

# Terminal Evaluation for WWF-GEF:

## Improving Mangrove Conservation Across the Eastern Tropical Pacific Seascape (ETPS)

DRAFT



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<b>POSITION DETAILS</b>		
Location	Costa Rica, Panamá, Colombia and Ecuador	
Reporting to	Amelia Kissick	
Starting Date	March, 2019	
Duration	Approximately 25 days	
Report due	April-May, 2019	
<b>PROJECT DATA</b>		
Project/Program Title	Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS)	
GEF Project ID	5771	
WWF (Agency) Project ID	G0011	
Implementing Agency(s)	WWF GEF Project Agency	
Executing Agency	Conservation International	
Executing Partner(s)	Permanent Commission for the South Pacific (CPPS); UNESCO-Quito	
Countries	Costa Rica, Panama, Colombia and Ecuador	
Focal Area(s)	International Waters	
GEF Operational Program	GEF 5	
Total GEF Approved Budget	\$1,900,810.0	
Total Co-financing Approved	\$4,516,858.0	
<b>RELEVANT DATES</b>		
CEO Endorsement/Approval	7/18/2016	
Agency Approval Date	9/23/2016	
Implementation Start	9/23/2016	
Project Completion Date / Actual	12/31/18 (proposed)	
<b>PRIMARY CONTACT INFORMATION</b>		
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## Document Tracking Table

Document Version #	Date	Person	Comment
v.1	16 April	Glen Hearn	Draft submission,
v.1	23 April	WWF/CI	Comments included in Audit Trail
Final	30 April	Glen Hearn	Comments amended post discussion 29 April.
Final	1 May	Glen Hearn	A couple of minor revisions based on CI close out report

## Evaluation Team

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## 1 Executive Summary

### 1.1 Project Summary Table

Project Title:	Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation		
GEF Project ID:	5771	PIF Approval Date	16 April 2014
WWF Project ID:	G0011	CEO Endorsement Date	18 July 2016
Country:	Colombia, Costa Rica, Ecuador and Panama	Project Start date	23 September 2016
Region:		Planned Closing date	1 October 2018
Implementing Agency	World Wildlife Fund -US	Revised closing date	31 March 2019
Executing Partners	Conservation International (CI), Permanent Commission for the South Pacific (CPPS); UNESCO-Quito	GEF Focal Area:	International Waters
Project Partners		GEF Project Size	Mid-Sized (24 months)
Project Financing	At CEO Endorsement (US\$)	At Terminal Evaluation (US\$)	
GEF financing	1,900,810	1,900,810	
Agency contribution	1,286,664	998,639 <sup>1</sup>	
Governments	2,480,194	1,441,401 <sup>1</sup>	
Other partners	750,000	381,641 <sup>1</sup>	
Total Co-Fin	<b>4,516,858<sup>2</sup></b>	<b>2,821,681<sup>1</sup></b>	
Project Total Costs	<b>6,417,668</b>		

### 1.2 Project Description

The project seeks to address the increasing degradation of mangroves in the East Tropical Pacific Seascapes (ETPS). Despite a growing recognition of the importance of mangroves and the many key services they provide, an estimated third of global coverage has been reduced in recent history through deforestation and degradation of the coastal buffer. This dramatic loss is already impacting coasts globally as the numerous ecosystem services provided by mangroves are reduced and lost. The ETPS region harbours the highest proportion of threatened mangrove species in South America along the Pacific coasts of Costa Rica, Panama, Colombia and Ecuador

<sup>1</sup> Co-financing accounted for up to Dec 2017.

<sup>2</sup> WWF (2016) Request for CEO Endorsement, 23 May 2016. Note it was \$4,398,864 as per CI (2018) PIR for year 1

with extensions of some of the highest estimates for above ground mangrove biomass on the planet.

The main barriers to conservation in the region include:

- Poor stakeholder awareness, institutional technical capacity, lack of scientific data;
- Conflicting legislation, lack of institutional coordination, gaps in policy, limited funding;
- Weak linkages in spatial ridge to reef planning, well established industries (hydro-power), different autonomous communities;
- Limited attention to local engagement; and,
- lack of internal organization.

This Project was developed to implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador through on-the-ground management activities and the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation. This is achieved through developing capacity and awareness at the local and national levels; assessing legislative incompatibilities and gaps; and promoting new policies and laws.

The **Project Objective** is *“To implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador through on-the-ground management activities and the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation”*.

The project was delivered through three interconnected components:

1. Regional mangrove strategy development and implementation;
2. National mangrove action plans and policy strengthening; and,
3. Local conservation actions.

The project start date was 23 September 2016 with a proposed closing date of 1 October 2018. This was extended to 31 March 2019 to ensure all project deliverables were accomplished and to convene the 3<sup>rd</sup> learning exchange which took place in November 2018, in San Jose, Costa Rica.

The overall project budget was \$6,417,668 USD with a GEF contribution of \$1,900,810 USD (or 30%). At the time of writing the report co-financing was accounted for up to 31 December 2017, and accounted for approximately 62% of committed funds. Final co-financing is still being determined; however, the project likely reached or exceeded co-financing commitments assuming similar levels of activity assuming similar co-financing expenditure in the last 15 months as in the first 15 months.

The project was implemented through the World Wildlife Fund (WWF-GEF) and executed by Conservation International (CI) in partnership with the Comisión Permanente del Pacifico Sur (Permanent Commission for the South Pacific) (CPPS), and UNESCO-Quito. The Project

Management Unit (PMU) was based in Ecuador and each of the ETPS countries had a country focal point within CI country offices. The Steering Committee (SC) comprised CI-ETPS, CPPS, the OFPs of the countries (or representatives), CI Global Marine and UNESCO-Quito.

Overall the project was well administered with effective communication and use of GEF standard reporting, such as PPR, GEF Tracking Tool, SC minutes, amongst other. There was no major transfer of funding between components, and there were little to no financial issues, other than the inability of UNESCO-Quito to receive funding from CI to complete the communication and dissemination of information (Outcome 1.3). As a consequence, CI assumed the responsibilities, which partially added to delays in project outputs. One of the main causes of delays, however, was the time required for countries to review materials for approval.

The project showed a high level of Adaptive management, and incorporated the lessons learned from previous projects and the PPG phase of the project development. For example, the demonstration site of the trans-boundary mangrove area between Ecuador and Colombia was removed from the project due to logistical limitations. However, due to the importance of the Colombian mangroves in the ETPS region, the project sought and succeeded to develop local community activities in the Gulf of Tortugas. Moreover, new opportunities were taken when possible, such as the development of the restoration guide in Eperaala Siapidaara, Colombia.

### 1.3 Evaluation Rating Tables<sup>3</sup>

1. Assessment of Project Objectives & Outcomes
<p><b>Relevance:</b> The overall relevance of the project is supported by the interest in the countries to advance mangrove conservation both regionally (advancement of the Regional Mangrove Strategy, with inclusion of Costa Rica) and nationally (new regulations in Panama 2018, new national policy in Costa Rica 2017, revision of existing policy in Colombia 2016, national plan approved in Ecuador 2019). The project is relevant at the local level as shown by the involvement of 9 communities across the region to engage in restoration and conservation activities. The project is relevant to GEF IW Objectives 3 and 1 and WWF conservation interests.</p>
<p><b>Effectiveness:</b> The project overall effectiveness of the project is considered very satisfactory. Virtually all of the targets were accomplished across all the components, and in several cases exceeded. This is true with the legislative and policy development activities, as well as knowledge management aspects (brochures and learning exchanges). The project was successful in engaging 9 communities and initiating conservation and restoration activities. The project did not achieve a policy brief on mangrove valuation, though a detailed report was developed, and a final communication product only awaits input from Costa Rica.</p>
<p>The long term impacts of the project will depend upon the ability of the national governments to implement activities outlined in their national policies and regulations which have been enhanced as a result of the project. In many cases, government budgets are available for continued administration but not necessarily for activities such as on-the ground restoration, which are delivered through external financing. Local communities will likely continue to engage with mangrove restoration and conservation, providing there are realized benefits associated with doing so, either from socio-economic factors or through continued support in the next 0-5</p>

<sup>3</sup> Based on GEF (2017) Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects <https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf> ;

<p>years. Improvements in eco-tourism and fisheries will likely be the driving forces for continued interest at the community level in conservation and restoration in the longer term.</p>	
<p><b>Efficiency:</b> The project was overall effective in delivering the outputs and resulting outcomes as specified in the Project Document. In many areas the project exceeded the project targets while keeping within the project budget. Indeed, the leveraging of other previous and on-going initiatives meant the GEF funds were “catalytic” inputs resulting in good cost for activity and output. The “no-cost extension” of 6 months on a 24 month project has some negative bearing on determining the efficiency with which the project was executed. The GEF grant was similar to that of the 24 month UNDP-EMBLAS II project in the Black Sea which focused on regional level cooperation on data and information exchange, through national and local level activities.</p>	
Overall Rating of Project Objectives & Outcomes	Rating
<p>The project met or exceeded project targets within budget albeit with a 6 month no-cost extension. Outcomes and project objectives have generally been achieved as follows:</p> <p>Under component 1, the ETPS countries, including Costa Rica, are advancing the Regional Mangrove Strategy promoted by the CPPS. Although, an approved published strategy was not achieved, recommendations from the work of the Group of Experts were achieved and will likely be adopted in 2019 during the CPPS 4 year review. Costa Rica actively participated in updating the regional strategy. Regional and national planning have been strengthened in all countries through three symposium style regional learning events and the production of tools including the Blue Carbon Manual and Blue Forest tools, and regional and national report on valuation of good and services.</p> <p>Under component 2, <b>Panama</b> updated regulations (July 2018) and updated their <b>National Wetlands Policy</b> (18 December 2018); assistance was given to <b>Costa Rica</b> in developing new wetlands policy (2017) developed with UNDP; assisted <b>Columbia</b> in implementing 2016 Mangrove Policy, with annual stakeholder workshops including local communities, and developing a Restoration Guide developed with local communities; <b>Ecuador</b> implemented Environmental Organic Code (April 12, 2018) with new mangrove specific inclusions, Ministerial resolutions for sustainable use and resource custody agreements for 3 local fishing associations (005/2018; 006/2018; 007/2018. National Mangrove Plan was approved in Feb 2019.</p> <p>Under Component 3, <b>Panama</b> Updated local management in Chiriquí including Climate Adaptation and a strategic plan and governance scheme for the Altitudinal Corridor of Gualaca; <b>Costa Rica</b> initiated restoration projects and developed recommendations for integrating Ridge to Reef approaches in local plans for the Gulf of Nicoya; <b>Ecuador</b> developed 3 co-management plans with fisher associations in El Morro; <b>Colombia</b> strengthened local governance in Bocana Bazan and 2 plots were restored with mangroves, a local language management guide was developed for Eperaala Sipidaara community and improved planning in situation diagnosis for the Gulf of Tortugas area, including and evaluation of the mangrove ecosystem in Isla Ají, Cajamabre, Yurumanguí and Naya. Stakeholders included 221 Afro Colombian representatives (126 women).</p> <p>Three international learning exchanges occurred with one focussing on local communities. 15 training sessions where held for local decision-makers, as well as one regional training session on Black Clam fishing. And communication tools were developed, including Blue Carbon Manual and Blue Forests materials translated, with new examples from the Latin American context.</p>	<p><b>Satisfactory-Highly Satisfactory:</b></p>

2. Assessment of Risks to Sustainability of Project Outcomes	<i>Sustainability Rating</i>
<b>Financial Risks</b>	
<p>At the regional level there is little financial risks to sustained activities. It is the mandate of the CPPS to advance the regional strategy. The risk may be that the level of engagement decreases without external support. At the national level there is a risk that on-the-ground actions associated with updated plans may not be sustained. It is common amongst ETPS countries that the national budget supports administrative roles, but activities are project driven, often by external funding. At the local level, the financial risks stem from a lack of benefits in the next 0-5 years associated with incentives for conservation. The principal incentives are from fisheries, eco-tourism, and erosion control. However, unless there are local benefits the momentum for conservation may dwindle.</p>	<b>Moderately likely</b>
<b>Socio-political Risks</b>	
<p>The socio-political risks are low as the governments are committed to conservation and restoration of mangroves at the regional and national levels. The local communities have expressed their interest to continue, in particular learning from the Ecuador experience of developing fisheries management plans. In the Afro-Colombian community Bocana Bazan, they have already initiated a beach protection program by planting trees outside of the project.</p>	<b>Likely</b>
<b>Institutional Framework and Governance Risks</b>	
<p>The institutional and governance risks are low. At the regional level the CPPS has been in existence since the 1950s and has a mandate that expands beyond mangroves. At the national level there could be more changes to government institutions such as experienced by Panama during the project where two ministries conjoined. However, in general the institutional risk is low as there will be ongoing support for the new and revised national policies and regulations. The institutional dynamics at the local level are less certain as community councils could change and not necessarily keep the interest of mangrove conservation.</p>	<b>Likely</b>
<b>Environmental Risks</b>	
<p>There are limited environmental risks as the project principally dealt with developing enabling measures. Where restoration sites have been initiated there is a strong likelihood that they will be maintained by the local communities.</p>	<b>Likely</b>
<b>Overall Rating of Sustainability of Project Outcomes</b>	<i>Rating</i>
<p>Based on the discussions above the overall sustainability of the project is moderately likely, due to the lack of certainty around continued funding for activities such as restoration, amongst others.</p>	<b>Moderately likely</b>

3. Assessment of M&E Systems
<p>The project monitoring is based on the Results Framework with identified targets and baselines (see section on Results Framework), and includes, for the most part, baseline information. For example, the status of national policies and legislation, or local management plans. The indicators were generally well designed with some minor comments, such as not using “approval of new legislation” as an outcome, as it is beyond the control of the project.</p>

M&E budget allocated \$47,000 USD for M&E as indicated in the project document, which was administered in a timely fashion over the course of the project, including reporting, etc.	
The data generated by the project, for example the valuation assessment and extent of mangroves, were integrated into the larger SPINCAM database of the CPPS. This is a long term data base which has funding and sustainability outside the GEF-ETPS project. The data is being used by decision-makers which address, not only mangroves, but marine spatial planning in the ETPS region.	
Reporting was undertaken as planned in the Project Document, and included: M&E plan, inception report, GEF Focal Area Tracking tools, Steering Committee (PPSC SC) meetings and minutes, WWF-GEF Project Agency Field Supervision Missions, quarterly financial reporting, and project reporting including PPR and PIRs.  The PSC was used effectively to make adjustments to annual planning, with regard to capacity building activities, and convened three times during the project. However, in order to accommodate the participation of OFPs, the SC did not convene at all in 2018, and moved its final meeting to January 2019. Informal planning occurred throughout the year taking advantage of other meetings.	
Overall Rating of M&E During Implementation	Rating
The M&E plan as laid out in the Project Document was comprehensive, and was executed well and the M&E system was effective in making adjustments to the workplan via the SC and through EA-EI communication.	<b>Satisfactory</b>

4. Implementation and Execution	
Quality of Implementation	Rating
WWF-GEF agency became involved at the request of GEF to provide implementation of the project which was initially conceived and proposed by CI. WWF-GEF was therefore less involved with concept development than with preparation of the proposal to ensure that it met WWF standards and complied with GEF criteria. Throughout the project WWF provided monitoring and project assurance in a timely and effective manner, which included review of budgets and adapting to requests from the executing agency (see section 4.2.1 - Adaptive Management and Capacity). Annual supervision missions were conducted twice, 3-4 November 2017, & 6-12 March, 2019. The latter assisting with the terminal evaluation. Overall, there were no shortcomings and the quality of implementation met expectations	<b>Satisfactory</b>
Quality of Execution	Rating
Section 3 of the Project Document outlines the roles of the executing agency, which includes oversight and operations of the Project Management Unit, disbursement and accounting of GEF funds, coordination and implementation of project activities (on a day by day basis) and project reporting. CI achieved this through establishing its PMU in Ecuador and having Operational Focal Points in each of the countries. Building on the previous experience of the CI-ETPS project, CI was able to capitalize on working relationships in the countries and undertook its activities in an effective manner. CI sought to take advantage of opportunities that arose to ensure efficient use of funds and address beneficiary needs (See section 4.2.1 - Adaptive Management). Overall, there were no shortcomings and the quality of execution met expectations.	<b>Satisfactory</b>

#### 1.4 Summary of Conclusions, Recommendations & Lessons Learned

The WWF-GEF ETPS project was very much an incremental, or catalytic, project building on CI's extensive CI-ETPS project (2005-2013), as well as the Sustainable Development Open

Initiative (UNESCO Quito-CPPS-CI) and the Mangrove and Sustainable Development Open Initiative ran from 2013-2015. As such it was able to engage rapidly, once funding became operational, and achieve the majority of its intended targets, exceeding them for the most part. At the regional and national levels, the incremental GEF funding ensured that activities were enhanced. For example, by convening an expert working group on mangroves the CPPS review of the Regional Strategy in 2019 now has significant recommendations at a technical level on issues such as integrated planning and valuation of goods and services of mangrove eco-systems. Through a series of 20 national level workshops, national regulations and plans have been enhanced, including for example the inclusion of local community stakeholders in national review meetings in Colombia, implementation of Costa Rica's national plan with restoration projects in the Gulf of Nicoya, assisting development of 2018 regulations in Panama and Ecuador included mangroves in their Organic Code, and approved a new National Mangrove Plan in February 2019.

At the local community level, the GEF funding permitted continuation of some activities, such as engagement with co-management of fisheries between the government and local communities in El Morro, Ecuador; and stimulated new work, such as the restoration sites in the Gulf of Nicoya, Costa Rica, and Gulf of Tortugas, Colombia.

The project had multiple stakeholders at the local, national and regional levels and was highly successful in its stakeholder engagement process - a large part of which must be attributed to the extensive experience of CI at the local level with country level staff. The local community demonstration projects were well developed and had replicating effects by having 2 bi-lateral exchanges (Ecuador with Panama and Colombia) and a regional learning exchange focused on local community experiences. The gender mainstreaming plan was implemented with the result that in the international learning exchanges about 35% of the speakers and panellists were women, which given the context of the region should be considered a solid result.

The choice of CPPS as an executing partner had many advantages. Its mandate covers mangroves and marine management, and it acts at the political decision making level. Peru and Chile are also members of CPPS and participated in several workshops, despite not having substantial mangrove areas. Costa Rica is not a member of the CPPS, nevertheless, participated fully in the project at the regional level.

Overall the project was well implemented with good coordination between the executing and Implementing agencies. The experiences of WWF-GEF with project execution in its own right assisted project execution particularly in project oversight, including two supervision missions, and community engagement.

Building on its previous work, the project has made advancements towards the intended impacts. The enabling environment for mangrove conservation has been improved through the development of legislation, management plans, and capacity building for decision-makers. Moreover, the project supported intervention stress reduction and possible reverse the net >30% deforestation and degradation trends observed since the 1960s. Monitoring mangrove improvements over a two year time frame is challenging. Nevertheless,

mangroves (approximately 655,342 ha as collectively registered by national inventories for 2018) benefited from policy improvements and awareness building for loss reduction and recovery. Managers and communities of the four pilot sites/ gulfs benefitted from training, with three conservation initiatives encouraging direct stewardship by local communities with potential for replication. (e.g. >5k ha between EL Morro, Ecuador, Bazan Bocana, Colombia, and steps to improve land use practices in >110,000 ha of associated upstream land in the Chiriquí-Gualaca corridor, Panama).

Key Good Practices emerging from the project include:

1. **Conduct a social safeguard review during project development to identify any potential issues upfront.** Two safeguard reviews and screenings were undertaken during the PPG phase. The first with CI, and then re-screened with an independent expert to ensure compliance with WWF-GEF. The independent socio-assessment of the Afro-Colombian communities in the Tortuga Gulf ensured that due diligence was taken in address issues surrounding indigenous peoples. CI gender officer also provided training at the beginning of the project. Social safeguard policies are complex in nature and their application is not a simple procedure. In any future project, it would be valuable to conduct safeguard analysis during the development stage, or early in project implementation, and provide training for country level staff and other partners in terms of identifying and flagging potential safeguard issues.
2. **Partnering with politically expedient institutions.** CPPS was a key partner associated with developing a regional strategy for mangrove protection, and proved a very effective mechanism to advance a regional strategy, which included Costa Rica – a non CPPS member. CPPS was able to facilitate at the national and regional level because of its mandate and history in the region. Partnering with such an established institution can help develop policies and regulations within countries.
3. **Promoting community to community learning.** The project was very successful in bringing communities together to exchange information and knowledge through specific targeted visits, as well as a regional community focused conference. Decision makers at the community level were able to engage with each other resulting in profound impact on their learning and interest in applying new approaches to conservation.

Recommendations include:

1. **Develop indicators that match the level of project control in their achievement.** In designing any future project care should be taken with regard to choosing indicators that are compatible with the level control that the PMU has associated with respect to outputs, outcomes and project impacts. Caution should be taken when suggesting that new legislation or regulations will be developed within the timeframe of a 2 year project. It is thus better to have new or updated legislation as a likely outcome as opposed to an output, over which the project should have a high degree of control.

2. **Conduct effort to enhance financial sustainability of outcomes in the next 0-5 years.**  
The governments have committed to continue implementation of their national policies at the country level; however, for the impacts of the project to be sustained continued attention will almost certainly be needed from international donors and NGOs. This is particularly likely with respect to the involvement of local communities, including the exchange of ideas and experiences between communities. The risk at the local level is that the momentum developed during the project may not be sustained until there are economic benefits associated with implementing local management plans.
3. **Test potential partnership arrangements in preparatory phase of project design.**  
UNESCO-Quito as a partner organisation proved difficult to financially administer and resulted in delays in the delivery of project outputs for communication. Attention should be given in advance to clarifying how funds can be transferred to partner organisations to ensure there is no repetition of time lost and potential reduction in the quality of the communication or other project products. If a direct transfer cannot be accomplished from the executing agency it is recommended to explore separating out a specific component which can be administered independently of others.
4. **Promote the GEF profile in project products.** Care should be taken to ensure that GEF is profiled on all relevant products where appropriate. It is acknowledged that CI made an effort to acknowledge GEF and its support. It is understood that certain politically sensitive products, such as policies or regulations, would not necessarily contain donor logos, other less sensitive and high profile products such as videos should whenever possible. For example, the informational video from the Gulf of Nicoya,<sup>4</sup> did not mention GEF.
5. **Use existing knowledge platforms to help share knowledge (in particular IW:LEARN).**  
The project has developed some products that could be beneficial to a wider audience. The decision of the PSC to maintain focus on the ETPS region in the 3<sup>rd</sup> learning exchange was important to ensure core project outcomes would be met. Nevertheless, projects should place effort on sharing the experiences gained in the ETPS with other regions. While some materials are accessible IW:LEARN site, overall it could have been used more effectively, for example with the development of experience notes on applying pre-screening for safeguards for example. Opportunities for Twinning with IW-LEARN were taken advantage of.
6. **Build time for approvals of texts and products into planning.** It took longer to gain official approval from the ETPS countries than anticipated resulting in delays to several products. This should be built into future project planning working in the ETPS region.

