The information platform provided by the cantonal atlas project has meant an unprecedented contribution to the visualization and analysis of the situation of human development at the local level.[84] The atlas facilitates addressing,

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83   These prizes are awarded every two years by UNDP to recognize the contribution of national or regional reports to the improvement of development policies and practices.

84   The intellectual products of the area have contributed to linking decentralization to the processes of citizenship. A document from the National University (UNA) indicated that the work 'Challenges of democracy: a proposal for Costa Rica', promoted by UNDP and FLACSO, had been vital for giving a new conception to "decentralizing as a mechanism geared to strengthening the citizens' control over the public function". See UNCR, 'Concept and Strategy for Driving Decentralization, Municipal Strengthening and Local Development', UNCR-FOMUDE, 2007, p.117.

planning and managing the issues/problems of the cantons, making it easier for municipalities to make progress in human development for the benefit of the populations living in their areas. In a synergetic manner, the programmes entitled Strengthening Municipal Capacities (FOCAM) and FOMUDE have helped to strengthen municipal planning and management capacity based on inputs from citizens (see section on democracy and governance). It has helped MIDEPLAN to give more attention to the regions in order to strengthen the national planning process. These efforts are complemented by what is being done by UNDP regarding poverty in the promotion of decentralization.[85]

The area's conceptual work has contributed to the national debate on the development of Costa Rica and has affected the country's policies. UNDP has contributed to the formulation of public policies, most notably in the areas of security, science and technology. The NHDR on citizenship security enabled further discussion on the development of the country. The cantonal atlas and publications have had a similar public impact. The dialogue on national reality and public policy has been a frequent corollary of UNDP's work, which offers new insights and perspectives. However, there are weaknesses in the efficacy of UNDP's contribution in these areas. UNDP publications could reach a wider audience or an audience that is more practice-oriented (such as staff or technicians), but this does not happen owing to them being abstract or not framed to address specific applications. In addition, the publication of the second NHDR on coexistence, scheduled for late 2008[86], is still pending. The NHDR deserves special attention as the flagship result of the country office and of the area.

The Human Development Unit faces increasing demand for activities, which impact on the scope and efficacy of its work. The country office reports that the HD team had to deal with a growing number of requests from the State (central and local) and from the UNDP corporate sphere, as well as programme initiatives and advocacy from the country office. Meanwhile, it received expressions of unfulfilled expectations concerning the non-publication of the second report and could have added value to the contribution of UNDP in Costa Rica, including in terms of opportunity.

Although corporate social responsibility in relation to human development has been given a boost, the link with industry partners is still limited. The achievements of UNDP include greater public involvement in the area and its support for promoting the National Network for Social Responsibility and the National Council on Corporate Social Responsibility. However, ties with the private sector are not very extensive, which limits the efficacy in this area.

REDUCTION OF POVERTY, INEQUALITY AND SOCIAL EXCLUSION

Relevant evidence of the efficacy of UNDP in this area is that the MDGs are part of the NDP (from 2006) and shape the country's social policy. Similarly, mention should be made of the work aimed at capacity building related to the generation of information and statistical information systems for state institutions that help to monitor the MDGs.[87] This work opened the way for the Government of Costa Rica to innovate in the field of analysis and monitoring of development goals and to contribute to technical discussions. UNDP also allowed new challenges to be made beyond the MDGs, for the development of Costa

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85 UNDP Costa Rica advocates decentralization that provides institutional capacities to local governments and citizen capacities to the population and local development opportunities, and, in turn, focuses on the regional administrative body to strengthen planning (current and long term) and national state administrative management for its human development issues.

86 The announcement was found in the media; e.g.: <www.nacion.com/ln_ee/2007/junio/08/economia1124575.html>

87 The aforementioned contribution of UNDP to SINAMI is also relevant here. Various external actors have highlighted the consistency of the UNDP Costa Rica in following up the work done by the Government of Costa Rica to achieve the MDGs. Chapter 9 of the National Development Plan 2010-2014 analyses the country's progress towards development goals and demonstrates the effectiveness of joint work carried out by the Government of Costa Rica and UNDP Costa Rica (MIDEPLAN 2010, pp.103-114).

Table 8. Evidence of Efficacy in Human Development, Poverty Reduction and Inequality		
Project	**Progress towards the desired results**	**Sources**
Strengthening the capacities of women in the use of new technologies	(+) A successful model has been generated for the strengthening of the capacities and opportunities for domestic workers and immigrant women. (-) Need to disseminate the model and replicate it with other groups of women in other regions of the country.	Semi-structured interviews with key informants Poverty area report (2010) Ordóñez, Camila. 2010. Against Wind and Sea, UNIFEM, México, DF
Culture and Development Window; Intercultural policies, in the Area of Freedom	(+) The concept of human development was put into practice in an Applied Human Development Project, implemented jointly with the Government of Costa Rica. (-) A lack of articulation and communication observed with municipalities to afford continuity and sustainability to the project.	Semi-structured interviews with key informants PRODOC 2008 Arbulú, Angélica, 'Mid-term evaluation: Costa Rica Window of Culture and Development', 3 September 2010 Governance area report Digital Newspaper La Nación consulted on 2 August 2011: <www.nacion.com/2011-08-02/Entretenimiento/UltimaHora/Entretenimiento2863878.aspx>
Definition and analysis of employment indicators	(+) Strengthening institutional capacities to generate information and manage statistical information systems. (-) The project needs to be extended to greater UNDP-INEC collaboration given that there is a high level of institutionalizing of the collaboration link.	Semi-structured interviews with key informants PRODOC Poverty area report (2010)
Development and promotion of the citizen security concept	(+) The project has generated new knowledge about human security and how to put it into practice in development projects through the analysis of three Latin American cases. (-) There are still no specific mechanisms for the project to provide conceptual and methodological feedback into other projects being implemented by the country office in Costa Rica in the fields of human security and development.	Semi-structured interviews with key informants PRODOC Progress report April-December 2010, IIHR/UNDP, San José, Costa Rica IIHR/UNDP First Progress Report Submitted to the UNTFHS, 31 May 2011, San José, Costa Rica
National Human Development Report Project	(+) The National Human Development Report has contributed to the national debate on Costa Rican development and impacted on the country's policies directed at maintaining and deepening the achievements of Costa Rica in the field of human development. (-) The discontinuity/irregularity of the National Report on Human Development generated unexpected expectations.	Semi-structured interviews with key informants PRODOC 2004 'Proposal for Biennial NHDR for Costa Rica', HDRO, New York, June 2002 MYFF 2004-2007 MYFF 2005 UNDAF 2008-2012
Joint programme: Development and private sector window, Brunca region	(+) Contributed to generating economic and social opportunities in regions with a high incidence of poverty in the country. (-) Still no sustainability strategy for the project.	Semi-structured interviews with key informants PRODOC 2009 Biannual/Annual Joint Programme Report: Development and Private Sector, January 2011

Rica. UNDP support to the development of the NDPs also contributed to the design of the Government's policy against poverty. The work developed in response to the economic crisis was exploited to promote initiatives (involving the human development area) on public discussion for action directed at public policies, with the participation of the State, civil society and private industry. The work of institutional strengthening for the monitoring of the socio-economic status is also highlighted, specifically in respect of employment and opportunities. The support for employment and labour market observatories helped to redefine the indicators for employment and labour fragility.

UNDP is helping to expand opportunities at the local level and to demonstrate the rights and status of vulnerable populations. Initiatives supported locally by UNDP have helped generate specific opportunities in rural communities, which incorporate the perspective of human development and criteria that address gender equality and environmental sustainability, as in the case of ecotourism projects. In line with this is the recent joint programme entitled Development and Private Sector, which opens up possibilities for tourism and agribusiness for SMEs in the region of Brunca.[88] Support for associations of indigenous peoples and consultation in relation to their territories helps to create a channel for expression and advocacy in this field. All this work allows UNDP practical strategies to be disseminated so as to reduce regional inequalities in socio-economic and human development.

UNDP contributions offer synergy and scope in the context of state action, but have weaknesses with respect to the dispersion of responsibilities between partners and risk forecasting. The efficacy of actions taken by UNDP in the areas of human development and poverty reduction, inequality and social exclusion is linked to its ability to operate on the basis of state action and the converging of efforts in a particular field (e.g., labour or decentralization). In short, it helps the central state and cantons to implement a public policy that makes positive changes in the status and capabilities of people, particularly the most vulnerable.

However, state institutional dispersion implies that projects frequently have diversity of counterparts and, as such, of centres for decision-making and procedures. This involves difficulties in execution, which reduces the efficacy of some initiatives. In these contexts, there are weaknesses in the forecasting of this type of risks and in the means of planning and organizing of the counterparts.

More broadly, however, it should be recalled that UNDP has major challenges in these areas of human development and poverty given that the country has not been able to significantly counteract the levels of inequality and poverty that have persisted over recent years.

Efficiency

The new configuration of the programme, with human development as its core, significantly increased the workload demands for these areas. Overall, the team demonstrated a high degree of efficiency and productivity, given the limited staff and budget constraints, compared to the initiatives and strategic value. However, the workload has affected the efficiency with which UNDP responded to some of these demands. The multiplicity of tasks assigned to a small team led to the postponement of the second NHDR.

During the evaluation period, UNDP worked in coordination with four other Costa Rican authorities and increased its presence in the development of medium and long-term planning. It has also produced a wide range of concepts that have had an impact in Costa Rica and in the region.

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88   Although the project is quite recent to estimate the final results, the progress report for 2010 records that the ventures have benefited 329 participants, mainly indigenous people from the six cantons of the Brunca region, and that the initial contributions include the analysis of tourist routes and the establishment of the Regional Competitiveness Council.

The team working in the areas of human development and poverty reduction, inequality and social exclusion has developed these and other projects efficiently, with very limited financial resources.

UNDP has shown efficiency through seed activities (with a small seed investment which can launch larger activities, programmes or policies), an advocacy approach in fields having a broad impact and a capacity building approach. Efficiency should be assessed by the success these two areas have had in feeding the results of Costa Rica's development into various projects and not by the overall amount spent during the period. The team has carried out many cross-cutting seed projects, contributing to capacities and information to set up the principles of human development (development outcomes 11 and 12). As far as the outcome associated with the issue of poverty is concerned (outcome 15, equality of wealth and opportunities), the contribution of UNDP should be understood[89] within the constraints of the country's own strategy to combat it[90].

This contribution was channelled through the human development approach applied to an intervention strategy having the following characteristics: a) focus on the foundations of state action and its social intervention (measurement, targeting, planning and policy making), and b) focus on creating and strengthening educational and work skills in vulnerable regions and sectors. The efficiency of both areas refers to the ability of a small team to place the component of the creation and strengthening of capacity in the portfolio of projects as a way to channel a contribution (which can be small or with modest means) to open development spaces and opportunities for poor people and communities in the country.

Sustainability

UNDP has been successful in putting into practice the concept of human development in applied human development projects, implemented with the Government of Costa Rica and other actors with different perspectives of continuity and sustainability. The sustainability of the contribution to development results in question (outcomes 11, 12 and 15) should refer to the degree of institutionalization obtained between different public and private partners involved. In the case of the production, management and dissemination of information on human development and the creation of indicators (outcome 11 and 12)[91], sustainability is high. This is because there is a degree of institutionalization generated in the apparatus of public policy, aided by a long history of collaboration between UNDP and government institutions responsible for planning and development of statistical databases for making public policy decisions. Thus, the achievements channelled by the type of support provided by UNDP translate into advances in human development and, consequently, to the lives of people.

The NHDR project contributes to the concept and approach (conceptual, applied and public policy) of human development becoming enrooted, which made it possible to shape public policy (more notably and directly in security and decentralization). The cantonal atlas, Human Development Network and thematic publications contribute to this effect in local regions and in academic and civil society arenas. In the long term, the ability to maintain a sustainable contribution involves producing and regularly publishing a report that responds to the existing challenges in the country. For the development outcome linked to poverty and wealth sharing

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89   Sauma, Pablo, 'Summary and Work Proposals for the Thematic Area of Poverty Reduction, Inequality and Exclusion in the UNDP 2008-2012 Country Programme', UNDP Costa Rica, San Jose, 2010.

90   In the case of Costa Rica, poverty has decreased during periods of high-sustained growth, but has not been reduced when this has not happened. "High and inclusive sustained economic growth is required to reduce poverty. An increase that concentrates around certain sectors that generate little employment, rather than a large number of sectors of activity and which generate a lot of quality employment" (Trejos, Juan Diego in Sauma 2010, op. cit.)

91   CRI-Outcomes 11 and 12.

(outcome 15), the assimilation of local participatory management practices and community, environmental and economic activities for women's empowerment, especially in rural tourism initiatives and FOCAM in regions with vulnerable populations, is stressed. In some recent projects (conducted within the area of environment), there is evidence of ownership of sustainable development practices by some actors. Regarding the Private Sector and Development Window, there is a learning process about systematizing and building on previous experiences, but sustainability still cannot be hoped for owing to short implementation time.

The achievements obtained for this same outcome 15 with the initiatives on tackling poverty (e.g., strategies for the economic crisis) have been institutionalized, therefore, the initiative can be considered to some extent sustainable. However, from a more comprehensive and long-term perspective on poverty, the country's strategies have not achieved a greater reduction in overall poverty, extreme poverty or inequality. Therefore, one of the great challenges for UNDP remains to support Costa Rica in the work of carrying out a strategy to attack these two limitations on human development.

On the other hand, UNDP has had relatively successful specific experiences that have not been sufficiently disseminated. One example is knowledge products (studies and publications) which, despite being relevant, sometimes do not reach less specialist audiences or population groups interested in the issue.

A risk is identified of squandering success stories or best practices, despite the ability to learn. Transfer of learning is not always achieved. Such is the case of some positive experiences on alternative micro-entrepreneurship which have not been examined or systematized in such a way that they can be capitalized on. Another example is the strengthening of the capacities of domestic workers in Nicaragua.[92] This small-scale intervention has impacted positively on the beneficiaries and their organization. It has been systematized, but it has not yet been disseminated to be capitalized by UNDP or other agencies.

However, both areas have proven their ability to incorporate the learning factor into the formulation and implementation of projects. For example, the experience and knowledge generated by the project was resumed in 2010 FOCAM[93] to develop the UNDP component, Private Sector and Development Window, and in the design and implementation of FOMUDE, thus generating a multiplier effect. Therefore, the contribution of this type of learning has been remarkable in decentralization. The intervention strategy is the creation of capacities and economic opportunities for people living in poverty or who are at risk of poverty and of the opportunities offered by free trade and expansion of tourism. The organization of multiple partners in the management of project has weaknesses. The lack of financial resources and limited ownership by government and civil society in some projects or in some localities represents a threat to their sustainability. An important factor that limits ownership is the way in which many partners (in the State or society) participate in the management of projects, with a significant dispersion of centres of decision-making and responsibility. The team's work has taken place at the regional level, as mentioned with regard to the NHRI regarding security. In addition, UNDP Costa Rica led the initiative with the IIHR on human security and its implementation in development projects[94], which contributed

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92   Nicaraguan migration to Costa Rica is very significant, accounting for a large proportion of domestic workers.

93   Strengthening of Capacity and Opportunities for Human Development at the Municipal Level in the Huetar Norte Region.

94   Includes the analysis of three cases: public safety in Sonsonate, El Salvador; environmental disasters in Cuzco and Puno, Peru; and displacement of people in Soacha, Colombia. The study describes the strategy used by the United Nations to apply the concept of human security in each of these cases. It was financed by the United Nations Trust Fund for Human Security (UNTFHS).

to strengthening the focus on the region. UNDP still has the challenge of better capitalizing on knowledge gained.

4.1.2 ENVIRONMENT, ENERGY AND RISK MANAGEMENT

Evolution and profile of the area

The Costa Rica NDPs, formulated by successive governmental institutions between 2002 and 2010, show an ostensible continuity in the importance given to environmental issues.[95] The work of UNDP in the period examined remains consistent with this assessment.

The CCF-II (2002-2006) from UNDP Costa Rica developed the principle of 'harmony with nature' in the field of the environment, energy and risk management through actions aimed at preserving biological diversity, combating climate change, protecting the ozone layer, managing forests and promoting the empowerment of local communities.

The 2005-2006 strategy highlights that the mandate of UNDP is towards **sustainable human development** in order to "create an environment that allows people to have a long, healthy, safe and creative life that is in harmony with nature". Lines of action are added on the strengthening of national capacity to comply with global environmental commitments and the appropriate handling of persistent organic pollutants (POPs). In the reformulating of this strategy to extend it to 2007, three more priorities will be added: the governance of water, transport and energy, and risk management.

In the first programming cycle (2002-2007), five development outcomes were sought with an emphasis on the theme of governance. Three specifically referred to services and handling of natural resources, particularly water, at the local level. They also included outcomes on access to clean energy and the removal of ozone depleting substances (ODS). The programme outcomes for the 2002-2007 were therefore:

- Outcome 2: Capacities and alliances of local, rural and urban governance partners developed for the development of policies, provision of services and managing of resources.

- Outcome 3: Water governance framework considered at the national level.

- Outcome 4: Better access to energy, electricity or cleaner fuel services.

- Outcome 5: Local government and communities empowered to better manage diversity and the ecosystem services.

- Outcome 7: Compliance schedules for the withdrawal of ODS envisaged under the Montreal Protocol.

The 2008-2012 CPD picks up the latest revision of the strategy for 2005-2006 and lines of action focusing on global public goods, but adding an emphasis on 'actions of a strictly national interest' or 'of particular interest to the country' such as rural development, business competitiveness, the area of transport and energy, and water governance. With respect to the expected results, this second programme emphasizes the **institutionalizing structure of the environment and energy sector** in general and adds two specific outcomes related to the strengthening of mechanisms to address **climate change** and the development of a national system for **risk management**.

- Outcome 16: Contributing to institutional strengthening and increasing the capacities of actors in the energy and environment sector.

- Outcome 17: Strengthening mechanisms for prevention, adaptation and climatic change mitigation.

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95 Proof of this is that the NDP includes notions of "environmentally friendly development" (2002), and of "sustainability as a guiding axis for all production policy" (2006) and of development "committed to environmental sustainability" that seeks to consolidate the country's environmental position with a sustainable energy framework and optimum environmental performance" (2011).

■ Outcome18: Assisting in the development and strengthening of a national system of risk management.

The country office has given new impetus to its environmental area in the second period so that the substantive contribution of UNDP to Costa Rica can be enriched on the basis of a greater supply of resources for this portfolio. It has, therefore, sought to strengthen its position (both vis-à-vis the State and also globally) and requested funding for grants. It thereby increased its volume (current and prospective) of projects in the last section of the second cycle, specifying high-level partnerships with the Government and promoting actions for local sustainable development.

The fulfilment of international commitments has an important bearing on the orientation of the portfolio. In both cycles, efforts have been directed mainly towards fulfilling three multilateral environmental agreements: a) The Montreal Protocol (outcomes 7 and 16): one-third of the portfolio aims to reduce consumption of ozone depleting substances (mainly methyl bromide and refrigerants); b) Framework Convention on Climate Change (outcomes 4 and 17): 32 percent of the portfolio is aimed at mitigation and adaptation (especially with the encouragement of energy efficiency and renewable rural electrification sources); and c) the Convention on Biological Diversity (outcomes 2, 5 and 16): 30 percent of the portfolio is dedicated to strengthening the national system of protected areas and conservation areas (including the strengthening of marine protected areas).

Increasingly, after 2008, disaster risk management (outcome 18), virtually non-existent previously,

has acquired its own profile in the portfolio, with sustainable development orientation. While during the entire evaluation period it represented only 3 percent of the portfolio, in 2010 it reached nearly half the total budget for that year[96]. This new line of action is an important response from UNDP to growing national concern about the conditions of environmental vulnerability and institutional coordination challenges for prevention, as shown by the particularly dramatic impact of the earthquake in Cinchona and surrounding communities in January 2009.

The programme area of environment, energy and risk management has developed 50 projects over the period 2002-2010, with a total budget of USD 13.3 million, of which three major projects represent 61 percent of the total financial execution.[97] The largest of these is alternatives to methyl bromide (25 percent of the portfolio, launched in 2003 and running, with funding from the Montreal Protocol; outcome 7). The second is the Small Grants Programme (SGP), with a multifocal approach that contributes to the achievement, at the local and regional levels, of all the proposed development results (20 percent of funds). The third is the regional energy efficiency programme in Central America, related to outcome 4 (PEER, which represents 16 percent of the portfolio and is implemented from the national office, not by the Regional Directorate). The SGP and PEER have a GEF budget.[98]

The SGP is a special case, with relevance to the area and to the UNDP programme. Although during the period 2002-2010 it was not, strictly speaking, under the financial execution of the UNDP country office but of the United Nations

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96   See the general analysis on budgetary development in Chapter 3. The only project before 2007 aimed at risk management is the Risk Management for Disasters Talamanca, developed owing to the floods that occurred in 2007, whose final evaluation was presented in August 2008.

97   According to the list provided for this ADR. For this evaluation, 22 projects were selected (including the Small Grants Programme as a sample (Annex 4); see selection criteria in Chapter 1.