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<sup>4</sup> <https://iwlearn.net/media/videos/29450>

## Acronyms

<b>AMPR</b>	Responsible Fishing Marine Area (Área Marina de Pesca Responsable, Costa Rica)
<b>ANAM</b>	National Environmental Authority (Panama).
<b>ARAP</b>	Panama Aquatic Resource Authority.
<b>Blue Forests</b>	Program developing carbon accounting methodologies and ecosystem services valuation.
<b>CC</b>	Climate Change.
<b>CI</b>	Conservation International.
<b>CI-Colombia</b>	Conservation International Colombia Country Program.
<b>CI-Costa Rica</b>	Conservation International Costa Rica Country Program.
<b>CI-Ecuador</b>	Conservation International Ecuador Country Program.
<b>CI-ETPS</b>	Conservation International Eastern Tropical Pacific Seascape Regional Program.
<b>CI-HQ</b>	Conservation International Head Office, Washington.
<b>CI-Panamá</b>	Conservation International in Panama (Country Program).
<b>CPPS</b>	Comisión Permanente del Pacifico Sur (Permanent Commission for the South Pacific).
<b>CREHO</b>	Ramsar Regional Centre for Training and Research on Wetlands.
<b>CSO</b>	Civil Society Organization.
<b>CVC</b>	Corporación Autónoma Regional del Valle de Cauca (Colombia)
<b>EBM</b>	Ecosystem Based Approach to Management.
<b>EIA</b>	Environmental Impact Assessment.
<b>ES</b>	Ecosystem Services.
<b>ESIA</b>	Environmental and Social Impact Assessment.
<b>ESMF</b>	CI Ecological and Social Management Framework.
<b>ETP</b>	Eastern Tropical Pacific (region).
<b>ETPS</b>	Eastern Tropical Pacific Seascape.
<b>GEF</b>	Global Environment Facility.
<b>GEF TF</b>	Global Environment Facility Trust Fund.
<b>GIS</b>	Geographic Information System.
<b>GMSAP/ GMP</b>	Gender Mainstreaming Strategy and Action Plan / Gender Mainstreaming Plan
<b>INVEMAR</b>	Institute for Marine and Coastal Investigation (Colombia)
<b>IOC</b>	Intergovernmental Oceanographic Commission
<b>IPCC</b>	International Panel for Climate Change.
<b>IPP</b>	Indigenous Peoples Plan.
<b>IW: Learn</b>	GEF International Waters Learning Exchange and Resource Network.
<b>IW-2/3</b>	GEF International Waters Program (Focal Area Objectives 2 & 3)
<b>NGO</b>	Non-Government Organization.
<b>NMAP</b>	National Mangrove Action Plan.
<b>NPIF</b>	Nagoya Protocol Implementation Fund.
<b>OFP</b>	Operational Focal Point.
<b>OSPESCA</b>	Centro-American Isthmus Fisheries and Aquaculture Sector Organization (Organización del Sector Pesquero y Acuícola del Istmo Centroamericano)

<b>PAPSE</b>	Plan de Acción para la Protección del Medio Marino y Áreas Costeras del Pacífico Sudeste.
<b>PIF</b>	Project Identification Form.
<b>PMRC</b>	Coastal Resources Management Program (Ecuador).
<b>PPG</b>	GEF Pre-Project Grant.
<b>PPMS</b>	WWF Program and Project Management Standards.
<b>PSC</b>	Project Steering Committee.
<b>Ramsar</b>	International Convention for Wetlands of International Importance (1971-present).
<b>SAP</b>	Strategic Action Programs.
<b>SEP</b>	Stakeholder Engagement Plan.
<b>SIPP</b>	WWF Safeguards Integrated Policies and Procedures.
<b>SINAC</b>	Conservation Area National System (Costa Rica).
<b>SPINCAM</b>	Southeast Pacific Data and Information Network in Support to Integrated Coastal Area Management project (Joint CPPS-UNESCO/IOC).
<b>TDA/SAP</b>	Trans-boundary Diagnostic Analysis/ Strategic Action Programme.
<b>TEEB</b>	The United Nations Economics of Ecosystems and Biodiversity Program.
<b>TNC</b>	The Nature Conservancy.
<b>UNDP</b>	United Nations Development Program.
<b>UNEP</b>	United National Environment Program.
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization.
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>VPP</b>	Vulnerable Peoples Plan
<b>WAVES</b>	World Bank Wealth Accounting and the Valuation of Ecosystem Services
<b>WFF</b>	Walton Family Foundation.
<b>WWF</b>	World Wide Fund for Nature

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## 2 Introduction

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### 2.1 Purpose of the evaluation

WWF conducted a terminal evaluation (TE) of the GEF components of the “Improving Mangrove Conservation across the Eastern Tropical Pacific Seascape (ETPS) through Coordinated Regional and National Strategy Development and Implementation” project<sup>5</sup>. The mid-size project was undertaken to implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador. The conservation strategy was delivered through i) the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation; ii) on-the-ground management activities to both demonstrate the application of policies and inform national policy development; and iii) harmonizing policy and conservation practices across the Eastern Tropical Pacific Seascape (ETPS).

This report is based on a field mission (6-12 March 2019) and interviews conducted between 24 February and 23 April, 2019; and a series of desk reviews of project reporting and products, including websites and videos.

### 2.2 Scope & Methodology

The objective of the TE is to examine the extent, magnitude and sustainability of any project impacts to date; identify any project design problems; assess progress towards project outcomes and outputs; and draw lessons learned that can both improve the sustainability of benefits from this project and aid in the enhancement of future related projects.

The evaluation complies with the guidance, rules and procedures established by WWF<sup>6</sup> and the GEF Terminal Evaluation<sup>7</sup> and Ethical Guidelines.<sup>8</sup>

### 2.3 Limitations of the evaluation

The evaluation does not provide a financial audit of the activities. Financial expenditure is reviewed in light of annual budgeting, project planning and disbursements, and assessed in terms of costs benefits in general. It is beyond the scope of this project to provide a detailed

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<sup>5</sup> <https://iwlearn.net/iw-projects/5771>

<sup>6</sup> WWF (2012), Step 5.3: Evaluation Guidelines, Resources for Implementing the WWF Project and Programme Standards, available at: [http://assets.panda.org/downloads/evaluation\\_terms\\_of\\_reference.doc](http://assets.panda.org/downloads/evaluation_terms_of_reference.doc)

<sup>7</sup> GEF (2017), Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full Sized Projects, Global Environmental Facility Evaluation Office, available at <https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf>

<sup>8</sup> GEF (2007), GEF Evaluation Office Ethical Guidelines, Evaluation Document No.2, Global Environmental Facility Evaluation Office, available at <http://www.gefio.org/sites/default/files/ieo/evaluations/gef-eo-ethical-guidelines-2007.pdf>

analysis of products, beyond their general impressions. For example, in reviewing the “Assessment of legal structures throughout the region” or the “Needs Assessment Study”<sup>9</sup> limited assessment is conducted on the quality or the content documents.

## 2.4 Structure of the Report

The report is developed in four principle sections which i) outline the project and development context, including rationale for intervention; ii) the evaluation findings including project design prior to implementation, the core of the report regarding project implementation and assessments, gender mainstreaming, stakeholder engagement, safeguards review, finance and co-financing; iii) conclusions, recommendations & lessons learned; and iv) supporting annexes.

## 3 Project Description and Development Context

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### 3.1 Project start and duration

As per the [Project Information](#) the start of the ETPS Project was 1 October 2016 and finished 31 March 2019. There was a 6 month “no cost” extension to the project as agreed between WWF-GEF agency and CI.

There were no significant delays once the project was “started” but the long time between PIF submission (16 April 2014)<sup>10</sup> and CEO approval (18 July 2016)<sup>11</sup> was primarily due to a change in the implementing agency. Initially, the project was submitted to be implemented and executed by Conservation International. Following discussions with the GEF, it was determined that the WWF-GEF should be the implementing agency.

The reason for the 6 month “no cost” extension was to host the ensure hosting the 3<sup>rd</sup> international exchange in November 2018 and allow time for the endorsement of the updated regional strategy.

### 3.2 Main stakeholders

The project document outlines the Key Stakeholders (Section 4) and elaborated a Stakeholder Analysis (Section 2.3). As the ETPS project has been implemented for over 10 years, there are significant number of stakeholders intersecting at the regional, national, sub-national and local levels. The main project stakeholders include:

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<sup>9</sup> Machuca y Felix (2017) Informe de resultados de la encuesta sobre necesidades de capacitación, Comisión Permanente del Pacífico Sur, 11 octubre 2017

<sup>10</sup> CI (2014) Project Information Form (PIF) for “Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation”, 16 April 2016.

<sup>11</sup> GEF (2016) CEO endorsement for “Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation”, 18 July 2016, Available from [https://www.thegef.org/sites/default/files/project\\_documents/07-18-16\\_MSP\\_Approved\\_Letter\\_1.pdf](https://www.thegef.org/sites/default/files/project_documents/07-18-16_MSP_Approved_Letter_1.pdf)

Name	Comment
CPPS - Comisión Permanente del Pacifico Sur	CPPS leads the development of the regional mangrove strategy under the PAPSE <sup>12</sup> on behalf of the member countries (Panama, Colombia, Ecuador, Peru and Chile).
Ministry of Environment and Sustainable Development ( <i>Ministerio de Ambiente y Desarrollo Sostenible (MADS)</i> ) – Colombia; Ministerio de Ambiente y Agua - Ecuador MiAmbiente – Ministerio Ambiente de Panamá , DICOMAR Ministry of Environment and Energy – Costa Rica.	The national level ministries responsible for mangrove protection.
Costa Rica - SINAC (Conservation Area Nation System); CATIE, INCOPESEA (Costa Rica Institute for Fisheries and Aquaculture) – Ecuador Sub-secretary for Marine Coastal Resource Management; SETEMAR; INP, Colombia- CVC; National Parks - SINAP; AUNAP; INCODER; Panama - Ministries of Economy and Finance (MEF); Agriculture (MIDA); Housing and Land Zoning (MIVIOT); The National Wetlands Committee including national authorities and Audubon Society (PAS), ANCON, CREHO, CEASPA, Fundación Natura and STRI.	National and Provincial level organisations dealing with nature conservation and/or fisheries.
UNESCO, UNDP, JICA, Wetland International, The Nature Conservancy, Ramsar Regional Centre for Training and Research on Wetlands,	International Organizations and NGOs
Golfos Vivos, Nazca, Natura, MarViva,	Regional and National NGOS
Panama - Remedios/ San Felix/ David – Alanje Environmental Council Colombia - Bazan Bocana & Eperaala Siapidaara - Ecuador - Wildlife Refuge “El Morrro” - Costa Rica - Puntarenas (Nicoya) Gulf / Comunidad de isla Chira	Local Communities with demonstration projects.
Costa Rica - Finca Batipa Colombia – OAP;	Private sector

### 3.3 Problems that the project sought to address

<sup>12</sup> Plan de Acción para la Protección del Medio Marino y Áreas Costeras del Pacifico Sudeste” de 1981 (PAPSE also known as the Convención de Lima) is the basis for regional cooperation between Chile, Colombia, Ecuador, Peru and Panama to conserve marine and coastal areas. See <http://cpps-int.org/index.php/principal/pda-quienes>. The PAPSE is the inter-governmental instrument framing the development of the Regional Open Initiative Mangrove Action Plan considered in the project.

The Project Document outlines contributing factors to threats posed to mangroves in the region. The primary threat is habitat destruction, either due to urban encroachment or industry, through shrimp farming (primarily in the 80s but persist today), exploitation of wood products (Charcoal, bark for tannins). However, secondary effects from upstream pollution and alterations in groundwater levels (through agricultural use) are also pertinent. Climate change is also having an effect on mangroves in terms of sea-level rise. The countries have different set of national planning instruments given that land use, jurisdictions, stakeholder and decision maker priorities, concerns and interests can differ significantly across ridge-to-reef spatial scales. Nevertheless, many of the root problems are similar as are the barriers to achieving conservation and sustainable use which include:<sup>13</sup>

- Poor stakeholder awareness, institutional technical capacity, lack of scientific data
- Conflicting legislation, lack of institutional coordination, gaps in policy, limited funding
- Weak linkages in spatial ridge to reef planning, well established industries (hydro-power), different autonomous communities
- Limited address to local engagement; lack of internal organization.

The project has worked to address many of these barriers, in particular, developing capacity and awareness at the local and national levels; assessing legislative incompatibilities and gaps; and promoting new policies and laws.

### 3.4 Outcomes and Project Objective

**Project Objective:** To implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador through on-the-ground management activities and the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation.

The key outcomes are:<sup>14</sup>

- 1.1- Improved conservation at the regional level through the advancement and adoption of a regional strategy promoted by the CPPS.
- 1.2- Costa Rica participates in the development of the regional strategy.
- 1.3- Improved capacity of policy makers and national mangrove managers to strengthen implementation of the regional strategy.
- 2.1 Improved or advanced national level mangrove action plans incorporating ridge to reef scale planning.
- 2.2 Strengthened legislation and incentives for mangrove conservation.

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<sup>13</sup> Table 2, page 26, WWF-GEF (2016) Project Document for “Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation,” 12 May 2016.

<sup>14</sup> Based on strategic framework.

- 3.1 local management plans developed that reflect national priorities, and incorporate results of economic valuation assessments, and build on increased national capacity to support and protect mangroves.
- 3.2 Economic evaluation tools and methodologies developed through the GEF-UNEP Blue Forests and other related projects are tested in at least two ETPS countries during their development phases to maximize applicability to policy and management at local to national scales by Y2Q3.
- 3.3 Local policy makers have increased capacity through outreach and capacity building.
- 3.4 Demonstrated success in providing incentives and/or business opportunities associated with conservation of mangroves.

### 3.5 Expected Results

The key products of the project are tools for policy and decision makers at regional, national and local levels, information exchange, and capacity development of stakeholders at levels. The anticipated results are sustained reduction of barriers to mangrove conservation beyond the lifetime of the project, and thus improved mangrove habitat and ecosystem function in the ETPS region.

## 4 Findings

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### 4.1 Project Design / Formulation

#### 4.1.1 Analysis of Results Framework and theory of change (Project logic /strategies/indicators)

##### Theory of change

In general, the overall designed logic of the project intervention is sound, and it did not change throughout the project implementation. The 3-tier approach<sup>15</sup> of (i) developing and implementing a regional mangrove strategy; (ii) strengthening national plans and policy; and (iii) and conducting on-the-ground pilot activities illustrates a sound method to address the major problems associated with mangrove conservation. The conceptual model for the project outlines how the three tiers are designed to address the major barriers, including: lack of capacity; lack of incentives and opportunities; dependency on established energy and agricultural industries; limited spatial “ridge to reef” planning; and weak local institutions and engagement. Given the regional context, these are the key barriers to addressing mangrove ecosystem conservation and protection. The theory of change and conceptual model is reflected in the project design at the three levels of engagement, the regional, the national, and the local level interventions. It is generally sound, however one of the main barriers and threats is lack of enforcement, which is not identified in the conceptual model. Lack of enforcement, is affected political will, the capacity to enforce, financial support, amongst

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<sup>15</sup> Conceptual Model Appendix 4 of Project Document

others. In some respects, the project is addressing this through promotion of national legislation, development of technical briefing documents for policymakers, and the development of greater public awareness through the mangrove day celebrations (26<sup>th</sup> of July). Given the time frame and scope of the project, the focus on the specific outputs in the results of framework are reasonable. Any future projects should give greater consideration to developing political will across a broader political spectrum than environmental ministries.

The Results Chain analysis<sup>16</sup> lays out the basic theory of change mechanisms for each of the components. At both the regional and national levels intermediate stages of “Improve knowledge management applications” and “Improvement in policy and management practice” are needed to arrive at the goal of mangrove conservation for goods and ecosystem services. At the regional level the intermediate states are achieved through *access to tools for policy makers and the ETPS countries adopting and advancing the regional strategy*. At the national level the intermediate states are arrived at through *updated national action plans, and improved regulations and incentives*. The intermediate stages are assumed to influence actions such as reduction of land clearance, reduced impacts from upstream, reduced agriculture/aquaculture impacts, amongst others.

These are reasonable assumptions, provided there is a political will and understanding of the economic and social importance of mangroves across a broad range ministries. For example, the pollution in Bocana (Colombia) associated with upstream discharges from Buenaventura will take concerted efforts to address including work at the municipal Federal level in a variety of ministries. An important aspect under “Improve knowledge management applications” is the expansion of awareness within the national political arena.

The local level results chain is complex incorporating the project sites across the ETPS region. The activities and outputs identified to arrive at the intermediate stages are well developed. Of particular interest, is the intermediate stage of “new incentives and opportunities available in favour of improved mangrove health” which is a key to altering destructive practices and encouraging restoration conservation. The overall awareness building an understanding of the importance of mangroves at the local community level is well conceived.

## Results Framework

The Strategic Results Framework for the ETPS project is found in [Annex B](#). It clearly outlines the major outcomes as detailed in the Project Document, including well formulated outcomes and associated indicators, project targets, project outputs and associated indicators.

The separation of components helps align activities and counterparts. For example, CPPS is primarily concerned with activities in component 1 that deals with the regional mangrove strategy, while counterparts in component 2 are national institutions, such as line ministries and agencies, and in component 3 it is national agencies, local governments and NGOs.

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<sup>16</sup> Appendix 5 Project Document

Many of the outputs have implications or support different component outcomes. For example, on-the-ground activities of component 3 help inform and test national level policy development of component 2. Likewise, there is a reciprocal interaction between components 1 and 2.

The chosen indicators generally adhere to SMART criteria, particularly as there is a clear effort to be time-bound. For example, Output 3.4.1 relates to “local community participation by Y1Q4” and its indicator is “MOUs are in place with communities by Y1Q3”.<sup>17</sup> In most cases they are carefully and well crafted. During the first year the project updated its outcome indicator for outcome 1.1 to include “Recommendations for revised regional strategy by Y2Q4.”<sup>18</sup> which is a more achievable goal than having an approved and publishable strategy. There are however, some minor restructuring which would help clarify achievements, including:

- The project target for 2.1 indicates that for Panama “ANAM and ARAP authorities combine into a new ministry where new competencies are established that improve effective wetland policy development”. The creation of a new national ministry is beyond the influence of a two year project and is either over-ambitious or related to a process that was underway before project intervention. Wording could have been used to indicate there is improved efficiencies and clear responsibilities in Panamanian line ministries. This is in line with the indicator 2.1.1 which is to have “# of updated and ratified national mangrove action plans (and in development) by Y2Q4”. In discussions with the executing agency it was related that the target was not the merging of the ministries, but rather new opportunities to protect wetlands emerging from the new authority.
- Likewise, the creation of new national legislation under Output 2.2.2 “Legislation passed to strengthen the protection of mangroves in at least two ETPS countries completed by Y2Q4” is ambitious for a two year project as outputs should be mostly under the control of the project. It would have been better to have an output as “At least 2 meetings held that advance legislation strengthening the protection of mangroves in at least 2 ETPS countries”. Outcomes are the intended impacts of the outputs within the project life, and the project has a degree of influence over these, though not necessarily control over them. The outcome 2.2 could also have been modified to read “At least two ETPS countries have improved enabling environments for mangrove conservation through updated policies, and/or stronger regulations, and/or incentives conducive to protect mangroves”.

#### 4.1.2 Assumptions and risks

Section 2.7 of the Project Document deals with Risk and Risk Management. Overall the risk identification is adequate as are the corresponding mitigation measures. For example, in identifying “weak institutional capacity for planning” as a risk to the project, the corresponding mitigation measure is “working with several institutions, thereby minimizing the dependency on any one institution”.

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<sup>17</sup> Results Framework Annex B

<sup>18</sup> WWF (2017) PIR for year 1.

The project assumptions are well developed and relate directly to the project outcomes. The project risks were also updated in progress reports. For example, the risk regarding the PMU capacity was raised to a low-moderate level due to assuming the responsibilities of output 1.3 communications and experience interchanges.<sup>19</sup>

Absent from the potential risks, however, are:

- Identification that “developing and endorsing legislation” in at least two jurisdictions could be difficult. While the risk of reduced political will, or rather political turnover, is addressed by dealing with midlevel managers, this is significantly different from passing legislation which can be a cumbersome process even when there is political will and political stability. The issue of legislation is partially addressed under assumptions, in which the project assumes: “At least two countries have the resources and processes underway or intention to establish stronger or improved regulations which coincide with collaborative project actions and/or generation of relevant information”.
- The logistical difficulties and security issues related to working in certain parts of rural Columbia was not identified as a risk, despite “domestic security issues complicate access to project areas” being one of the assumptions associated with outcome 3.4.<sup>20</sup> As was experienced by the project, the transboundary pilot project site had to be abandoned. And access to the sites in the gulf of Tortugas had some negative impacts on project activities. For example, the safeguards specialist was not able to travel there during the first supervision mission.

#### 4.1.3 Lessons from other relevant projects incorporated into project design

The project is heavily based on the previous work and experience of Conservation International in the region, and relies on the strong relations that it has developed working with local communities, national governments as well as the CPPS regional mechanism. Indeed, CI was involved in assisting the development of the 2016 Regional Protection Strategy for Mangroves developed by the CPPS. The project has incorporated lessons from previous initiatives, in particular the Eastern Tropical Pacific Seascape (CI-ETPS) Program and the Mangrove and Sustainable Development Open Initiative (UNESCO Quito-CPPS-CI). The former initiative ran from 2005 to 2013 focusing on coastal and marine conservation, policy and capacity building programs, including elements of sustainable financing, private sector and coastal city engagement in large gulfs, small scale fisheries improvement projects and business cases. The GEF-ETPS project builds on the extensive relationships and partnerships created, and integrated lessons learned in how to deal with local and national governments in the ETPS countries.