98   The GEF is a financial organization that brings together donors and beneficiaries, international institutions, non-governmental organizations and private bodies with the aim of promoting global environmental benefits in the areas of biological diversity, climate change, international waters, soil degradation, depletion of the ozone layer and persistent organic pollutants. Three agencies implement its projects: the World Bank, UNDP and UNEP.

Office for Project Services (UNOPS), it was included as part of the evaluation because, as is indicated above, of its great importance for the area and for UNDP in general.[99] During the evaluation period, the SGP completed its second operational phase and developed the third and fourth phases (2005-2007, 2008-2010). Its emphasis on local development actions has promoted an early and sustained bond between UNDP and this sphere. With the fifth operational phase (2011-2014), the national SGP has ceased to have direct financing from the GEF and has become dependent on the GEF sum assigned to the country.[100] Once the approval process for the fifth phase in Costa Rica is completed, the SGP will be formally integrated into the environment, energy, and risk management area of the programme and will form part of the financial execution framework under the responsibility of the UNDP country office.[101] Actions of special national interest highlighted by the CPD 2008-2012 (rural development, competitiveness, transport, energy and water governance) include various initiatives.

- In competitiveness, projects are implemented by CEGESTI (Centre for Technological and Industrial IT Management), using its own funds, for the sustainable competitiveness of small and medium-sized enterprises (2004-2007) and for improvement of the business environment and of business competitiveness (2005-2010). These projects have contributed several of the development outcomes throughout the evaluation period, having been started in the first cycle.

- Water governance (outcome 3) has been introduced as a specific objective in the project concerning vulnerability and adaptation of the water system to climate change carried out by the National Meteorological Institute, a branch of the Ministry for Energy and Environment (IMN-MINAE).

- The SGP initiatives, as has already been indicated, include community management of water, rural development, competitiveness and energy innovation of small businesses in buffer zones of protected areas or biological corridors.

Relevance

The work of UNDP Costa Rica has been relevant to the country as a whole and at the local level, although it has gone through some difficulties. Generally, it can be said that, reinforcing its environmental strategy as part of the programme, it has achieved an impact at the government level in the design and implementation of specialist policies in this field and at the local level with sustainable development projects and, since the previous period, with the SGP. Its commitment to have impact is also shown in its drive and participation in regional projects, and in its intellectual production, such as the 2011 Human Development Report.

Some challenges to the relevance of UNDP action have been identified: the existing tension between global goods and national barriers, and local human development. This programme area needs to achieve a suitable balance between extending direct effects on sustainable human development

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99   Since its establishment in Costa Rica, the SGP has implemented GEF resources so that responsibility for management of projects lies with the UNDP country office, although the financial execution is carried out by UNOPS. The latter is a United Nations organization dedicated to providing services for the implementation of projects of the system's agencies. Because of these specific administrative conditions, the execution of the SGP is not included in most of the technical and financial reports of the UNDP office in Costa Rica.

100 Within the framework of the assignment of quotas per country which the GEF has introduced for its fifth operational phase, Costa Rica has been allocated USD 15.4 million, of which the SGP has obtained USD 4.75 million (31.6 percent). This amount will be distributed in the following manner: USD 3 million to biodiversity, USD 1 million to climate change, and USD 750,000 to land degradation. (GEF: 2009 and 2011; A.I. Carmona, interview carried out on 22 October 2011).

101 GEF (2009 and 2011). GEF, "GEF/C.36/4, Small Grants Programme: Execution Arrangements and Upgrading Policy for GEF-5", GEF Council Meeting, 10-12 November 2009. Washington, D.C.

on a local scale and strengthening and consolidating global-national scale public policies (global public goods highlighted at the end of the first programme cycle under evaluation: ozone layer, biological diversity and climate regulation).

A significant additional challenge is addressing gaps or weaknesses in national public policies that establish barriers to the objectives of, and approaches to, sustainable human development backed by UNDP. For example, there are productive, extractive or land-use planning schemes that have an impact on environmental deterioration and risks for the population, but the regulations governing them are weak. In the case of pineapple growing – Costa Rica is the world's main exporter[102], with considerable environmental and health impacts – UNDP has produced a significant response through an initiative with the Second Vice-President of the Republic, initiated in late 2010, to create a platform for production of and responsible trading of this product.

In addition, there is tension between global and national interests; a reflection of dominant external financing that has strategic and programmatic effects. The country office highlighted these circumstances during the evaluation. The area must work with the priorities, orientations and procedures of the multilateral funds that support it. Although the objective of these funds is to facilitate the fulfilment of global agreements ratified by the national Government, the limited availability of resources has affected the continuation of some lines of action of the first programme cycle, in particular those relating to POPs and sustainable transport, which had little continuity during the second cycle.[103]

In spite of these determining factors, UNDP has established an important link to the local level through the SGP. This programme offers support to local and regional or national activities which develop other projects in the programme area, provided they come within the priorities of the GEF. In its phase 5, the SGP offers an opportunity to coordinate its added value, not just with the rest of the area of environment, energy and risk management, but also with those of human development and governance. The large scope of the new financing anticipates that UNDP link at the local level will grow.[104]

The interventions of the environment, energy and risk management area of the programme have been relevant and coherent not just with regard to the development outcomes envisaged in the country programme for the two periods (and to the UNDP mandate), but also in relation to the lines prioritized by the State and local needs and opportunities. For these reasons, the country office has become one of the main partners of the State and various local groups throughout the country for actions in this sphere.

Efficacy

Costa Rica is a country that serves as an emblem around the world for its human development and environment policies, and has served as a 'laboratory' of observation and replication (upscaling) for many international agencies for technical cooperation and multilateral funding. UNDP Costa Rica has been highly effective in the promotion of multi-sector initiatives with this focus, regardless of whether they have been executed with resources mobilized by UNDP. In this respect, UNDP has been a bastion of support for government sectors and civil society interested in promoting the vision of sustainable human development that constitutes its global mandate.

This UNDP contribution has arisen and has been sustained thanks to its capacity to develop, with key actors, an effective dialogue on policies,

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102 In 2008, Costa Rica exported 51 percent of the world's total, according to FAOSTAT.

103 It is necessary, however, to acknowledge some actions in this respect, with the support of the SGP. Towards the end of the first cycle, a protocol was established for the reporting of environmental offences relating to the use of POPs on the Costa Rican Caribbean basin. A project was also developed for Internet-based training concerning the handling of POPs.

104 See note 105.

from design through to the push for institutional consolidation. However, this has not been fully achieved in some of the more important projects during the period evaluated and significant challenges persist, as the following analysis shows.

PROTECTION OF THE OZONE LAYER

The largest volume of financial implementation within the programme for the period corresponds to Alternatives to Methyl Bromide, 2003-2008. This project exemplifies some of the efficacy dilemmas faced by UNDP in its strategy of making technical support for the formulation of public policies compatible (in this case, in the field of global environmental goods) with the demand for direct benefits for local populations.

In Costa Rica, considerable volumes of methyl bromide, a substance that affects the ozone layer, are imported. The recipients are three major producers of melons and watermelons (who are on the project's steering committee), one of which consumes half of the total imported. The project invested USD 2.3 million in seven years (2003-2009) in incentives, equipment, and research to reduce the consumption of methyl bromide. However, the reduction time-frames agreed with the Multilateral Fund of the Montreal Protocol were not met, as the large producers continued importing this substance and did not adopt the alternatives that the project promotes.[105] Learning from this experience is important to achieve better outcomes in UNDP initiatives with similar focuses, like the new national platform for production of and responsible trading in pineapples, the plan of which includes the participation of major partners from the private sector.

CLIMATE CHANGE (MITIGATION AND ADAPTATION)

This theme has received the second highest financial volume of the portfolio in the period evaluated. The proposal of converting Costa Rica

into the first carbon-neutral country by 2021 (offsetting greenhouse gas emissions through equivalent doses of oxygen) is an innovation across the globe.[106] The UNDP contribution to the design of the national carbon-neutral policy, which forms part of the NDP 2011-2014, shows an increasing evolution from technical assistance for the development of pilot proposals to their development as a strategic policy.

UNDP has contributed to the advancement of knowledge and technical capacities in the rural electrification sector, as well as to the design of more favourable incentives and regulatory environment.[107] The regional project for energy efficiency is recording advances in the same fields, although it still presents challenges with regard to the strengthening of the institutional base and the participation of small and medium-sized enterprises. In the same way, the project for the evaluation of the vulnerability of water resources to climate change is recording significant advances, although those relating to territorial strategies and education about the subject in the more vulnerable cantons still have to be defined.

BIODIVERSITY PROTECTION

For two decades, UNDP has made recognized contributions to the development and consolidation of protected areas in Costa Rica; its efficacy is concentrated on strengthening and building capacities in this field[108]. UNDP began its contribution with support for the design of policies in specific conservation areas – like Osa, La Amistad and Isla del Coco – and it has gradually been developing projects that tackle the whole of the National Conservation Areas System (SINAC). This more systemic contribution is shown in full-size projects with GEF resources, aimed at removing institutional barriers in the protected areas system as a whole, as well as in protected marine areas in particular. Although in principle

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105 The National Office has promoted corrective measures in 2011 (outside the period under evaluation).

106 Government of Costa Rica, National Development Plan 2011-2014 'María Teresa Obregón Zamora', December 2010.

107 Final evaluation of the renewable energies project, implemented by the Costa Rican Institute of Electricity.

108 This expected outcome is linked to the sustainability criterion.

it seems to be a positive change in the focus on capacity building, success in this field cannot yet be suitably assessed as these are recently commenced projects[109].

The SGP contribution in this area is significant. In particular, local bases have been successfully advanced with entrepreneurship capacities for sustainable development and conservation actions, especially in the Brunca region. This programme (the second one with regard to financial execution during the period) has been drawn up strategically with the UNDP portfolio in a very effective manner, in particular on the subject of biodiversity and protected areas, which focuses around 60 percent of the financing executed by the SGP in its operational phases III and IV (2002-2006, 2006-2010, respectively).

The SGP is recognized as the 'local face' of UNDP, according to the country office. In fact, during the period evaluated, of the 324 SGP projects, 89 percent of those corresponding to phase 4 of the programme in Costa Rica were executed by community-based organizations (of which 17 percent are women's organizations and 13 percent are indigenous peoples' organizations) and 11 percent by non-government organizations and foundations.

RISK PREVENTION

UNDP's work on this subject also shows the capacity the country office has for evolving from territorially focused actions of an isolated nature towards a multi-sector dialogue on development policies and participating in the preparation of policy proposals with a focus that incorporates the vision of sustainable human development. The appropriate and timely application of UNDP's own grant funds (TRAC-BCPR) for these purposes is incredibly important.[110]

UNDP has worked using a targeted response focused on integrated sustainable human development. The first risk management initiative arose as a response to the floods of 2005 in the canton of Talamanca. The programme gathered valuable technical experience in the development of early warning systems with local emergency committees, shelter improvements and pilot actions of a community nature for recovery of the area's forestry and production sectors.

In November 2008 and January 2009, in the handling of the national emergency generated by the floods in the Caribbean and an earthquake measuring 6.2 on the Richter scale in Cinchona, UNDP took advantage of the lessons learned in the Talamanca experience. It promoted coordination between government agencies, local emergency committees and development associations for early recovery with a focus on risk reduction.

After the national emergency had passed, a third step – paradigmatic in the methodology of UNDP – was the preparation and promotion of a strategy, with a sustainable human development perspective, to direct recovery efforts towards the construction of social, productive and environmental sustainability.

Although this is a recent initiative, the initial synergies recorded on the inter-sectoral and inter-institutional platform fashioned within the framework of this project are significant. It is also noticeable how such synergies have been energized, capitalizing on the lessons learned in the Talamanca early warning system by specialist technical agencies, like the Costa Rican Institute of Electricity and the National Meteorological Institute. However, coordination difficulties are also detected between levels of management in the National Emergencies Committee.

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109 It has been possible to observe that the strong sense of appropriation of these projects by the agency implementing them (SINAC) generates tensions with the UNDP office in the country through differences in management.

110 Among the TRAC funds are those assigned by the Bureau for Crisis Prevention and Recovery in special emergencies.

Table 9. Evidence of Effectiveness in Environment, Energy and Risk Management		
Project	**Progress towards expected outcomes**	**Sources**
Alternatives to methyl bromide, 2003-2008	(+) Technical and economic assistance has been provided to producers to reduce consumption of methyl bromide, with a net reduction of 50.3% being achieved. (-) In 2007-2009, Costa Rica consumed a greater quantity of methyl bromide than what was agreed with the Montreal Protocol Multilateral Fund.	Semi-structured interviews with key informants PRODOC 2003 Project reports
Energy efficiency in the industrial and commercial sectors, 2006-2011	(+) The project has managed to establish strategic national regulations on the use of lower energy consumption equipment. (-) Little participation by government entities that might lead the process, both in the energy sector, and in the economy and finance sector. Weaknesses for the inclusion of SMEs.	Semi-structured interviews with key informants Preliminary and final mid-term reports
Small Grants Programme	(+) Strong contribution in the context of human development at the local level and in peripheral regions. (-) Need for greater efforts to take advantage of the potential from contributions in-kind and the overcoming of territorial asymmetries with small ventures.	Semi-structured interviews with key informants The SGP in figures: achievements during operational phase IV Evaluation tour in the Brunca region
Peace with Nature initiative	(+) Development of a national strategic policy has been achieved, reflected in the National Development Plan 2011-2014, based on low-budget technical assistance. (-) Weak coordination of the South-South demonstrative potential.	Semi-structured interviews with key informants PRODOCs 58630 and 59274 Project 59274 final report
Removing barriers to sustainability of conservation areas	(+) Scaling-up from work focused on specific conservation areas, to the National Conservation Areas System as a whole, with an institutional proofing or sustainability approach. (-) Administrative follow-up and management problems.	Semi-structured interviews with key informants PRODOC 46431 2010 Project Implementation Report
From recovery to sustainable local development: beyond the Cinchona earthquake, 2009	(+) Guide post-disaster recovery towards the construction of social, productive and environmental sustainability, through a broad inter-institutional collaboration platform. (-) Coordination difficulties with the National Emergencies Committee.	Semi-structured interviews with key informants PRODOC 74389 2010 Progress Report

Despite the achievements indicated, there have also been difficulties in the participation of affected actors at some levels and areas of decision-making, and in the promotion of a public support base. That, in turn, creates challenges for UNDP Costa Rica in project management mechanisms – with the participation of partners – and in the coordination of partners in the initiatives, as well as in the analysis of the conditions and risks, and in the design of strategies to face up to them.

Efficiency

The environment, energy and risk management area has shown programme efficiency throughout the evaluation period, managing to capture available resources and focusing them on the strengthening of institutional capacities for the execution of beneficial initiatives in this field. This has been particularly clear in the subjects of biodiversity protection (development outcomes 2 and 4 in the first cycle, which are part of outcome 16 in the second cycle). In this context, the notable

synergic role played by the SGP and its significant future prospects in this respect have already been highlighted. The achievement in the areas of climate change and risk management (outcomes 17 and 18 proposed in the second programme cycle) is also significant. The exceptions are mainly the subjects of water governance, cleaner transport and compliance with the Montreal Protocol (outcomes 3, 4 and 7 of the first cycle).

With regard to management efficiency, a specific problem of the area is the constant changing of the project officials, causing significant delays, for example, in the processing of terms of reference and reviewing of proposals, affecting the implementation of some initiatives. Technical or thematic weaknesses have also been indicated in some project officials. The country office has taken steps to overcome these weaknesses, with a direct intervention of the Resident Representative in programme area management, the incorporation of a junior official and, more recently, outside the evaluation period, contracting a local official.

Inconsistencies have been detected between the country office results oriented annual reports (ROARs) and that of the project implementation reports (required by the GEF) or other project evaluation documents. Generally, there is a more favourable valuation in the ROAR than in the other documents. Among the current projects, this situation was observed in Alternatives to Methyl Bromide and Removing Barriers to Sustainability of Protected Areas.

Project design does not adequately foresee how the procedural burden affects the implementation times. Delays caused by the managing of procedures do not arise only in personnel rotation (as they have also been encountered in other areas of the programme and in other contexts in which there is not that variation). Such delays indicate that procedure management times are not realistically anticipated in the design and schedule of projects.

Sustainability

Projects relating to biodiversity protection, the ozone layer and climate change, as well as those of the SGP, permit evaluation of this parameter on a more extended time-scale.

In all areas, ownership by partners has been achieved. The strong sense of ownership that has been developed by the SINAC, the government agency that implements projects associated with biodiversity, has been highlighted previously. This is the result of the sustained support UNDP has provided to the agency for many years, even though there may be interim frictions with UNDP on management matters. In the case of the ozone and climate change theme, the project was transferred to executors of the competent state sector (the Ministry for Energy and Environment and the Costa Rican Institute of Electricity). The agency that implements projects on climate change has acted as national coordinator for those bodies; UNDP, for its part, has permitted allocation of coordination funds to other headings, such as equipment and materials.

With regard to the SGP, direct observation of some projects in the La Amistad International Park buffer zone, in the Brunca region, corroborated the documentary evidence about the generation of considerable capacities for establishing production chains, income multipliers and local-regional groups with an impact on policies. So, the SGP is one of the more positive cases in terms of sustainability. Through its link with development on a local scale with vulnerable populations (peasants, indigenous people, women), its initiatives also constitute a cross-cutting contribution window in the areas of human development and governance.

In spite of these capacity-building activities in various dimensions (technical, productive, impact), which clearly contribute to the sustainability of the initiatives of the area as a whole, some counterparts express doubts that these activities can continue to be developed without

the financial resources contributed by UNDP in a national context of fiscal restrictions. Therefore, solid exit strategies have been missing.

As indicated in Chapter 3, during the period examined and in the passing from one programme cycle to another, the area has undergone a process through which its volume (financial and activity) fell and then picked up again. Taking into consideration projects already approved for their start-up in the near future (hard pipeline), or which are currently in the initial phases of implementation, it is possible that this programme area may maintain the recovered level or increase it. Four major projects with GEF funds have a combined budget of USD 7.7 million, whose execution is planned during the next three to five years and intended to consolidate the protected areas system, suitable handling of POPs and the strengthening of coordination at the local and regional level (with the SGP).

Enhancing this flow of resources, the challenge will be to strengthen the sustainable human development approach in other issues which have been left behind or which are only beginning to manifest themselves (transport, water governance, risk management, land-use planning), seeking to mainstream the outcomes of inclusion, fairness, resilience and sustainability in all of them, as UNDP proposes in this new phase.

4.1.3 DEMOCRACY AND GOVERNANCE, AND GENDER EQUALITY

Democracy and governance and gender equality make up the global area of democratic governance. Gender equality is a cross-cutting theme both in the country office, and in corporate UNDP.

Evolution and profile of the areas

In the first programming cycle (2002-2007), activity in the governance area was mainly directed at establishing social dialogue processes to formulate initiatives that might facilitate governance and the reform of the State, on the basis of democratization and the human devel-

opment approach. Two development outcomes were defined:

- Outcome 1: National dialogue on responsible governance and engaged democratization.
- Outcome 10: National governance agenda on the reform of the State, decentralization, participation and political parties, and responsibility with a human development approach, promoted by key actors.

During the second programming cycle (2008-2012), the CPD took up the last revision of the 2005-2006 strategy again and the following outcomes were formulated:

- Outcome 13: Support processes directed at adapting the role and functioning of the State to the national, regional and international context.
- Outcome 14: Promote processes of national deliberation or social dialogue.
- Outcome 19: Support processes of preparation, implementation and evaluation of rules and policies for gender equality and equity.
- Outcome 20: Support processes directed at the empowering and autonomy of women.

The following characteristics stand out in the new outcomes formulated for this cycle and in the operational decisions taken by the country office:

a. the objective of strengthening dialogue or deliberation mechanisms is maintained;

b. emphasis is placed on the functioning of the State having to take into account the new realities of the context;

c. the subject of gender equity and equality is taken by the country office as a cross-cutting issue and is defined as an intervention subarea with its own specific projects; and

d. as a result of the significance of the first NHDR (2005) on citizen security, the subject is developed as a line of work in itself and projects on the subject mostly form a part of the democracy and governance area.

Progress in the area of governance can be illustrated in global terms with the increase in the level of financial execution presented in Chapter 3, which has been sustained between 2004 and 2010. Progress on the specific themes of governance (including security) and gender equity and equality has not been homogeneous. Of the 38 projects, 11 refer to institutional development, five to local development, five to the subject of security, seven to citizen participation, three to culture and seven to the promotion of gender equity and equality.

Security is consolidated as one axis of the area, while gender has a lower relative weighting. The governance area has grown from one planning cycle to another, to a large extent, through the expansion of the security theme, which presents the greatest programme persistence over time. Operational attention to the theme of gender equity and equality is more recent and has less institutionalization within the programme. Gender equality has also been tackled through the coordinating work of the UNS: in 2006, the Inter-agency Gender Group was set up and, within the framework of the global strategy, UNDP formulated a project to mainstream the subject in the UNS and in the institution itself[111].