The Mangrove and Sustainable Development Open Initiative ran from 2013-2015 and focused on environmental legislation and policies related to mangroves, best practices and experiences of conservation and management of mangrove ecosystems within the CPPS countries of Chile,

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<sup>19</sup> WWF (2018) Project Progress Report (PPR) 1<sup>st</sup> October 2017 – 31<sup>st</sup> March 2018 (Y2 Q1 - Q2), 26 April 2018

<sup>20</sup> Project Document.

Colombia, Ecuador, Panama and Peru culminating in a draft Open Initiative CPPS Regional Mangrove Plan in 2015. In Component 1, this plan was updated based on economic valuation assessments and incorporating a ridge to reef approach during the course of the GEF-ETPS project.

#### 4.1.4 Replication approach

The project has enhanced the replication of successful tools or lessons learned at the local level through exchanges between the ‘on-the-ground’ demonstration projects. For example, local fishing associations from Ecuador were able to participate in meetings and exchange information with local communities in Panama and Colombia during “information exchange exercises”.<sup>21</sup> In particular, the Ecuadorian experiences of developing fisheries co-management plans and the “socio-manglar concession program” were shared with UNDP, ARPA and MiAmbiente.

#### 4.1.5 WWF comparative advantage

WWF advantage as the implementing agency is its extensive field experience in implementing conservation projects for 50 years. It has a well-established network of staff in the region and has been able to leverage this to the advantage of the project. For example, local WWF staff in Columbia have working relationships with both CI staff in Columbia as well as the national stakeholders including Ministry of Environment and Sustainable Development (MADS) as well as the Corporación Autónoma Regional del Valle de Cauca (CVC). This strong on-the-ground presence can be used to enhance communication between implementing, executing agencies, and stakeholders; and, can assist in facilitating activities if needed. As CI has a history of work in rights based management in the region, the combined strengths of the two organisations has added to project delivery (see section of efficiency).

WWF also has well developed standards in project application. For example, with respect to safeguards the WWF-GEF Project Agency Safeguards Integrated Policies and Procedures (SIPP)<sup>22</sup> is well developed and tested, and the agency has dedicated staff ensuring that policies and practices are implemented in their projects. The WWF Safeguard specialist, conducted a supervision mission in November 2017 and an on-site assessment as part of the project closure, March 2019.

WWF also has well developed policy and experience in gender mainstreaming in international waters management,<sup>23</sup> including have conducted a series gender mainstreaming workshops and webinars with UNESCO-WWAP on practical measure to incorporate and implement gender

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<sup>21</sup> The 2<sup>nd</sup> International learning exchange in Guayaquil (date) focused on local community exchange of information.

<sup>22</sup> WWF (2017) Environmental and Social Safeguards, Integrated Policies and Procedures, available from [https://c402277.ssl.cf1.rackcdn.com/publications/807/files/original/17\\_432\\_Safeguards\\_Manual\\_Update\\_FINAL.pdf?1503932363](https://c402277.ssl.cf1.rackcdn.com/publications/807/files/original/17_432_Safeguards_Manual_Update_FINAL.pdf?1503932363)

<sup>23</sup> WWF (2011). Global Network Policy: Gender Policy Statement

mainstreaming in GEF IW projects.<sup>24</sup> WWF is able to ensure gender mainstreaming with the project execution.

#### 4.1.6 Linkages between project and other interventions within the sector

The project has made solid efforts to engage with other projects to enhance the overall impact of this and the other projects. A full list exists in the Project Document (Table 1). Key collaborating projects include:

- Eastern Tropical Pacific Seascape (CI-ETPS) Program funded through the Walton Foundation (CI / Walton Foundation) -
- Blue Carbon initiative (CI-IUCN- IOC UNESCO)
- Conservation, sustainable biodiversity use and maintenance of ecosystem services in protected wetlands of international importance (SINAC / GEF-UNDP)
- Protection of carbon areas and sinks across wetlands in Panama (ANAM-ARAP, CI-Panama. Wetlands International and TNC / BMU, IKI-UNDP)
- Colombian Program for the sustainable use, management and conservation of mangrove ecosystems (MADS -Colombia)
- Mangrove and Sustainable Development Open Initiative (UNESCO Quito-CPPS-CI)
- Integrated management of marine and coastal resources: A conservation and sustainable use baseline characterization (CI-Colombia & Oleoductos al Pacífico)
- Designing and implementing a national sub-system of marine protected areas (SMPA) in Colombia (INVEMAR-MADS / GEF-UNDP)
- Integrated management of marine and coastal areas of high value for biodiversity in Continental Ecuador (CI-Ecuador – HIVOS / GEF-FAO).
- Application of Blue Forests methodologies and approaches through small-scale interventions (CI-Ecuador /

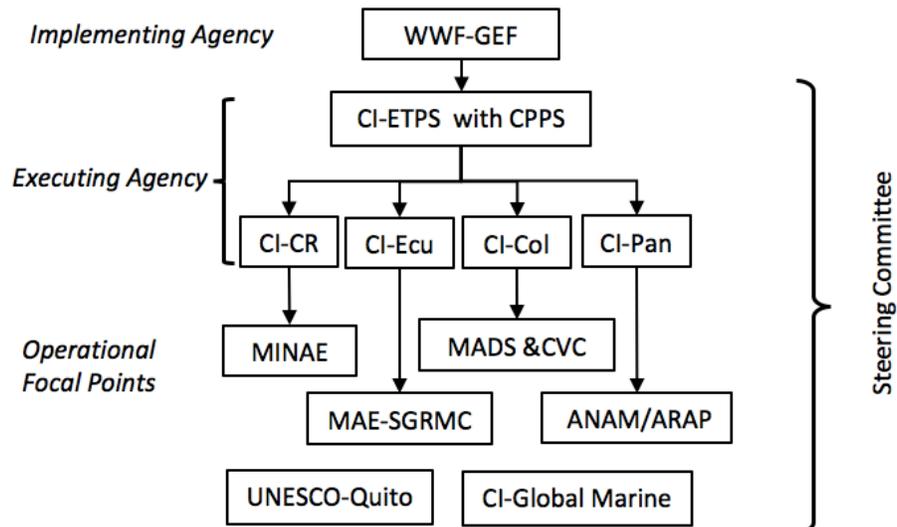
#### 4.1.7 Governance and management arrangements

The governance and management arrangements are well documented in section 3. World Wildlife Fund GEF Agency based in Washington was the GEF Implementing Agency. The project was executed by Conservation International (CI) in partnership with The Comisión Permanente del Pacifico Sur (CPPS). Note, UNESCO-Quito did not take as active a role in implementation as envisioned at the onset of the project, but did participate in activities, including the Steering Committee. Figure 1 outlines the management arrangement.

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<sup>24</sup> See webinar links at <http://www.unesco.org/new/en/natural-sciences/environment/water/wwap/>

Figure 1: Management Arrangement for ETPS



WWF-GEF Project Agency provided project assurance, including supporting project implementation by maintaining oversight of all technical and financial management aspects (see [section 4.6](#)). CI was responsible for the overall project execution, reporting and accounting; while CPPS was responsible for regional CI Outcomes 1.1 and 1.2.

The Project Management Unit (PMU) was embedded in the CI-ETPS program based in Ecuador with the Project Coordinator, and country officers in each of the ETPS countries to ensure operational support. The Project Coordinator also assumed the role of Project Manager with the associated responsibilities of day to day operations and reporting.

The Project Steering Committee (PSC) comprised CI-ETPS, CPPS, the OFPs of the countries (or representatives), CI Global Marine and UNESCO-Quito. WWF-GWF has an observer status. The project SC was responsible for input to project work planning, approving annual work plans and budgets, review and approval of key project outputs with OFPs (particularly political ones) and make informed decisions regarding planning and development of actions during the project. The SC met three times over the course of the project, but did not meet at all in 2018. This was due to the logistics of gathering Operational Focal Points from all the countries together. The SC met in January 2019.

#### 4.1.8 Country ownership

All the ETPS countries have illustrated a high degree of country ownership and project alignment with national priorities. The CPPS countries, Ecuador, Colombia and Panama all had signed onto the 2015 Regional Mangrove Strategy and Action Plan and were poised to implement the agreed actions and update the strategy as necessary.<sup>25</sup> Costa Rica, not a CPPS

<sup>25</sup> Policy updates are every four years. The next update would be in 2019.

member, committed to fully participate in the project, both in terms of national development but also in advancing the regional strategy. Indeed, the interests of the national governments was underscored during the first supervision mission November 2017 which noted “Government involvement and level of engagement continues to be high, which has been key to the project’s success”.<sup>26</sup>

The countries have also signed on to the RAMSAR convention with sites that include mangroves. During the terminal evaluation national level stakeholder confirmed the importance of the project for advancing their national priorities, and emphasized their interest in continuing to do so.

## 4.2 Project Implementation and M&E Systems

### 4.2.1 Adaptive management (Adaptive Capacity)

The project displayed adaptive management in dealing with changing circumstances. For example, UNESCO-Quito was to be responsible for communication and dissemination of information under outcome 1.3. However, due to problems associated with receiving money from CI they were not able to participate as envisioned. The PMU took on this responsibility, and despite the delays in starting some activities the PMU was able to complete all tasks.

An internal evaluation sheet, as part of the PPR, was developed and used to help evaluate challenges, opportunities and any necessary adjustments between project partners as part of the adaptive management of the project by the PMU.<sup>27</sup> Adaptive planning was identified in the relevant PPRs. For example, adjustments in activities were requested through the PSC and approved by EA/IA in November 2017 at request of the CPPS partner and participating country governments. For example, the SC requested a project extension, shifting funds from Component 2 to component 3 in Costa Rica to conduct a water shed wide analysis, and hosting a second national workshop in Colombia due to cost savings in year 1.<sup>28</sup> These changes (documented in the Work Plan) were conducive to either ensuring and/ or enhancing the expected project outcomes and were processed by the Project Management Unit (PMU) in Yr2 Q1.”<sup>29</sup> Another example is the change to Outcome indicator 1.1 to better reflect achievable goals, as noted in the PIR for the first year.

Some activities were advanced when opportunities presented themselves. For example, in the community of Eperaala Siapidaara, in Colombia, the possibility arose to work with the community and MADS to develop a manual and guide for managing mangroves in both Spanish and the local language. In another instance, CI-Panama advanced an opportunity to conduct workshops and capacity building with a local community and requested funds to be switched to do so. Ultimately, WWF-GEF deemed to work with the community in question would trigger greater involvement under their SIPP, and as a result CI-Panama did not further pursue the

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<sup>26</sup> WWF-GEF (2017) WWF GEF Project Implementation Support Mission (PrISM) Report, 22 December, 2017

<sup>27</sup> WWF (2017) Project Progress Report (PPR) 1st October 2016 – 30st September 2017 (Yr 1 Q1 – Q4).

<sup>28</sup> WWF (2018) Project Progress Report (PPR) 1st October 2017 – 31st March 2018 (Y2 Q1 - Q2), 26 April 2018.

<sup>29</sup> WWF (2018) Project Progress Report (PPR) 1st October 2017 – 31st March 2018 (Y2 Q1 - Q2), 26 April 2018.

work. Nevertheless, it displays a flexibility and adaptiveness to take advantage of opportunities where possible.

#### 4.2.2 Partnership arrangements (with relevant stakeholders involved in the country/region)

CI has an extensive network of connections at the national and local levels having already undertaken the Eastern Tropical Pacific Seascape (ETPS) Program funded through the Walton Foundation between 2005-2018 and the Mangrove and Sustainable Development Open Initiative (2013-2015). Operational activities at the national level were run by the CI country offices and contracted others to conduct certain aspects of the project. For example, hiring the NGO Nazca to help develop a data base of fishers in El Morro, Ecuador. Or helping fund national conferences of mangroves in Colombia with the participation of local communities. In sites visited, Colombia and Ecuador, it was clear that the CI country officers had good relations with the stakeholders at the national and local levels. For example, in El Morro, Ecuador, the local fishing associations emphasized the assistance received from the project in helping to convene meetings, build capacity and develop greater collaboration with the national agencies responsible for mangrove protection. This was echoed in Bazan Bocana, Colombia.

#### 4.2.3 Feedback from M&E activities used for adaptive management

The steering committee is the primary place where decisions are taken regarding the work plan and technical aspects of the project. Steering Committee meeting minutes illustrate discussions regarding workplans and in particular deciding on training activities.<sup>30</sup> National and local components of annual workplans were developed in advance with national offices working with each focal point so that many of the issues had been decided prior to the PSC and required little debate.<sup>31</sup>

The SC decided to change the 3<sup>rd</sup> knowledge exchange event from an inter-regional exchange to a regional one and remain focused on the ETPs region.<sup>32</sup>

A few adjustments at the national level were requested from the Ministry focal points, facilitated by the CI national offices – these were discussed with the WWF-Agency and then presented for approval of the PSC for Yr2 without objection.

#### 4.2.4 Monitoring and evaluation: design at entry and implementation

The monitoring and evaluation design, as outlined in the ProDoc (Section 7), is adequate and meets GEF standards with sufficient budget allocated for the activities.<sup>33</sup> The methodology is sound and was implemented including:

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<sup>30</sup> CI (2017) 2<sup>nd</sup> PSC Meeting Report 1-2 November, 2017.

<sup>31</sup> This was confirmed by Jorge Elias Jaen, a member of the PSC.

<sup>32</sup> CI (2017) 2<sup>nd</sup> PSC Meeting Report 1-2 November, 2017.

<sup>33</sup> See Table 10 of WWF-GEF (2016) Project Document for “Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation,” 12 May 2016.

- a) Inception workshop – October 2016.
- b) Inception Phase report – completed for the first phase of the project October 2016- January 2017. Reported on technical and administrative training workshops and including steering committee meetings held.<sup>34</sup>
- c) Monitoring and Evaluation Plan<sup>35</sup> – this has developed indicators, methodology, and responsible parties etc. and formed the basis for the GEF Tracking Tool.
- d) GEF Focal Area Tracking Tool<sup>36</sup> - filled and utilized.
- e) Project Steering Committee Meetings – 4 meetings have been held: 1<sup>st</sup> Meeting PSC, 13<sup>th</sup> October 2016; Extraordinary Meeting PSC, 13<sup>th</sup> January 2017; 2<sup>nd</sup> Meeting PSC 1-2 November 2017; and 3<sup>rd</sup> Meeting PSC 22 January 2019.<sup>37</sup> None were held in 2018.
- f) WWF-GEF Project Agency Field Supervision Missions – these were conducted twice, i) 3-4 November 2017<sup>38</sup> and ii) 6-12 March, 2019 along with the terminal evaluation.
- g) Quarterly financial reporting – reports confirmed by WWF-GEF
- h) Project Progress Reporting– Progress Reports (PPR) and Project Implementation Reports (PIR) were developed and detailed.<sup>39</sup>

The project monitoring is based on the Results Framework with identified targets and baselines (see section on Results Framework), and includes the most part baseline information. For example, the status of national policies and legislation, or local management plans. The only indicator which was not clear in terms of source of information and baseline was for output 3.4.2 “Local stakeholders participating in demonstration projects increased by 20% over the project start-up baseline by Y2Q4”. Presumably, the demonstration projects had no stakeholder participation at the onset of the project. Also, how participation is measured is not clear.

A change in outcome indicator 1.1 was done in year 1 to make targets more realistic, as discussed in section 4.1.1.

Adequate budget allocated \$47,000 USD for M&E as indicated in the project document, which was administered in a timely fashion over the course of the project, including reporting etc.

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<sup>34</sup> CI (2017) Report of the Inception Phase for the GEF-IW-ETPS Mangrove Project [PIMS 5771].

<sup>35</sup> Appendix 9 of WWF-GEF (2016) Project Document for “Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation,” 12 May 2016

<sup>36</sup> Excel based tracking tools were provided by the PMU.

<sup>37</sup> 1<sup>st</sup> and Extraordinary PSC meeting reports are contained within the inception report; CI (2017) 2<sup>nd</sup> PSC Meeting Report 1-2 November, 2017; CI (2019) 3<sup>rd</sup> PSC Meeting Report, 22 January 2019.

<sup>38</sup> WWF-GEF (2017) WWF GEF Project Implementation Support Mission (PrISM) Report, 22 December, 2017

<sup>39</sup> WWF (2017) Project Progress Report (PPR) 1<sup>st</sup> October 2016 – 30<sup>st</sup> September 2017 (Yr 1 Q1 – Q4); WWF (2018) Project Implementation Reporting (PIR) Oct 2016 to December 2017, January 2018; WWF (2018) WWF-GEF Agency Memo - PPR Reference: 1 Year 6 month PPR; WWF (2018) Project Progress Report (PPR) 1<sup>st</sup> October 2017 – 31<sup>st</sup> March 2018 (Y2 Q1 - Q2); WWF (2019) Project Implementation Reporting (PIR) December 2017 to December 2018, January 2019.

The data generated by the project, for example the valuation assessment and extent of mangroves, were integrated into the larger SPINCAM database of the CPPS. This is a long term data base which has funding and sustainability outside the GEF-ETPS project.

#### 4.2.5 WWF and Implementing Partner implementation / execution coordination, and operational issues

Discussions with both WWF-GEF and CI confirmed that there were no coordination communication issues during the project. Regular reporting was conducted by CI, WWF took two field missions, and there was good email and phone communication.

WWF-GEF agency became involved at the request of GEF to provide implementation of the project which was initially conceived and proposed by CI. WWF-GEF was therefore less involved with concept development than with preparation of the proposal to ensure that it met WWF standards and complied with GEF criteria. Throughout the project WWF provided monitoring and project assurance in a timely and effective manner, which included review of budgets and adapting to requests from the executing agency (see section 4.2.1 - Adaptive Management and Capacity). Annual supervision missions were conducted twice, 3-4 November 2017, & 6-12 March, 2019. The latter assisting with the terminal evaluation. Overall, there were no shortcomings and the quality of implementation met expectations.

Section 3 of the Project Document outlines the roles of the executing agency, which includes oversight and operations of the Project Management Unit, disbursement and accounting of GEF funds, coordination and implementation of project activities (on a day by day basis) and project reporting. CI achieved this through establishing its PMU in Ecuador and having Operational Focal Points in each of the countries. Building on the previous experience of the CI-ETPS project, CI was able to capitalize on working relationships in the countries and undertook its activities in an effective manner. CI sought to take advantage of opportunities that arose to ensure efficient use of funds and address beneficiary needs (See section 4.2.1 - Adaptive Management). Overall, there were no shortcomings and the quality of execution met expectations.

#### 4.2.6 Alignment with WWF and country priorities

The project is aligned with WWF priorities of conservation, improved governance of natural resources, and climate change adaptation. It is aligned with the promotion of gender mainstreaming (see section 4.4) stakeholder engagement (see section 4.5) and ensuring the rights of indigenous peoples are respected (see section 4.6). The project is aligned with country priorities as discussed under 4.3.1 relevance.

### 4.3 Project Assessment

### 4.3.1 Relevance

The overall relevance of the project is illustrated by the interest in the countries to advance mangrove conservation both regionally (advancement of CPPS Regional Mangrove Strategy<sup>40</sup>, with inclusion of Costa Rica) and nationally (new regulations in Panama 2018, new national policy in Costa Rica 2017, revision of existing policy in Colombia 2016, national plan approved in 2019). The project is relevant at the local level as shown by the involvement of 9 communities across the region to engage in restoration and conservation activities. The project is relevant to GEF IW Objectives 3 and 1.

The project is relevant on a global scale as it is one of the few projects attempting to address mangrove preservation at a regional level across multiple countries. It is relevant from the regional level as the project directly addresses mangrove conservation in the Pacific coast of Latin America by involving Costa Rica, Colombia, Ecuador and Panama which contain the bulk of mangroves.<sup>41</sup>

The national authorities interviewed as part of this evaluation confirmed that the project is aligned with their national priorities in promoting mangrove conservation, but also in advancing cooperation on regional level. Representatives of the CPPS interviewed confirmed that the project supported and catalysed engagement and activities that are part of the CPPS direction – which is supported by the national governments.

The project assisted in developing strengthened national legislation and policies on mangrove conservation in Panama (National Wetlands Policy- draft 2019); and Costa Rica's National Wetland Policy, 2017, which was developed under a GEF-UNDP project.

At the local level the project facilitated and supported engagement of local stakeholders in national policy development as well as its implementation. In the case of Bazan Bocana (Colombia) the Consejo Comunitario (Community Council) noted that “the project helped strengthen our governance system as the community rallied around mangrove preservation for environmental and economic (clam harvesting & eco-tourism) benefits”. In el Morro, Ecuador, the fishing associations (Manglares Costénas and Foreadores del Futuro) noted that “the project has helped the community understand the [fish and clam] resources and gain control over their exploitation so we can be sustainable in the future”.

The project is also relevant to GEF operational program strategies. The project directly relates to IW Strategic Objective 3 “*Enhance multi-state cooperation and catalyze investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce pollution of coasts and Large Marine Ecosystems*”<sup>42</sup> and is expected to contribute significantly to regional cooperation in the area of mangrove conservation and sustainable use. The project also relates to IW

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<sup>40</sup> CPPS (2016) Plan de acción regional para la conservación de los manglares, Guayaquil Ecuador 2016.

<sup>41</sup> Some mangroves exist in northern Peru.

<sup>42</sup> GEF (2016) GEF 6 Programming Directions (WWF-GEF Project Agency Safeguards Integrated Policies and Procedures)

Strategic Objective 1 “Catalyze sustainable management of transboundary water systems by supporting multi-state cooperation through foundational capacity building, targeted research and portfolio learning”<sup>43</sup> through its actions at the regional level with CPPS, the research and economic valuation assessments conducted that fed into national policy, and the exchange of information and experiences through the Expert Working Group on mangroves and the three technical learning exchanges.

#### 4.3.2 Effectiveness

Virtually all of the output targets were accomplished across all the components, and in several cases exceeded, which has resulted in achieving the intended outcomes. This is true with both the knowledge management aspects (brochures, communication tools and learning exchanges), as well as legislative and policy development activities. The project was successful in engaging 9 communities and initiating conservation and restoration activities. The project did not achieve a policy brief on mangrove valuation, though a detailed report was developed, and final communication product awaits input from Costa Rica. Details of the progress made are in Table 1, and highlighted below for each of the components.

Component 1: Regional mangrove strategy development and implementation. This outcome was achieved through the development of an international technical Expert Working Group on Mangroves (EWG) which had participation from Peru and Chile as well as the ETPS countries. Over the course of the project the EWG convened four (4) times and delivered recommendations for the updating of the regional strategy developed by the CPPS in 2015. Part of the updating of the regional strategy was to incorporate work done at the national level, in particular valuation assessment of mangroves. As part of the regional component three (3) transboundary learning exchanges took place (September 2017, Santiago de Veraguas ; July 2018, Guayaquil; & November 2018, San Jose)<sup>44</sup>. Recommendations were developed and a draft updated strategy has been advanced for country endorsement. However, to date endorsement of the updated strategy has not occurred.<sup>45</sup>

Nevertheless, one of the key successes of the project has been the full participation of Costa Rica in the EWG and advancement of the regional strategy, despite the fact it is not a member of the CPPS.

Tools for policy and decision-makers have been advanced, including a needs assessment, a regional valuation scoping document, translation of the Blue Carbon Manual, and Blue Forest materials into Spanish for the local context to increase its accessibility. The CPPS web site has

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<sup>43</sup> *Ibid.*

<sup>44</sup> The first and last followed a symposium format, the second a focus on community experiences in the region.

<sup>45</sup> The CPPS updates policies every 4 years. As the original regional mangrove strategy was written in 2015 it is scheduled to be updated 2019.

been enhanced with material developed from the project (including GIS mangrove spatial data in SPINCAM)<sup>46</sup> and forms a knowledge platform for the region on mangroves.<sup>47</sup>

Regional capacity development has taken place with a spatial planning workshop in July 2017 in collaboration with IOC-UNESCO; a Black Clam fishing workshop to harmonize practices occurred in Medellin, November 2017; and a mangrove restoration workshop was convened in Costa Rica, October 2018.

Under outcome 1.3 the project exceeded its target of 2 international knowledge exchanges. 3 International knowledge exchanges occurred in Santiago de Veraguas Panama, September 2017; Guayaquil, July 2018, which focused on local community interchange of knowledge bringing local communities from the other ETPS countries;<sup>48</sup> and in San Jose, Costa Rica, November 2018.<sup>49</sup> Bi-lateral workshops have also been conducted between Panama and Ecuador and Colombia and Ecuador.

Component 2: National mangrove action plans and policy strengthening cooperation. The principal outcome from this component is strengthened national plans and corresponding legislation to enhance mangrove conservation. The project achieved its target of having two countries update national policies. Some 20 workshops were held to advance national policies in the ETPS countries. In April 2018 Ecuador included new mangrove specific provisions to the Environmental Organic Code and a national plan approved in February 2019 and Panama updated regulations on wetlands in 2018 and is still developing a new wetlands policy. Colombia developed a new policy in 2016 (prior to the project) and the project enhanced implementation following stakeholder workshops in November 2017 and 2018, which included a restoration guide developed with local communities. The project also supported Costa Rica in developing a new wetland policy<sup>50</sup> under the GEF-UNDP project.<sup>51</sup> Conversations with MADS, in Colombia, confirmed that the project was instrumental in supporting the participation of local communities at the national level conferences which enhanced the top-down and bottom-up learning that was achieved.

A series of economic valuation assessment were conducted by each of the countries which helped to inform updates to the regional strategy as well as the national policies. CI noted that

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<sup>46</sup> SPINCAM is the CPPS spatial data base for coastal marine information amongst the CPPS countries. It is carried out in collaboration with IOC-UNESCO and the University of Flanders.

<sup>47</sup> <http://par-manglares.net/>

<sup>48</sup> Discussions with people in both El Morro and Bazan Bocana noted that this was one of the most enriching aspects of the engagement and has resulted in new ideas of developing co-management regimes for black clams and other mangrove fisheries.

<sup>49</sup> See <http://par-manglares.net/index.php/actividades/2018/40-taller-noviembre-2018>

<sup>50</sup> Costa Rica (2017) Política Nacional de Humedales 2017-2030, febrero 2017.

<sup>51</sup> Conservation, sustainable biodiversity use and maintenance of ecosystem services in protected wetlands of international importance.

after substantial time being reviewed by the countries, the technical briefing document on valuation was developed for policy makers in February 2019.

Component 3: Local conservation action. This component focused on local activities and pilot projects to update local management plans in 2 mangrove ecosystems, apply Blue Forests economic evaluation tools in 2 of the ETPS countries, conduct outreach and capacity building for local decision makers, and have 2 demonstration sites that provided incentives or business opportunities for mangrove conservation. In general, the project exceeded the anticipated outputs. Improved planning occurred at the local level in 9 communities across the ETPS countries.<sup>52</sup> Natural Capital Accounting ETPS wide scoping exercise was conducted and culminated in a workshop at Duke University in November 2017. A report on economic assessment on the value of ecosystem services provided by the mangroves was conducted for the Gulf of Nicoya, 2 publications resulted from studies on ecosystem goods and services provided by Chiriquí Gulf in Panama, as well as a report on goods and services provided by mangroves in the Guayaquil area.

Under outcome 3.4 the target of 2 demonstration projects providing incentives (or business opportunities) also exceeded. In Colombia, the community of Bazan Bocana has undertaken governance strengthening workshops and community engagement to build awareness and understanding around the zoning and uses of mangroves in their territory to improve fisheries, and have undertaken 2 restoration projects, beach protection, and village beautification (mural project) in an effort improve eco-tourism. Discussions with the President of the Community Council indicated that they are engaging in beach protection by planting trees and community beach clean ups. They have developed clam fishing zones that are rotated and being supervised by the women fishers.<sup>53</sup> In El Morro, Ecuador, three fishing associations<sup>54</sup> currently representing 50% of all the artisanal fisher have developed 3 fisheries management plans for their areas.<sup>55</sup> The work includes voluntary monitoring of catch that is incorporated into a data base for management purposes.<sup>56</sup> Moreover, the El Morro Women's Association is actively using by products from the fishing industry, such as shells, to develop arts and crafts for sale which have helped develop income as well as bringing women more closely involved in the fishing activities beyond cleaning and selling fish products at market.<sup>57</sup> In Panama, an agreement has been developed with the Batipa farm pilot site to develop land use alternatives that could potentially reduce mangrove cutting in Chiriquíhas.

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<sup>52</sup> Colombia: Bazan Bocana, Eperaala Sipidaara, Gulf of Tortugas area (Isla Ají, Cajamabre, Yurumanguí and Naya); Ecuador: El Morro (three plans developed); Panama: Chiriquí area; and Costa Rica: Gulf of Nicoya.

<sup>53</sup> Nidia Patricia, personal communication, 9 March 2019.

<sup>54</sup> The terminal evaluation included interviews with the heads of 2 fishing associations Manglares Costenas and Foreadores del Futuro, as well as the Morro Woman's Association.

<sup>55</sup> Biotica (2017) Plan de Manejo Para el Uso Custodia de 1.843,00 Hectáres de Manglar Solicitadas por la Asociación de Pescadores Artesanales Forjadores del Futuro en el Sector de Puerto el Morro, August 2017.

<sup>56</sup> Nazca (2019) Propuesta de plan de ordenamiento pesquero en al refugio de vida silvestre manglares El Morro, Nazca y CI, 28 Febrero del 2019

<sup>57</sup> Luci Morales, personal communication, 8 March 2019.

In terms of global knowledge exchange, the Project Coordinator and a delegate from the Costa Rican Ministry of Environment attended the Biannual IWC 9 conference in November 2018 along.

Part of component 3 focused on capacity building in which the project exceeded its anticipated target of 2 workshops per country by conducting 14 country level training events and 1 regional level event on the black clam fishery. Training and participatory workshops represented an estimated 200+ hours to groups ranging in size from 15 - 230 individuals (depending on the event) across the ETPS geography.

Progress towards Results Summary Table

Outcome (Indicator)	Output targets (Indicator)	Comments-achievement to 31 march 2019
<p>1.1-The four ETPS countries adopt and advance the regional strategy for the conservation of mangroves as elaborated by CPPS (<i>Regional strategy approved by and published for the appropriate authorities of the four ETPS countries by Y2Q1. Recommendations for revised strategy by Y2Q4.</i>)</p>	<p>1.1.1 A Mangrove Technical Working Group/network comprised of leading mangrove experts is created (<i>A Mangrove Technical Working Group is convened by Y1Q3</i>)</p>	<p>TOR were developed and a mangrove working was established and has operated for the duration. Colombia (MADS-DAMCR) is acting as secretary. Regular 3-6 month videoconferences are planned. PAR-workplan. Initial meeting - video conference 30/03/2018. Participation in the EWG is also from Chile and Peru.</p>
	<p>1.1.2- 2 meetings of a Mangrove Technical Working Group are held (<i># Technical Working Group Meetings generating recommendations</i>)</p>	<p>EWG has convened: November 2016, 30 March 2017, June 2018, Nov 2018. Reports available on line, and include recommendations for a regional strategy.</p>
	<p>1.1.3-Updated regional strategy for the conservation of mangroves is ratified by Ministerial level authorities (<i># ETPS country governments that officially endorse a regional strategy</i>)</p>	<p><b>CPPS regional mangrove strategy was successfully adopted</b> by Ecuador, Colombia, Panama (and Costa Rica as a country in <b>2015</b>)-digital version available. Assessments have been made in April 2018 to revise the strategy. Recommendations have been made in April 2018 to revise the strategy. Updates have been approved by the GEM. A revised Plan is expected later in 2019 under the CPPS 4 year review of policies.</p>
<p>1.2-Costa Rica participates in the regional strategy by Y1Q3 (<i>Costa Rica is an active participating member of the CPPS Open Initiative for Mangrove Conservation and Sustainable Development</i>)</p>	<p>1.2.1- Official letter of confirmation from Costa Rica's Ministry of Environment ratifying Costa Rica's participation (<i>Costa Rica agreement signed with CPPS by Y1Q3</i>)</p>	<p>Costa Rica participates in activities as non-CPPS member. Official letter from CPPS to CRC (Costa Rica) sent 14th October 2017. Costa Rica has established a national mangrove coordination committee which includes representatives from MINAE, SINAC, the National Mangrove Program and CI.</p>
<p>1.3- Policy makers of at least three countries have the tools and capacity to strengthen the implementation of the regional mangrove</p>	<p>1.3.1- At least <b>2</b> ETPS trans-boundary learning and cooperation exchanges at least <b>1</b> international exchange by Y2Q4. (<i># of thought leaders trained per country</i>)</p>	<p><b>1<sup>st</sup> transboundary learning exchange</b> - 2 days (+1 field day) in Veraguas Panama, September 2017, (217 participants, 37 speakers, 15 men 12 women)  <b>2<sup>nd</sup> experience interchange</b> with focus on Community Level undertaken in Guayaquil 25th-26th July 2018 (35 participants, 18 Panelists 18 men, 7 women)</p>

Outcome (Indicator)	Output targets (Indicator)	Comments-achievement to 31 march 2019
<p>strategy (# of countries that have # tools generated by the project that assist and inform integrated regional and national planning (by Y2Q4), available to 4 ETPS countries.)</p>	<p>1.3.2- Communication products on mangrove conservation by Y1Q3 (% completion of communication products by Y2Q4)</p>	<p><b>3<sup>rd</sup> International exchange</b> - 27th - 30th November 2018 in Costa Rica.<sup>58</sup> (70 people) – this was originally perceived as an international but SC decided to keep it regional and focused. There were 2 additional bilateral exchanges with Panama, (Costa Rica) and Ecuador socio-manglar program</p> <p>Needs assessment completed (GEM Nov 2017) ETPS base line for mangrove policy status, gaps and challenges consolidated; Natural Capital accounting - workshop took place (Nov 2017) in Duke University to standardize and consolidate and near-term recommendations for the CPPS Mangrove Exchange Blue Carbon Manual translated and adapted for South America. Blue Forest tool compilation and reference collection for coastal GIS mangrove data incorporated into the CPPS – SPINCAM &amp; IOC-UNESCO). Communication Plan for RMAP and internal guidelines developed. Communications and outreach products were produced, including with social media focused around the 26th July, International Day of the Mangrove Ecosystem (UNESCO); website developed and updated. A mangrove brochure and extensive 140 page ETPS mangrove service scoping report – both published in Feb-March 2019. The report is to be shortened for a communication or briefing product.</p>
<p>2.1- At least two ETPS countries have updated national mangrove action plans in line with the regional strategy by Y2Q4 (# ETPS country updated national plans supported by the regional mangrove strategy)</p>	<p>2.1.1- Updated national mangrove action plans are formally ratified in at least two ETPS countries (# of updated and ratified national mangrove action plans (and in development) by <b>Y2Q4</b>)</p>	<p><b>Panama</b> updated regulations (July 2018); <b>Costa Rica</b> has a new wetlands policy (2017) and council of NGOs; <b>Columbia</b> new Mangrove Policy (2016), and updated with workshops in Gorgona Nov 2017 [and Nov 2018]; Restoration developed with local communities. <b>Ecuador</b> implemented Environmental Organic Code (April 2018) with new mangrove specific inclusions, Ministerial resolutions for land and resource custody agreements for 3 local fishing associations (006/2018; 007/2018. National Mangrove Plan was approved in April 2018. - Workshops were held in Costa Rica (6); Panama (3) and Ecuador (8).</p>

<http://par-manglares.net/index.php/actividades/2018/40-taller-noviembre-2018>

Outcome (Indicator)	Output targets (Indicator)	Comments-achievement to 31 march 2019
2.2- least two ETPS countries have passed stronger regulations and incentives for conservation (# of countries with stronger regulations or incentives that improve mangrove conservation underway and established at the national level by Y2Q4)	2.2.1 A national mangrove policy and threat assessment for each ETPS country by Y1Q4 (# of ETPS countries with an updated (post PPG) mangrove base-line, national policy)	- In Colombia a national workshop was held with M women including 3 local communities) Completed country assessments for synthesized regional ass produced report and GIS materials. Assessments available o An extensive 140 page review was developed; Annual meet this have taken place as noted in the annual reports. <i>The inc updated policy, whereas it should be an assessment conduct should be a policy.</i>
	2.2.2 Legislation passed to strengthen protection of mangroves in 2 ETPS countries (# new policies containing elements attributable to the project assessment exercises)	<b>Costa Rica</b> – National Wetlands Policy done in 2017, Mana developed for Puntarenas estuary to cover Gulf of Nicoya, – revised regulations for new Wetland Policy. <b>Ecuador</b> – Road Map for action developed including Action Agreements on Sustainable Use and Mangrove Custody. Ac Resolution of the Fishing Registry of the Protected Area (A). Explored options for sustainable financing of the socio-man with the private sector interviewing 4 women and 11 men. <b>Panama:</b> Two regulations validated and delivered to the Mi Environment. a) Regulation for the Conservation and Sustai Mangrove, validated and in the legal advice department of t Environment for approval. b) Regulation for the establishm management of the Special Coastal Marine Management Ar delivered to the Ministry of Environment

Outcome (Indicator)	Output targets (Indicator)	Comments-achievement to 31 march 2019
<p><b>3.1.:</b> At least two key mangrove ecosystems have updated management plans by Y2Q4 (# of site level management or local development plans generated with stakeholders directly and indirectly as a result of project developments)</p>	<p>3.1.1 At least two local management plans and/or local development plans developed by Y2Q4 (# of management plans, or % completed)</p>	<p><b>Panama</b> Updated to local management in Chiriquí including Adaptation criteria and alternatives livelihoods to cutting mangroves as a strategic plan and governance scheme for the Altitudina Gualaca.  <b>Costa Rica</b> - Recommendations for integrating Ridge to Re local plans for the Gulf of Nicoya.  <b>Ecuador</b> - MAE conducted scoping studies for Gulf of Gu planning and the El Morro Production Plan for Black Clam. <b>management plans</b> established for <b>mangrove concessions Reserve</b> between community and Ecuadorian authorities. S marine areas has been conducted with local input in the Gul  <b>Colombia</b> – With the CVC in Bazan Bocana local governar strengthened in terms of zoning and mangrove use and 2 plot with mangroves. A local language management guide was d Eperaala Sipidaara community. Improved planning in situat the Gulf of Tortugas area, including and evaluation of the m ecosystem in Isla Aji, Cajamabre, Yurumanguí and Naya. S included 221 Afro Colombian representatives (126 women</p>
<p>3.2- Economic evaluation tools and methodologies developed through the GEF-UNEP Blue Forests and tested in <b>two</b> ETPS countries (# of GEF-UNEP Blue Forests (BF) method and/or analogous economic evaluations and tools developed and presented to project stakeholders)</p>	<p>3.2.1- Final report on the economic valuation of ecosystem goods and services in two project sites (# of completed site studies presented to stakeholders by <b>Y2Q1</b>)</p> <p>3.2.2- Summary outreach document for decision-makers on the methodology(ies) and toolkit(s) for economic valuation of mangrove ecosystem (% completion and presentation of outreach document with decision support strategy presented to ETPS decision makers by <b>Y2Q4</b>)</p> <p>3.2.3- Mangrove valuation, policy and development planning outcomes are communicated by distribution, interactive</p>	<p>Natural Capital Accounting ETPS wide scoping exercise to of knowledge, methods and identify knowledge gaps, and sy took place over 3 days (Nov 2017) in Duke University.  <b>Costa Rica:</b> Report on economic assessment on the value o and services provided by the mangroves of the Gulf of Nico  <b>Panama:</b> study of the ecosystem goods and services provid Gulf mangroves resulted in 2 publications, the report is almi  <b>Ecuador:</b> Report of the ecosystem goods and services provi Gulf mangroves completed. Still needs to be put on line.  Spanish translation and adaptation of the <b>Blue Carbon Mar</b> Low Resolution digital versions available). Materials from t Project form part of the on-line materials available to govern distributed between partners of Blue Carbon project.  Outreach materials on mangrove ecosystem valorization inc Brochures -Videos -Artwork for social media or presentatio communication product is 80% completed – needing review  Blue Carbon Manual and Blue Forests materials are availab Project materials available on CPPS website.</p>

Outcome (Indicator)	Output targets (Indicator)	Comments-achievement to 31 march 2019
	<p>knowledge platform, and three national/regional conferences (# of outreach and communication media/ platforms/ packages generated)</p>	<p>Geospatial project data for the region in an appropriate form metadata to the online regional CPPS-SPINCAM decision s all ETPS countries. Biannual IW9 event (Program Manager and Costa Rica MIN CPPS, CI-Ecuador and CI-Americas participated in the IW- event (November 2017) -</p>
<p>3.3- Outreach and capacity building for at least 30 local policymakers and stakeholders finalized by Y2Q4. (# Policymakers and stakeholders trained per ETPS country).</p>	<p>3.3.1- At least <b>two</b> training events are conducted per ETPS country with at least <b>15 participants each</b> by Y2Q4 (# of events and training hours received per stakeholder in each ETPS country by <b>Y2Q4</b>)</p>	<p>Regular EA/ government planning meetings (6 Costa Rica; 3 Colombia; &gt;8 Ecuador) with the corresponding agency(ies) project as well as a series of outreach workshops in the project managers and local communities. <b>Costa Rica</b> -2 training events on mangrove conservation and <b>Panama</b> – 2 trainings for educators on mangrove recovery ( reps of different communities, 13 ecopromotors / 74 participants 49% women) <b>Colombia</b>: 1 Mangrove Restoration Protocol workshop (50 (18 women) &amp; 5 workshops with the Bazan Bocana Community mangrove management and protection. <b>Ecuador</b>: 4 training events to fishing commonwealth (mangrove pesquera) on "Biology of the black clam and good fishing practices" <b>Regional</b>: CPPS organized one regional workshop on Black Clam with Ecuadorian National Fisheries Institute and CPPS, 17 participants from 17 ETPS countries and Chile. Held in Medellin 14-16th November. Training and participatory workshops represented an estimated 100 groups ranging in size from 15 - 230 individuals (depending across the ETPS geography).</p>
<p>3.4- Two demonstration projects that provide incentives and/or create business opportunities for sustainable use of mangroves by Y2Q4 (# of demonstration projects providing incentives and/or business opportunities successfully initiated and/or supported by the project</p>	<p>3.4.1- Local associations in at least two sites actively participate and commit to demonstration projects by Y1Q4 (MOUs with local associations that outline conservation and restoration activities by <b>Y1Q3</b>.)</p>	<p><b>Colombia</b>: 2 restoration and monitoring plots as incentives for ecotourism were supported by CVC and Bazan Bocana Community. The community is now leading the initiative under a “conservation agreement”. They have also, under their own initiative, undertaken to plant mangrove and trees along their beach as a means of coastal protection. Also, interchange of socio-mangrove management program experiences from Ecuador with UNDP, ARPA and MADS (Pan) and MADS (Col) <b>Costa Rica</b>: Communities entered into agreements for restoration of mangroves <b>Ecuador</b> Fisher community entered into the Black Clam Fishery Plan in Gulf of Guayaquil - and 3 new sustainable use fishery plans to support concession agreements.</p>

Outcome (Indicator)	Output targets (Indicator)	Comments-achievement to 31 march 2019
<i>in high priority mangrove conservation areas)</i>		<b>Panama</b> agreement has been developed with the Batipa farm develop land use alternatives that could potentially reduce n in Chiriquí. - a management plan has been drawn up for five incorporate conservation principles (local association includ Wetland International with business plans for 4 communitie
	3.4.2 Local stakeholders participating in demonstration projects increased by 20% over the project start-up baseline by Y2Q4.(% of initiatives where stakeholders lead activities and actively participate at each local project site between <b>Y1Q4</b> and <b>Y2Q4</b> )	It is unclear how this is reported on.

### 4.3.3 Efficiency

The project was overall effective in delivering the outputs and resulting outcomes as specified in the Project Document. In many areas the project exceeded the project targets while keeping within the project budget. Indeed, the leveraging of other previous and on-going initiatives meant the GEF funds were “catalytic” inputs resulting in good cost for activity and output. The “no-cost extension” of 6 months on a 24 month project has some negative bearing on determining the efficiency with which the project was executed.