Capacity building to apply human development is a constant in the range of matters dealt with. The governance area is a vehicle of the capacity-building approach, which is incorporated into a range of diverse projects. The work of the area as a whole assumes a mainstreaming role as regards the practical application of institutional strengthening. The diversity profile in the portfolio is made clear in the set of development outcomes proposed in the country programme which have

a contribution from the area. By way of example, this area generates contributions to outcomes 11 and 15, mentioned in the human development and poverty areas, and to outcomes 16, 17 and 18 in the environment area.

For planning oriented towards human development (outcome 11), the work with the FOMUDE project seeks to strengthen the processes and instruments for applying this approach at the municipal level, including in environmental matters. The institutional strengthening work of the MIDEPLAN and the work of multi-sectoral cooperation to renew the school curriculum correspond to outcome 13. With outcome 14 in mind, support has been provided for dialogue processes and culture-based initiatives on the themes of development and human rights, and of literacy training in Information and Communication Technologies (ICT).

The area's contribution with regard to opportunities and equity (outcome 15) has as its core, the now central theme of security with a human development approach. Not only has the number of projects increased, but also the theme has increasingly infiltrated other areas and joint UNS programmes with a strong local orientation. Work is also going on at the central level on the promotion of public policies (for example, the POLSEPAZ). At the regional level, UNDP Costa Rica has participated in the preparation of the Regional Human Development Report, the subject of which is security, and in the Central American Project for Small Arms Control (CASAC).

On gender equality (outcomes 19 and 20) expressed in the Women's Economic Agenda (already mentioned when dealing with the human

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111 The document 'Applied Policy Aspects – Handouts' summarizes this strategy: "Mainstreaming a gender perspective involves changing how situations are analysed. A brief profile of how and why women's needs are different from those of men must be the starting point of the analysis. These basic inputs must shape the understanding of the contents and reveal key subjects or subject matters to be explored in each project component. A gender mainstreaming strategy means including gender analysis in all initiatives, not just developing it in an isolated project or subcomponent". Translation from the English by Rotsay Rosales. See: Gender in Development Programme/United Nations Development Programme (GIDP/UNDP), 'UNDP Learning and Information Pack, Gender Mainstreaming', June 2000, <www.gdrc.org/gender/mainstreaming/8-Mainstreaming.doc>.

development area), which considers various aspects in their national, local and regional dimensions. In the political sphere, the subject of gender has been directed principally at legislative development through the work carried out with the Legislative Assembly, the electoral authority and some NGOs.

Additional information is provided below about the progress of the security and gender themes.

PROGRESS IN THE AREA OF SECURITY

Security is a strategic issue for both Costa Rica and UNDP. During the period evaluated, continuity and complementariness was observed between the various projects dealing with the theme of security in Costa Rica. Its progress within the programme has been guided by the criterion of knowledge management. Around 2003, faced with the lack of systematic research into the matter, UNDP coordinated initiatives with the Institute of Municipal Training and Advice (IFAM) under the generic 'research-action' method in the local and daily field in five cantons.[112] And so the 'Overcoming Fear' report was generated, which led to the inter-agency programme, Networks for Coexistence, Communities without Fear. Subsequently, other cantons were added to the programme and three security plans were formulated within the framework of the so-called Safe Environments initiative.

The 2005 strategy defined 'citizens' security for human development' as a line of work with five specific action sub-lines. In the second programme cycle, Networks for Coexistence continued; and in addition, the joint programme Culture and Development (intercultural policies for inclusion and creation of opportunities for the creation of the La Libertad Park), and the Improvement of Conditions of Security: For a Country Without Fear, and Local Governments in Conditions of Security programmes were implemented.

Between 2008 and 2010, as a follow-up to the Towards a Citizens' Democracy project,[113] a forum of three deliberative circles on human development and citizen security, was set up. Nearly 40 proposals were formulated for action, the majority of an operational nature. In early 2011, the Government of Costa Rica presented the Integrated and Sustainable Policy for Public Safety and the Promotion of Social Peace (POLSEPAZ). UNDP took part in the consultation process and formulation of this document. Both experiences illustrate the centrality which the improvement of security has acquired in the democracy and governance portfolio.

PROGRESS IN THE AREA OF GENDER

Gender equality is a human development focus in the work of the country office, through the dual role assigned to this subject by UNDP as a **cross-cutting and thematic area**. In the 2005-2007 programming period, gender was initiated as a specific area. As has been indicated previously, UNDP drove its mainstreaming in the UNS through a project and led the inter-agency gender group until 2009. The subject was reclassified as the fifth component of the programme in Costa Rica in the CPD-CPAP for 2008-2012.

The area of governance has taken up the issue of gender and, together with the area of human development, develops on UNDP contributions regarding MDGs and mainstreaming within the framework of inter-agency tasks concerning UNDP. It must be pointed out that in recent years, the organization has implemented relatively few specific projects in the area of gender, with strategic criteria seeking an extended scope. Its principal contributions on the subject are detailed in the following paragraphs.

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112 Carrillo, Limón, Escazú, San José and Montes de Oca.

113 "The aim of the project is to create conditions, from a neutral area, for the meeting between key academic, social and political partners, as well as frank and informed dialogue, with a view to joint visualisation of pathways to the strengthening of Costa Rican democracy. The aim is to shape three working groups on key thematic axes … which will have as their main goal the analysis and visualisation of pathways to the strengthening of democratic practices in the subjects selected and, desirably, the adoption of minimum agreements on each of the themes chosen" (PRODOC).

Relevance

In themselves, the themes of democracy and governance[114] are very relevant to the country's political agenda. In the last 15 years, the traditional schemes of political representation (political parties, local governments and national government) have weakened. The problems associated with the capacity of a society to define and establish policies and resolve its conflicts in a peaceful manner, under the framework of the rule of law and promoting the inclusion of vulnerable sectors, have had a permanent presence in the political, social and economic debate of Costa Rica.

In the political system and, generally, in the Costa Rican social system, a trend has been noticed since the end of the 1980s, towards the quest for better conditions of gender equality and equity. Currently, it is a permanent focus in the debate of various political, social and economic participants in the country. However, the problems of asymmetries and vulnerability in the country affect the half of the population made up of women in a particularly marked way. Women head more than 30 percent of Costa Rican homes. The recent global economic crisis has widened the gap in unemployment rates between men and women in Costa Rica.

Given this set of conditions, the thematic areas and the strategies laid out in the UNDP programme in the aspects of governance, security, justice and gender are highly relevant and are a positive response to strategic problems of the country during the period evaluated. Similarly, the initiatives developed maintain a direct relationship with the general planning frameworks that each government has prepared to guide management of the initiative.

Successive governments have sought the technical support of UNDP to collaborate in the preparation of the NDPs, particularly in the last two cycles (2006-2010 and 2011-2014).[115] The sustained participation of UNDP in the designing of the general and strategic planning frameworks for the country's development explains the agency having adapted its priority subject matter areas and outcomes to contribute to the achievement of the outcomes faced by Costa Rica, including those of human development. In this way, progress on the strategies and goals of the country programme and of the areas of governance and gender maintains a close correlation with those areas which the country faces through the successive NDPs and their corresponding goals.

In this context, UNDP defined promotion of democracy and governance as a priority for the 2002-2007 programme cycle and continued this work under the area of democracy and governance during the 2008-2012 cycle. With those programmes, the country office has supported the execution of important initiatives for the promotion of social dialogue, reform of the State, decentralization and political participation with accountability under the human development approach. The initiatives and projects implemented fit within a wide and operational notion of governance and governance in democracy, relevant to the country's challenges, as will be seen in more detail through the following pages.

UNDP has shown a capacity for reaction and anticipation, and has sought a balance between the national and local levels. In addition, it has responded to conditions and actors to contribute to Costa Rican development at the national level, while also seeking local impact. It has repeatedly

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114 Joan Prats, director of the International Institute of Governability of Catalonia, asserted "…governability and governance are two interrelated concepts, but it is necessary to separate for analytical purposes …." Mark Malloch Brown from UNDP set it out with complete clarity in the 1999 Human Development Report: … governance today means "the framework of rules, institutions and practices established which set the limits and incentives for the behaviour of individuals, government and non-government organizations and firms" (UNDP 1999: p.8, see versions in English and Spanish). Prats, Joan, 2004. "Gobernabilidad para el Desarrollo. Propuesta de un Marco Conceptual y Analítico", taken from Carlo Binetti and Fernando Carrillo, eds. (2004), pp. 7 and 8.

115 This support has been channelled through specific projects implemented with the Human Development Unit.

acted in advance, focusing on problems which were not visible or had not been analysed and which were then incorporated into the public agenda. In that respect it has taken advantage of the spaces it generates through the promotion of public discussion and political dialogue. This task is particularly significant because with the major economic and social changes which have occurred in the country, it has been developed in the midst of a process of significant transformation with regard to the *content* to which – both with support for public consultation and deliberation and with its practical programme action – UNDP responds and which has had particular importance and relevance for the country at different times: for example, the free-trade agreements and their relationship with the role of the State; the accentuation of inequality, the persistence of poverty and the gaps between regions; the lower level of institutional capacity in the municipalities; citizens' concern about lack of security; and the reforms which the political system needs.

In addition, being a recognized interlocutor, UNDP has been able to respond promptly to needs which have arisen in different sectors of the State: in the central sphere, more directly and effectively; in local spheres, more selectively or cross-cuttingly and indirectly, through actions with a national impact with the central government. Its vocation for promoting decentralization has already been seen (when dealing with the areas relating to human development and poverty). UNDP has focused principally on the municipal sphere, but, with the support for strengthening from MIDEPLAN, it has also given attention to the – still weak – regional administration and planning unit.

Work in the area has been centred on the State and on academic and public policy analysis spheres. Subjects relevant to some sectors of civil society have been focused on specifically (for example, women and economy, and participation; youth

and security). However, the links established with civil society (and the private sector) are weak in comparison with the strong links established with partners from the State.

Efficacy

DEMOCRACY AND GOVERNANCE

From the first programme cycle examined, the effective impact of UNDP has been observed through capacity building and the promotion of democratic dialogue.

In the Project on the Development of Democracy in Latin America (PRODDAL), UNDP joined together with the Latin American Faculty of Social Sciences (FLACSO) and, together with the Office of the Ombudsman promoted the theme 'Deliberative Circles'.[116] Consequently, proposals were generated on subjects like political participation and representation, the role of the State, decentralization and accountability, which had an impact on the formulation of judicial initiatives or public policies. An influence was also exerted on the programme proposals presented by the presidential candidates in the electoral process in 2006, and a contribution was made to boost the Referendum Law to effect a more direct political participation mechanism on the occasion of the Free Trade Agreement between Central America, the United States of America, and the Dominican Republic (one of the most controversial and significant matters in the country even after the signing). In addition, in 2007, UNDP led informed dialogues with regard to the aforementioned referendum.

The work of UNDP with the Ministry of Education managed to introduce values and practices for democratic coexistence, as part of the basis of education. This contribution, in particular, was translated into the reformulation of the secondary education curriculum, specifically in artistic and musical education, physical education and civic education. In the long term, which cannot yet be

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116 PRODDAL prepared the report 'Democracy in Latin America', published in 2004. The Deliberative Circles Project was organized within the framework of the Human Development Report for Central America 2009-2010.

evaluated, it would mean an element of cultural change in favour of more democratic exercise of citizenship and social interaction.

UNDP has contributed to the strengthening of institutional capacity at the central and local levels. The Deliberative Circles set up in the social dialogue projects have had repercussions for local voice and capacity building. Therefore, in the 2006-2010 government period, MIDEPLAN approved a bill – issued by the Deliberative Circles'– for the transfer of technical expertise to public entities and to other counterparts in the municipalities. Moreover, in the Legislative Assembly the Committee for Municipal Affairs and Participative Local Development was created, thereby institutionalizing a permanent space for the processing of legislative initiatives generated within the local sphere.

UNDP has made positive contributions to strengthening the management of the central Government, in particular in MIDEPLAN (which have already been pointed out in the section on human development and poverty). In addition, it contributed to drawing up the regulations of article 11 of the National Planning Law and, in the same field, to formulating the Law to establish an International Cooperation Agency, which was completed in 2010, although it has not yet been the subject of discussion and approval in the Legislative Assembly.

Relevant achievements have been found in capacity building for planning at local and municipal levels. Between 2008 and 2011, UNDP contributed to the creation of management teams and to the formulation of Municipal Development Plans in 50 percent of the country's cantons (40 cantons). Consequently, it is estimated that, within the framework of the FOMUDE project, more than 2,000 people developed skills for working on the development plans of their respective cantons or

municipalities. By August 2011, the Comptroller General had received 35 local development plans formulated by the management teams. As this incident is so recent, there is not sufficient information to ascertain the level of application of these municipal plans, or analyse their impact. The FOMUDE project, which UNDP backs with international donors and the IFAM, enjoys great recognition in both the national Government and in the local sphere.

In direct work at local and municipal level, UNDP has also made progress in capacity building through the strategic use of new information technologies through state and academic counterparts (for example, the Costa Rica Technological Institute) and with small and medium-sized enterprises (Regional Information System, North Huetar region).[117]

UNDP has contributed to public activity on security with a human development focus. An effective contribution of UNDP on this subject can be observed in particular in two dimensions: in the generation of information and knowledge for decision-making; and in the methodological contributions through which state (and social) entities have incorporated: i) reliable analysis categories or variables (for example, specific 2004 Survey, which measures the perception-victimization ratio and factors associated with both), or ii) intervention methodologies for dealing with the problems of security (for example, for local governments, including local security plans)[118]. One capacity-building initiative is the support for the Inter-Institutional Arms Control Committee.

In the joint programme Networks for Coexistence, which involves governmental and local partners, there are weaknesses illustrative of factors which can harm the efficacy of interventions in the local sphere: i) the carrying out of similar activities by the participating agencies, which mean an onerous

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117 This work was developed with the Human Development Unit.

118 Such is the case of the joint projects Intercultural Policies (La Libertad Park) and Networks for Coexistence, to which can be added initiatives like Safe Environments, For a Country Without Fear and Local Governments in Conditions of Security.

investment of time and effort for local partners; ii) the perception by local counterparts of the monitoring of UNDP as insufficient or ineffective for bringing about actions or achievements; iii) low levels of participation among benefitting residents; and iv) discontinuance of actions due to the rotation of authorities. Similar factors also influence some localities where cantonal development strategies and plans are promoted.

POLSEPAZ is a paradigmatic case with regard to factors that can affect public policies. The effectiveness of UNDP intervention is clear from the point of view of contributing to the formulation of a national policy that deals with problems of security while incorporating the notion of human development. However, it has generated opposition in society and within the political community, principally through moving away from traditional approaches which see security entirely as a criminal phenomenon which is resolved with police measures or drastic punishments. Partly as a consequence of this, in addition to other possible factors, the State has not followed up the implementation of this instrument more fully. This case shows a weakness related to the anticipation of contextual risks and promotion and alliance strategies to deal with them. This type of foresight is particularly important, both in scenarios like that of Costa Rica, where discontinuity is common in public policy, but also for very controversial issues.

GENDER EQUALITY

UNDP has contributed to the regulating of the working hours of domestic servants in the Labour Code in the NDP 2010-2014; and to the preparation of the National System of Gender Statistical Indicators. The area made a substantive contribution in the setting up of the System of Economic Management in Gender Equality and Equity, which should become an ISO certification system. In the field of political participation, UNDP has supported the Supreme Electoral Court and has had an impact on the strengthening of the institution's equity and equality approach.

It must be stressed that the priority subarea of gender has only recently been established (with an official who is an expert in this field assigned to it – together with democracy and governance – in the last two years) and the intensity of the effort to manage the area has not been very uniform. The efficacy of local projects in the areas of governance, poverty and environment stands out, as has been indicated in the sections corresponding to those areas. However, the degree of mainstreaming of gender equality by UNDP has not been balanced, being rather weak in part of the programme.

It has been found that UNDP has achieved a rather specific media impact, but there is some weakness in dissemination. The Capacity-building for Women for the Use of New Information and Communication Technologies is a small project (USD 40,000) which has had an impact on the lives of more than 250 beneficiaries. The main counterpart, the Domestic Workers Association (ASTRADOMES), assumed the reins of the initiative afterwards. This experience achieved a significant media impact and allowed for the establishment of alliances with the private sector and NGOs.[119] However, disclosure of the systematization of the experience in the beneficiary organization and in other spheres has been lacking. This weakness, which has been observed in other areas, limits the capacity of UNDP to capitalize on good practices and replicate them.

The overall view of the efficacy of the contribution to the areas of democracy and governance and gender equality to achieving the UNDP development goals is generally positive. The main weaknesses are located in the following fields: i) the intellectual production of UNDP, which is frequently perceived as not very suited to practical

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119 The company Cisco Networking Academy and the Costa Rican Women's Alliance also took part in this initiative. Most of the beneficiaries are of Nicaraguan nationality. ASTRADOMES provides a place equipped with 10 computers, which permits immigrant domestic workers, a highly vulnerable population of women, to communicate with their families in Nicaragua.

Table 10. **Evidence of Efficacy in Democracy and Governance, and Gender Equality**		
Project	**Progress towards expected outcomes**	**Sources**
Bicentenary dialogues	(+) Development of eight thematic areas considered strategic for the country as the basis of a pragmatic document of goals, targets and indicators. Medium and long-term outlook. (-) The process is considered 'late' or delayed by the changes in the hierarchical structures of MIDEPLAN in the middle of the government term. In addition, there has been no continuity or follow-up by the current Administration (for example, at July 2011, the products of the eight themes had not managed to be published/disclosed).	Semi-structured interviews with key informants General coordination project report
FOMUDE	(+) Creation of management teams in more than 40 cantons (half of the country's total). Of the 41 development plans that were formulated, 35 have already been presented before the Comptroller General of the Republic. In addition, more than 23,000 people took part in the processes. (-) Greater proximity and articulation with the National Union of Local Governments and the Union of Mayors and Governors (ANAI) was needed, which would have ensured greater commitment and support by local authorities.	Semi-structured interviews with key informants Final Evaluation Project Report IT equipment (CDs and USB memory sticks) with abundant and detailed information about the project
Women's economic agenda	(+) Research on domestic work in Costa Rica and Central America which strengthened the impact on the Labour Code Reform. In addition, execution of three courses with female leaders. The People's School of Economics for Women. Support for female domestic workers in ICT (ASTRADOMES). (-) With the exception of the connection and support achieved with FOMUDE, it is considered that the theme has achieved little penetration in the local or municipal sphere.	Semi-structured interviews with key informants PRODOC of AGEM projects, phase II, and ICT development with ASTRADOMES
Capacity-building for management of international cooperation	(+) MIDEPLAN achieved its legitimate (and apparently sustainable or institutionalized) positioning in the country's processes in the free trade and commercial negotiation agreements (EU, China, Singapore) showing its technical indispensability. In addition, regulation of article 11 of the Planning Law. (-) Little connection with the thematic focuses of gender equity and local development. In addition, adequate thrust or follow-up has not been given to the bill to establish an International Cooperation Agency, which has prevented its progress and possible approval.	Semi-structured interviews with key informants Bill. Reform of Law art. 11
Towards a citizens' democracy	(+) During the first programme cycle this project produced and published a system of more than 40 concrete proposals for political, institutional and legal reforms derived from the plural naming of four thematic 'Deliberative Circles' (political participation and representation, the role of the State, decentralization and accountability). During the second programme cycle it managed to set up another plural forum of three Deliberative Circles on human development and citizen security. Again, nearly 40 proposals were produced for action, the majority being of an operational nature. (-) With regard to the sustainability of the second phase, participants indicate that the methodological design did not include very consistent follow-up (in extent and time) and insufficient promotion of the support/conditions to give a practical resonance to the proposals prepared. That generates perceptions that the investment of time and effort would not have had the appropriate repercussions (in cases, without economic reward).	Semi-structured interviews with key informants Project evaluation reports

contexts, is not fully capitalized on; ii) the request for greater monitoring by local counterparts and partners; and iii) the formulation of projects does not sufficiently deal with the organization of counterparts for the management of initiatives nor the foreseeing of risk conditions for execution. In short, they have a fundamental weakness with regard to results management, from the point of view of both project design and evaluation and monitoring schemes.

Efficiency

The country office operates with limited financial resources, in spite of the significant growth shown by the area of democracy and governance from the second programme cycle. The execution of projects of this area and of gender equality has generally been quite efficient, highlighting the capacity for implementing actions in processes of high impact for Costa Rica.

Faced with the limited availability of resources, the UNDP strategy has focused on small interventions with high impact potential. The increase of mainstreaming in UNDP interventions, in all its areas, contributes to its efficiency.

However, the burden of administrative procedures generates delays in the implementation of some projects. It was observed that the slowness in starting some projects and their consequent impact on fulfilment of the schedule and the achievement of goals are linked to the said delays. Similar problems have also been recorded in the joint programmes (of the Spain MDG Achievement Fund), so they do not just concern the bureaucracy of UNDP, but also that of other United Nations agencies. Joint programmes require procedures specific to each agency which oblige counterparts to make a greater bureaucratic effort. The burden of procedures also affects the relationship of the office with other global spheres.