Under Component 1 US\$470,000 was disbursed to advance and develop the Regional Mangrove strategy, and included the establishment and convening four times of an Expert Working Group on mangroves (GEM), and the convening of three international learning exchanges (see Table 1). A number of communication and policy tools were developed, including a needs assessment, Natural Capital accounting survey, Blue Carbon Manual translated, amongst others. Although the updated regional strategy has not been fully endorsed by the countries officially, it has been approved by the GEM which contains representatives of all the ETPS countries. The policy brief for decision makers was not developed. Nevertheless, the extent of activities is considered moderately cost efficient based on other similar projects and activities.

Under component 2 US\$690,000 was disbursed to advance national mangrove action plans and strengthen cooperation in mangrove conservation. Activities included 20 workshops across the countries, a “threat assessment survey” conducted for each of the ETPS countries, and annual meetings held to advance national policy in each of the countries. The activities and studies conducted appear to be cost effective within this component.

Under component 3 US\$560,000 was disbursed to engage with local communities to develop and execute management plans, develop outreach tools and communication products, and conduct 14 local and national level training events and one regional training event which constituted an estimated 200 hours of training. This component was considered highly cost efficient.

### 4.3.4 Overall results (attainment of objectives) / Impact

The project objective, “to implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador through on-the-ground management activities and the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation”, was measured by:

- a. *Official endorsement of a regionally articulated multi-government mangrove conservation and sustainable development plan by the four ETPS countries (Costa Rica, Panama, Colombia, Ecuador) with a coordinated action plan to restore and protect mangrove systems beyond the funded scope of the two year project.*

There has been an evaluation and update conducted on the 2015 Regional Mangrove Strategy. The plan has been finalized and submitted for endorsement by the countries. A regional expert working group on mangroves was established and met 4 times, and is continuing to meet post project.<sup>59</sup> The participation of Costa Rica, despite not being a member of the CPPS, is of significance regionally as it underscores the importance of regional collaboration and coordination that has been achieved by the project.

- b. *At least 2 ETPS countries have improved legislation governing national ridge-to-reef spatial planning (e.g. upstream watershed management) such that the mangroves in the ETPS region (estimated collectively at 736,000 ha (after Giri et al. 2011)) are subject to an improved policy conducive to mangrove conservation.*

There been updates to national plans in Costa Rica, Ecuador and Panama and enhanced implementation in Colombia. Ridge to reef planning is indicated in the Costa Rica 2017 Wetlands Policy.<sup>60</sup> The project advanced the implementation of the national policy by working with communities resulted recommendations for integrating Ridge to Reef approaches in local plans for the Gulf of Nicoya, Costa Rica.

- c. *At least 2 examples of supported local private and/or community based mangrove initiatives that strengthen local planning, improve awareness of key issues, build local capacity, reduce mangrove degradation, instigate reforestation, and improve the retention of ecosystem goods, services with economic and cultural dividends for sustainable societies.*

The project succeeded in developing multiple initiatives at the local level which has empowered local communities to conduct better planning and integrate private sector interests into conservation. This is particularly true with the Bazan Bocana, El Morro and Chiriquí sites.

#### 4.3.5 Sustainability

There is strong national support to sustain the project outcomes, however, often developing plans and policy is the easier part, and actually following through with implementation is more difficult due to costs and shifting priorities. The Sustainability<sup>61</sup> of the project impacts is likely to be realized as the countries themselves now have National policies which reflect the importance of key elements promoted by the project such as spatial planning, which to some

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<sup>59</sup> CCPS, personal communication, 7 March 2019.

<sup>60</sup> "Planificación ....deberá incorporar el análisis del territorio observándolo como una parte del sistema de cuencas, considerando los impactos acumulativos o sinérgicos que las diversas actividades puedan provocar a lo largo de estas". Page 36, Costa Rica (2017) Política Nacional de Humedales 2017-2030, febrero 2017.

<sup>61</sup> Sustainability is determined on a six point scale.

extent include Ridge to Reef approaches; valuing mangrove ecosystems for livelihoods and economic benefits; incorporating effective communities in planning processes; and building awareness around importance of mangroves and conservation, amongst others. In most cases, the ETPS countries have developed supporting legislation and regulations to implement National policy. As noted in discussion with MADS, Colombia, the conservation of mangroves is on the national agenda, and the GEF-ETPS project has helped to accelerate implementation of the 2016 national policy, and enhance its effect through greater inclusion of local community stakeholders.

At the regional level, the CPPS is mandated to advance the regional strategy on mangroves that was updated through the project. In this way the project output and its intended impacts will be sustained by the regional organisations and national governments. A commitment of Costa Rica to sign onto the regional strategy would further enhance sustainability of outcomes and enhance impacts.

The major threats to sustainability relate to on-going activities which threaten mangrove ecosystems such as pollution and waste from nearby urban, agricultural, and industrial areas, and deforestation. Strong government commitment and substantial financial resources will be needed to address these issues. Consequently, the financial sustainability of the project impacts are only moderately likely without ongoing assistance from the international community for the next 5-10 years while the countries begin to receive economic and social benefits of mangrove conservation.

At the local level the communities appear committed to maintain the work the project as they feel direct benefits of the local management plans. In the cases of Bazan Bocana they are aware of potential fisheries benefits as well as eco-tourism and have already begun their own initiative to plant trees to reduce erosion and enhance the beach. In El Morro the fisher associations are very keen to implement the management plans developed, and to engage more artisanal fishers in applying the concession agreements they have developed with the Ecuadorian government as they see this as a way of increasing voluntary compliance with the management regime and improving sustainability of the resource.<sup>62</sup> Nevertheless, the local communities are in an initial stages of implementing their plans and will need both momentum and support to continue until they begin to benefit from the new approached to management of their resources.

Climate change will also have an effect on sustainability as sea level rise affects mangrove survivability. Future projects might look to specific GEF projects under the climate change initiative to seek possible and appropriate mitigation measures.

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<sup>62</sup> Santiago Morales and Adolfo Abila, Personal communication, 8 March 2019.

#### 4.4 Gender Equality and Mainstreaming

Overall the project did its utmost to ensure gender mainstreaming was incorporated into both planning and implementation of the project.

Section 6 of the Project Document describes the Gender Mainstreaming approach. The approach described is consistent with both the earlier GEF 2014 policy as well as the updated 2018 policy<sup>63</sup> as well as WWF's Gender Policy, in particular acknowledging that the project "may affect women and men differently, and may include specific measures to empower specific marginalized groups and individuals".<sup>64</sup>

Two key GEF objectives of improving the equity of women were advanced, particularly at the local level, including:

- Improving Women's participating in decision making; and,
- Generating socio-economic benefits or services for women.

In the case of Bazan Bocana, in Colombia, the role of women in decision making was improved though strengthened governance and awareness building around the local mangrove strategy. The President of the Community Council, Nidia Patricia, noted that women in the community generally have a strong say in affairs, but the project helped to focuss the community to understaind the local mangrove plan with its different zoing and how conservation and economic benefits can be achieved. This process helped emphasize the role that women and youth play in the community, and in particular the key role that women play in being stewards of the black clam resoure. The economic empowerment of women in that community was further emphasized as there is a women's cooperative of "pianueras"<sup>65</sup> which havest clams and manage the picking in different areas.

In El Morro community, in Ecuador, the Women's Association is more integrated into the fisheries and mangrove conservation than prior to the project.<sup>66</sup> In this community the men are the predominant fishers, however the women help market the products and are also involved in value added activities such as arts and crafts with the shells and other by products. The Women's Association participated in the discussions surrounding the management plans for fishing and mangrove protection.

At the National level, there are some inclusions of gender issues in the new or edited national legislation. For example, the Ecuadorian National Plan (2018) and Costa Rica National Wetlands Policy (2017) refer to human rights, including gender aspects. The Panama National Wetlands Policy refers to social participation as a guiding principal, and refers to women within the definition of vulnerable groups.

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<sup>63</sup> GEF (2018) Guidance to Advance Gender Equity in GEF Project and Programs, The GEF, December 2018.

<sup>64</sup> WWF (2011). Global Network Policy: Gender Policy Statement.

<sup>65</sup> Clam harvesters

<sup>66</sup> Luci Morales, President of El Morro Women's Association, Personal communication 8 March 2019.

At the regional level, a gender equity section was drafted for the updated regional strategy and will be/ is being reviewed by countries for inclusion in the updated strategy.

Gender equity/balance in meetings, conferences and trainings, was advocated by the executing agency and by UNESCO-Quito. However, it was noted that finding balance was problematic given such a small pool of qualified female individuals in the technical circles in each country. Gender aggregated data was conducted for meetings and conferences. For example of the panelists and speakers of the 1<sup>st</sup> international learning exchange 12 were women and 15 were men; and of the 2<sup>nd</sup> exchange 7 were women and 18 were men. On average about 35% of the panelists were women.

1 of 8 people on the Steering Committee was a woman, and 2-3 of 13 of the Group of Experts were women (the chair being a woman).

## 4.5 Stakeholder Engagement

### 4.5.1 Evaluate stakeholder engagement and (if GEF-7) assess the implementation of the Stakeholder Engagement Plan.

The project developed a structured engagement plan which was implemented in a highly satisfactory manner.

The stakeholder engagement plan is detailed in Section 4 of the Project Document and contains a detailed assessment of the key stakeholders and the overall structure of their involvement in the project.<sup>67</sup> The plan is consistent with the GEF-5 and updated GEF Stakeholder Engagement Policy.<sup>68</sup>

During the PPG phase, country level consultation with stakeholders occurred between Nov 2014 - March 2015 along with CI-ETPS site visits. Stakeholders in the upstream areas were also consulted. For example, the OAP (oil pipeline developers in the Gulf of Tortugas, Colombia) and local foresters and land owners of upstream teak wood plantations interested in supporting connectivity corridors across their properties in Gulf of Chiriquí, Panama.

During the project the country programs implemented their approaches to the project work with the government partners and communities directly adapting to the context. For example, it took an extended period of time to approach and engage the Bazan Bocana community (Colombia) with CVC partners in Colombia; and mapping upstream users in Chiriquí (Panama) to identify local partners and start mangrove awareness work before developing proposals for land use changes.

One of the key GEF principals of stakeholder engagement is that “involvement should enhance the social, environmental, and financial sustainability of projects”.<sup>69</sup> This was clearly the case

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<sup>67</sup> See Table 8 of Project Document.

<sup>68</sup> GEF (2017) GEF Policy on Stakeholder Engagement, GEF Policy Series, 10 November, 2017.

<sup>69</sup> GEF (2017) GEF Policy on Stakeholder Engagement, GEF Policy Series, 10 November, 2017.

with engagement with both the Bazan Bocan (Colombia) and El Morro (Ecuador) communities (See section on Sustainability).

Another key principal is that “GEF Partner Agencies will include in project budgets, as needed, the necessary financial and technical assistance to recipient governments and project executing agencies to ensure effective public involvement. The project ensured sufficient funding when engaging communities and stakeholders. WWF-GEF confirmed that workshops and engagement activities followed with documentation thus keeping an historical record of the community and stakeholder engagement.

## 4.6 Safeguards Review

### 4.6.1 Assessment of project activities for any social and environmental impacts

The project did not result any identified negative social or environmental impacts. The environmental impacts of the project to date have been to enhanced conservation and sustainable use of mangroves. Two replanting plots were undertaken in Bazan Bocana with the resulting effect that the community now has the capacity and knowledge to undertake their own mangrove replantation activities.

The social impacts of the project to date have been predominantly beneficial in terms of community empowerment over resources and decision-making, capacity development, strengthening governance, and advancing economic sustainability. However, if there is a future project, more attention will be needed regarding implementation and application of the “concession agreements” developed in El Morro (See below).

To ensure that the project was adhering to principals established in International Labor Organization (ILO) Convention No. 169 and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), a study was undertaken to determine the what safeguards were needed, particularly in relation to Bazan Bocana.<sup>70</sup> Although, under WWF policy the community was considered an indigenous peoples, the study concluded that it was not necessary to conduct a stand alone Indigenous Peoples Plan due to the engagement being conducted, as required under the Colombian law.<sup>71</sup> Furthermore, the WWF Safeguard Specialist conducted two supervision trips to the project (November 2017 and March 2018). There was also a dedicated staff person from CI Colombia office as the safeguards person who gave a training on the WWF policies.

Overall, care has been taken, particularly by the WWF-GEF to ensure that safeguard standards have been adhered to.

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<sup>70</sup> Gross (2015), SAFEGUARD POLICIES AS APPLIED TO THE PROJECT: Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation, Daniel Goss, 24 December, 2015.

<sup>71</sup> Law 70 – relates to the rights of Afro-Colombian communities.

Under Component 3, at the request of the community, the project supported the process of El Morro community to enter into Concession Agreements with the Government of Ecuador. A prerequisite for entering into a concession agreement is to develop a Fisheries Management Plan. The Executing Agency – CI, supported the Wildlife Refuge El Morro communities with the development of a fisheries data base for recording/monitoring fish catch and size, the establishment of the fisheries associations, the technical assistance and capacity building to facilitate the development of Fisheries Management Plan.<sup>72</sup> However, the implementation of these fisheries management plans were considered beyond the life of the project and were not financed by the GEF funds and therefore any direct or indirect impacts of these plans were not considered for safeguards purposes.

#### 4.7 Finance and Co-finance review

##### 4.7.1 Financing

No financial audit has taken place as part of this evaluation, however, reported expenses have been reviewed and compared with budgeted expenses. Discussions with the implementing agency, WWF-GEF confirmed that there was no problem or issue with the financial reporting from CI, the executing agency, and its partner CPPS.

Table 1 shows the expenditures as of December 2018 showing an estimated 97% disbursement of the GEF Grant. With the additional “no cost extension” to 31 March 2019 it seems reasonable to suggest that the total grant will be dispersed by the closure of the project. There were no major, beyond 10%, alterations to expenditure between components.

##### 4.7.2 Extent of co-finance realized to date.

Table 2 shows the co-financing accounted for up to March 2019. Final co-financing reports have been requested since November 2018, however, none countries have given updates since December 2017. It can be assumed that based on year 1 reporting the project will likely have benefited from co-financing committed from the ETPS countries. The low co-funding reported by Colombia and Costa Rica may not reflect the true co-financing disbursed, but rather a lack for reporting. In Costa Rica, for example, part of the co-financing was attributed to the development of the new wetland policy which was developed in 2017. The development included consultations, workshops and drafting have likely exceeded the amount accounted for in Table 2. Likewise, efforts and activities in Colombia likely exceeded the amount accounted for to date. Overall, accounted co-financing accounts for 90% of committed funds. This is a very acceptable result compared to other projects.

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<sup>72</sup> Biotica (2017) Plan de Manejo Para el Uso Custodia de 1.843,00 Hectáreas de Manglar Solicitadas por la Asociación de Pescadores Artesanales Forjadores del Futuro en el Sector de Puerto el Morro, Ministerio del Ambiente de Ecuador, Conservación Internacional Ecuador, Instituto Humanista para la Cooperación con los Países en Desarrollo, Organización de las Naciones Unidas para la Alimentación y la Agricultura y Fondo para el Medio Ambiente Mundial. Guayaquil, Ecuador, 30 August, 2017.

*nt Project Expenditure to Dec 2018*

	<b>Expenditure to Dec 2018</b>	<b>Budgeted</b>	<b>Balance</b>	<b>% Execution</b>
t 1	\$ 472,330	\$ 455,760	-\$ 16,570	103.6
t 2	\$ 616,217	\$ 575,613	-\$ 40,604	107.1
t 3	\$ 610,866	\$ 678,281	\$ 67,415	90.1
agement Costs	\$ 125,701	\$ 144,198	\$ 18,497	87.2
g and Evaluation	\$ 27,928	\$ 46,958	\$ 19,030	59.5
	<b>\$ 1,853,042</b>	<b>\$ 1,900,810</b>	<b>\$ 47,768</b>	<b>97.5</b>

*cing for ETPS as of December 2018*

om	Committed		Accounted Dec 2018	% Complete
	In-kind	Cash		
n International	\$237,025.00	\$1,049,639.00	\$1,861,168.00	145%
	\$480,000.00	\$20,000.00	\$517,653.91	104%
uito	\$250,000.00		\$250,000	100%
sta Rica	\$210,000.00		\$31,261.00	15%
e Panama	\$125,000.00		\$202,723.00	162%
ombia	\$145,194.00		\$29,635.00	20%
or		\$2,000,000	\$1,177,782	59%
<b>ancing</b>	<b>\$1,447,219.00</b>	<b>\$3,069,639.00</b>	<b>\$4,070,223.00</b>	<b>90%</b>

#### 4.7.3 Financial management of the project, with specific reference to the cost-effectiveness of interventions;

Overall there were no specific issues related to financial management. The project seemed well managed, and indeed with such varied activities ranging from a regional strategy to developing a management guide in a local language it is impressive. The hosting of meetings and ability to leverage cash co-financing allowed the project to deliver targets in a cost effective manner.

As discussed under the section on Effectiveness, the GEF funds dispersed in this project were very much “incremental” funding to existing initiatives centred around the CI-ETPS program, the CPPS-CI-UNESCO mangrove regional strategy development, and other programs. The GEF grant was used to extend and enhance the products. In this way, it was an effective use of the GEF grant.

#### 4.7.4 Utilization of grant funds distributed to project partners, including [insert partners].

Under Component 1 funds were distributed to the CPPS to organise and host the group of experts and international learning exchanges. Funds were to go to UNESCO-Quito to conduct the communication tools; however, problems arose when trying to transfer money from CI and in the end the Project Coordinator assumed the responsibilities.

## 5 Conclusions, Recommendations & Lessons Learned

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The WWF-GEF ETPS project was very much an incremental, or catalytic, project building on CI’s extensive CI-ETPS project (2005-2013), as well as the Sustainable Development Open Initiative (UNESCO Quito-CPPS-CI) and the Mangrove and Sustainable Development Open Initiative ran from 2013-2015. As such it was able to engage rapidly, once funding became operational, and achieve the majority of its intended targets, exceeding them for the most part. At the regional and national levels, the incremental GEF funding ensured that activities were enhanced. For example, by convening an expert working group on mangroves the CPPS review of the Regional Strategy in 2019 now has significant recommendations at a technical level on issues such as integrated planning and valuation of goods and services of mangrove eco-systems. Through a series of 20 national level workshops, national regulations and plans have been enhanced, including for example the inclusion of local community stakeholders in national review meetings in Colombia, implementation of Costa Rica’s national plan with restoration projects in the Gulf of Nicoya, assisting development of 2018 regulations in Panama and Ecuador included mangroves in their Organic Code, and approved a new National Mangrove Plan in February 2019.

At the local community level, the GEF funding permitted continuation of some activities, such as engagement with co-management of fisheries between the government and local

communities in El Morro, Ecuador; and stimulated new work, such as the restoration sites in the Gulf of Nicoya, Costa Rica, and Gulf of Tortugas, Colombia.

The project had multiple stakeholders at the local, national and regional levels and was highly successful in its stakeholder engagement process - a large part of which must be attributed to the extensive experience of CI at the local level with country level staff. The local community demonstration projects were well developed and had replicating effects by having 2 bi-lateral exchanges (Ecuador with Panama and Colombia) and a regional learning exchange focused on local community experiences. The gender mainstreaming plan was implemented with the result that in the international learning exchanges about 35% of the speakers and panellists were women, which given the context of the region should be considered a solid result.

The choice of CPPS as an executing partner had many advantages. Its mandate covers mangroves and marine management, and it acts at the political decision making level. Peru and Chile are also members of CPPS and participated in several workshops, despite not having substantial mangrove areas. Costa Rica is not a member of the CPPS, nevertheless, participated fully in the project at the regional level.

Overall the project was well implemented with good coordination between the executing and Implementing agencies. The experiences of WWF-GEF with project execution in its own right assisted project execution particularly in project oversight, including two supervision missions, and community engagement.

Building on its previous work, the project has made advancements towards the intended impacts. The enabling environment for mangrove conservation has been improved through the development of legislation, management plans, and capacity building for decision-makers. Moreover, the project supported intervention stress reduction and possible reverse the net >30% deforestation and degradation trends observed since the 1960s. Monitoring mangrove improvements over a two year time frame is challenging. Nevertheless, mangroves (approximately 655,342 ha as collectively registered by national inventories for 2018) benefited from policy improvements and awareness building for loss reduction and recovery. Managers and communities of the four pilot sites/ gulfs benefitted from training, with three conservation initiatives encouraging direct stewardship by local communities with potential for replication. (e.g. >5k ha between EL Morro, Ecuador, Bazan Bocana, Colombia, and steps to improve land use practices in >110,000 ha of associated upstream land in the Chiriquí-Gualaca corridor, Panama).

Key Good Practices emerging from the project include:

- 4. Conduct a social safeguard review during project development to identify any potential issues upfront.** Two safeguard reviews and screenings were undertaken during the PPG phase. The first with CI, and then re-screened with an independent expert to ensure compliance with WWF-GEF. The independent socio-assessment of the Afro-Colombian communities in the Tortuga Gulf ensured that due diligence was taken in address issues surrounding indigenous peoples. CI gender officer also provided

training at the beginning of the project. Social safeguard policies are complex in nature and their application is not a simple procedure. In any future project, it would be valuable to conduct safeguard analysis during the development stage, or early in project implementation, and provide training for country level staff and other partners in terms of identifying and flagging potential safeguard issues.

5. **Partnering with politically expedient institutions.** CPPS was a key partner associated with developing a regional strategy for mangrove protection, and proved a very effective mechanism to advance a regional strategy, which included Costa Rica – a non CPPS member. CPPS was able to facilitate at the national and regional level because of its mandate and history in the region. Partnering with such an established institution can help develop policies and regulations within countries.
6. **Promoting community to community learning.** The project was very successful in bringing communities together to exchange information and knowledge through specific targeted visits, as well as a regional community focused conference. Decision makers at the community level were able to engage with each other resulting in profound impact on their learning and interest in applying new approaches to conservation.

Recommendations include:

7. **Develop indicators that match the level of project control in their achievement.** In designing any future project care should be taken with regard to choosing indicators that are compatible with the level control that the PMU has associated with respect to outputs, outcomes and project impacts. Caution should be taken when suggesting that new legislation or regulations will be developed within the timeframe of a 2 year project. It is thus better to have new or updated legislation as a likely outcome as opposed to an output, over which the project should have a high degree of control.
8. **Conduct effort to enhance financial sustainability of outcomes in the next 0-5 years.** The governments have committed to continue implementation of their national policies at the country level; however, for the impacts of the project to be sustained continued attention will almost certainly be needed from international donors and NGOs. This is particularly likely with respect to the involvement of local communities, including the exchange of ideas and experiences between communities. The risk at the local level is that the momentum developed during the project may not be sustained until there are economic benefits associated with implementing local management plans.
9. **Test potential partnership arrangements in preparatory phase of project design.** UNESCO-Quito as a partner organisation proved difficult to financially administer and resulted in delays in the delivery of project outputs for communication. Attention should be given in advance to clarifying how funds can be transferred to partner organisations to ensure there is no repetition of time lost and potential reduction in the quality of the communication or other project products. If a direct transfer cannot be

accomplished from the executing agency it is recommended to explore separating out a specific component which can be administered independently of others.

10. **Promote the GEF profile in project products.** Care should be taken to ensure that GEF is profiled on all relevant products where appropriate. It is acknowledged that CI made an effort to acknowledge GEF and its support. It is understood that certain politically sensitive products, such as policies or regulations, would not necessarily contain donor logos, other less sensitive and high profile products such as videos should whenever possible. For example, the informational video from the Gulf of Nicoya,<sup>73</sup> did not mention GEF.
11. **Use existing knowledge platforms to help share knowledge (in particular IW:LEARN).** The project has developed some products that could be beneficial to a wider audience. The decision of the PSC to maintain focus on the ETPS region in the 3<sup>rd</sup> learning exchange was important to ensure core project outcomes would be met. Nevertheless, projects should place effort on sharing the experiences gained in the ETPS with other regions. While some materials are accessible IW:LEARN site, overall it could have been used more effectively, for example with the development of experience notes on applying pre-screening for safeguards for example. Opportunities for Twinning with IW-LEARN were taken advantage of.
12. **Build time for approvals of texts and products into planning.** It took longer to gain official approval from the ETPS countries than anticipated resulting in delays to several products. This should be built into future project planning working in the ETPS region.

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<sup>73</sup> <https://iwlearn.net/media/videos/29450>

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## 6 Annex A: TOR of TE, including evaluator composition and expertise

<b>POSITION DETAILS</b>		
Location	Costa Rica, Panamá, Colombia and Ecuador	
Reporting to	John Morrison	
Starting Date	January, 2019	
Duration	Approximately 25 days	
Report due	February-March, 2019	
<b>PROJECT DATA</b>		
Project/Program Title	Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS)	
GEF Project ID	5771	
WWF (Agency) Project ID	G0011	
Implementing Agency(s)	WWF GEF Project Agency	
Executing Agency	Conservation International	
Executing Partner(s)	Permanent Commission for the South Pacific (CPPS); UNESCO-Quito	
Countries	Costa Rica, Panama, Colombia and Ecuador	
Focal Area(s)	International Waters	
GEF Operational Program	GEF 5	
Total GEF Approved Budget	\$1,900,810.0	
Total Co-financing Approved	\$4,516,858.0	
<b>RELEVANT DATES</b>		
CEO Endorsement/Approval	7/18/2016	
Agency Approval Date	9/23/2016	
Implementation Start	9/23/2016	
Project Completion Date	12/31/18 (proposed)	
<b>PRIMARY CONTACT INFORMATION</b>		
Office	Name(s) (Last, First)	Email / Phone
Executing Agency	Banks, Stuart	<a href="mailto:sbanks@conservation.org">sbanks@conservation.org</a>
GEF Project Agency (WWF)	Morrison, John Kaplan, Rachel	<a href="mailto:john.morrison@wwfus.org">john.morrison@wwfus.org</a> <a href="mailto:Rachel.kaplan@wwfus.org">Rachel.kaplan@wwfus.org</a>
Operational Focal Point(s)	Miss. Valeska Yanez (Ecuador) Ms. Laura Camila Bermudez Wilches (Colombia) Ms. Enid Chaverri-Tapia (Costa Rica) Ms. Antonella Finis	<a href="mailto:valeska.yanez@ambiente.gob.ec">valeska.yanez@ambiente.gob.ec</a> <a href="mailto:lbermudez@minambiente.gov.co">lbermudez@minambiente.gov.co</a> <a href="mailto:echaverri@minae.go.cr">echaverri@minae.go.cr</a> <a href="mailto:afinis@miambiente.gob.pa">afinis@miambiente.gob.pa</a>
Partner Contact(s)	Banks, Stuart	<a href="mailto:sbanks@conservation.org">sbanks@conservation.org</a>
Other	Christian Lavoie	<a href="mailto:clavoie@conservation.org">clavoie@conservation.org</a>

## INTRODUCTION AND PROJECT OVERVIEW

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World Wildlife Fund, Inc. (WWF) policies and procedures for all GEF financed full and medium-sized projects require a terminal evaluation (TE) upon completion of project implementation. The following terms of reference (TOR) set out the expectations for the TE for the project “Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS)”, hereafter referred to as the “Project”. The technical consultant selected to conduct this evaluation will be referred to as “evaluator(s)” throughout this TOR.

### Project Background

Despite a growing recognition of the importance of mangroves and the many key services they provide, an estimated third of global coverage has been reduced in recent history through deforestation and degradation of the coastal buffer. This dramatic loss is already impacting coasts globally as the numerous ecosystem services provided by mangroves are reduced and lost. The ETPS region harbors the highest proportion of threatened mangrove species in South America along the Pacific coasts of Costa Rica, Panama, Colombia and Ecuador with extensions of some of the highest estimates for above ground mangrove biomass on the planet.

This Project was developed to implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador through on-the-ground management activities and the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation. The Project was organized around the following three components:

- Regional mangrove strategy development and implementation
- National mangrove action plans and policy strengthening.
- Local conservation actions

## SCOPE AND OBJECTIVES FOR THE EVALUATION

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WWF is seeking an independent evaluator to undertake a Terminal Evaluation of the Project. The TE will cover the GEF financed components and review the project co-financing delivered.

The objective of this evaluation is to examine the extent, magnitude and sustainability of any project impacts to date; identify any project design problems; assess progress towards project outcomes and outputs; and draw lessons learned that can both improve the sustainability of benefits from this project and aid in the enhancement of future related projects.

## EVALUATION APPROACH AND METHOD

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The evaluation will comply with the guidance, rules and procedures established by WWF<sup>74</sup> and the GEF Terminal Evaluation<sup>75</sup> and Ethical Guidelines.<sup>76</sup> The evaluation must provide evidence-based information that is useful, independent, participatory, respectful, credible, transparent, and ethical. The evaluator(s) must be unbiased and free of any conflicts of interest with the project. The evaluator(s) is expected to reflect all stakeholder views and

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<sup>74</sup> For additional information on evaluation methods adopted by WWF, see the [WWF Evaluation Guidelines](#), published on our [WWF Program Standards](#) public website.

<sup>75</sup> For additional information on the GEF Terminal Evaluation Guidelines, see the [GEF Terminal Evaluation Guidelines](#), published on the [GEF Evaluation Office](#) website.

<sup>76</sup> Please see the GEF [Ethical Guidelines](#) as published on GEF website.

follow a participatory and consultative approach. There should be close engagement with government counterparts, the GEF operational focal point, the Executing Agency Project Management Unit (PMU), partners and key stakeholders. Contact information has been provided on the cover page.

The evaluator will liaise with the WWF GEF Agency Project Manager as well as the PMU Project Manager for any logistical and/or methodological needs for the review. A draft report will be prepared and circulated to WWF GEF Agency and the executing office to solicit comments and suggestions.

The review process will include:

A. Desk review consisting of, but not limited to:

- Project Document and CEO Endorsement Letter;
- Support Mission Report;
- Relevant safeguards documents, including safeguards Categorization Memo, Social Assessment, Beneficiaries Selection Criteria Document, etc;
- Annual Work Plans (AWP) and Budgets;
- Project Progress Reports (PPR) including Results Framework and AWP Tracking;
- GEF Agency reports, including Annual Monitoring Reviews (AMR) and Project Implementation Reports (PIRs);
- GEF Tracking Tools;
- Relevant financial documents, including financial progress reports; co-financing monitoring tables and co-financing letters from government;
- Meeting minutes (Project Steering Committee (PSC)) and relevant virtual meetings with the WWF- GEF AMU and support team; and
- Other relevant documents provided by the Executing Agency and partners.

B. Field visits with PMU to project field sites;

C. Interviews, discussions and consultations at local levels, national and international levels, including executing partners, GEF Operational Focal Points (OFP), Project Steering Committee (PSC) members and beneficiaries;

D. Post-field visit debrief;

E. Draft report not to exceed 40 pages (excluding annexes) shared with GEF AMU and PMU for review and feedback. A sample outline will be provided; and

F. Final TE report that has incorporated feedback and comments.

The WWF methodology for conducting project evaluations is a key element of our adaptive management approach. The evaluator(s) is expected to frame the evaluation effort using the six (6) core criteria of relevance, effectiveness, efficiency, results/impact, sustainability and adaptive capacity. Definitions of each of these criteria are available in Annex A. A sample of questions covering each of these criteria has been provided (Annex B). The evaluator(s) will provide a rating on relevance, effectiveness and efficiency to assess the level of achievement of project objectives and outcomes. A completed ratings table must be included in the evaluation executive summary. A performance Evaluation Ratings Summary template has been provided (Annex B) with the GEF required rating scales. A sample outline is provided (Annex C).

## EXPECTED OUTPUTS OF EVALUATION

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The Terminal Evaluation report will include:

- Information on the evaluation, including when the evaluation took place, sites visited, participants, key questions, and methodology;
- Key findings by core criteria<sup>77</sup>; plus rationale for each criteria rating provided. Should include identification of key strengths, challenges and shortcomings;
- Risks to the sustainability of project outcomes;
- Review of Monitoring and Evaluation systems;
- Replication and catalytic effects of the project;
- Assessment of alignment with WWF priorities;
- Assessment of any environmental and social impacts;
- Assessment of WWF GEF Agency, PMU and project partners;
- Lessons learned regarding: project design (theory of change), objectives, and technical approach; use of adaptive management; administration and governance arrangements; relevance; implementation of the work plan; achievement of impact; etc;
- Conclusions, and recommendations that include: recommendations on best practices towards achieving project outcomes and replication for other projects of similar scope.

## PROJECT FINANCE / COFINANCE

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The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. The evaluator(s) will assess the appropriateness of and compliance with financial controls. Financial planning and reports should have supported timely decision making for effective project management. Cash flows should have been timely and sufficient to support on-going project activities. Co-financing actuals should be reviewed against commitments. Evidence and verification of due diligence and complaint management of funds, including any financial audits should also be assessed.

Project cost and financial source data will be required, including annual expenditure reports. Variances between planned and actual expenditures will need to be assessed and explained in the evaluation report. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the executing office to obtain financial data in order to complete the co-financing evaluation.

## IMPLEMENTATION ARRANGEMENTS

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The principal responsibility for managing this evaluation resides with the WWF's Conservation Strategies & Measures (CSM) team in coordination with the WWF GEF Project Manager. The CSM will select evaluator(s) and ensure the timely reimbursement, approve travel arrangements, and respond to questions concerning the scope and requirements for the evaluation. The PMU will be responsible for liaising with the Evaluator(s) to set up stakeholder interviews, arrange field visits, coordinate with the Government partners, etc.

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<sup>77</sup> An acceptable tool for gauging progress to impact is the Review of Outcomes to Impacts (ROTI) method developed by the GEF Evaluation Office. A link is provided here for reference [ROTI Handbook 2009](#).

## EVALUATION TIMEFRAME

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

Activity	Number of Days for Evaluator
Document review and preparation of inception report	4
Submission of Inception Report	-
Evaluation mission, stakeholder consultations and field visits	13
Debrief presentation on initial findings	1
Draft Evaluation Report	5
Final Report	2

## EVALUATION DELIVERABLES

In addition to the deliverables outlined below, the evaluator(s) is required also to provide an 'audit trail', detailing how feedback and comments have been addressed in the final evaluation report. Please note that the evaluation team may be contacted by the GEF Partnership for up to three years after completion of the terminal evaluation for information requests.

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator(s) provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator(s) submits to WWF CSM
<b>Presentation for verbal feedback</b>	Initial Findings	End of evaluation mission	Evaluator (s) provides to PMU, EA, WWF, Operational Focal Points
<b>Draft Report</b>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Evaluator submits to CSM, reviewed by PMU, EA, WWF office, WWF GEF Project, and GEF OFPs
<b>Final Report</b>	Revised report	Within 1 week of receiving WWF's comments on draft	Evaluator submits to CSM

## EVALUATION TEAM QUALIFICATIONS

The evaluator(s) shall have prior experience in evaluating similar projects. The evaluator(s) selected should not have participated in the project preparation and/or implementation and should not have a conflict of interest with project related activities.

The Evaluator(s) must present the following qualifications:

- Minimum 7 years of relevant professional experience;
- Experience with GEF financed projects is an advantage;
- Technical knowledge in GEF International Waters an advantage;

- Knowledge of GEF Monitoring and Evaluation Policy is an asset;
- Recent experience conducting Evaluations or Mid-term Reviews for GEF projects is an asset;
- Previous experience with results-based monitoring and evaluation methodologies;
- Experience with WWF Project and Program Management Standards or Open Standards for the Practice of Conservation ([www.cmp-openstandards.org](http://www.cmp-openstandards.org)) is preferred;
- Experience with social assessments, participatory project design and management, and community-based resource management preferred;
- Knowledge and experience in implementing or reviewing application of social and environmental safeguards policies in GEF (or similar) projects preferred;
- Spanish language skills are required;
- Experience in South America is an asset.

### **EVALUATOR ETHICS**

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Evaluation consultants will be held to the highest ethical standards. Evaluations are conducted in accordance with WWF principles<sup>78</sup> and the terms and conditions of the consulting agreement.

### **PAYMENT MODALITIES AND SPECIFICATIONS**

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Payment, expense reimbursement, and other contractual terms and conditions are outlined in the agreement made between WWF and the evaluator(s). Payments are according to deliverables submitted.

### **APPLICATION PROCESS**

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Applicants are requested to apply online [\(insert site link\)](#) by January 7, 2019. Individual consultants are invited to submit applications together with their CV for these positions. Applications should contain a current and complete C.V. in English with contact information. The selection of candidates and contractual agreements will be in compliance with WWF procurement policies<sup>79</sup> and subject to GEF requirements.

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

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<sup>78</sup> WWF maintains principles for ethical conduct and conflicts of interest that have been articulated into policies for employees. These principles for conduct and professionalism are applied to external consultants conducting evaluations.

<sup>79</sup> WWF [Procurement Policy](#)

## ANNEX A: EVALUATION CRITERIA

### Criteria for Overall Evaluation of Project

The evaluation should assess the project against the following GEF and WWF Project and Program Management Standards (Open Standards) criteria:

1. **Relevance** – the extent to which the project design, outcomes, indicators and targets remain valid and consistent with local and national development priorities and organizational policies, including the context of the changing circumstances of the country (e.g. political context);
2. **Effectiveness** - the extent to which the outputs, outcomes and project objective have been or are likely to be achieved, taking into account their relative importance. Identify the major factors which have facilitated or impeded this achievement. Review the management structure of the project and determine whether the organizational structure of the project, the resources, the distribution of responsibilities and coordination mechanisms are appropriate for achieving progress towards project outcomes;
3. **Efficiency** - the extent to which results have been delivered with the least costly resources possible. This includes efficiency of: funding availability, project management and human resources, coordination and information flow among the project partners;
4. **Results/Impact** – the extent of intended or unforeseen effects that project interventions or strategies will have on the project objective, conservation targets and GEF global environmental benefits, whether positive or negative. Assess the project’s logic or theory of change and the potential to scale up or replicate the project outcomes and impact.
5. **Sustainability** - the likely ability of an intervention to continue to deliver benefits, progress and impact after external support has ended. Determine the degree of support and buy-in given to the project at the national and local level;
6. **Adaptive capacity** –the extent to which the use of M&E, lessons learned and adaptive management are used to meet indicator targets and mitigate project issues (such as design flaws or any adverse impacts of the project).

## ANNEX B: EVALUATION RATINGS SAMPLE SUMMARY TABLE

1. Assessment of Project Objectives & Outcomes	Remarks
Were project outcomes <b>Relevant</b> when compared to focal area strategies, country priorities, and WWF strategies?	
How do you assess the <b>Effectiveness</b> of project outcomes? Were the actual outcomes commensurate with the expected outcomes? <i>If assessment of outcome achievements is not realistic, output achievement can be used as a proxy.</i>	
How do you assess the achievement of anticipated long-term impacts of the project?	

<p><i>If it is not possible to identify the impacts just yet, please provide notes on past or future steps to assess these impacts and how these findings will be reported to GEF in the future.</i></p>		
<p>How do you assess project cost <b>Efficiency</b>?</p> <ul style="list-style-type: none"> <li>• Did the project use the least cost options? If not, did they chose the most efficient cost options available?</li> <li>• Did any delays in implementation affect cost effectiveness?</li> <li>• Evaluators should compare costs incurred and the time taken to achieve the outcomes with other similar projects.</li> </ul>		
<p><b>Overall Rating of Project Objectives &amp; Outcomes<sup>*80</sup></b></p>	<p><b>Rating</b></p>	<p><b>Justification<sup>81</sup></b></p>
<p>Using above criteria, please provide an <b>overall rating<sup>82</sup></b> for the achievement of the Project Objective and outcomes. This assessment should analyze both the achievement and shortcomings of these results as stated in the project document.<sup>83</sup></p>		

<p><b>2. Assessment of Risks<sup>84</sup> to Sustainability<sup>85</sup> of Project Outcomes</b>  <i>Please describe these risks below, taking into account likelihood and magnitude:</i></p>	<p><b>Rating per Risk Category<sup>86</sup></b></p>
<p><b>Financial Risks</b></p>	
<p><b>Sociopolitical Risks</b></p>	

<sup>80</sup> Asterix (\*) denotes GEF requirement.

<sup>81</sup> The evaluator should be objective and provide sufficient justification with empirical evidence to support the rating given.

<sup>82</sup> Please use the rating criteria provided on the following page.

<sup>83</sup> If any changes were made to these results, please indicate when they were made and whether those changes were approved.

<sup>84</sup> Risks are internal or external factors that are likely to affect the achievement of project outcomes. In this context, please consider how these risks could affect the sustainability or *persistence* of project outcomes. Please feel free to list individual risks for each category (financial, sociopolitical, etc.) and provide a corresponding assessment on likelihood and magnitude for each of these. This will help you in forming your overall rating of sustainability of project outcomes.

<sup>85</sup> Sustainability is defined by 2010 GEF M&E Policy as: the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion; projects need to be environmentally as well as financially and socially sustainable.

<sup>86</sup> Overall rating for sustainability will not be higher than the lowest rated dimension. For example, if a project has an “unlikely” rating in any dimension, its overall rating cannot be higher than “unlikely.” For further guidance, see the [GEF Terminal Evaluation Guidelines](#)

<b>Institutional Framework and Governance Risks</b>		
<b>Environmental Risks</b>		
<b>Overall Rating of Sustainability of Project Outcomes</b>	<b>Rating<sup>87</sup></b>	<b>Justification</b>
Using above criteria, please provide an <b>overall rating</b> for the risks to sustainability of project outcomes.		

<b>3. Assessment of M&amp;E Systems</b>	<b>Remarks</b>
M&E Design – Was the M&E plan at the CEO endorsement practical and sufficient? Did the M&E plan include baseline considerations, <sup>88</sup> data sources, collection methodologies, assumptions, appropriate and SMART indicators and targets, and a system for storing, analyzing and sharing data?	
Budgeting and Funding for M&E Activities – Was the budget for M&E adequate at the planning stage? Was the budget utilized in a timely and efficient manner for monitoring during implementation?	
Monitoring of long term changes - Did this project contribute to the establishment of a long-term monitoring system? If it did not, should the project have included such a component? What were the accomplishments and shortcomings in establishment of this system? Is the system sustainable – that is, is it embedded in a proper institutional structure and does it have financing? Is the information generated by this system being used as originally intended?	
M&E Plan Implementation – Was an M&E system and process in place to track project progress towards outcomes? Did it facilitate transparency, sharing and adaptive management? Assess the quality of implementation and the role monitoring played in the adaptation and implementation of project activities. Did project management ensure appropriate institutional and financial arrangements to ensure data on long-term impacts will continue after project closure?	

<sup>87</sup> Using the ratings for each risk category, please use the Sustainability Rating Criteria to provide an overall Sustainability of Project Outcomes rating. The evaluator should be objective and provide sufficient justification with empirical evidence to support the rating given.

<sup>88</sup> According to [GEF Terminal Evaluation Guidelines](#), if there is not a project baseline, the evaluator should seek to estimate the baseline conditions so achievements and results can be properly determined.

Overall Rating of M&E During Implementation <sup>89</sup>	Rating	Justification
Using above information as guidance, please provide an overall rating for M&E during project implementation.		

**Achievement Rating Criteria:**

- **Highly satisfactory (HS)** - The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Satisfactory (S)** - The project had minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Moderately satisfactory (MS)** - The project had moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Moderately unsatisfactory (MU)** - The project had significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Unsatisfactory (U)** - The project had major shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Highly unsatisfactory (HU)** - The project had severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.

**Sustainability/ Risk Rating Criteria:**

- **Likely (L)** - There are no or negligible risks that affect this dimension of sustainability.
- **Moderately likely (ML)** - There are moderate risks that affect this dimension of sustainability.
- **Moderately unlikely (MU)** - There are significant risks that affect this dimension of sustainability.
- **Unlikely (U)** - There are severe risks that affect this dimension of sustainability.

**M&E Rating criteria:**

- **Highly satisfactory (HS)**. There were no shortcomings in the project M&E system.
- **Satisfactory (S)**. There were minor shortcomings in the project M&E system.
- **Moderately satisfactory (MS)**. There were moderate shortcomings in the project M&E system.
- **Moderately unsatisfactory (MU)**. There were significant shortcomings in the project M&E system.
- **Unsatisfactory (U)**. There were major shortcomings in the project M&E system.
- **Highly unsatisfactory (HU)**. The project had no M&E system.