Improvements are needed in the area of follow-up and monitoring and evaluation. The aforementioned weaknesses in the organization and follow-up of counterparts contribute to delaying the implementation of activities, as was observed with regard to the inter-agency programme on security. The participation of numerous counterparts in project management has had a similar repercussion in other cases, according to the information provided to the evaluating team by the respective counterparts.

There is an external factor putting additional pressure on the efficiency of UNDP. Changes of government, with the consequent rotation of state personnel, has an impact on the continuity of public policies and on the implementation of projects supported by UNDP Costa Rica in the national and local sphere. The country office has designed actions to mitigate these effects, but the outcomes sometimes ultimately depend on third parties and have not always been positive.

Sustainability

In general, UNDP initiatives regarding governance, democracy and gender equality show sustainable benefits in a diversity of spheres, although there are aspects in some projects (or in part of the locations in which the latter are executed) in which there is no guarantee of sustainability.

A contribution has been made to sharing skills and knowledge in the State, both at central and subnational level, on key aspects for sustainability. A variety of positive examples have been mentioned, such as the institutionalization of the MDGs and of instruments and capacity for their follow-up in projects at municipal level. There are aspects of achieved sustainability that have been achieved through development conditions for interventions with a human development approach (skills), and to changes in the population situation which have been facilitated by support for state interventions (focusing, programmes, policies), for example, with strategies and measures directed at local levels for the fulfilment of the MDGs. The adoption of the official security policy, which incorporates the human development approach, illustrates the effectiveness and the limitations of the contribution made by UNDP: the policy has been adopted

officially, but sustainability is not guaranteed. As has been said, actions and alliances could have been implemented to minimize and manage opposition to the policy.

The sustainability of local development plans is dependent on the commitment of some actors. In the field of local intervention, in a significant number of municipalities, the outcomes make it possible to predict the sustainability in the implementation of the development plans prepared. Nevertheless, an uncertainty factor is present in some locations where a strong commitment from the authorities or other partners has not been achieved.

The continuity of the projects suggests, however, that the positive outcomes can be maintained and the experience can be replicated in other contexts. In that regard, the country office is managing a project to give continuity to FOMUDE. Similarly, direct development opportunities have some implicit factors which favour the sustainability of outcomes. For example, people who manage micro-companies have an interest in maintaining the conditions that make the success of their initiatives possible.

Limited follow-up affects the sustainability of initiatives. Two weaknesses that have been repeatedly encountered relate to monitoring, which is rather remote from counterparts, and follow-up of initiatives, which is not included in the long term.

Contributions regarding gender have been directed at legislation and public policy, and have a noteworthy level of institutionalization as their benefits are universally applicable in the country.

There is room to strengthen the learning of good practices and the ways of handing over to beneficiaries to ensure sustainability, in particular in small-scale projects, in remote communities or between partners who could be interested in the subject. In some cases, activities have been implemented in that respect in the areas of governance and democracy and gender equality (for example, inventory of experiences as part of joint projects). But other projects lack this dimension, such as the one implemented with ASTRODOMES and some cultural initiatives supported by UNDP. The scope of the contribution to development in cases where the target audience is very small will be limited if multiplying dynamics are not promoted. In such cases, good products can be ensured, but sustainability is not produced as a development contribution.

Finally, the effect that the evaluation and management of conditions of institutionalization and ownership of outcomes has on sustainability should be stressed – the risks for implementation and continuity. Promotional activity, expressed both in dissemination campaigns and in the establishment of alliances for developing support bases, in particular on controversial subjects, constitutes a valuable contribution to the promotion of sustainability. In these spheres, it is observed that there is room for improvement in UNDP activities.

Common Factors

There are some common weaknesses that have an impact on the spheres of efficacy, efficiency and sustainability.

Systematization and dissemination: They have not been uniform across the programme. Cases are observed in which they have been insufficient. The production of materials little suited to practice or to the wider public limits the capitalization of opportunities with greater impact.

Project development: i) the demarcation of expected outcomes and the defining of indicators are not precise enough; ii) the scheme for organizing counterparts (when they are numerous) within project management does not favour efficacy or efficiency; iii) forecasting, management and mitigation of risks has not always been included or worked on sufficiently in the designing of projects to incorporate actions that deal with adverse factors to the implementation or sustainability of outcomes. Ultimately, the general weakness lies in a not very robust application of a results-based management.

Monitoring schemes: Especially in the local sphere, UNDP follow-up and related support are perceived as remote and translate into not all counterparts having a sustained commitment or some not being able to obtain the support of beneficiaries.

Links with civil society and the private sector: UNDP has increased its connection with both sectors, but the link continues to be weak. That takes away possibilities of having greater public backing for some initiatives or achieving commitment from beneficiaries, and reduces opportunities for furthering efficacy and/or sustainability.

Knowledge management and evaluation: Not all the evaluation plans considered in the country's programme documents have been implemented. This is an indication of the insufficient integration of the results-based management approach into the programme. Although there are annual stock-taking exercises, evaluation is not a permanent dimension of the programme and project management process. The weakness regarding the evaluation system generates other weaknesses. It alludes to knowledge management, being associated with the lack of systematization and diffusion that affect learning. It is also related to the weaknesses in forecasting and mitigating risk factors that may jeopardize execution or sustainability, as well as to the needs not covered regarding monitoring. Consequently, regular mechanisms for analysing the performance of methodologies, management schemes, procedures, promotion strategies, risk scenarios faced and, more generally, experiences developed, are lacking; as is the taking stock of the added value of each element (in itself and comparatively) which may be assimilated in the subsequent development of projects and in the formulation of initiatives and of the programme. That is to say, convert it into learning to strengthen the quality of the programme work and the sustainability of its outcomes.

4.2 ANALYSIS OF THE STRATEGIC POSITIONING OF UNDP

4.2.1 RELEVANCE AND RESPONSE CAPACITY

During the period examined, UNDP has exhibited institutional and programmatic consistency with the inclusion of the country's challenges and priorities in the strategies and national development plans. In parallel to this effort to ensure coherence with governmental strategies, UNDP Costa Rica has had a considerable impact on NDPs in the areas that fall under its mandate (human development, MDGs).

This impact is linked to the support and technical assistance provided in the processes for preparing governmental NDPs and the government programmes of political groups taking part in elections in the context of public policy debate.[120] This correspondence is visible in the office's planning frameworks and the content of the implemented programmes. The specific projects and initiatives undertaken in response to unforeseen requests by Costa Rica align with the development results expected from the country programme and the content of the NDPs.[121] In short, the expected results of the UNDP programme have been highly consistent with the goals of the successive NDPs, having established a pattern of mutual influence.

There is a positive synergy between UNDP and the efforts of the UNS coordinator office in terms of the MDGs, human development and United Nation's values. The work of UNDP that is focused on meeting human development goals and the MDGs forms a synergy with the coordination work done by UNS, whose leadership in these areas has been central to the effectiveness and progress achieved. The UNS coordinator

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120 This is visible in the preparation of the development results related to the organization of national dialogues (for example, to support MIDEPLAN and for the Bicentenary Dialogues).

121 The Costa Rican Government incorporated the notion of human development into the NDP in the 2006–2010 period: "Effectively, the first fundamental point of reference for this National Development Programme (NDP), is the Human Development paradigm, promoted for over a decade and a half by the United Nations Development Programme (UNDP)." NDP 2006-2010, p.23.

office supported UNDP in its restructuring at the beginning of the period. The support and complementary nature of the UNS coordinator office is visible in the efforts of UNDP, which is part of the system. There are issues tackled by the UNS coordinator and the UNDP independent of the degree of priority established by the Governments or in the NDP, particularly with regard to aspects or values that form part of the UNDP or United Nations mandate, such as gender equality or the fight against HIV/AIDS. In the case of the latter (which does not form part of its remit), UNDP action is limited within its programme; or rather, it can be said that it is channelled through joint work with the UNS.

Strategic and programmatic relevance is distributed in a relatively balanced manner throughout the territory. The consistency between UNDP interventions and the national challenges and strategies is expressed relatively well by the setup of the country programme over time, although certain weaknesses are evident and these reflect the circumstances and limitations of the country office. Overall, UNDP has been extremely relevant to national problems through the evolution of the programme and project portfolios.

UNDP Costa Rica has a relevant and adaptable programme. Costa Rica has attached increasing importance to the **environment** and its commitment to play a leading role in this issue at a regional and global level, as set out in the NDPs for the period under evaluation. This explains the high profile of the area in the country programme, whose specific contents correspond to those included in the successive NDPs. Certain planned and important elements have not been put into practice, one example being transportation.

Similarly, as the country has formally taken the issue of **human development** on board, UNDP has become a valuable partner for the State, supporting it through relevant participation and at important moments (such as during the financial crisis). UNDP has made an effective contribution to improving information on human development, poverty and inequality for the country, particularly through data and analysis at a subnational level, strengthening institutions and capacity building.

In terms of **governance**, UNDP has responded to the challenges and weaknesses arising from politico-institutional changes in the country in a highly timely manner, such as the requirement to organize dialogues and establish new consensuses at key moments and on key issues, and strengthening the state capacity for governance and management with respect to the basic human development and poverty problems associated with the transformations taking place and which, in a range of cases, UNDP has helped to calibrate (such as territorial gaps). As the issue of **security** has become a priority for the country, UNDP has progressively increased its importance in the programme agenda, in a parallel process of impact and enrichment. Overall, UNDP has applied its work to aspects and areas that should impact on the living conditions of the Costa Rican people, especially among groups and populations that are in greatest need.

There is a permanent search for national-local equilibrium. UNDP has combined consistent and significant intervention at a central-national level with a special concern for having an impact at subnational levels through complementary components or targeted projects. In some cases, a two-tiered approach has been used, whereby interventions at a local level have sought reinforcement and institutionalization on a national level. Examples of this include FOMUDE, and FOCAM. For many years, the most prominent channel for local intervention has been SGP-GEF projects. In other cases, local intervention has been linked to the central level, however, the high numbers of state actors involved is detrimental; this is visible in certain actions targeting community actors and/or ecological management in joint MDG programmes.

The relative disconnection with the local level reveals a certain weakness in UNDP activity, above all, in contexts where a link with the central level of government would be of great use.

However, as mentioned, institutional fragmentation is a factor limiting the unified and effective response capacity of UNDP, since it does not have a representative with sufficient power and competencies to ensure a comprehensive impact.

In other contexts, the weakness lies in being unable to capitalize on the potential of supported initiatives in terms of sharing and replicating good practices, knowledge and methodologies in Costa Rica, but also as an input for exporting knowledge to other countries and regions. However, the lack of resources (and the consequent small size of the team) represents a limitation to the progress of UNDP in these dimensions.

In spite of all this, UNDP has played a relevant role through focusing on subnational scenarios, since it combines a good response capacity with proactive promotion. This is clear from how the itemized, decentralized information and analysis presented in the cantonal reports produced by UNDP has stimulated a fresh approach to the local situation and increased interest in acting on the unfavourable conditions that have been exposed. Furthermore, UNDP's response has been aligned with the different governmental approaches that have arisen with respect to organization and planning; i.e., it has worked with the State in attempts to make the governance structure more dynamic at a regional level. UNDP has made a considerable contribution to decentralization, politically and in terms of actions seeking to deal with territorial inequality and the conditions of inhabitants.

The delivery remains state-focused and there continues to be a weak link with civil society. The majority of UNDP actions have focused on the governmental sphere, principally at a central level, and to a lesser extent, subnationally. The degree of coordination with actors from civil society, communities and the private sector, has been relatively small, and consequently the image of UNDP is closely associated with work with the State. During the evaluation, some of the partners interviewed gave the impression that they regarded UNDP as being too close and receptive to the Government, to the detriment of being proactive. However, the bigger picture grants UNDP a broad degree of independence and neutrality, and its ethical integrity is recognized at all times. At any rate, the relatively limited connection with civil society organizations is a weakness of the programme with respect to the UNDP mandate of helping to ensure that the incorporation of the human development focus has a practical base in society. Increased integration and interaction with society is required to achieve this objective.

UNDP has responded well in the emergencies suffered by the country in the period under evaluation (earthquake and flooding). The coordination of the UNS was highly effective and the work carried out in the context of the emergency made it possible to form national recovery and prevention mechanisms that build risk management capacity, even at a subnational level.

It is significant that, after a situation as complex as that experienced at the beginning of the period under examination, UNDP has succeeded in increasing its prestige. The restructuring efforts were successful in their results, both strategically and programmatically, and there was continuity in this aspect. This has facilitated the achievements in its programmatic work. In spite of the image problems suffered by UNDP, to the present day, it is recognized for its high ethical standards and transparency.

However, the lack of national funds limits the capacity for effective responsiveness. Reduced access to national financing for UNDP imposes restrictions on compliance with its intergovernmental mandate to support the country and for its human development. The basic context is shaped by the fall in resources from international cooperation and UNDP itself, derived from Costa Rica's status as a middle-high income country and the contraction of UNDP corporate funds. In addition, the difficulty of accessing national/governmental financial resources to operate in the country must be taken into account. For a long period of time, UNDP has worked with the Costa

Rican State to agree on changing this situation. At present, the Government and UNDP are working on formulating a solution.

During the period under evaluation, this de facto difficulty of using state funds to implement joint activity by UNDP and the Government, has led UNDP to respond in a more strategic manner, both to the demands of the State and the values and issues of its mandate, in line with the requirements of the available financing. This strategic response has included an emphasis on the fundamental content that has been sustained throughout the period (actively incorporating it into the environmental material in the second cycle). Therefore, UNDP has remained within the guidelines of its programme, although it has had to accept the restrictions as a result of limited external resources. Even if the circumstances of limited financing have led UNDP to learn lessons in terms of efficiency and efficacy, this factor is one of the principal causes of the weaknesses that constitute an obstacle to its efficacy and sustainability, particularly due to limitations on the staff it can hire.

It is noted that the pressure created by the lack of available financing creates tension in terms of programming and selection. One consequence of UNDP resource constraints is that the composition of its project portfolio is largely determined by the available financing. In the past, contributions from UNDP headquarters partially mitigated this situation. At present, UNDP has to make an effort to maintain a delicate balance between what it would like to do (its programme design, in line with its mandate and the requirements and priorities of the country) and what it can do (as a result of the nature of the funds collected to complement its corporate resources).

This explains the relatively high weight attached to the environmental area ahead of human development, poverty and inequality, as it is deemed to be the most strategic and influential area of the programme by the country office. However, owing to the lack of resources, this area has received little intervention, its limited staff

are overworked and lack sufficient capacity to cover all the activities proposed or the demands that have arisen (from the State or the corporate sphere); relevant examples include discontinuity in the publication of the National Human Development Report and reduced activity in the area specifically targeting the reduction of poverty as a long-term national strategy.

Thus, even if UNDP does successfully undertake effective intervention in terms of content and strategic effect (which is particularly important), there is still a certain programmatic imbalance derived from the increased availability of resources for the environment. To this should be added the fact that UNDP staff are required to attend an endless number of minor activities in order to increase their strategic positioning and possibilities of accessing funds, as well as those specifically directed towards managing resource mobilization.

Quality is recognized in spite of staff being required to programmatically overstretch themselves. The evaluation team has essentially found nothing to detract from the quality of the work carried out by UNDP, even when considering the aforementioned weaknesses. The technical and strategic value and capacity is generally highly regarded. A large part of this positive evaluation refers to the conceptual and intellectual production of UNDP (e.g., national and subnational development reports; work on capacity building and institutional strengthening in terms of human development and planning; and publications and forums for debate).

The quality of the programmatic and intellectual work of UNDP and its relevance translate into the presence it has achieved in Central and Latin America. The leadership role performed in the preparation of the Regional Human Security Report and in a range of thematic forums is notable. Similarly, the UNDP regional office has been able to capitalize on the value and work of the Costa Rica office in a variety of programmes and publications. However, the type of support coming from regional bodies has greatly facilitated the work of an office such as UNDP Costa

Rica, which has limited human resources, time and funds. One of the main forms of support and collaboration is in response to specific requirements of the country office. Other forms of support normally entail a considerable time requirement, as is the case with the knowledge and exchange networks operating on virtual platforms. Direct or face-to-face collaboration would be better suited to the circumstance of the country office, alleviating staffing limitations and reducing costs.

4.2.2 USE OF NETWORKS BY UNDP AND COMPARATIVE STRENGTHS

Human development is key to the strong position of UNDP. In Costa Rica, the organization has reinforced its image as a leading human development institution. As mentioned earlier, in spite of the complicated initial period for the institution and its image, UNDP Costa Rica has reconfigured the organizational and programmatic spheres in line with the issue central to its mandate, and as such has successfully earned recognition and prestige.

The NDP for 2006-2010 incorporates the notion of human development and explicitly mentions UNDP, recognizing it as its driving force. Through restructuring its institutional and programmatic profile to focus on the substantive aspects, UNDP applied an effective strategy based on the focus on human development and the development of the corresponding intellectual-programmatic instrument. UNDP has used this base to develop its subsequent activities and has managed to achieve a **high level of social legitimacy, high credibility and a strong ability to draw support** that has been used to promote public debate and the search for consensus. Relevant examples include the role played by UNDP in the promotion and development of forums for political dialogue and public debate used in the presidential election process, for tackling national priorities (Bicentenary Dialogues) and in the discussion and participative

formulation of public policies (POLSEPAZ). The referendum on the free-trade treaty with the United States and Central American countries, as controversial as it was momentous, is another notable example. Furthermore, in the second cycle, UNDP has achieved environmental standing and impact.

Technical assistance and knowledge creation are highly valued. Related to the above is the role and added value of UNDP in terms of capacity building and knowledge creation in all areas related to human development. Furthermore, the impact of its intellectual production on the national problem of stimulating and facilitating political dialogue and public debate with quality information is valued.

The current role of UNDP Costa Rica as a leader in terms of human security stems from the human development area. The growing importance of this issue in UNDP, and even externally, has translated into opportunities for cooperation with the UNDP regional office (for example, in the preparation of the Regional Security Report). Similarly, the recognized technical capacity achieved by UNDP is seen in its close and continuous cooperation with academic institutions such as the University of Costa Rica, the National Council of Rectors and FLACSO.

There is positive strategic leadership through coordination with the UNS.[122] One point that should be highlighted is the significant work carried out by the Resident Coordinator: the current leadership of the system, initiative and impact have been positive. Similarly, its role in the effective impact of the UNS and its values should be noted. The relationship between the agencies has reached a significant degree of rapport. In operational terms, coordination by the UNS has notably improved, albeit in an unequal manner. From the start of the current cycle, the UNS coordinator office has progressively linked the efforts of agencies, through inter-agency

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122 In the section on the promotion of the United Nations values, there are aspects that complement this issue.

groups and joint programmes. One example is the work carried out for a number of years for the MDGs, which has been conducted in a satisfactory manner.

Joint programming work is another example of the efforts and limitations. In operational terms, it still is mainly coordination to organize the division of labour, that not always entail acting in an integrated manner. Even where it has been possible to leverage the comparative thematic and technical advantages of each agency, it has still not been possible to eliminate the duplication or overlap of efforts.

In this context, the remainder of the system recognizes the aptitude of UNDP for capacity building and knowledge development. UNDP works together with the agencies and is invited by them to apply its technical experience where relevant. The inverse is also true, and each agency acts within the scope determined by its field.

The experience establishing the CCA and UNDAF contributed to increasing operational coordination and was a great help in the development of joint programmes with the Spanish Millennium Development Goals Achievement Fund. In spite of the fact that the work with these programmes still has weaknesses and, to a considerable extent, parallel tracks of activity, it is opening up a new horizon for learning and coordination.

Until now, in joint programmes, the complexity and diversity of the procedures required by individual agencies has created difficulties for partners. Furthermore, the duplication of activities, which, despite having different purposes is perceived as a repetition, has been observed not just across agencies but also across projects. In joint programmes, an insufficient level of close and continuous support has been observed, similar to that identified in some UNDP projects.

The establishment, by the Office of the Resident Coordinator, of a joint monitoring and evaluation system, that makes it possible to maintain a good record of experiences, will facilitate programmatic learning and will be able to be used for knowledge transmission, is a highly positive development with practical consequences.

In addition to capitalizing on its legitimacy and ability to draw support in order to induce participation, appropriate use of the significance of environmental matters and human development in Costa Rica has been observed, although there is room for expansion. The environmental area plays a central role in the country programme, and this centrality has also been used by UNDP to increase its contribution and presence in Costa Rica. UNDP has capitalized on various opportunities and resources to develop projects or attract participation (to meet the requirements of the country or prioritized governmental issues). Similarly, it has been able to capitalize on operating in a country with a longstanding tradition as an 'endogenous' laboratory, both in terms of human development and ecological issues. The experience and knowledge acquired in both fields has extremely wide-reaching potential for replication in Costa Rica and for its development in other countries through South-South cooperation.

Limited promotion of South-South cooperation has been noted. UNDP participation to foster this type of cooperation has been scarce. This is particularly important in consideration of the country's potential when it comes to environmental and human development issues. In terms of the environment, there were initially notable efforts to promote South-South cooperation, however, due to reasons of strategic prioritization by the office (during difficult periods), these lacked continuity. Some experiences relevant for South-South cooperation have taken place on the issue of human security through the exchange of experiences with Latin American countries and the project and preparation of the report on Latin American democracy.