Additional guidance regarding the evaluation criteria and ratings for each dimension can be found in in the [GEF Terminal Evaluation Guidelines](#).

**ANNEX C: EVALUATION REPORT OUTLINE<sup>90</sup>**

<sup>89</sup> The overall rating of M&E during project implementation will be based solely on the quality of M&E plan implementation. The ratings on quality at entry of M&E design and sufficiency of funding during planning and implementation will be used as explanatory variables.

<sup>90</sup> The Report length should not exceed 40 pages in total (not including annexes).

- i. Opening page:
  - Title of WWF supported GEF financed project
  - WWF and GEF project summary table (page 1 TOR)
  - Evaluation team members
  - Acknowledgements
- ii. Executive Summary
  - Project Summary Table
  - Project Description (brief)
  - Evaluation Rating Table
  - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations
1. Introduction to Evaluation
  - Purpose of the evaluation
  - Scope & Methodology
  - Limitations of the evaluation
  - Structure of the evaluation report
2. Project description and development context
  - Project start and duration
  - Main stakeholders
  - Problems that the project sought to address
  - Outcomes and Project Objective of the project
  - Discussion of baseline (of indicators)
  - Expected Results
3. Findings (All criteria marked with (\*) must be rated<sup>91</sup>)
  - 3.1 Project Design / Formulation
    - Analysis of Results Framework and theory of change (Project logic /strategies/indicators)
    - Assumptions and risks
    - Lessons from other relevant projects incorporated into project design
    - Replication approach
    - WWF comparative advantage (if applicable)
    - Linkages between project and other interventions within the sector
    - Governance and management arrangements
    - Country ownership
  - 3.2 Project Implementation
    - Adaptive management

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<sup>91</sup> Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see Annex B for summary format sample.

- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Monitoring and evaluation: design at entry and implementation (\*)
- WWF and Implementing Partner implementation / execution (\*) coordination, and operational issues
- Alignment with WWF and Country priorities

### 3.3 Project Assessment

- Relevance(\*)
- Effectiveness
- Efficiency (\*)
- Overall results (attainment of objectives) (\*) / Impact
- Sustainability (\*)
- Adaptive capacity

### 3.4 Gender Equality and Mainstreaming

- Assess implementation of the gender analysis and gender mainstreaming strategy
- Assess gender inclusion as per WWF and GEF gender policies.

### 3.5 Stakeholder Engagement

- Evaluate stakeholder engagement and (if GEF-7) assess the implementation of the Stakeholder Engagement Plan.

### 3.6 Safeguards Review

- Assess project activities for any social and environmental impacts
- Assess implementation of the beneficiary criteria developed during project preparation for site selection and community grants;
- Assess any indirect or direct project impacts related to access restriction to natural resources.

### 3.7 Finance and Co-finance review

- Extent of co-finance realized to date. Take into account: sources of co-financing, name of co-financer, type of co-financing, amount confirmed at CEO endorsement, approval, actual amount materialized at midterm and actual amount materialized at closing;
- Financial management of the project, with specific reference to the cost-effectiveness of interventions; and
- Utilization of grant funds distributed to project partners.

## 4. Conclusions, Recommendations & Lessons

- Proposed corrective actions for the design, implementation, monitoring and evaluation of the project

- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success.

**5. Annexes**

- TOR of TE, including evaluator composition and expertise
- Itinerary of TE (PMU and field visits)
- Geo-referenced maps and photos of project sites
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Response from PMU and/or OFP regarding TE findings
- Evaluation Consultant Agreement Form

Objective:	To implement a comprehensive, multi-government ratified and regionally articulated mangrove conservation strategy in the Eastern Tropical Pacific Seascape (ETPS) countries of Costa Rica, Panama, Colombia and Ecuador through on-the-ground management activities and the strengthening of national and local policies that inform ridge-to-reef development planning and practices relevant to mangrove conservation.
Indicator(s):	<p>a. Official endorsement of a regionally articulated multi-government mangrove conservation and sustainable development plan by the four ETPS countries (Costa Rica, Panama, Colombia, Ecuador) with a coordinated action plan to restore and protect mangrove systems beyond the funded scope of the two year project.</p> <p>b. At least 2 ETPS countries have improved legislation governing national ridge-to-reef spatial planning (e.g. upstream watershed management) such that the mangroves in the ETPS region (estimated collectively at 736,000 ha (after Giri et al. 2011)) are subject to an improved policy conducive to mangrove conservation.</p> <p>c. At least 2 examples of supported local private and/or community based mangrove initiatives that strengthen local planning, improve awareness of key issues, build local capacity, reduce mangrove degradation, instigate reforestation, and improve the retention of ecosystem goods, services with economic and cultural dividends for sustainable societies.</p>

Expected Outcomes and Indicators	Project Baseline	End of Project Target	Expected Outputs and Indicators
Component 1: Regional mangrove strategy development and implementation			
<p>Outcome 1.1.:</p> <p>The four ETPS countries adopt and advance the regional strategy for the conservation of mangroves elaborated by the Comisión</p>	<p>Base-Line 1.1.:</p> <p>The four ETPS countries do not share a common strategy for mangrove conservation.</p> <p>Efforts are underway to</p>	<p>Target 1.1.:</p> <p>CPPS within its' regional planning for the South Pacific Nations develops a Regional Open Mangrove Initiative</p>	<p>Output 1.1.1.:</p> <p>A Mangrove Technical Working Group/network comprised of leading mangrove experts is created within CPPS to</p>

<p>Sur (Permanent Commission for the South Pacific or CPPS) to implement key mangrove conservation and restoration measures identified in this project by Y2Q4.</p> <p>Outcome Indicator 1.1.: A regional strategy approved by and published for the appropriate authorities of the four ETPS countries by <b>Y2Q1</b>.</p> <p>Recommendations for revised strategy by Y2Q4. (incl from PIR 1)</p>	<p>ecosystems in each ETPS country, and frame national mangrove conservation in the context of international conventions and commitments such as UNFCCC and CBD. These efforts still remain relatively isolated endeavors often missing the science to action technical justification or scale of effect to consider upstream ridge-to-reef processes such as watershed management that influence sites.</p> <p>Despite increasing global and national awareness of the importance of mangrove forested areas in the ETPS region (e.g. significant carbon sequestration, multiple ecological goods and services provided to local and national communities), deforestation remains at an estimated 1-2%/ year across the region.</p>	<p>supported and validated by an international technical working group convened by CPPS, and is approved, published and implemented through member country Action Plans as part of their national mangrove strategy.</p> <p>In the mid-term the region-wide implementation of the Plan promotes coordinated actions, cross-learning, an increase in awareness for mangrove sustainable development and advances policy development.</p> <p>Concepts within the regional plan such as EBM ridge-to-reef planning and trans-learning for the conservation and restoration of mangrove ecosystem services and supported sustainable societies are considered where relevant in the development of new national policy.</p>	<p>completion of the regional strategy for the conservation of mangrove.</p> <p>Output Indicator 1.1.1.: A Mangrove Technical Working Group is convened by <b>Y1Q3</b> as part of the CPPS Operating Plan with a 2015-2017+ commitment.</p> <p>Output 1.1.2.: At least two meetings of a Mangrove Technical Working Group are held to contribute to regional strategy for the conservation of mangrove.</p> <p>Output Indicator 1.1.2.: # Technical Working Group Meetings generating recommendations towards improved regional mangrove conservation strategy by <b>Y2Q2</b>.</p> <p>Output 1.1.3.: The updated regional strategy for the conservation of mangroves is ratified by Ministerial level authorities and</p>
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		<p>benefits of private and/or community led conservation programs and spatial planning measures that reduce mangrove degradation and reduce or reverse deforestation trends. As a result risk to threatened mangrove biodiversity is reduced, climate change mitigation afforded through carbon sequestration improves and natural coastal defenses are strengthened.</p>	<p>Output Indicator 1.1.3.: # ETPS country governments that officially endorse a regional strategy compatible with their National Planning Instruments and policies by <b>Y2Q1</b>.</p>
<p>Outcome 1.2.: Costa Rica via the Ministry of Environment, attends the official invitation from CPPS to participate in the development of the regional strategy for the conservation of the mangroves by Y1Q3.</p> <p>Outcome Indicator 1.2.: Costa Rica is an active participating member of the CPPS Open Initiative for Mangrove Conservation and Sustainable</p>	<p>Base-Line 1.2.: Costa Rica is not a participating member of the CPPS commission under which the project regional framework is being developed.</p> <p>Costa Rica has national mangrove initiatives underway of relevance to the regional project (e.g. MINAE and SINAC 2014-19 #4966 GEF-PNUD grant for wetland conservation).</p>	<p>Target 1.2.: Costa Rica becomes a full participating member of the Regional Mangrove Action Plan technical forum and GEF ETPS Project Steering Committee, actively contributing to and benefiting from, knowledge sharing/ transfer and conservation incentives afforded by the Ramsar Mangrove and Coral Strategy and CPPS Open Mangrove Initiative for Conservation and</p>	<p>Output 1.2.1.: Official letter of confirmation from Costa Rica's Ministry of Environment ratifying Costa Rica's participation in the development of a regional strategy for the conservation of mangroves by Y1Q3.</p> <p>Output Indicator 1.2.1.: CPPS - Costa Rica agreement signed with CPPS before <b>Y1Q3</b>.</p>

		<p>sustainable development.</p> <p>The resulting regional strategy is more robust, while being coherent between ETPS countries, strategies for designated Ramsar sites and effective in meeting international biodiversity commitments. The ETPS countries mutually benefit from counterpart financing, complementary actions and new opportunities leveraged during regional interchanges.</p>	
<p>Outcome 1.3.: Policy makers and national mangrove managers from at least three countries have the tools and capacity to strengthen the implementation of the regional mangrove strategy.</p> <p>Outcome Indicator 1.3.: # of countries that have tools generated by the project that assist and inform integrated</p>	<p>Base-Line 1.3.: Decision makers responsible for mangrove conservation and sustainable development are very receptive to sound technical and scientific support that helps consolidate coordinated actions in the region.</p> <p>The ETPS mangrove coastal areas are managed under different national regimes that reflect their development history.</p>	<p>Target 1.3.: Policy makers and mangrove resource managers benefit from capacity building via the project in at least 3 countries. They benefit from access to the technical advice and tools necessary to rationalize and implement improvements in national mangrove related policy and address policy gaps. This encourages a</p>	<p>Output 1.3.1.: At least two ETPS trans-boundary learning and cooperation exchanges between project countries and at least one international exchange with other countries with similar mangrove conservation challenges completed by Y2Q4.</p> <p>Output Indicator 1.3.1.: # of thought leaders trained per country</p>

<p>available to 4 ETPS countries</p>	<p>makers across the region address base-line understanding, public awareness, prioritization methods, inter-sector organization, finance mechanisms and ordination of resource use.</p> <p>Materials and tools produced directly in support of policy improvements are mostly specific to each country and are limited in the thematic areas of climate change and blue forest technologies, policy for mangrove restoration, territorial ridge-to-reef planning and environmental education.</p>	<p>overall mangrove health in the ETPS region.</p> <p>A practical shared reference base is available to decision makers beyond the lifetime of the project. Outreach, cross-learning opportunities and knowledge sharing during the project consolidates mangrove conservation "know-how" across the ETPS region.</p>	<p>policy and resource planning by <b>Y2Q4</b>.</p> <p>Output 1.3.2.:</p> <p>Communication products on mangrove conservation (policy, regulations, field implementation and other related issues) will be completed and made available to policy makers and stakeholders by Y1Q3.</p> <p>Output Indicator 1.3.2.:</p> <p>% completion of communication products (as described in Section 2.13 of ProDoc) by <b>Y2Q4</b>.</p>
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**Component 2: National mangrove action plans and policy strengthening.**

<p>Outcome 2.1.:</p> <p>At least two ETPS countries have updated national mangrove action plans in line with the regional strategy that addresses pressure on mangroves from sources across the ridge-to-reef (watershed) scale by Y2Q4.</p>	<p>Base-Line 2.1.:</p> <p>In general ecosystem based management that integrates upstream processes such as watershed management and other ridge-to-reef teleconnections are not traditionally represented in national planning for mangroves. Instead,</p>	<p>Target 2.1.:</p> <p>National regulations and national mangrove action plans are improved and made consistent with the regional mangrove strategy, such that priority Pacific mangroves are put under an improved</p>	<p>Output 2.1.1.:</p> <p>Updated national mangrove action plans are formally ratified in at least two ETPS countries.</p> <p>Output Indicator 2.1.1.:</p> <p># of updated and ratified national</p>
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<p>Outcome Indicator 2.1.: # of ETPS country updated national plans supported by the regional mangrove strategy.</p>	<p>agencies and tailored to the needs of the different local populated centers/ divisions.</p> <p>Each ETPS country is working to develop their mangrove and wetland strategies.</p> <p><b>Costa Rica:</b> Developing a wetland national strategy into 2017 which includes an updated inventory of national mangrove areas.</p> <p><b>Panama:</b> Developing a national mangrove strategy which has yet to be implemented and adjusted in the context of a new Environment Ministry in 2015.</p> <p><b>Colombia:</b> Already prohibits the deforestation of mangrove resources and has granted certain concessionary rights to communities but has not yet developed a specific national mangrove action plan.</p> <p><b>Ecuador:</b> Currently drafting a first national mangrove action plan. MAE has implemented a successful concession program known as</p>	<p>ground conservation by Y2Q4.</p> <p><b>Costa Rica</b> incorporates ridge-to-reef processes as relevant upstream watershed processes into their wetland conservation strategy.</p> <p><b>Panama</b> ANAM and ARAP authorities combine into a new ministry where new competencies are established that improve effective wetland policy development.</p> <p><b>Colombia:</b> Project inputs support National law 1450 to be established into 2015 towards improved mangrove conservation strategies.</p> <p><b>Ecuador:</b> The regional action plan contributes to the application of the Ecuador National Plan for Well-Being (Buen vivir).</p>	<p>(and in development) by Y2Q4.</p>
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	<p>viable long term financing mechanism.</p>		
<p>Outcome 2.2.: At least two ETPS countries have passed stronger regulations and incentives conducive to mangrove conservation.</p> <p>Outcome Indicator 2.2.: # of countries with stronger regulations or incentives that improve mangrove conservation underway and established at the national level by <b>Y2Q4</b>.</p>	<p>Base-Line 2.2.: Existing regulations and their effective implementation vary between ETPS country: <b>Costa Rica:</b> Forest Law 7575 (1996) outlawed all mangrove extraction and suspended all licensing for additional shrimp aquaculture, but does not yet consider land-use practice affecting upstream watershed processes. Uses are restricted to tourism, education and investigation complicating management in historically fished areas. <b>Panamá:</b> General Environmental Law No. 41 (1998) and recent resolutions (2008) require special permits with fines for any use that could affect mangroves. Unfortunately urban development approved in 2011 resulted in the destruction of extensive mangrove areas, including in Ramsar</p>	<p>Target 2.2.: National threat assessment exercises and trans-boundary knowledge exchanges lead to more effective regulations governing ridge-to-reef processes impacting mangrove areas in at least two of the ETPS countries. Changes in policy and national sustainable development programs act to reduce the likelihood of continued mangrove degradation, encouraging instead reforestation. Positive effects of integrated ridge-to-reef planning propagate to local scales. This provides more effective nursery habitat, food security, water quality and coastal defenses are bolstered. Communities within and around the resource shift towards sustainable mangrove based livelihoods with social and economic</p>	<p>Output 2.2.1: A national mangrove policy and threat assessment for each ETPS country to orient economic valuation work, informs policy gaps, and identifies outreach needs and priorities in each ETPS country, completed by Y1Q4. Output Indicator 2.2.1.: # of ETPS countries with an updated (post PPG) mangrove base-line, national policy and threat assessment by <b>Y1Q4</b>. Output 2.2.2.: Legislation passed to strengthen the protection of mangroves in at least two ETPS countries completed by Y2Q4. Output Indicator 2.2.2.: # of new or updated policies containing</p>

	<p><b>Colombia:</b> Amended Resolution 1602 (1996) specifically outlaws mangrove destruction in all national provinces and require licenses for any activities that could negatively affect mangroves. Practical application though is limited across high poverty communities along the Pacific coast where deforestation rates are highest. Law 1450 (2011) under the National Development Plan later prohibited mining and aquaculture industries in mangrove systems. A further mangrove specific resolution is planned by MADS for 2015.</p> <p><b>Ecuador:</b> Resolution 56 establishes a fine of \$89,273 USD per hectare for mangrove destruction. Concessions agreements across ~50K ha of mangrove have been granted to local communities over the last 5 years.</p>	<p>Targets for national planning discussed with local authorities during the PPG will be confirmed during project start-up. These included:</p> <ul style="list-style-type: none"> <li>• Clarified tenure and use rights for local communities;</li> <li>• Improved upstream watershed management;</li> <li>• Stricter pollution controls;</li> <li>• Mandatory Environmental Impact Assessments;</li> <li>• Mangrove climate adaptation criteria in national plans;</li> <li>• National incentive schemes for effective management;</li> <li>• A financial sustainability mechanism for concession</li> </ul>	<p>the project national assessment exercises.</p>
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		<ul style="list-style-type: none"> <li>• Strengthening of marine protected networks and biological corridors;</li> <li>• More stringent fines for illegal mangrove destruction.</li> </ul>	
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Component 3: Local conservation action.

<p>Outcome 3.1.:</p> <p>At least two key mangrove ecosystems have updated management plans and/or new local development plans consistent with updated national and regional strategies, taking into account the results of economic valuation studies from this and related projects and building on increased national capacity and support to protect mangroves in a comprehensive ridge-to-reef context by Y2Q4.</p>	<p>Base-Line 3.1.:</p> <p>The demonstration sites in this project are adjacent to communities for which management plans are being developed or improved:</p> <p>Chira, Gulf of Nicoya (Costa Rica)</p> <p>Management actions are largely organized by private enterprises (women's collectives within the community). A Responsible Fishing Marine Area was designated and adopted by the Palito community Asopecupachi Cooperative in 2012.</p> <p>David, Gulf of Chiriquí</p>	<p>Target 3.1.:</p> <p>Local policy and management plans are strengthened in each site and made consistent with national plans and the regional mangrove strategy in at least two of the local sites of Chira (Costa Rica), David (Panama), Bahia Malaga (Colombia) and/or El Morro (Ecuador) that have field conservation measures underway to reduce degradation and increase mangrove coverage through restoration efforts.</p>	<p>Output 3.1.1.:</p> <p>At least two local management plans and/or local development plans for priority mangrove sites are formally ratified by local authorities by Y2Q4.</p> <p>Output Indicator 3.1.1.:</p> <p># of improved site level management plans or local development plans in effect by Y2Q4 and/or % completion.</p>
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<p># of site level management or local development plans generated with stakeholders directly and indirectly as a result of project developments.</p>	<p>CI-Panama has been working in consultation with local authorities and stakeholders since 2007 towards an eventual management plan in David, and more recently (2013+) in Montijo.</p> <p>Bazan-Bocana (Colombia);</p> <p>A local management plan was developed in 2012 with the community council of Bazán Bocana by MADS and the CVC with support from Marviva for a Special Nature Reserve covering 800 ha of bay mangroves.</p> <p>El Morro, Gulf of Guayaquil (Ecuador);</p> <p>A management plan has been in development since 2008 in revision by MAE with financing and technical oversight from CI-Ecuador.</p>	<p>with authorities during the PPG will be confirmed during project start-up. Examples included:</p> <ul style="list-style-type: none"> <li>• Mangrove climate adaptation criteria in local plans (David, Panama);</li> <li>• Inter-institutional arrangements that regularize no-take nursery areas zoned by community councils.</li> <li>• Consolidate new concession agreements within management plans (El Morro, Ecuador).</li> </ul>	
<p>Outcome 3.2.: Economic evaluation tools and methodologies developed through the</p>	<p>Base-Line 3.2.: The GEF-UNEP Blue Forests initiative is currently underway to</p>	<p>Target 3.2.: The GEF-UNEP Blue Forest Project and WAVES methodology is</p>	<p>Output 3.2.1.: Final report on the economic valuation of ecosystem goods and</p>

<p>projects are tested in at least two ETPS countries during their development phases to maximize applicability to policy and management at local to national scales by Y2Q3.</p>	<p>methodologies and ecosystem services evaluations that help quantify carbon credit as a potential management as well as financing tool.</p>	<p>ETPS country demonstration sites of Ecuador (Gulf of Guayaquil) and Costa Rica (Gulf of Nicoya).</p>	<p>two project sites, including a) fisheries, b) nature-based tourism, c) coastal protection, d) maintaining water quality and bioremediation, and e) carbon storage completed by Y2Q1.</p>
<p>Outcome Indicator 3.2.: # of GEF-UNEP Blue Forests method and/or analogous economic evaluations and tools developed and presented to project stakeholders</p>	<p>The initiative that ran from 2010-2014 envisaged small scale interventions at pilot sites to help resource managers better represent the often underestimated value of mangrove systems (e.g. for carbon and emissions scenarios, fisheries enhancement zones etc.) in national policies. This would better reflect their latent resource potential in emerging economies such as climate change, conservation, biodiversity and sustainable development for tourism etc.</p>	<p>This will provide important economic evaluation tools and base-line reference data of direct relevance for both local resource managers and national planning agencies, helping to value the resource and justify steps in national policy revisions and improved site level management (e.g. creation of new mangrove concessions etc.).</p>	<p>Output Indicator 3.2.1.: # of completed site studies presented to stakeholders by <b>Y2Q1</b>.</p>
	<p>Both Costa Rica (Cifuentes et al, 2014), and Ecuador (Hamilton &amp; Lovette, 2015) have undertaken recent carbon assessments/ valuation estimating and correcting mangrove loss estimations from</p>	<p>A knowledge sharing platform is created drawing upon experiences and examples across the project, and integrated between the outreach platforms of each project partner.</p> <p>The results of the project are widely communicated in national, regional and global conservation, science, policy and related fora.</p>	<p>Output 3.2.2: Summary outreach document and associated strategy for making it most relevant to decision-makers on the methodology(ies) and toolkit(s) assessed and used to guide the implementation and policy application of economic valuation of mangrove ecosystem services that include cost-benefit analyses of alternative management options, based on existing initiatives including the GEF-UNEP Blue Forest project and WAVES, completed by Y2Q1</p>

Carnegie Institute of science have developed LIDAR based methods for a first high fidelity carbon map for Panama (2013). Colombia has some information for the Caribbean coast, but requires more support in carbon technologies, GIS skills (with CVC) and valuation of ecosystem goods and services.

Output Indicator 3.2.2.:  
% completion and presentation of outreach document with decision support strategy presented to ETPS decision makers by **Y2Q4**.

Output 3.2.3.:  
Mangrove valuation, policy and development planning outcomes and field conservation communicated broadly, including through: distribution of communications materials; an interactive knowledge-sharing platform; presentation in at least three national, regional and global conservation, science, policy and related fora (e.g.: Ramsar, CBD, IMPAC, Blue Carbon Working Group, ITTO); participating in the IWLearn mechanism (including allocation of 1% of project budget for this purpose), and presentation to policy makers in other mangrove relevant

			<p>Output Indicator 3.2.3.:</p> <p># of outreach and communication media/ platforms/ packages generated, aimed at national, regional and global mangrove conservation, science and policy fora by <b>Y2Q4.</b></p>
<p>Outcome 3.3.:</p> <p>Outreach and capacity building for at least 30 local policymakers and stakeholders finalized by Y2Q4.</p> <p>Outcome Indicator 3.3.:</p> <p># Policymakers and stakeholders trained per ETPS country.</p>	<p>Base-Line 3.3.:</p> <p>The project partners do not have existing outreach and training underway for mangrove conservation at the selected project sites.</p>	<p>Target 3.3.:</p> <p>Local policy makers and stakeholders receive directed training in field conservation skills and mangrove restoration scenarios.</p> <p>Stakeholders are as a result better equipped to develop local policy and action plans, run in-house threat assessments and evaluate their resource use scenarios. This encourages informed decisions when developing alternatives that favor the sustainable use and recovery of their mangrove resources.</p>	<p>Output 3.3.1.:</p> <p>At least two training events are conducted per ETPS country with at least 15 participants each to build skills relating to field conservation measures and restoration of mangroves by Y2Q4.</p> <p>Output Indicator 3.3.1.:</p> <p># of events and training hours received per stakeholder in each ETPS country by <b>Y2Q4.</b></p>
Outcome 3.4.:	Base-Line 3.4.:	Target 3.4.:	Output 3.4.1.:

<p>At least two demonstration projects that provide incentives and/or that create business opportunities associated with the conservation and sustainable use of mangroves initiated in at least two selected sites by Y2Q4.</p> <p>Outcome Indicator 3.4.: # of demonstration projects providing incentives and/or business opportunities successfully initiated and/or supported by the project in high priority mangrove conservation areas.</p>	<p>The project partners do not have existing demonstration projects for mangrove sustainable use and conservation at the selected project sites.</p>	<p>The country level exchange of experiences and technical fora developed in the project (e.g. the ecosystem services evaluations, Blue Forests methodologies etc.) stimulate at least 2 demonstration projects designed to promote the conservation and sustainable use of mangrove resources. At least two sites are selected for these projects on the basis of feasibility for implementation and their potential return for conservation and associated societies.</p> <p>Successful examples improve the grass-roots advocacy for sustainable livelihoods locally and potentially amplify the benefits of similar practices when adapted to adjacent areas and regions. A list of potential demonstration projects considered for each of the four local sites is given in Section 4B.</p>	<p>Local associations in at least two sites actively participate and commit to demonstration projects by Y1Q4.</p> <p>Output Indicator 3.4.1.: MOUs with local associations that outline commitments to participate in mangrove conservation and restoration activities signed by <b>Y1Q3</b>.</p> <p>Output 3.4.2.: Local stakeholders participating in demonstration projects increased by 20% over the project start-up baseline by Y2Q4.</p> <p>Output Indicator 3.4.2.: % of initiatives where stakeholders lead activities and actively participate at each local project site between <b>Y1Q4</b> and <b>Y2Q4</b>.</p>
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## 8 Annex C Itinerary of TE (PMU and field visits)

The following is the Mission itinerary March 2019.

Dates	Site	Logistics	Stakeholders	Relevance to project
Thurs, 7th March	Guayaquil Ecuador	Meetings with <b>CPPS (confirmed)</b> , project co-implementors and MAE.  (Glen, Rachel, Stuart, Xavier Chalen)	MAE-marine and coasts sub secretary CPPS CI-Ecuador (marine team)	C1 (all countries CPPS regional plan and capacity building)
Fri, 8th March	Guayaquil Ecuador to Bogotá, Colombia PM	Field visit to El Morro (AM). Return by 6 PM for evening flight to Bogota (Glen, Rachel, Stuart, Xavier Chalen)	El Morro Wildlife Refuge mangrove concessionary community Black clam (piangua) fishery collectives. El Morro National Park Managers.	C2 and C3 National Mangrove Plan, Mangroves in Environment Organic Code (COA) and EL Morro concessionary communities.
Sat, 9th march	Bogota to Buenaventura (direct)  Buenaventura/ Gulf of Tortugas, Colombia	Direct internal flight (AM) from Bogota to BV. Afternoon with Bazan Bocana community and mangrove plot site visit. Accompanied by Laura Jaramillo (CI-Marine) and Luis Arroyo (WWF-Cali)  Meeting with CVC local authority.	Bazan Bocana community leaders  Corporacion Autonoma Valle de Cauca (CVC) environmental authority	C3 local site activities Bazan Bocana and EPA/CVC in Buenaventura.
Sunday 10th March	Cali	AM return to Cali by car (4 hours). PM Poss. Meetings WWF Suggestion: Evening flight to Bogota	Possible meetings WWF Colombia/ Cali	
Mon, 11-03- 2019	Bogota	Poss. AM flight to Bogota (if not leaving Sunday evening).	CVC (Corp Valle Cauca) in Buenaventura	C3 consultancy work.

		<p><b>AM:</b> Skype meetings from CI-Colombia Office with CRC (Sia IP community outreach mangrove guide) and consultant Jesus (EPA/CVC collaborator)</p> <p><b>PM:</b> Meetings with <b>14:00</b> MADS-DAMCRA/ Office of international affairs and CI-Colombia.</p>	<p>CRC (probably by skype or phone)</p> <p>MADS – DAMCRA. CI-Colombia</p>	<p>Participation in C1 experience interchanges (CRC) Indigenous peoples restoration guide (CRC).</p> <p>C1 – CPPS-GEM secretary (MADS); C2 national mangrove workshops Bilateral interchanges with Ecuador.</p>
Tues, 12th March	Return flights			

## 9 Annex E List of persons interviewed

Name	Position & Contact	Date	Comments
Stuart Banks	Project Manager Conservation International	7-8 Mar	Continual Contact over MTR: Calls and multiple emails. Interviews
Rachel Kaplan	Program Officer World Wildlife Fund	7-12 Mar	Continual contact through email and skype calls.
Anushika Karunarate	Safeguards Officer World Wildlife Fund	9-12 Mar	Participatd in the field visit to Bocana, Colombia
Xavier Chalan	Field Officer Conservation International	7 Mar	Organised and participated in site visit to Morro.
Fernando Félix	Comisión Permanente del Pacífico Sur Coordinador Tecnico ffelix@cpps-int-org	7 Mar	Head of CPPS South East Pacific Action Plan. SC member, EWG member
Xavier Santillán Lara	Dirección de Normativa Ministerio del Ambiente Xavier.santillian@ambiente.gob.ec	7 Mar	Director of policy and the coastal projects; SC member, EWG member.
Ibette Vera	Field Operations Officer Ministry del Ambiente, Morro <a href="mailto:ibette.vera@ambiente.gob.ec">ibette.vera@ambiente.gob.ec</a>	8 Mar	Field officer in Morro National Park, head of data and registry
Juan Carlos Medina	Staff Nazca ONG	8 Mar	Providing technical support for the fishermans registry and catch registry.
Santiago Morales	President of Pescadores Marines, Fisherman's association	8 Mar	Head of association, one of the leaders spearheading the fisheries management plan.
Adolfo Abila	Head of Manglares Costenas Fisherman's association	8 Mar	Head of association, one of the leaders spearheading the fisheries management plan
Don Pablo	Foreadores del Futuro Fisherman's association	8 Mar	Head of association, one of the leaders spearheading the fisheries management plan

Name	Position & Contact	Date	Comments
Luci Morales	Morro Woman's Association	8 Mar	Head of the local woman's association involved in developing the management agreement
Laura Jaramillo	Project officer, Conservation International Colombia	9-11 Mar	Organised and participated in the site visit to Bocana
Héctor Tavera	DAMARCA Ministerio de Ambiente Colombia	9-11 Mar	Biologist and mangrove expert with Min of Env. Participated in Site visit to Bocana
Laura Bermudez	Asuntos Internatcionales Ministerio de Ambiente Colombia	11 Mar	Deals with all international relations, including Biodiv, international waters. Etc.
Hugo Barona:	Representante legal consejo la Bocana	9 Mar	He is the legal representative of the community for Law #70
Nidia Patricia	Presidenta del Consejo	9 Mar	President of the Community Council
Siber Cambindo	VicePresidente de la Bocana	9 Mar	Vice President of Community Council – conducted presentation for community visit.
Margarita	Pianguera – Local Clam Fisherer	9 Mar	Head of the clam fisher women in Bocana
Jilio Peláez	CRC Cauca	11 Mar	Responsible for working with Eperaala Siapidaara community
Paula Saenz	DAMARCA Ministerio de Ambiente Colombia	11 Mar	Lead biologist for mangrove conservation with Min of Env. Member of GEM on mangroves
Yaisa Bejaino	OAI Ministerio de Ambiente Colombia	11 Mar	Deals with all GEF projects in Min of Env. Colombia
Kelly Moreno	OAI Ministerio de Ambiente Colombia	11 Mar	Deals with all GEF projects in Min of Env. Colombia
Edward Sevilla	Coordinador de cuenca Uramba CVC	9 Mar	Participated in site visit to Bocana

Name	Position & Contact	Date	Comments
Jorge Viveros	Experto manglares CVC	9 Mar	Participated in site visit to Bocana
Luis Zapata	Coordinador de programa marino WWF	9 Mar	Good contact with CI field staff
Jorge Elias Jaén	MiAmbiente, Panama Technical lead	12 April	Participated as SC member for the project
Jackyln Rivera Wong	MINAE/ SINAC Costa Rica	8 April	

## 10 Annex G List of documents reviewed

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*Acuerdo de uso Sustentable y Custodia de Manglar a Favor de la Asociación de Pescadores Artesnales Marine “Asopesarmar”, Guayaquil, 11 abril, 2018.*

*Acuerdo de uso Sustentable y Custodia de Manglar a Favor de la Asociación de Pescadores Artesnales Manglares Porteños, Guayaquil, 11 abril, 2018*

*Acuerdo de uso Sustentable y Custodia de Manglar a Favor de la Asociación de Pescadores Artesnales Forjadores del Futuro, Guayaquil, 11 abril, 2018*

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Website	Comments
CPPS site <a href="http://par-manglares.net/">http://par-manglares.net/</a>	Has links to reports for EWG meetings, most products,
IW:LEARN <a href="https://iwlearn.net/iw-projects/5771">https://iwlearn.net/iw-projects/5771</a>	The project information is not accurate. Start date Sep 2016, end date June 2016, total project costs 8.6 M\$,
Video – <a href="https://iwlearn.net/media/videos/29450">https://iwlearn.net/media/videos/29450</a>	Good video on Gulf of Nicoya work.. no mention of GEF support or the project, just CI.
CI <a href="https://www.conservation.org/where/Pages/Eastern-Tropical-Pacific-Seascape.aspx">https://www.conservation.org/where/Pages/Eastern-Tropical-Pacific-Seascape.aspx</a>	CI project web page - no mention of GEF funding, no link to IW:LEARN, no link to CPPS website, Does mention other donors (Ocean 5) under strengthening fisheries management.
<a href="http://panamanglar.org/en/learn/">http://panamanglar.org/en/learn/</a>	Site to establish joint management of Panama mangroves,
<a href="http://thebluecarboninitiative.org">http://thebluecarboninitiative.org</a>	Web site for Blue Carbon Initiative. Materials available.

## 11 Annex H Photos and Map of Project Sites



Mural Awareness building project in Bocana village, Colombia



Marguerite (right), head of "Piangueras" – black clam harvesters, in Bocana, Colombia.



Adolfo Abila, Head of Manglares Costenas Fisherman's association, with black clams. El Morro, Ecuador



Dolphin in protected mangroves, El Morro, Ecuador

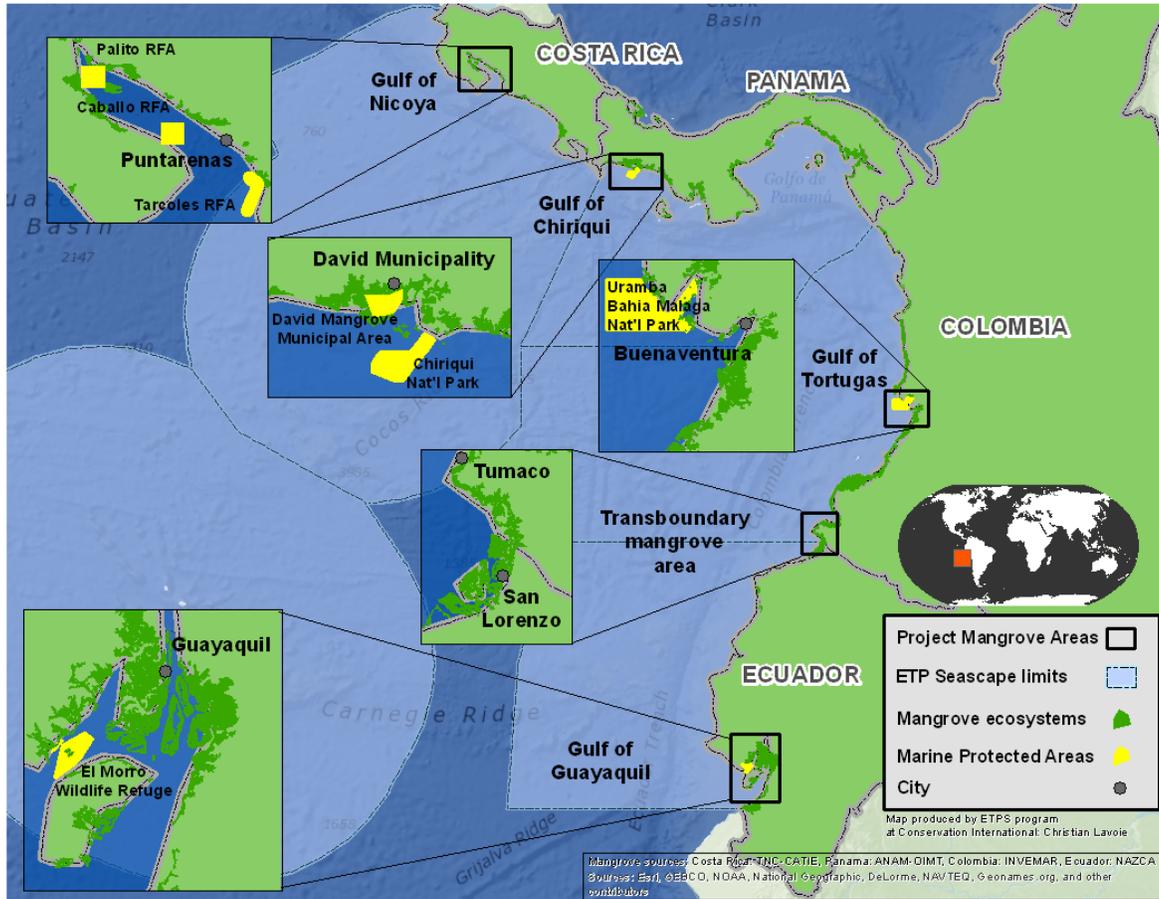


Figure 2 Demonstration Project Sites for GEF-ETPS- note that the transboundary mangrove area was not undertaken during the project due to logistical difficulties.

## 12 Annex I Questionnaire used

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1. Project Strategy
Was the project strategy for ETPS well laid out for achieving a “ratified” regional strategy? What were its drawbacks, what could have been done differently?
Has the project achieved its goals of developing a regional strategy, having improved legislation, and created of examples of private and/or community based mangrove initiatives that strengthen local planning etc.?
1. Progress towards Results:
Where all expected outputs and activities of the project (which you were involved with) delivered as programmed to date, on time and on budget? If not why?
Do you feel the outputs and targets where achievable?
Do you feel the indicators used for “measuring success” were SMART ? Could they be improved??
Were the methods used to develop technical documents (synthesis documents, tool kits) sound and effective to date?
Do the technical products have the scientific weight and authority to influence decision makers, national level - international level?
Do you believe that the technical products will be used by decision makers?
project?
2. Project completion and sustainability
Are there any risks (financial, social-political, institutional, technical or environmental) which jeopardize achieve the project objectives
To ensure that there is continuity and that the intended impacts of the project are realized what additional measures need to take place, or what needs to change? (for example: improve commitment of agencies etc.)
2 Management and Coordination
Has the PMU applied management and coordination duties?
How has the PMU assisted or hindered your participation in the Project? (for partners, institutions, etc).
Has the management and coordination at the activity level been effective?
Could the PMU and WWF-GEF do any more to enhance management for the remainder of the project? If so what?
3. Financial Management
Have financial controls, including reporting, and planning allowed the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables?
Actual project costs (and sub-component costs) compared to budget – are they different , if so, how have they differed and why?
What co-financing been achieved to date?
Was budgeting and funding both adequate and timely?
4. Institutional Arrangements

What institutional factors are present to help achieve or undermine the project goals? How can these be improved upon?
6. Assessment of Monitoring and Evaluation Systems
Has monitoring and evaluation tools been effective (Reporting, SC meetings etc.) both for PCU and at the partner level?
7. Adaptability
Has the implementation of the project(s) displayed adaptive management in terms of changing circumstances?
8. Stakeholder participation
Has the project achieved its goals with respect to stakeholder participation and engagement with all the relevant partners and projects?
Were collaboration/interactions between the various project partners and institutions to date been effective and constructive? Have new relationships been developed between partners?
9. Recommendations
Are there any recommendations you would have for the rest of the project?

## Audit Trail

#	Location	Comment/Feedback on the DRAFT Report	Evaluator response/actions
1	Cover page	Report is to be sent to Rachel Kaplan, and primary contact information changed	Changes accepted and incorporated
2	P v	The Assessment of Project Objectives & Outcomes should be focused on outcomes, not output targets.	Text changed accordingly to reflect outcomes.
3	Piv	Include comments UNESCO-Quito along with CPPS as partner; include comment related to inclusion of Gulf of Tortugas in Colombia in the project due to its being the most bio-diverse mangrove area in the ETPS region. Despite logistical difficulty in working there	Accepted
4	P v	Discussion of “satisfactory” rating instead of “highly satisfactory” for M&E.	No major shortcomings, but SC did not occur over 12 months, and the project did not meet expectations as needed to achieve “highly satisfactory”.
5	P ix	Remove reference to not needing an IPP in the future. Rather just for this project.	Done
6	Px	Recommendation 3 – has example of UNEP and Grid-Arendal administering components under IW:LEARN. Please remove example as not something that WWF would do. Recommend 6 – the project did send people to IWC9 as part of IW:LEARN exchange.	Recomm 3- Example removed.  Recomm 6- While this is true, it is a minor involvement with IW:LEARN, no experience written, not efficient use of IW:LEARN
7	P 28	Change “CI-Panama observed an opportunity to conduct workshops and capacity building with a local community and requested funds to be switched to do so. Ultimately, WWF-GEF deemed it not possible “ to “to implement community economic alternatives to the cutting of David mangroves. This wasn’t possible, so they decided to do training/capacity building instead”	Paragraph removed as it does not support adjoining text.
8	P 5	Did the theory of change of approach alter during the course of the project? ;	Included under. Change, Under 4.1.1

#	Location	Comment/Feedback on the DRAFT Report	Evaluator response/actions
		Address if ToC help to develop better project design Clarify if it is lack of political will or lack of enforcement that is the main barrier.	Added points on relationship between theory of change is reflected in the re framework and project activities Clarification that lack of enforcement barrier, But is related and influenced by will, capacity, finance etc.
9	P5		
10	P 7	Use revised Framework as per PIR #1, and mention update to outcome indicator.	Update noted in text. No other change text relating to output indicators.
11	P 8	Clarify what adjustments were made to year 2 planning.	Clarified in text.
12	P 8	The possibility of needing an ISPP is not a "risk" it was addressed through a screening process. It should be removed as a risk.	Agreed. Removed. Add as a risk logic problems in working in certain areas c
13	P 12	Clarify that " WWF GEF said it would require a fair amount of funds/time under SIPP, so CI and Panama decided not to pursue"	Clarified in text.
14	P 14	Note that a change was made to RFramework in year 1	Noted and referred to section 4.1.1
15	P 18	Clarify Costa Rican new wetland policy under GEF-UNDP	GEF-ETPS supported Costa Rica with and regional level discussions. But it is UNDP project which spearheaded the policy.
16	P 21	Use same wording for indicators for outputs as in RF.	Exact wording used.
17	P 25	Who do the risks to sustainability affect the Theory of Change of the project.	There is no change to the T o C, rather emphasis that the risk of financial sus perhaps more important. T o C does r prioritize risks...
18	P 25	Merge adaptive management and adaptive capacity	Done.
19	P 29 – sec 4.6.2	Consider clarification of the section to underscore that the GEF project assisted with the development of the Fisheries Management Plans as a pre requisite of the "Fishing Agreements" – which are between the government and the associations.	Rewording has been suggested
20	Annex H	Please include geo referenced maps.	Included in Annex H
21	Exec Summ	Please include implementation and execution ratings.	Added in the executive summary table

#	Location	Comment/Feedback on the DRAFT Report	Evaluator response/actions
22	Exec summ	Mention Env stress reduction as a result of the project.	Added in the conclusions.
23	Exec Summ	Include relevant good practices in the executive summary alongside the conclusions and recommendations	Separate section on good practices h added to the Executive summary.

## 14 Annex K Evaluation Report Acceptance Form

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Evaluation Report Reviewed and Accepted by:

WWF US (GEF Project Agency)

Name: John Morrison, Director for Conservation Strategies & Measures

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

Name:

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