There is fluidity of communication and cooperation with the UNDP RBLAC and the New York office, although sustained support is not

available. There is also frequent collaboration with the UNDP Regional Service Centre in Panama. UNDP has taken advantage of opportunities for internal strengthening and learning (for example, networks) available through the RBLAC, albeit with relatively limited continuity due to time constraints in the country office.

UNDP has taken up and offered possibilities for programmatic work on a regional scale through the available regional channels. As such, UNDP Costa Rica participates in regional projects. A flagship case is its participation in the preparation of the human development report in Central America, where it played a central role based on its technical ability in the material. Other notable cases include regional projects on environmental and sustainable development issues, and the project for the economic rights of women. This capability was recognized when its NHDR on security received the corporate award for innovation in 2007 and the one for the Caribbean. The country office has also contributed to the preparation of UNDP global reports.

On the other hand, the support mechanisms to which UNDP has access at a regional level are not very suited to its requirements. As an example, the programme has encountered difficulties in securing the allocation of a junior programme official that would help to relieve staffing limitations.

Valuable and innovative analytical perspectives and participation in public policy and human development work have been identified. The technical capacity of the country office has allowed it to produce information on fairly uncommon issues or employ different or innovative approaches. This has made it possible to provide information and analysis that promote critical, substantial and valuable reflection on problems and perspectives in Costa Rica. Representative cases include human development information broken down at a municipal level, the analysis of the Bicentenary Dialogues and the challenges of democracy, and the publication *Igualiticos*. All of these initiatives lead to a rethinking of the gaps and inequalities

in Costa Rica and traditional perspectives on the individual issues, making it possible to promote activity by the State and the municipal governments to tackle the living conditions of the most affected members of society.

Expanding the work of UNDP Costa Rica with civil society and the private sector remains a challenge. With its work strategically directed at, and concentrated on, the state level, UNDP has a limited relationship when it comes to cooperation with organizations and sectors of society, although progress has been made in this area in recent years. Strengthening these connections will make it possible to identify opportunities to expand its own work. However, the excessive volume of work required to be undertaken by staff and the requirement for additional resources to capitalize on these opportunities must be taken into account.

Citizens and civil society organizations have taken part in initiatives such as the processes associated with POLSEPAZ, programmes dealing with security and environmental management (their own and joint), and ecological production incentives. In terms of the latter, a link has been established with micro and small business sectors. The United Nations Global Compact and the provision of support to the National Consultation Council for Corporate Social Responsibility (CCNRSC) are spaces in which larger companies have been engaged. These networks have made organizational and conceptual progress. However, the companies (individually) have not become engaged in a broader and more practical sense.

UNDP Costa Rica has sought to tackle the factors that limit the relevance, timeliness and capacity of its response. The country office operates in a national institutional context, the features of which limit the timeliness and effectiveness of its response. The frequent rotation of high-level state staff (with both decision-making and innovative capacity) associated with changes of government also occurs in ministries or autonomous institutions during a given presidential administration. This factor may result in the proliferation of

requests for support, the loss of relevant representatives or the absence of an authority with unitary governance in a given area. The fact that UNDP programming cycles and the presidential periods do not fall in the same time-frame contributes to weakening the continuity or institutionalization of certain initiatives.

UNDP has shown marked support to the State in its efforts to correct these factors (recognized by the country as weaknesses) through the implementation of initiatives in the field of state reform, institutional strengthening and the development of planning capacities. The technical and ethical legitimacy of UNDP, together with its convening capacity has led successive governments to request this support. While UNDP technical support strategically focuses on the causes of the problem, the end result depends on external factors.

4.2.3 PROMOTION OF UNITED NATIONS VALUES FROM THE PERSPECTIVE OF HUMAN DEVELOPMENT

The highly cross-cutting nature of the work of UNDP has made it possible to strongly integrate the values of the United Nations into its initiatives in Costa Rica. This is reflected in public participation activities carried out from the Office of the Resident Coordinator and UNDP and UNS headquarters, and also in their programmatic activities.

The Communications Unit, which divides its time between UNDP and the UNS coordinator office, performs competently and enables strong synergy between the works of both parties in favour of United Nations values. Both inter-agency and UNDP public campaigns, alongside other promotional activities, provide information that contributes to increasing the visibility of issues such as gender, HIV/AIDS, discrimination and peaceful coexistence. At the same time, they allow UNDP and the United Nations to be identified with the issues and values they promote.

On a programmatic level, it has been possible to assimilate the values of equality, respect,

democratic understanding, social and economic rights, and their common basis, human rights, into the UNDP programme. These issues are dealt with in the analytical publications produced by UNDP and are also included in work to strengthen state institutions. Citizen security initiatives promote these values through initiatives for young people, neighbourhood meeting spaces and the extension of opportunities for rural inhabitants, to name a few. In terms of energy, the environment and risk management, these values are channelled through its work with the rural and indigenous populations, and those living in poverty. The reformation of the school curriculum, which UNDP has helped to draw up, includes content related to democracy and peace.

Gender equality

UNDP gave strong support for cross-cutting gender mainstreaming among UNS agencies through the implementation of a specific project that contributed to capacity-building and provided tools for tackling the issue. It also supported the formation of an inter-agency group for the issue, which it led until 2009, and has implemented joint initiatives with UNFPA. However, the excessive burden of work has limited its participation in these areas. In its own programmatic work, UNDP introduced an activity to advocate the cross-cutting nature of the issue, however this has not been universally effective.

UNDP provided support for the introduction of gender indicators and tools for collecting and processing information with considerable potential to promote gender equality. Clear efficacy has been observed in initiatives related to strengthening management and planning in the public sector (Ministry of Justice and Peace, MIDEPLAN, INEC, local government). Specifically, the following should be highlighted: legislative work, the creation of a framework to understand gender factors in the economy, the defence of women's interests in the context of the economy opening up as a result of free-trade treaties, and, more recently, the promotion of an ISO standard to certify the application of the gender-based approach. In terms

of security and the environment, various channels have been established to assist women from the target populations. ICT training for domestic workers has been established on a small scale but may form the basis of a good practice that should be replicated.

Human rights

Turning human development into a cross-cutting issue has channelled the incorporation of human rights aspects into the UNDP programme portfolio. Some of the most illustrative examples include: the curricular reform undertaken by the Ministry of Education, which expressly introduced human rights content into secondary teaching; the security initiatives on tolerance, respect for others and democratic patterns of social interaction and conflict resolution. Impact in the media through the participation of domestic migrant workers contributed to the examination of the conditions for exercising their rights. Support has been provided to indigenous populations to exercise their rights, including those related to land.

The contribution made by UNDP to promoting human rights in different programmatic areas has been relevant in terms of the country's requirements and problems, and with regard to the commitment that has been the country's traditional policy in this area. The support provided by UNDP has permeated the design of strategies, programmes and projects to tackle the country's most pressing social and economic phenomena: violence; citizen security; climate change and sustainable development; risk management and mitigation; and HIV/AIDS.

South-South cooperation

UNDP has undertaken South–South cooperation efforts, mainly through its participation in projects linked to RBLAC at a regional and subregional level (mentioned in the programmatic section of this chapter) with material linked to Central America being of particular relevance. On the margins of this, involvement in this type of cooperation has been more focused.

When Costa Rica promoted a focus on best practices for horizontal cooperation in 2003 (see section 2.3), it submitted a proposal to UNDP for a project to create an information system and embody this focus within a more comprehensive proposal, although the respective management in the Ministry of Foreign Relations did not approve this. Further on, the support provided to MIDEPLAN, in the context of its institutional strengthening and the management of international cooperation, included a digital platform that included the provision of information for South-South exchange projects, as well as material produced to facilitate identification and contact among potential partners. Furthermore, in 2003, the Environmental Solutions Fair took place as part of a UNDP initiative and saw the participation of countries from the Americas and other continents.

Civil society

Efforts have been made to strengthen productive collaboration with civil society. UNDP has worked with civil society sectors within and outside the context of projects (for example, with the Paniamor Foundation, CEFEMINA, and the Omar Dengo Foundation). It has also increased the participation of universities, research centres, and a range of NGOs in processes for the analysis and debate of, and participative consultation on, policies, such as the University of Costa Rica, FLACSO, Mesa Indígena, and cultural associations.

In terms of the environment, established partners include InBio, CATIE (the Tropical Agricultural Research and Higher Education Centre), Fundecooperación and BUN-CA (the Central America Biomass Users Network). In the planning processes for the country programme, UNDP carried out consultations with civil society. The sector has participated in forums for reflection and deliberation that have given rise to public policy and legislation. UNDP has helped successive Costa Rican governments organize the participation of civil society in consultation spaces designed to support the creation of national development plans promoted and

supported by UNDP. On a municipal level, it has also promoted the participation of civil society in the creation of local plans and strategies, and has worked with local organizations on human development, environmental sustainability and risk management projects.

Furthermore, in terms of the environment and risk, UNDP has established a broad connection with local and community organizations through initiatives in the context of the SGP. Between 2007 and 2010, 91 civil society organizations (including 79 community organizations) and 13 NGOs participated in SGP projects.[123]

The relationships UNDP maintains with civil society organizations are not as numerous or consistent as those with the State. However, in terms of new initiatives and joint programmes, implemented at a local level and involving various thematic areas, UNDP has substantially increased its contact with civil society.

The private sector

UNDP has made a clear effort to establish a close link with this sector. Before the first examined programmatic cycle, UNDP was working on issues related to the private sector. The Environmental Solutions Fair held in 2003 is one example of this. During the cycles under examination, the private

business sector has participated in consultations related to the UNDP planning process for its activities in the country, as well as in the formulation of national governmental and local plans. At a decentralized level, its support has been focused on programmes to generate or increase economic opportunities.

UNDP Costa Rica has been working on the issue of social responsibility since 2005. In 2008, it contributed to the creation of the CCNRSC. The initiative largely brings together international and non-governmental organizations and the presence of the private sector is limited. UNDP still supports the CCNRSC, alongside other international organizations.

In 2010, UNDP Costa Rica promoted the formation of the National Global Compact Network, which had 15 members at the start of 2011.[124] Business affiliates include the Public and Community Development Bank, Intercultural Language and Cultural Centre, the Green Pet Foundation, INCAE Business School, Etiquetas Impresas Etipres and INTEL.

In spite of the fact that UNDP has started to tighten links with the private sector, it still lacks direct and sustained relationships with individual companies or associations representative of the sector.

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123 See GEF/SGP/UNDP, 'The SGP Costa Rica in Figures', 2011. Achievements during the operative phase IV of the SGP. SGP-Costa Rica, January 2011.

124 Information available on the UNDP Costa Rica website.

Chapter 5
CONCLUSIONS AND RECOMMENDATIONS

5.1 CONCLUSIONS

The evaluation team presents the findings of this ADR to contribute to learning and to the strategic direction of the UNDP programme and for purposes of transparency and accountability to its partners and associates. The findings relate to the strategic positioning and performance of UNDP Costa Rica, and the relevance, effectiveness, efficiency and sustainability of their contribution to national development in the period under review (2002-2010).

Conclusion 1. In Costa Rica, UNDP has a coherent, effective, and substantive programme that, with efficiency, has made significant contributions to national development. By impacting on governmental priorities and the main human development challenges in the country through successive scenarios, the organization has made significant contributions in spite of meagre financial resources. UNDP's most solid achievements relate to mainstreaming human development and the MDGs throughout the programme and projects, the formulation of public policies and National Development Plans (NDPs) and especially through government support initiatives to ensure compliance with international agreements on environmental protection.

Conclusion 2. The human development area is the core of the conceptual work that informs and supports the whole of UNDP undertakings and widens their paths in Costa Rica and in the region. The National Human Development Report on security catalysed subsequently the important contributions of UNDP to address gaps and inequalities in the country. The concepts of human development and security have been applied to the design of national and local

prevention programmes (offering, for example, options in training and management or upkeep of public spaces) and the generation of local economic opportunities. The learning in the area has had an impact at the UNDP corporate level (e.g., the regional security report, and global reports). Despite the delay in the production of the second NHDR, UNDP's highly respected analysis is eagerly awaited.

Conclusion 3. In the area of poverty reduction, inequality and social exclusion, UNDP has helped the Government in strengthening its capacities (conceptualization and measurement of social and economic variables, with the National Institute of Statistics and Census and the Ministries of Economy, Labour, Health and Justice). Through this, UNDP has expanded state capacity to give decentralized attention to disadvantaged populations on a national and local level (including monitoring of the MDGs and the creation of environmentally sustainable economic enterprises). In the face of persisting harsh living conditions for vulnerable sections of society and indigenous populations, UNDP still finds it a challenge to strengthen the longer-term scope of its work and balance its support to capacity-development and poverty-reduction strategies for the long haul with support from different sectors of the national Government.

Conclusion 4. UNDP has influenced the formulation and implementation of public policies in the fields of biodiversity and water resource protection and management (with the system for protected areas and related programmes) and sustainable energy, rural electrification and land management, especially through its support for state capacity building and legal instruments. UNDP has undertaken important work in the

advancement and innovations by Costa Rica in risk management, including the establishment of inter-agency and cross-sectoral synergies. The GEF SGP has proved a good channel to apply the approach to human development at a local level, and to carry out within the poverty reduction programme. This has helped to capitalize experiences for national development and to involve vulnerable communities (rural and indigenous communities and women) in conservation and sustainable development through ecotourism and agroindustry; and small enterprises in agro-industry, expanding economic opportunity and human development – particularly at a decentralized level. In relation to the expected results on the control and elimination of ozone depleting substances, the contribution of UNDP to environmental effectiveness has been relatively weak in view of the expected results agreed upon.

Conclusion 5. In the area of democratic governance, UNDP has made important contributions in state planning (from information systems to implementation capacities at a central, sectoral, regional and municipal level). In addition, UNDP has helped the country to make improvements in the exercise of citizenship rights and participation through the dissemination of knowledge products, technical assistance in deliberation processes and promotion of forums and consultations on key and particularly sensitive public policy issues (e.g., free-trade agreements, the international economic crisis, and the reform of the State). UNDP has helped to channel citizen participation and perspectives and to strengthen the policy dimension of political parties. It has also had bearing on spotlighting and institutionally mainstreaming themes and issue through practical proposals and inputs for public policy. For example, UNDP has facilitated the positioning of the issue of citizen security with the organization's human development approach. This has been incorporated into the Integrated and Sustainable Policy for Citizen Security and the Promotion of Social Peace (POLSEPAZ), local security schemes and various preventive programmes to promote a democratic praxis in citizen interaction and to expand both

recreational and economic opportunities for vulnerable groups, such as young people.

Conclusion 6. UNDP has impacted on strategic points of the issue of gender equality, especially with regard to adjusting some public policies to the real conditions facing women and expanding opportunities for representation. It has also contributed to strengthening a gender-sensitive approach in institutional actors such as the Ministry of Justice, the Supreme Electoral Tribunal and the private sector. The contributions of these partners together for the development of a National Statistical Indicators for Gender and Economic Management (ISO) stand out, as do various initiatives related to local sustainability where the gender-equality approach is fruitfully applied, and its input in discussions on legislation and public policy paths. For some initiatives, inadequate systematization and dissemination have resulted in failure to fully capitalize on good practice. The integration of the equality and gender equity approach has been uneven, and the links with civil society on these issues has been sparse, even though they have been taking opportunities to develop or strengthen partnerships.

Conclusion 7. UNDP, with its gained ethical and technical prestige, is a sought-after partner by State and society for work on capacity development and knowledge management within the framework of human rights and the values of the United Nations. UNDP has responded promptly and appropriately to the changing socio-political context, public policy priorities and NDPs. It has also been known to capitalize on its comparative advantages and thus increased its legitimacy and leadership to heighten policy attention to vulnerable populations, their access to opportunities and dissemination of sustainable ventures. UNDP has been able to direct its efforts to the more specific development challenges that a middle-income country faces, identifying deficit areas and drawing attention to them. It has used the country's comparative advantages, in terms of human rights, peace, democracy and environmental protection, to integrate them into human development work.

Conclusion 8. There has been insufficient attention to the monitoring, evaluation and formulation of projects and the feedback thereof. An additional weakness, in terms of formulation, is insufficient accuracy of expected results and indicators, both in the country programme and the projects. There are two interrelated factors at play. Evaluation has been scarce and, when materialized, rarely had any practical bearing. There are concurrent failures in the systematization and dissemination of experiences and materials. The other factor is that the design and formulation of projects do not sufficiently anticipate and mitigate risks that may affect the implementation and sustainability of initiatives. Thereby weaknesses appear in the system of project monitoring and counterpart follow-up; partners have reported the need for UNDP to maintain a closer and consistent link with themselves and beneficiaries, to help them boost performance or consolidate results. Also, projects often involve shared management by a variety of partners, entailing organizational complications and giving rise to obstacles or delayed execution. Furthermore, there have been scenarios of controversy or resistance, for which no strategies of communication, advocacy and alliances had been foreseen. On many occasions, deadlines have not been adequately planned to reflect the typically occurring procedural burden, thus causing delays.

Conclusion 9. The coordination and joint work of the UNS in Costa Rica has been progressively strengthened through the successive management efforts of the Resident Coordinators throughout the period and the involvement of the respective Country Teams (CT). The RC's functions have been aptly exercised and channelled the efforts of the CT to provide leadership to the UN System in the country, having established a valuable support office. There has been a synergy with UNDP's efforts to contribute to the strengthening of the UNS. An expression of the stronger and more active cooperation are the joint programmes and the common monitoring system created. Some partners have reported some coordination difficulties in the implementation of the joint programmes, including the delay that comes from the density and juxtaposition of the procedures of the participating agencies.

Conclusion 10. UNDP Costa Rica operates in a privileged setting, which allows it to experiment in different areas (human development, sustainable local development, South-South cooperation). The country office has accumulated experience and conceptual capital to address many of the challenges and opportunities that arise in development. It has, therefore, room to expand its contribution in the country and for the dissemination of this learning in other regions.

Conclusion 11. The UNDP programme has been developed under financial constraints that have prevented the country office from acting in a more effective, efficient and sustainable manner. Since 2004 the Government of Costa Rica has not contributed financially to the UNDP programme, in contrast to what happens in many other countries. The country office currently receives less than 10 percent of its budgetary resources from UNDP headquarters, with the rest of the financial resources coming from external sources. In this context of financial pressure, there has been a strong dependence on external resources, especially those for environmental issues, due to their greater availability. Capitalizing on this fact, the country office has been developing work in the environmental field and encouraging new learning based on skills acquired in human development and resource mobilization. The effort required to raise funds is costly in terms of human resources, especially considering the small staff. Particularly troubling is the prospect of staff members having to devote more time to fund-raising at the expense of programmatic attention. The position and continuity of UNDP in the country remain complex due to its financial situation, particularly with the imminent graduation of Costa Rica to a Net Contributor Country (NCC) at the UNS. A new model will be essential under which UNDP can continue to provide a contribution to the development of Costa Rica in consonance with the challenges and needs of the country.

5.2 RECOMMENDATIONS

UNDP in Costa Rica is facing imminent challenges that concern not only its ability to act but also its presence in a country acceding to NCC status. UNDP has been and may continue to be a provider of ideas and services, capable of channelling foreign aid for the country's human development. This will require providing for itself in order to continue fulfilling its mandate in the future, in line with the challenges of Costa Rica. Therefore, based on the programmatic aspects required to attain these strategies, this ADR makes the following recommendations.

5.2.1 RECOMMENDATIONS FOR UNDP COSTA RICA

Recommendation 1. UNDP Costa Rica should scale up the integration of human development in the environmental field and strengthen the learning and content coming from these areas into the others to advance the implementation and synergies with wider priority regional approaches and strategies of donors. For example, it should develop the environmental component into local plans and other instruments for governance, community and microenterprise development. The SGP provides valuable elements for all: integrated approaches and methodologies that combine different themes (vulnerable populations, gender, poverty reduction, human development, environment, energy, etc.) and flexible procedures.

Recommendation 2. The country office should be more proactive in the areas of transportation, renewable energy and water governance issues, which are already included in the current results framework and are fundamental for achieving carbon-neutrality by the year 2021 but results lag behind. These areas will be crucial for the country office to contribute effectively to achieving national objectives in the new phase of the United Nations Framework Convention on Climate Change, especially in the dissemination and development of new horizons for a wider position, for what will be functional and more actively spread within and outside Costa Rica: knowledge, processes and existing environmental technologies.

Recommendation 3. In the area of democratic governance, UNDP Costa Rica should strengthen practical impact, efficiency and ownership (of the initiatives by the partners, and content and values of human development and the UN) as better conditions for sustainability and replication. An important element is to strengthen the support base and partnerships, in particular, to establish a greater link with other local and sub-national bodies, such as the National Union of Local Authorities and the Association of Mayors and Governors, to achieve greater involvement of subnational authorities. The country office can further deepen the programme on security and formalize its current role in the programme to achieve the expected results.

Recommendation 4. In the area of gender equality and equity, the country office should strengthen the integration of this approach into the other programme areas. Encourage more robust and extensive partnerships with organizations such as the Parliament and civil society, and expand outreach mechanisms that also contribute to greater visibility to these issues in the media.

Recommendation 5. UNDP Costa Rica should reinvigorate the initiative of the National Human Development Report and issue the publication of the long-delayed second report on coexistence. In addition, special emphasis should be placed on supporting the Government in formulating and implementing long-term strategies to reduce poverty with a focus on human development. This may possibly require an additional search for and allocation of resources. Knowledge management can be improved to facilitate the channelling of the knowledge generated to the lives of people. Experiences should be disseminated and potential target groups consulted as to how to make human development materials more adaptable to practical use.

Recommendation 6. The country office should review the project implementation mechanisms as well as develop and actively implement risk forecasting and mitigation from the phase of design and into that of securing sustainability. It

should strengthen the formulation in the definition of expected results and indicators and baselines (more directly and clearly focused on development results outcomes) and congruently align the programme`s evaluation and monitoring system for an improved performance in results-oriented management. Formulation work must incorporate a risk management framework, with careful investigation both of institutionalization requisites (actors, factors and scenarios that may affect implementation or sustainability), and the management of these variables. This includes planning, advocacy, communications and alliance-making strategies. Organizing systematic and frequent spaces for joint monitoring and evaluation with the regular participation of partners may be valuable here. The implementation process should be organized such as to manage the technical conditions and foreseeing the time for compliance with institutional procedures. In particular, identify the requirements associated to project monitoring and follow-up/support of partners, and incorporate them in the design and operational planning, so that each programme officer develops his/her monitoring functions to increase effectiveness and knowledge management. The evaluation dimension requires greater attention, not only in meeting the timetables for planned evaluations but especially regarding the implementation of the management response to findings and recommendations.

Recommendation 7. To meet the widespread demand for collaboration amid staff limitations, the country office should seek ways to more effectively streamline business processes. For example, it should fine-tune its selectivity in taking up projects according both to priorities and a realistic analysis of the availability of the country office's own team to cover the full range of project-management functions. Simplification and minimization of procedures should be ensured, including how to better organize partners in the management and implementation of projects (in cases involving more levels and occasions for coordination and follow-up). The country office can also create new niches for action harbouring

funding options. Thus, a field to exploit in view of the unique characteristics of Costa Rica is South-South cooperation and the triangulation of development cooperation.

Recommendation 8. UNDP Costa Rica, with appropriate institutional support, should explore with the State how the latter could contribute to reach a new model suited to retain and enhance the contribution of UNDP to development in the country, while ensuring its consistency with national challenges and needs and is not overly dependent on and constrained by external resources. With as much corporate support as may be fit, the country office should keep up efforts to jointly build, with the State, the instruments with which Costa Rica can provide the basis for UNDP continuing in the country. This will involve designing new legal and financial conditions of their cooperation as well as the contents of the substantive contributions.

5.2.2 RECOMMENDATIONS FOR THE COORDINATION OF THE UNS

Recommendation 9. The coordination office of the UNS in Costa Rica should supplement the achievements of the Information System for Convergence (SICON) platform, and explore improvements and other regular mechanisms for joint monitoring and evaluation. Furthermore, it is important to encourage further steps towards streamlining and coordinating procedures for joint projects and initiatives with a view to reducing or even, where possible, to unifying the processes of the participating agencies.

5.2.3 RECOMMENDATIONS FOR HEADQUARTERS AND ON A REGIONAL LEVEL

Recommendation 10. The Regional Bureau for Latin America and the Caribbean (RBLAC) and the country office should explore additional ways of supporting the latter addressing its needs and, especially scarce human-resource conditions, as well as its considerable technical potential. One way could be more direct technical assistance

from regional structures to alleviate the shortage of human and financial resources. It is important that the regional management lends the support that the country office may need to facilitate and encourage a new, revitalized model of relationship with the Costa Rican Government, upon a basis that can sustain the continued contribution of UNDP. This may include providing the country office assistance to prepare, e.g., to develop a proposal of the value added, by UNDP and the State, to the country towards fulfilling the human development mandate in future years. Finally, it would be also useful to explore measures to facilitate the simplification of procedures.

Recommendation 11. The RBLAC should lay out a joint strategy for the dissemination and positioning of UNDP Costa Rica on a regional/ global level, enhancing the functionality and added value of the respective, regional and national roles, for the fulfilment of the human development mandate. The capacity and technical quality that UNDP Costa Rica has consolidated on the conceptual and practical levels can be used in other contexts, for example, in South-South cooperation or for transfer to other UNDP country offices, applying the conceptual and programme capital beyond the contribution made through the School of Human Development. They could even seek to generate resources for the country office on the basis of these capabilities, if UNDP Costa Rica had conditions to offer its services to other countries.

Annex 1
FINANCIAL INFORMATION FOR THE UNDP PROGRAMME 2004–2010

As of November 2011, the financial performance information recorded for the year **corresponding to 2010** was updated, as mentioned in Chapter 3. For this ADR, the cut-off point for the collation of UNDP Costa Rica financial information was 15 March 2011. Subsequently, when new data became available to the evaluation team, it was examined and compared with that already incorporated into the work, even though this was almost finalized. The analysis and interpretation of the data has not materially changed. For the convenience of the reader, two examples using this data, equivalent to the content in Chapter 3, are included below.

Table 1 (Annex 1). Financial Execution of the Programme Areas Per Year, 2004-2010 (USD Thousand)											
Subject area	2004	2005	2006	2007	2008	2009	2010	2004-2007	2008-2010	2004-2010	% of total programme
Not specified	302	144	225	335	250	286	1,217	1,006	1,753	2,759	10,50%
Poverty reduction	585	825	658	877	801	897	860	2,945	2,558	5,503	20,94%
Democratic governance	134	229	215	310	1,080	1,236	1,508	888	3,824	4,712	17,93%
Energy and environment	1,412	1,287	1,960	2,143	3,014	1,864	251	6,802	5,129	11,931	45,42%
Risk prevention	0	0	0	0	0	135	1,235	0	1,370	1,370	5,21%
HIV/AIDS	0	0	0	0	0	0	0	0	0	0	0%
Total	2,433	2,485	3,058	3,665	5,145	4,418	5,071	11,641	14,634	26,275	100%

Source: UNDP-Atlas, Executive Snapshot v 4.5, 15 March 2011

Figure 1 (Annex 1). Financial Execution of Areas, 2004-2010
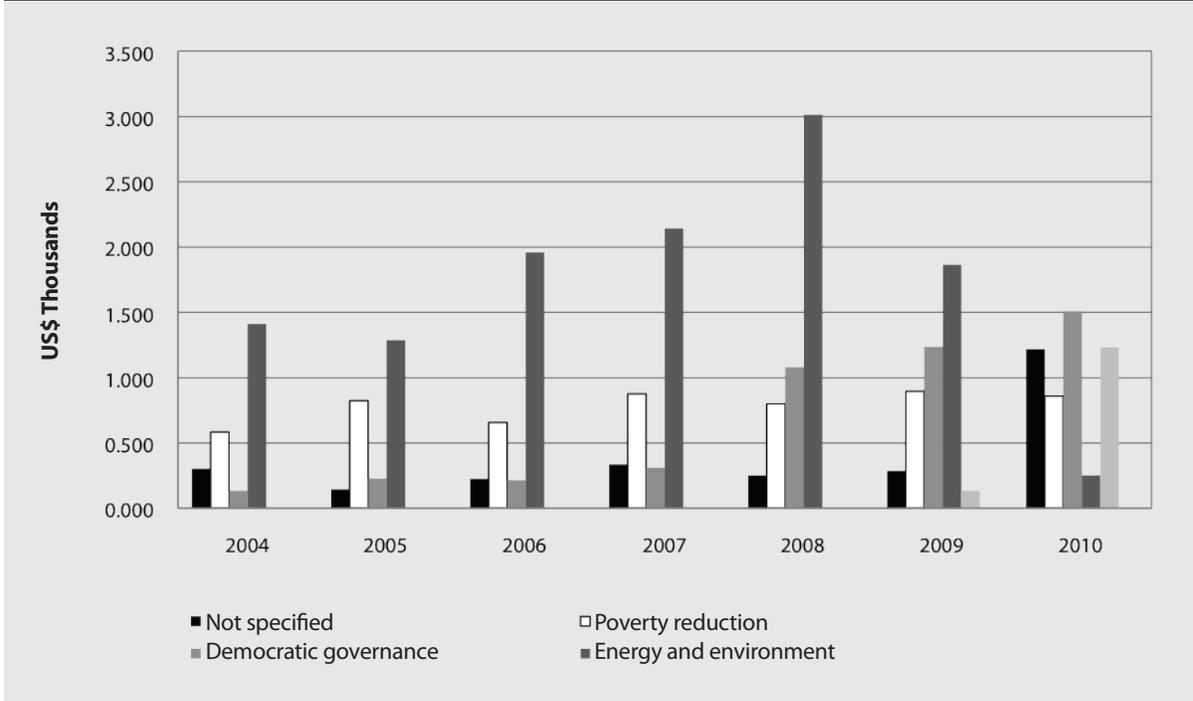
Source: UNDP Atlas, Executive Snapshot v 4.5, 15 March 2011

Annex 2
TERMS OF REFERENCE

INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) undertakes an Assessment of Development Results (ADR) to collect and show evaluative evidence of the contribution of UNDP to development results at a country level. ADRs are undertaken in line with the general provisions set out in the UNDP Evaluation Policy.[125]

The general objectives of an ADR are to:

■ Provide significant support to the accountability function of the Administrator by reporting to the Executive Board.

■ Support greater accountability of the UNDP to national stakeholders and associates in the country where the programme is being implemented.

■ Serve as an instrument to guarantee the quality of UNDP participation at country level.

■ Contribute to learning at corporate, national and regional levels.

In 2011, the EO plans to undertake an ADR in Costa Rica to cover the country programme for the 2002-2010 period. This evaluation will contribute to the new country programme to be prepared by the country office and the counterpart stakeholders for approval by the UNDP Executive Board in 2012.

UNDP NATIONAL CONTEXT AND PROGRAMME

Costa Rica has a population of 4 million. The gross national income per capita for 2010 was USD 7,637.80, according to statistics from the Central Bank of Costa Rica[126], meaning it is classified as a middle income country.

For a number of decades, Costa Rica enjoyed political stability, social progress and economic growth, however, its development model began to show signs of exhaustion in the 1970s, finally collapsing with the international crisis of the following decade. Subsequent economic reform was unable to re-establish the desired rate of economic growth. Poverty levels stagnated from the second half of the 1990s and gaps in equality increased together with social and economic imbalances.[127]

The country is experiencing an accelerated socio-economic transformation, visible in a rapid process of urbanization, a progressive shift from traditional economic activities towards the service sector, a change in family structures, and an apparent alteration in the demographic structure, all with profound implications for the country's future.

Costa Rica is in sixth place in Latin America in the 2010 Human Development Report as a result of its Human Development Index (HDI). The country has continued to increase its HDI value but at a slower pace than other countries.

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125 <www.undp.org/evaluation/documents/Sp-Evaluation-Policy.pdf>

126 Retrieved from the Central Bank of Costa Rica website <www.bcce.fi.cr>, 19 April 2011: <indicadoreseconomicos.bccr.fi.cr/indicadoreseconomicos/Cuadros/frmVerCatCuadro.aspx?idioma=1&CodCuadro= 184>

127 Country Programme Document for Costa Rica (2008–2012).

The gap between the richest and the poorest in the country continues to grow. The disparities are clearly reflected at territorial level in the poverty situation between and within regions.

Costa Rica has been a pioneer in Latin America in enacting gender equality laws but weaknesses remain. Statistics show that women are still at a disadvantage in the labour market. Although women are better educated now, female employment rates are low, the wage gap and labour market segmentation and segregation are still a reality and female unemployment rates are higher than male rates.

Strengthening the political participation of women is another challenge. There has been progress in the representation of women in Congress and the current President is the first woman to hold that office. However, this is not reflected consistently in other areas of national public life.

Violence against women is still a serious problem. While women suffer violence in both the private and public spheres, men experience violence in public spaces.

In terms of the environment, the country faces major threats: climate change, habitat fragmentation, invasive species and the declining genetic viability of populations. Economic pressure on natural resources is increasing, not only due to population growth but also because of rising energy costs. The protection of the country's natural heritage is managed by a network of national parks and reserves. A National Conservation Areas System (SINAC) has been set up to manage conservation and sustainable use of biodiversity. Given its rich biodiversity, which includes many endangered species, the need for protection of natural resources in Costa Rica transcends the country's own borders.

According to the National Emergency Commission and the National Emergency System (SNE), many communities suffer disasters every year. The occurrence of technological accidents and structural fires is also noteworthy.

In the period covered by this evaluation (2002-2010), there were three presidential terms: the administrations of Abel Pacheco de La Espriella (2002-2006), Óscar Arias Sánchez (2006-2010) and Laura Chinchilla Miranda (from May 2010).

The Common Country Assessment, carried out by the United Nations System in Costa Rica in September 2006, examined national development problems by identifying six of their common causal interrelationships:

1. The development style in recent decades has failed to overcome social exclusion or the limitations faced by certain population groups in the exercise of their human rights: immigrants, women, children and adolescents, the elderly and ethnic minorities.

2. Public policies that lack coordination and alignment, leading to problems of access, quality, opportunity and relevance. Diversity is not properly recognized and human rights-oriented approaches and the promotion of social inclusion are lacking.

3. Inadequate citizen participation and impact in decision-making processes due to limited forums and capacity for the exercise of active citizenship, monitoring of public policy and rights enforcement.

4. Sociocultural practices that transmit and/or reproduce hierarchical and discriminatory relationships based on gender, age, national origin, ethnicity and socio-economic status.

5. Insufficient prioritization of the rights of individuals to a healthy, equitable, secure, sustainable and ecologically balanced environment.

6. Insufficient policies, laws and strategies that seek to reduce disparities in access to socio-territorial opportunities and natural resources, within an appropriate land planning framework.

During the same period, UNDP has had two programme cycles, one from 2000 to 2007 and another covering the period 2008-2012.

UNDP cooperation with the country in 2002-2007 identified the following priority areas:

a) Support for Costa Rica's contribution to global public goods;

b) Consolidation and strengthening of the national human development model;

c) Public safety for human development;

d) Support for human development in highly vulnerable regions;

e) Transparency and efficiency in government processes.

The Country Programme 2008-2012 focused on work to achieve the following outcomes:

1. Promoting the adoption of the principles underlying human development in national planning and evaluation.

2. Strengthening capacity for the generation and use of information and knowledge on human development in Costa Rica.

3. Supporting processes that seek to adapt the role and operation of the State to the national, regional and international contexts.

4. Promoting national deliberative processes or social dialogue.

5. Promoting the equitable distribution of wealth and opportunity at national and regional levels.

6. Strengthening climate change prevention, adaptation and mitigation mechanisms.

7. Contributing to institutional strengthening and capacity-building for key partners in the fields of environment and energy.

8. Assisting in the development and strengthening of a national risk management system.

9. Supporting processes for the development, implementation and evaluation of gender equality and equity standards and policies.

10. Supporting processes aimed at the empowerment and autonomy of women.

The composition of the project portfolio is divided into five thematic areas:

1. Environment, energy and risk management.

2. Gender equality and equity.

3. Human development.

4. Democracy and governance.

5. Reduction of poverty, inequality and social exclusion.

The table below presents a summary description of the financial composition of the portfolio since 2004. Since some areas have few projects, they are organized into three groups:

The Country Programme Document for 2008-2012 mentions some of the lessons learned

Table A.2. Financial Details by Groups of Thematic areas in Costa Rica			
Value in USD millions	**2004-2010**	**% of Programme**	**Number of projects**
Not specified	2.759	10.50%	23
Reduction of poverty, inequality and social exclusion + Human development (Achievement of the MDGs and poverty reduction)	5.503	20.94%	10
Democracy and governance + gender (Promotion of democratic governance and gender equality)	4.712	17.93%	25
Environment, energy and risk management (Energy and environment for sustainable development and crisis prevention and recovery)	13.301	50.62%	25
TOTAL	26.275	100.00%	83

and achievements of the previous programme. In particular, it highlights the successful establishment of the human development paradigm as a means of addressing the national agenda priority areas and identifying solutions that do not clash with the democratic principles and respect for human rights that should guide state action.

In late 2004, UNDP supported the Costa Rican Government in drawing up the report on progress in meeting the goals embodied in the Millennium Declaration. The preparation of the report led to a set of actions which the Government has undertaken to incorporate in a State Policy that will be reflected in agendas and long-term plans. The country office is also involved in a trend analysis of Costa Rican democracy and identification of ways to strengthen democratic practices and the effective involvement of all population sectors, particularly women.

Government authorities have worked closely with UNDP in restructuring the Costa Rican social sector. To this end, a project was developed in 2006 to strengthen social leadership and fight poverty in areas such as conditional transfers to students living in poverty.

During the 2002-2007 cycle, for a brief period, the office adopted a model of cooperation with the country focused on the provision of development services. State institutions reacted negatively to this approach, so the office then opted for a substantive profile, which is justified by the scope of the high-level technical assistance for identification and discussion of development alternatives, using the UNDP human development approach and its practice areas as a benchmark.

UNDP has undergone transformations associated with the reduction in official development assistance in Costa Rica by bilateral and multilateral organizations and changing cooperation expectations and demands. This new situation led to the establishment of a new vision and mission, which resulted in new programmes and tools.

UNDP has also changed significantly as a result of a review exercise of its profile which started in late 2002. By 2006, UNDP contributions had increased in policy development in strategic areas of public action, such as public safety, meeting the MDGs, decentralization and the status of women in the labour market.

For the current programme cycle (2008-2012), UNDP Costa Rica has identified the following priority areas: a) human development; b) democracy and governance; c) environment, energy and risk management; d) poverty reduction, inequality and social exclusion, and e) gender equality and equity.

UNDP Costa Rica established a strategy based on conceptual and methodological leadership in the issue of human development. Relationships with the Government and other development actors, such as the academic community, organized thought groups and civil society organizations, seem to be expanding and UNDP is moving towards skilled technical assistance in the fields of human development and democratic governance, such as the Human Development Report, the Atlas of Human Development and the Women's Economic Agenda.

It is a UNDP priority to support the country in the execution of projects with financial resources from international sources. No government resources are currently being mobilized and this is due to two main factors, according to the country office. Firstly, negative publicity in the media and some sectors of the previous model has created considerable resistance. Because of this issue and also for legal and political reasons, UNDP in Costa Rica discontinued the implementation of national resources, but decided to open new negotiations with the Executive Branch and the Comptroller to achieve a more satisfactory solution for the parties.

The country office is facing serious financial sustainability problems. Its annual performance amounts to about USD 5 million and funding sources are inadequate for an office of 19 people. The evaluation

should consider carefully the real relevance of UNDP in the country and seek guidance on the potential for sustainability and opportunities for strategic contributions in the future.

OBJECTIVES, SCOPE AND METHODOLOGY

The objectives of the Costa Rica ADR are the following:

- To provide an independent assessment of progress towards the planned results of UNDP programme documents. The ADR will also highlight unexpected results (positive or negative) and missed opportunities as appropriate.

- To provide an analysis of how UNDP has positioned itself to add value in its response to national needs and changes in the national development context.

- To present key findings, draw key lessons and provide a set of recommendations so that management can make adjustments to the current strategy and in the next country programme.

The ADR will review the UNDP experience in Costa Rica and its contribution to solving political, economic and social challenges. The assessment will cover two programme periods, the current country programme until 2010 and the previous programmes (2008-2012 and 2002-2007). Although there is likely to be greater emphasis on more recent interventions (due to greater availability of data, etc.), efforts will be made to examine the development and implementation of UNDP programmes since the beginning of the period. Existing evaluative evidence and potential limitations will be identified during the scoping mission (see section 5 for details of the process).

The methodology as a whole must be consistent with the *ADR Guidelines* and with the new *ADR Methodology Manual*. The evaluation will undertake a comprehensive review of the activities

and the portfolio of the UNDP programme during the period in question and will specifically examine the UNDP contribution to national development results across the country. It will evaluate key results, specifically outcomes – planned and unplanned, positive and negative, intended and unintended – and will cover UNDP assistance funded both with its own resources and with additional resources.

The evaluation has two main components: analysis of results by thematic area and analysis of UNDP strategy in the country.

ANALYSIS OF RESULTS BY THEMATIC AREA

Evaluation of development outcomes will include a thorough review of the UNDP programme portfolio for the current and previous cycles. This includes an evaluation of the development results achieved and of the UNDP contribution in terms of key interventions; progress in the achievement of outcomes through the current country programme; the factors influencing the results (the positioning and capacity of UNDP and alliances and support for policy formulation), and UNDP achievements, progress and contributions in technical areas (in terms of policies, technical assistance and advocacy); analysis of cross-cutting links and their relationship with the MDGs and UNDAF.

The analysis of development results will identify challenges and possible strategic foci for future interventions.

The evaluation will use the available information, and will also document and analyse achievements against expected outcomes, and the links between activities, outputs and outcomes. The evaluation will establish the contribution of UNDP to the outcomes with a reasonable degree of likelihood.

The following is a set of core criteria related to the design, management and implementation of interventions in the country:

■ *Relevance at thematic level*: Is the formulation of the interventions relevant in the different areas with respect to national strategies, development challenges and the UNDP mandate? Are the approaches and resources of the projects inspired by national and international best practices? Are resources earmarked for the intended objectives?

■ *Efficacy:* Has the UNDP programme met its intended objectives and achieved the planned results? What are the strengths and weaknesses of the programme? Have there been any unexpected results? Should it continue in the same direction or should there be a review of its fundamental principles for the new cycle?

■ *Efficiency:* Has UNDP made good use of its available resources (human and financial) to make its contribution? What could be done to ensure more efficient use of resources in the specific national or subregional contexts?

■ *Sustainability:* Is the UNDP contribution sustainable? Are the development results achieved through the UNDP contribution sustainable? Are the benefits of the UNDP interventions sustainable? Have the interested parties taken ownership of those benefits at the end of the UNDP intervention? Have exit strategies been developed?

It should be emphasized that special efforts will be made to examine UNDP's contribution to capacity building, knowledge management and gender equality.

Some specific issues that will be addressed in the case of Costa Rica are:

■ The ability of UNDP to translate analytical studies (Human Development Report and other products) into programmes that focus on key issues.

■ The challenge of increasing resources to ensure the future diversification of the portfolio of programmes within the current international cooperation model, which limits access to the use of national financial resources.

■ Efforts and opportunities for the strategic positioning of Costa Rica as a benchmark country in the debate on environmental sustainability and human development.

■ Relationships with the media and opinions on international cooperation.

■ Previous UNDP support and preparation for future contributions to the expected decentralization process.

■ The ability of UNDP to communicate the global message (MDGs, sustainable human development, gender equality, respect for human rights) appropriately to different audiences – advocacy of the global agenda and, at the same time, assessment of and support for the needs of countries.

■ The UNDP contribution to the gender debate in the country and the region (the promotion of ISO certification to companies, the Women's Economic Agenda project, the State of the Nation project).

■ The balance between the number of reports, diagnoses, research, publications and participation in interventions, capacity building, development initiatives and projects and the promotion of sustainable human development strategies, especially at local level (support for the Government to avoid duplication or reinvention of efforts and interventions – sharing knowledge and not recreating it).

■ The efforts of UNDP to systematize and share the knowledge developed in Costa Rica with respect to risk and disaster management and their social ties with integrated development strategies.

■ The progress made by UNDP in supporting the Government's work on social intervention impact assessments, public safety, firearms control and the challenge of moving the focus from the production of information to support for impact interventions.

STRATEGIC-LEVEL ANALYSIS

The evaluation will assess the strategic positioning of UNDP from the perspective of both the organization and the country's development priorities. This will include: a) a systematic analysis of the place and niche of UNDP in the development field and policy formulation in Costa Rica; b) the strategies used by UNDP in Costa Rica to strengthen its place in the development field and position the organization in the key thematic areas; c) an assessment of support for policy formulation and the UNDP programme's advocacy efforts in relation to other stakeholders from the perspective of development results for the country; and d) the financial resources, programme area organization and internal monitoring and evaluation systems that may be relevant for programmatic and strategic understanding of results.

It will also analyse a set of key criteria relating to the strategic positioning of UNDP:

- *Strategic relevance and response capacity:* The role of UNDP in leveraging national strategies and policies, balance between macro-level interventions (central government policies) and micro level interventions (communities, local institutions). The ability of UNDP to respond to a changing national context, to emergencies and the urgent demands of its partners. Also, its ability to maintain its focus on matters of substance without losing its strategic direction. The ability of UNDP to adapt to a change of government without losing its long-term strategic priorities to support government retention of the successful investments and interventions of previous administrations (study of possible discontinuities, resource inefficiencies, lack of sustainability, etc.).

- *Use of networks and learning from experience:* To what extent has UNDP used its global network, specific experiences and knowledge to offer solutions to problems and conceptual approaches? To what extent has UNDP drawn on the experiences of its current and potential partners (resources, technical capacities)? To what extent has UNDP assisted the Government in taking advantage of South-South cooperation opportunities? Balance and links between cooperation with the State and civil society. The efficacy of the UNDP in its collaboration with different actors.

- *Promotion of United Nations values from the human development perspective:* The role of UNDP as a substantive partner for the national authorities in policy dialogue and on politically sensitive issues. UNDP's contribution to gender equity. UNDP's capacity to address equity issues in general, including its ability to focus on people living in poverty and excluded groups and sectors. Within the context of alliances with the United Nations System and the general coordination of United Nations, the specific issue of joint programmes will be analysed.

Some specific issues that will be addressed in the case of Costa Rica:

- UNDP's capacity to adapt to changes of Government without losing its long-term strategic priorities and to influence the Government to retain the successful investments and interventions of previous administrations (study possible discontinuities, resource inefficiencies, lack of sustainability, etc.).

- Cooperation between UNDP and the three branches of government (executive, legislative and judicial) to promote consistency in the adoption of public policies and programmes.

- The contributions of UNDP to the development of the capacities and tools used by the organization: what tools does UNDP use? (Resource management, support for policy development, support for the creation of new units in Government, infrastructure and IT support, training, fact-finding trips).

- Links between 'macro' interventions at the strategy and central state institutional level and subnational and community-level interventions.

The evaluation will also consider the influence of administrative constraints on the programme and, more specifically, on UNDP's contribution (including issues related to the relevance and efficacy of the monitoring and evaluation system).

In the context of Costa Rica, the following aspects are particularly noteworthy: a) progress in reducing programmatic duplication and improvements in synergies in the United Nations System; b) progress in the shared use of financial and human resources in a context of limited resources in each of the system's organizations; and c) the leadership of UNDP in the new issue of coordination of international cooperation (not only in the United Nations sphere).

4. EVALUATION METHODS AND APPROACHES

DATA COLLECTION

The evaluation will use a multi-method data collection approach that may include literature reviews, workshops, individual and group interviews, project and field visits and surveys. The set of appropriate methods may vary and its precise nature may be defined during the exploratory mission and detailed in the initial methodological report.[128] It will be very important to ensure that the organization and processing of information is done in accordance with the principles of qualitative data analysis.

VALIDATION

The evaluation team will use a variety of methods to ensure data validity, including triangulation. The precise validation methods will be specified in the initial methodology report.

STAKEHOLDER INVOLVEMENT

The evaluation will identify key stakeholders, including representatives of government ministries and agencies, civil society organizations, private sector representatives, United Nations agencies, multilateral organizations, bilateral donors and beneficiaries (or project participants). To facilitate this approach, all ADRs include a stakeholder mapping process which should cover both UNDP's direct partners and others who do not work directly with the organization.

5. EVALUATION PROCESS

The ADR process will follow the ADR Guidelines, which divide this process into three phases, each with several stages. The process will be carried out independently, as required by the UNDP Evaluation Policy. The Evaluation Office will make every effort to engage the local UNDP office and the public and national authorities actively in the evaluation process.

PHASE 1: PREPARATION

- *Literature review*: Carried out initially by the Evaluation Office (identification, collection and mapping of documents and other relevant data) and continued by the evaluation team. The review will include general documentation on development related to the specific country and a complete picture of the UNDP programme during the reporting period.

- *Stakeholder mapping:* Basic mapping of the relevant stakeholders for the country evaluation. The list will include state and civil society stakeholders and should go beyond traditional UNDP partners. The exercise will also specify relationships between different groups of stakeholders.

- *Preliminary meetings:* Interviews and discussions with UNDP headquarters and the Evaluation Office (process and methodology) and the Regional Bureau for Latin America and the Caribbean (context and country

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128 The exploratory mission and the initial methodological report are described in section 5 on the evaluation process.

programme), in addition to other important offices including the Bureau of Development Policy, Bureau for Crisis Prevention and Recovery, and any others deemed appropriate, including United Nations missions.

Two missions will be needed to carry out the evaluation:

1. *Scoping mission*: Mission to Costa Rica (1 week) to:

   ■ Identify and gather information.

   ■ Validate the mapping of the programmes implemented in the country.

   ■ Select a sample of UNDP projects and development activities.

   ■ Identify key partners and informants and prepare an interview scheme for the primary mission.

   ■ Confirm the views of stakeholders on the key issues to be considered.

   ■ Address logistics issues related to the primary mission, including the schedule.

   ■ Identify an appropriate set of methods for data collection and analysis.

   ■ Address management issues related to the rest of the evaluation process, including distribution of tasks among team members.

   ■ Ensure that the country office and key stakeholders understand the objectives of the ADR, the methodology and the process.

   ■ *Produce inception report:* This phase will involve the development of an inception report which includes the design and final plan of the evaluation, its background, key issues for evaluation, detailed methodology, data sources, data collection tools and plan, data analysis design and report format.

2. *Main mission of the ADR:* The independent evaluation team will carry out the main mission of about four weeks focusing on data collection and validation. The team will visit places where significant projects selected in the exploratory mission are implemented in the field.

Upon completion of the main mission a workshop will be organized with key partners to present the initial findings of the mission and receive comments to be taken into account in drafting the report.

PHASE 2: DEVELOPMENT AND DRAFTING OF THE ADR REPORT:

■ *Analysis and report*: The information gathered will be analysed in a draft ADR report to be produced no later than one month from the end of the main ADR mission.

■ *Review:* The draft will undergo: a) technical review by the Evaluation Office and external peer review; b) factual corrections and opinions on interpretation by key customers (including the UNDP country office, the regional office and the Government). The Evaluation Office will prepare an audit trail to show how those comments have been taken into account. The team leader, in close collaboration with the Evaluation Office task manager, will finalize the ADR report based on the inputs received.

PHASE 3: MONITORING

■ *Management responses:* UNDP's Assistant Administrator will ask the appropriate units (usually the relevant country office and the regional bureau) to prepare a management response to the ADR. As the supervisory unit, the regional office will be responsible for monitoring and supervision at the Evaluation Resource Centre.

■ *Distribution:* The ADR report and summary will be distributed both in electronic and printed form. The evaluation report will

be available to the Executive Board when it approves a new Country Programme Document. It will also be widely distributed in Costa Rica and at UNDP headquarters and copies will be sent to evaluation teams in other international organizations, and to evaluation agencies and research institutes in the region. The evaluation report and management response will also be posted on the UNDP website[129] where it will be available to the public. Its availability will be announced within UNDP and on external networks.

The national counterpart

While the evaluation is carried out as an independent exercise under the UNDP Evaluation Policy, it must be ensured that the national counterpart is informed of it, so it can express its interest in learning from the evaluation and advise the Evaluation Office of the key issues in it that should be taken into account. It is also important for the national counterpart to make comments on the intermediate outputs and the draft evaluation report.

In relation to the traditional ADR process, some additional elements are recommended:

1. An ADR National Reference Group will be formed of the main state agencies involved in the UNDP programme. The National Reference Group will include the following entities: a) Ministry of Planning (MIDEPLAN); b) Ministry of Environment; c) Ministry of Economy; d) Ministry of Labour; e) PANIAMOR; f) FLACSO; and g) the country office.

2. The terms of reference of the evaluation will be forwarded to the National Reference Group for comment.

3. During the scoping mission a consultation meeting will be convened with the National

Reference Group for more input on the key issues to be reflected in the evaluation.

4. The National Reference Group will be invited to put forward a candidate to act as the ADR's independent external consultant. The consultant will not be a member of the evaluation team. The consultant's role will be to provide independent comment on the quality of the evaluation report and its relevance to national development issues of relevance to UNDP.

5. On completion of the main mission a workshop will be organized to discuss the initial results. The ADR National Reference Group will chair the workshop and will discuss the initial results.

6. The National Reference Group will produce written comments on the draft evaluation report.

6. ADMINISTRATIVE ARRANGEMENTS

THE UNDP EVALUATION OFFICE

The UNDP Evaluation Office evaluation officer will manage the evaluation and ensure coordination and liaison with the Regional Bureau for Latin America and the Caribbean, other involved units at headquarters and the management of the UNDP office in Costa Rica. The Evaluation Office will provide the evaluation with a research assistant to facilitate the initial literature review and a programme assistant to provide logistics and administrative support. The Evaluation Office will cover all development costs for the ADR. This will include the participation costs of the team leader, national consultants, and the preliminary research and publication of the final ADR report. The Evaluation Office will also cover the costs of any stakeholder workshop held as part of the evaluation.

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129 <www.undp.org/eo>

The evaluation team

The team will comprise four independent consultants:

- The international consultant/team leader: an evaluation specialist, with experience in international technical cooperation and human development, whose responsibility will be to provide leadership, guidance to the team in the initial methodological report, participate in and contribute to the analysis and coordinate the draft and final report, providing knowledge in the main evaluation subjects and in the essential aspects related to issues of international technical cooperation and human development.

- A national consultant, who will provide expertise on the evaluation issues and be responsible for drafting key parts of the report related to issues of democratic governance, justice and gender equity.

- A national consultant who will provide expertise on the evaluation issues and be responsible for drafting key parts of the report related to issues of poverty, inequality and exclusion.

- A national consultant, who will provide expertise on the evaluation issues and be responsible for drafting key parts of the report related to issues of environment and management of risk and natural disasters.

The team members must have the following qualities:

- Knowledge of development issues; the national consultants should also be aware of the development challenges in Costa Rica.

- Experience in evaluation of programmes and mastery of techniques and methods for data collection, interviews and quantitative and qualitative analysis.

- Experience in conducting individual interviews and focus groups with different partners.

- Excellent analysis and synthesis ability.

- Availability and suitability for teamwork.

- Master's degree (preferably Ph.D.) in social sciences or in courses related to the areas to be evaluated.

- At least five years' professional experience in the areas to be evaluated.

The evaluation team will be supported by a research assistant based in the New York Evaluation Office. An EO evaluation officer will support the team as task manager in the design of the evaluation and will participate in the scoping mission and the in final phase of the main mission and will provide continuous feedback to ensure quality during the preparation of the preliminary and final reports. According to need, the EO task manager may also participate in the main mission.

The evaluation team will orientate its work in accordance with the United Nations Evaluation Group norms and standards and will comply with the Code of Ethics.[130]

THE COUNTRY OFFICE

The country office will support the evaluation team in terms of contact with key partners and will provide the team with all necessary information regarding UNDP activities in the country. It will also help organize meetings with stakeholders at the end of the evaluation process. The office will also be asked to provide logistical support to the evaluation team, as requested. The country office will provide support in kind (e.g., office space for the evaluation team, Internet connectivity), but the Evaluation Office may cover local transportation costs and other costs related to the evaluation mission if necessary.

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130 UN Evaluation Group guidelines *Norms for Evaluation in the UN System* and *Standards for Evaluation in the UN System*, April 2005.

EXPECTED OUTPUTS

The expected outputs are the following:

- An inception report (maximum 15 pages) that includes the design, methodology, evaluation matrix (criteria and evaluation questions, relevant indicators, information sources, information gathering methods, coding for qualitative analysis), indication of criteria for selection of the projects to be analysed in more depth in the ADR, the list of projects, with an indication of the regions, the evaluation process, the division of work in the evaluation team and an updated schedule.

- An initial analytical report (evaluation findings, conclusions and recommendations) on the ADR (maximum 50 pages of main body text, plus appendices - consult the ADR Manual) with an audit trail to show how those comments have been taken into account;

- A final report (evaluation findings, conclusions and recommendations) on the ADR (maximum 50 pages of main body text, plus appendices - consult the ADR Manual) with an audit trail to show how those comments have been taken into account;

- A PowerPoint presentation to show the results of the evaluation in the stakeholders meeting and the respective meeting report.

- A two-page summary.

The draft and final version of the ADR report will be provided in Spanish. The published document will be translated into English by the Evaluation Office.

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Annex 4
PEOPLE INTERVIEWED

Alejandro Álvarez, former UNDP Regional and International Security Consultant

Álvaro Ugalde, Nectandra Foundation, former director of the National Parks Service and the Osa Conservation Area, former coordinator of the UNDP Small Grants Programme

Ana Belén Villamil Soler, AECID Programme Officer, Spanish Embassy

Ana Carcedo, CEFEMINA President

Ana Isabel Carmona, Costa Rica GEF-SDP Project Officer

Ana Morice, Deputy Minister of Health

Ana Rita Chacón, National Institute of Meteorology

Anabelle Ulate, University of Costa Rica

Andrei Bourrouet, Deputy Minister of the Environment

Anita Ortiz, First Consul, Embassy of Nicaragua

Carlos Benítez, RBLAC, Costa Rica Programme Specialist

Carlos Quesada Mateo, Tropical Science Centre

Carlos Sojo, Coordinator of the 'Bicentenary Dialogues' advisory team

Carlos Zúñiga, FOMUDE, MIDEPLAN Project Director

Cristian Vargas, UNFPA Programme Officer

Cristina González, World Bank Communications Consultant

Danilo Mora Díaz, Communications Officer UNDP Costa Rica

Donald Rojas Maroto, Indigenous Adviser Central America (CICA), Executive Coordinator of MNICR

Dora Sequeira, CEO, Parque de La Libertad Foundation

Dyalah Calderón, Vice Minister for Education, Ministry of Public Education

Eduardo Blanco Estrada, President, San Rafael River Basin Tourist Association, (ASADA), San Rafael de San Pedro, Pérez Zeledón

Eduardo Mata, coordinator, GEF-SDP Costa Rica

Eduardo Navarro, UNDP

Elibet López Zelaya, President, Mollejones Women's Association

Elizabeth Fonseca, Former Deputy, President of PAC (Civil Action Party)

Fabián Solano, Adviser to the Vice Minister for Planning, MIDEPLAN

Fabio Jiménez, Director of Cooperation, MEP

Fernando Zeledón, UNDP consultant on local development issues, CIEP-UCR political scientist

Florita Azofeifa, Director of the FOMUDE project

Gabriela Mata, UNDP Programmes Officer for Poverty

Georgina Zamora, UNICEF Programmes Officer

Gerald Mora, UNDP Programmes Officer for Human Development

Gerardo Láscarez, former Vice Minister of Security

Gerardo Quirós Cuadra, Project Coordinator, Support for Recovery and Sustainable Local Development after the Cinchona Earthquake

Gilberto López, former UNDP consultant, Political Scientist, Journalist

Gilda Pacheco, UNDP Programme Officer for Gender and Governance

Gisele Rodríguez Guzmán, Technical Cooperation Sector, Embassy of Brazil

Gladys González, MEP (Ministry of Education) Adviser

Gonzalo Elizondo, Coordinator, Joint Networks Programme for Coexistence, Communities without Fear

Guido Alberto Monge, former Deputy Minister, former parliamentary deputy, consultant

Guisselle Méndez, Director of SINAC

Hernando Cárdenas, Coordinator of Project 00060804

Inka Mattila, Monitoring and Evaluation Specialist, UNDP

Isabel Blanco, Deputy Mayor of Aguirre

Jan Jilles van der Hoeven, former Assistant Resident Representative, UNDP Costa Rica

Jeannette Rivas, Consul-General, Embassy of Nicaragua

Jenny Asch, Project Coordinator, Removing Barriers for Protected Marine Areas

Joost Hamelink, Policy and Human Rights Coordinator, Embassy of the Netherlands

Jorge Mora, Director of FLACSO Costa Rica, former UNDP consultant

Jorge Rodríguez, Director of International Cooperation, Ministry of Economy

José Fernando Mora, Financial Manager, UNDP Costa Rica

José Javier Mulino Q., Ambassador of the Republic of Panama

José Luis Martínez Prada, Acting Head of Business, European Commission Delegation

José Manuel Hermida, former Resident Representative UNDP Costa Rica

José María Blanco, Executive Director, Biomass Users Network (BUN-CA)

José Merino del Río, Partido Frente Amplio (Broad Front Party)

Juan José Echeverría, former CEO IFAM, Independent Consultant, Interlex Partner, Echevarría Law Firm

Juan Manuel Cordero, Deputy Minister of Labour

Juan Prendas Saborio, Secretary-General, Union of Agricultural Producers of Coto Brus (UPACOB), San Vito de Coto Brus

Kevin Casas, former Vice-President of Costa Rica, Senior Associate, Brookings Institution, Washington DC

Kryssia Brade, Coordination Analyst, Office of the Resident Coordinator, UNS Costa Rica

Lara Blanco, Assistant Resident Representative and Programme Coordinator, UNDP

Laura Alfaro Maykall, Minister of Planning, MIDEPLAN

Leonardo Ferreira Neves, Assistant Director, OIT

Leonardo Garnier, Minister of Education, MEP

Ligia Elizondo, Administrative Assistant, Regional Office for Asia-Pacific, former UNDP Resident Representative in Costa Rica

Lisbeth Quesada, former Ombudsman

Luis Carlos Esquivel, Human Resources and Shared Services Manager, IOM

Luis Emilio Jiménez, former UNDP director for the project For a Country Without Fear

Luis Javier Castro, Mesoamerica Director, Costa Rica

Luis Suárez-Carreño Lueje, General Coordinator of AECID, Spanish Embassy

Luiza Carvalho, United Nations Resident Coordinator and UNDP Resident Representative in Costa Rica

Luz Divina Arredondo, Second Secretary, Embassy of the Republic of Panama

Mabelle Figueroa, former INAMU (National Women's Institute) director of the project Women's Economic Agenda

Manuel Blázquez Sotillos, Head of AECID Programmes, Spanish Embassy

Marcela Chacón, Deputy Minister of Security

María del Carmen Cruz, Technician, ASTRADOMES

María Florez-Estrada, former Regional Technical Director of the Women's Economic Agenda project

María Guzmán, Director, DIGECA/MINAET

Martell Domingo, UNESCO Culture Programme Specialist

Melania Núñez, Deputy Minister of Planning, MIDEPLAN

Miguel Gutiérrez-Saxe, Project Coordinator, State of the Nation

Milena Grillo, Director PANIAMOR Foundation, former UNDP consultant

Minor Sibaja, Quercus Network, Brunca Region

Monserrat Blanco, former Programme Specialist, Environment, Energy and Risk Management, UNDP Costa Rica

Nuria Vivancos-Aligant, Educational Cooperation Attaché for Central America, Deputy Director of the Centre for Culture and Cooperation for Central America, Embassy of France

Octavio Ramírez, Officer in Charge, FAO

Pablo Sauma, Professor, School of Economics, UCR

Patricia Salgado Muñoz, Assistant Representative, UNFPA

Paula Antezana, Coordinator of the Human Security project, IIHR

Pedro León, former director of the Paz con la Naturaleza Initiative (Peace with Nature)

Randall Brenes, Ventana de Paz (Window for Peace)

Raúl Solórzano, Project Coordinator, Removing Barriers for the Sustainability of the Protected Areas System

Rodolfo Elizondo, Refrigerant Plan Coordinator, Ministry of Environment, Energy and Telecommunications (MINAET), Coordinator of Project 00012093

Rosendo Pujol, PRODUS-UCR

Rosita Acosta, President, ASTRADOMES

Saskia Rodríguez, Director of International Cooperation, MIDEPLAN

Seija Toro, UNICEF Representative

Sergio Muñoz, UNDP

Silvia Hernandez, former adviser, MIDEPLAN, MICYT adviser

Yasmín Mora, Ministry of Health

Yendry Suárez, Director, La Amistad Producers Association, Quercus Network (Hijas del Sol Association), Altamira de Biolley, Buenos Aires de Puntarenas

Zacarías Elizondo Figueroa, President, Bribripa Kaneblo Association, Salitre Indigenous Territory, Buenos Aires de Puntarenas

Annex 5
SAMPLE OF INTERVENTIONS ANALYSED
PROGRAMME CYCLES 1 (2002-2007) AND 2 (2008-2012)

Area and Project	Project Number	Budget USD	Status	Programme Cycle	NEX DEX	Owner
Poverty, human development and inequality						
National Human Development Report	00012096 00071377	1,313,365	FC	1-2	DEX	AFS
Development and private sector (UNDP) – Window	00072392	261,000	C	2	NEX	AFS
Census Data Collection and Processing	00073157	23,100	OC	2	NEX	AFS
Capacity Building for Women in the Use of New Technology	00070492	42,005	FC	2	NEX	AFS
Women's Economic Agenda-Costa Rica	00056334	534,023	OC	1-2	NEX	RR
Definition and Analysis of Employment Indicators	00076504	17,390	C	2	NEX	AFS
Development and Promotion of the Concept of Human Security	00076009 00075988 00075989 00075990 00076008 00076011 00076012 00076013	503,018	C	2	NEX	AFS
Democratic governance						
FOMUDE - Municipal Capacity Building	00063101	2,815,853	OC	2	NEX	RR
Local Capacities Huetar Norte, FOCAM	00033170	69,194	FC	1	NEX	AFS
Education in Ethics, Aesthetics and Citizenship	00053671	1,115,271	OC	1-2	NEX	RR
Putting the Pieces Together: Towards a National Strategy	00056063	112,200	FC	1-2	NEX	EB
Capacity Building for Management of International Cooperation, 2007-2009	00058095	473,715	C	1-2	NEX	RR
Arms Control and Public Health	00051721	292,538	OC	1-2	NEX	AFS
Theatre and Human Rights	00059123	1,140,837	C	2	NEX	AFS
Towards an Integrated and Inclusive Development	00059874	207,861	OC	2	NEX	EB
Improving Security Conditions in the Country	00061576	155,600	FC	2	NEX	RR
AFS: Agustín Fallas-Santana; AFG: Álvaro Fernández; RR: Rotsay Rosales; EB: Elsa Bardález; FC: Financially closed; C: Current; OC: Operationally closed						

Area and Project	Project Number	Budget USD	Status	Programme Cycle	NEX DEX	Owner
Culture and Development - Intercultural Policies	00062155	1,592,978	C	2	NEX	AFS
Dialogues for the Costa Rican Bicentenary	00064021	72,200	FC	2	NEX	RR
Capacity Building for Women	00058218	41,902	FC	1-2	NEX	RR
Networks for Coexistence, Communities Without Fear	00071602	978,776	C	2	NEX	AFS
Energy and environment						
Energy Efficiency in Central America	00033408	350,000	FC	1-2	NEX	AFG
PIMS 3423 FS: Protected Areas in Costa Rica	00056040	2,149,283		2		AFG
Strategy for the Drafting of the Law on Protected Areas	00058629	11,860	OC	2	NEX	AFG
Preparation Action Plan Peace with Nature Initiative (IPN)	00058630	20,000	FC	1-2	NEX	AFG
Methyl Bromide Alternatives (MAG, MINAE)	00012093	4,845,283	C	1-2	NEX	AFG
PIMS 2819 FS. CR Energy Efficiency Indust. and Commer.	00050949	2,180,000	C	1-2	NEX	AFG
PIMS 3501 Second National Communication (self assessm. ex.	00051618	105,000	OC	1-2	NEX	AFG
COS/PHA/52/INV/37 - Terminal Phase-out Mangmt. Plan	00060099	565,000	C	2	NEX	AFG
COGO VII	00060804	140,513	OC	2	NEX	AFG
Vulnerability and Adaptation Water System Climate Change	00061152	900,000	C	2	NEX	AFG
Self-Assessment of the Third National Communication	00075820	40,000	C	2	NEX	AFG
Support for Cinchona-Vara Earthquake Early Recovery Plan	00069685	273,500	OC	2	DEX	AFG
Crisis prevention and recovery						
From Recovery to Sustainable Local Development	00074389	1,165,570	C	2	DEX	AFS
Thomas - Early Recovery Planning	00077281	100,000	C	2	NEX	AFG
Non-project Activities						
Regional Information System - Huetar Norte Region	00036344	704,350	FC	1-2	NEX	RR
Towards a Democracy of Citizens	00039935	53,584	FC	1	NEX	RR
Local Governments Creating Conditions of Safety	00044688	191,631	FC	1	NEX	RR
Indigenous Council Consultation for Law 14351	00048696	15,887	C		NEX	EB
AFS: Agustín Fallas-Santana; AFG: Álvaro Fernández; RR: Rotsay Rosales; EB: Elsa Bardález; FC: Financially closed; C: Current; OC: Operationally closed						

Annex 6
EVALUATION MATRIX

Criteria or Sub-criteria	Key questions	What to look for	Data source	Data collection methods
EVALUATION BY THEMATIC AREA				
A.1 Relevance				
A.1.1 Relevance of the objectives	Are the UNDP activities aligned with national strategies (NDP)? Are they consistent with human development needs in this area (whether they are mentioned in the strategies or not)?	How far is the project/activity aligned with national strategies under the heading? How are human development needs and the needs of target groups (disadvantaged groups, the poor, the disabled, women) addressed?	Costa Rica NDP and sectoral strategies NHDRs and local HDRs MDG reports Partner reports Country programme, project, thematic area documents and evaluations Annual plans and progress reports Interviews	Staff surveys Partner interviews (Government, civil society, international cooperation and UNS, donors in Costa Rica, experts and NGOs, Parliament, Ombudsman, ministerial sectors, beneficiaries) Field visits to selected projects for in-depth study
A.1.2 Relevance of approaches	Are the UNDP approaches, resources, models and conceptual frameworks relevant for the achievement of the planned outcomes? Do they comply with known best practices?	What analytical frameworks and criteria are used for the UNDP planning documents in the country? The projects? Are they consistent with the implemented programme? Why? Do they adhere to best practices? Are stakeholders/beneficiaries involved in project design, especially those from disadvantaged sectors? Are the strong comparative advantages of Costa Rica used, for example, in environmental matters? Are resources adequate/in proportion to outcomes?	Country programme, project, thematic area documents and evaluations Annual plans and progress reports Reference documents on the theme Interviews with: - UNDP officials - Partners and agencies in the field - State partners - Target groups - Experts	Staff surveys Partner interviews (Government, civil society, international cooperation and UNS, donors in Costa Rica, experts and NGOs, Parliament, Ombudsman, ministerial sectors, beneficiaries) Field visits to selected projects for in-depth study
A.2 Efficacy				
A.2.1 Progress towards achieving outcomes	Did the implementation of the programme contribute to progress towards the outcome established for it? Did it at least set up dynamic processes and changes that allowed progress toward the outcomes in the long-term?	What outcomes does the project seek to achieve? What outputs has it achieved? What changes or new dynamics can be seen as a result of these outputs? What other factors (outside UNDP) may have influenced the achievement of these results? Were there any unintended positive or negative results/consequences of the UNDP intervention? What do you think was the most valuable contribution of UNDP to the result? Has there been learning from or about this experience? Has it involved or resulted in replication of successful experiences?	Country programme, project, thematic area documents and evaluations Annual plans and progress reports Reference documents on the theme Interviews with: - UNDP officials - Partners and agencies in the field - State partners - Target Groups - Experts	Staff surveys Interviews with partners (Government, civil society, international cooperation and UNS, private sector) and UNDP staff Field visits to selected projects for in-depth study

Criteria or Sub-criteria	Key questions	What to look for	Data source	Data collection methods
A.2.2 Scope	What is the level of coverage of the outcomes (e.g., at the local community, district, regional or country levels)?	Were the results (outcomes) intended to reach the local community, district, region, country or other level? Did the target group benefit? To what extent?	Programme and project documents Progress reports Evaluations Interviews	Staff surveys Interviews with implementing partners (Government, civil society, cooperation) and beneficiaries
A.2.3 Depth of poverty and equity	Who are the main beneficiaries (the poor, the non-poor or disadvantaged groups)?	Who are the main beneficiaries (the poor, not poor or disadvantaged groups)? And, to what extent has the project reached them? Has the project/programme addressed the specific needs of disadvantaged groups in its design, implementation, benefits, monitoring and evaluation? Is social inclusion a major concern for the project/programme? How and to what extent? How much weight was attached to regional aspects in the choice of this project/programme?	Country programme, project, thematic area documents and evaluations Annual plans and progress reports Reference documents on the theme, HDR and MDG reports Interviews	Staff Surveys Interviews with implementing partners (Government, civil society, cooperation) and beneficiaries Field visits
A.3 Efficiency				
A.3.1 Management efficiency	Have the programmes been implemented on time and within budget? Have UNDP and its partners taken immediate action to solve implementation problems?	How have programmes and projects been implemented around the Balanced Scorecard parameters? Why? Have there been any extensions of the deadline during implementation? What factors caused this? Were payments were on time? Was there overexpenditure or underexpenditure? Why? What was the cost: achievement ratio? Were reports submitted on time? Is the monitoring and evaluation system effective? What mechanisms does it use? Have partners/UNDP taken measures in response to implementation problems? What measures and why? With what results?	Country programme, project, thematic area documents and evaluations Annual plans and progress reports Accessible Atlas reports Interviews with: - UNDP officials - Partners and agencies in the field - State partners	Staff surveys Interviews with implementing partners (Government, civil society, cooperation)
A.3.2 Programme efficiency	Were the UNDP resources focused on a series of activities that involved the achievement of significant outcomes? Was any synergy identified between the UNDP interventions that contributed cost reductions while supporting the outcomes?	Does UNDP focus on key sectors, areas or activities of possible high performance, or does it spread itself across many initiatives and why? Is UNDP able to exploit potential synergies and links between projects and their action and the action of other partners? How is this set? Do synergies contain costs and enhance results? What effect did the synergy have?	Country programme, project, thematic area documents and evaluations Annual plans and progress reports Accessible Atlas reports Interviews with: - UNDP officials - Cooperation partners and agencies - State partners	Staff surveys Interviews with implementing partners (Government, civil society, cooperation)
A.4 Sustainability				
A.4.1 Design for sustainability	Were interventions designed to produce sustainable outcomes according to the identifiable risks and did they include an exit strategy?	Did the intervention include a UNDP exit strategy and planning from the start? Was it monitored from the beginning? Did it include a risk forecast? Did they include all potential factors? Does it have sustainability-oriented parameters at environmental level?	Project documents, annual work plans, progress reports, evaluations	Staff surveys Interviews with partners and UNDP

Criteria or Sub-criteria	Key questions	What to look for	Data source	Data collection methods
A.4.2 Implementation problems: Capacity-building and the consequences	Has national capacity developed so that UNDP can realistically plan a progressive withdrawal?	Is the intervention able to generate the necessary capacity (skills, technical competence) for continuity? Is it able to secure post-project funding: public sector resources (human, financial) and inclusion in national or local government budgets? Are communities or users involved and committed? Have unexpected threats to sustainability arisen? Were corrective actions taken; what were they and what effect did they have?	Project documents, annual work plans, progress reports, evaluations	Staff surveys Interviews with partners and UNDP
A.4.3 Expansion of pilot initiatives	If pilot initiatives were trialled, was a plan prepared for expansion of this initiative if it was successful?	Is there an expansion plan for successful initiatives? Has it been followed?	Progress reports, evaluations	Staff surveys Interviews with implementing partners, UNDP and cooperation
EVALUATION OF THE STRATEGIC POSITION OF UNDP				
B.1 Strategic relevance and receptivity				
B.1.1 Relevance in light of national development challenges and priorities	Did the UN System as a whole, and UNDP in particular, address development challenges and priorities and did they support national strategies and policies? Did the UNDP programme facilitate the implementation of national development strategies and policies and does it play a complementary role to Government?	How did UNDP approach national development strategies and plans? Which did it address? What about the UNS? Are there areas addressed by UNDP (and the UNS) outside national strategies? What criteria do they use? Has it had a subsidiary and complementary role?	Successive Costa Rica NDPs and sectoral strategies NHDRs and local HDRs MDG reports Partner reports Country programme, project, thematic area documents and evaluations Annual plans and progress reports Interviews	Staff surveys Partner interviews (Government, civil society, international cooperation and UNS, donors in Costa Rica, experts and NGOs, Parliament, Ombudsman, ministerial sectors, beneficiaries) Field visits to selected projects for in-depth study
B.1.2 Relevance of UNDP approaches	Is there a balance between pre-and post- initiatives? Is there a balance between the capital and interventions at the local or regional level? Are there sufficient resources? What is the quality of the designs or conceptual models?	Is there a balance between what is planned/forecast and what is executed? Is there a balance between interventions in the capital and in subnational areas? Are the approaches adjusted to subnational areas and their particular aspects? How do subnational localities value the input of UNDP? Are sufficient resources available to implement what it expected? What is the quality and contribution of UNDP at the conceptual level? Is its conceptual contribution applicable in management operations or infrastructure in the country, including the interior?	Successive Costa Rica NDPs and sectoral strategies NHDRs and local HDRs MDG reports Partner reports Country programme, project, thematic area documents and evaluations Annual plans and progress reports Interviews	Staff surveys Partner interviews (Government, civil society, international cooperation and UNS, donors in Costa Rica, experts and NGOs, Parliament, Ombudsman, ministerial sectors, beneficiaries) Field visits to selected projects for in-depth study

Criteria or Sub-criteria	Key questions	What to look for	Data source	Data collection methods
B.1.3 Responsiveness to changes in context	Over time, did UNDP respond to changes in development challenges and priorities in national strategies or major changes due to external conditions? Did UNDP have an appropriate mechanism for responding to major changes in the country's situation, especially during crises and emergencies?	How has UNDP responded to changes in the country and changing development challenges? And with the emergence of new political and social partners, how has it responded to social and security conflicts? To the economic crisis? To qualification as a middle-income country? To the challenges of a changing economic profile? To its position and capacity in relation to the environment? In what ways has this response been reflected? Examples? Has it responded promptly and appropriately to crises and emergencies? Examples?	Successive Costa Rica NDPs and sectoral strategies NHDRs and local HDRs MDG reports National context bibliography Country programme, project, thematic area documents and evaluations Annual plans and progress reports Interviews	Staff surveys Partner interviews (Government, civil society, international cooperation and UNS, donors in Costa Rica, experts and NGOs, Parliament, Ombudsman, ministerial sectors, beneficiaries) Field visits to selected projects for in-depth study
B.1.4 Balance between short-term responsiveness and long-term development objectives	How are short-term aid requests from the Government balanced with long-term development needs?	Is there a balance between immediate/short-term requests from the Government and the long-term perspective? How is this achieved? Or, if not, why not? What are the results of this (for either case)? Please provide examples.	Successive Costa Rica NDPs and sectoral strategies NHDRs and local HDRs MDG reports National context bibliography Country programme, project, thematic area documents and evaluations Annual plans and progress reports Interviews	Staff surveys Partner interviews (Government, civil society, international cooperation and UNS, donors in Costa Rica, experts and NGOs, Parliament, Ombudsman, ministerial sectors, beneficiaries) Field visits to selected projects for in-depth study
B.2 Evaluation of the use of networks by UNDP and their comparative strengths				
B.2.1 Global networks and experience	Was the UNDP strategy designed to maximize the use of its corporate and comparative strengths? Experience, networks and contacts?	How were the elements that seek to maximize the local and global UNDP (and UN System) benefits and strengths formulated when the strategy or project was designed? How and in what examples is the use of these advantages identified? Is its ability/technical experience and networks included in this, and in what examples is it observed?	Country Programme Documents Learning documents and transfer of knowledge Interviews with UNDP, partners, UNS, agencies, development experts	Staff surveys Interviews
B.2.2 Coordination and distribution of responsibilities within the UN System, including programmes and associated funds	Are duplications avoided in actual programme coordination with other UN agencies in the UNDAF framework? Has UNDP helped to make use of the comparative advantages of associated funds (UNV, UNIFEM, UNCDF), for example, in specific technical issues?	Is there duplication of effort between agencies? How does UNDP try to avoid duplication of effort in daily practice? Is there duplication in relation to other cooperation agencies? What normal high-level and implementation-level coordination channels exist between UN System agencies? What has UNDP done and achieved to capitalize on the comparative advantages of each UN System agency? And how has it capitalized on the comparative advantages of the associated funds (UNV UNIFEM, UNCDF)? Please provide examples. Is there a perception of a coherent and unified UN System in Costa Rica? What role does UNDP play in this? Is the relationship with RBLAC fluid and functional? Examples?	RCAR reports Joint programme reports and evaluations Interviews with the UNS and UNDP, cooperation agencies, funds and donors, state counterparts, RBLAC	Staff surveys Interviews

Criteria or Sub-criteria	Key questions	What to look for	Data source	Data collection methods
B.2.3 Help for the Government in using external associations and South-South cooperation	Does UNDP use its network to create opportunities for South-South exchanges and cooperation?	Are there any experiences of South-South cooperation and exchange that UNDP has helped? What were the results? On what issues? Does the RBLAC participate and how does it do so?	Documents recounting experiences Interviews with UNDP, RBLAC, state counterparts, UNS/cooperation agencies, beneficiaries	Staff surveys Interviews
B.3 Promotion of UN values from the Human Development Perspective				
B.3.1 Role of UNDP in supporting policy dialogue on issues related to human development.	Are the UN System and UNDP in particular supporting effective government oversight of the achievements of the MDGs?	What type of support is provided by UNDP to support the Government's promotion of the human development approach and compliance and monitoring of the MDGs? Is this effective? Why?	Programme documents and evaluations NHDR MDG reports Interviews with MIDEPLAN, INEC, Ministry of Economy, international cooperation	Staff surveys Interviews
B.3.2 Contribution to gender equality	To what extent is the UNDP programme designed to properly incorporate each contribution into the outcome areas for achieving gender equality? To what extent has UNDP supported positive changes in terms of gender equality and have there been any unintended effects?	What specifically contributes to gender equality? Are results broken down by gender? Have there been positive (or negative) results? Unintended effects?	Programme documents and evaluations Interviews with state and civil society counterparts, international cooperation, beneficiaries, experts	Staff surveys Interviews Field visits
B.3.3 Addressing equity issues	Did the UNDP programme consider the situation and needs of vulnerable or disadvantaged groups in order to promote social equity?	How specifically (with examples) does UNDP address the needs of disadvantaged and vulnerable groups (the poor, children/youth, the disabled, indigenous peoples etc.)? How is social inclusion integrated and applied in programmes and projects?	Programme documents and evaluations Interviews with state and civil society counterparts, international cooperation, beneficiaries, experts	Staff surveys Interviews Field visits

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