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December 11, 2009

Dear Council Member,

The IADB as the Implementing Agency for the project entitled: ***Costa Rica: Integrated Management of Marine and Coastal Resources in Puntarenas***, has submitted the attached proposed project document for CEO endorsement prior to final Agency approval of the project document in accordance with the IADB procedures.

The Secretariat has reviewed the project document. It is consistent with the project concept approved by the Council in November 2009 and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by the IADB satisfactorily details how Council's comments and those of the STAP have been addressed.

We have today posted the proposed project document on the GEF website at [www.TheGEF.org](http://www.TheGEF.org) for your information. We would welcome any comments you may wish to provide by January 14, 2010 before I endorse the project. You may send your comments to [gcoordination@TheGEF.org](mailto:gcoordination@TheGEF.org).

If you do not have access to the Web, you may request the local field office of UNDP or the World Bank to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,



Attachment: Project Document

cc: Country Operational Focal Point, GEF Agencies, STAP, Trustee

# MEMORANDUM

File Classification: CR-X1004

**DATE:** December 3<sup>rd</sup>, 2009

**TO:** Monique Barbut  
CEO/Chairman, GEF

**FROM:** Ricardo Quiroga  
IA/ExA Coordinator

**SUBJECT:** **Costa Rica.** GEF ID 2881 -“Integrated Management of Marine and Coastal Resources in Puntarenas”. Request for GEF CEO Endorsement.

Please find attached the request for GEF CEO Endorsement for the abovementioned project included in the November 2007 work program. The following documents are attached to this submission:

- CEO Endorsement document including annexes
- IADB Project Document including annexes
- BD Tracking Tool
- Letters of co-financing

Please let me know if you require additional information to complete your review of the project document. We look forward to receiving your endorsement of the project and proceed with our Bank Board approval.

Sincerely,



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Ricardo Quiroga  
IDB GEF Executive Coordinator  
Environment, Rural Development and Disaster Risk Management Division  
Inter-American Development Bank  
Washington, D.C  
Email: ricardoq@iadb.org

C.C.: Héctor Malarin, Chief Environment, Rural Development and Disaster Risk Management Division  
Marguerite Berger, Chief Grants and Co-financing Management Unit



# REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project

THE GEF TRUST FUND

Submission Date: 03. December 2009

## PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 2881

GEF AGENCY PROJECT ID: CR-X1004

COUNTRY(IES): Costa Rica

PROJECT TITLE: Integrated Management of Marine and Coastal Resources in Puntarenas

GEF AGENCY(IES): IADB

OTHER EXECUTING PARTNER(S): MarViva; Ministry of Environment, Energy and Telecommunications, Sistema Nacional de Areas de Conservacion (MINAET-SINAC); National Coastguard Service (SNG) and Instituto Costarricense de Pesca y Acuicultura (INCOPECA)

GEF FOCAL AREA(S): Biodiversity

GEF-4 STRATEGIC PROGRAMS: BD-SP4-Policy, BD-SP5 -Markets

NAME OF PARENT PROGRAM/UMBRELLA PROJECT: n/a

Expected Calendar (mm/dd/yy)	
Milestones	Dates
Work Program (for FSPs only)	Nov 2009
Agency Approval date	Mar 2010
Implementation Start	Jun 2010
Mid-term Evaluation (if planned)	Jun 2012
Project Closing Date	Jun 2014

## A. PROJECT FRAMEWORK

Project Objective:								
To promote the integrated planning and management of marine and costal ecosystems in the Multiple-Use Marine Areas (MUMAs) Golfo de Nicoya and Pacífico Sur (Puntarena Province), with the goal of conserving important biodiversity, maintaining the provision of crucial ecosystem services, and providing a basis for sustainable socio-economic development through tourism, artisanal fishing and other income generating activities at the local scale.								
Project Components	Investment, TA, or STA <sup>2</sup>	Expected Outcomes	Expected Outputs	GEF Financing <sup>1</sup>		Co-Financing <sup>1</sup>		Total ('000\$)
				('000\$)	%	('000 \$)	%	
1. Strengthening of Regulatory Framework and Local Capacities	TA	768,400 ha of MUMA managed in integrated and sustainable manner  20% of mgmt cost generated through sustainable financial mechanisms	15 proposed regulations; 2 Masterplans; 2 functional Marine Commissions  2 MUMA Business plans, including financial instruments; national financial strategy	639	14.0	3,909	86.0	4,548
2. Sustainable Resource Use by Key Productive Sectors	TA & STA	20% increase in sustainability certification of marine and coastal tourism activities  150,000 ha effectively managed as Responsible Fishing Areas (RFAs)  10 coastal communities obtain income from profitable alternative sustainable	Marine-coastal sustainable tourism standards; 20 entrepreneurs trained; 2 networks formed  6 RFAs established; 16 communities trained; 6 enforcement agreements  Productive diversification strategy; 8 existing initiatives strengthened; 10 new initiatives	1,270	26.3	3,556	73.7	4,826

		livelihoods	developed					
3. Improvement and Systematization of Information for Decision Making	TA, STA & small invest.	Mgmt decisions for two MUMAs based on sound technical data derived from integrated and readily accessible information and monitoring system	Baseline consolidated; information and monitoring system functioning and accessible to stakeholders; communication plan in execution	791	61.1	503	38.9	1,294
4. Project management				300	26.2	845	73.8	1,145
<b>Total Project Costs</b>				<b>3,000</b>		<b>8,813</b>		<b>11,813</b>

<sup>1</sup> List the \$ by project components. The percentage is the share of GEF and Co-financing respectively of the total amount for the component.

<sup>2</sup> TA = Technical Assistance; STA = Scientific & Technical Analysis.

## B. SOURCES OF CONFIRMED CO-FINANCING FOR THE PROJECT

<i>Name of Co-financier (source)</i>	<i>Classification</i>	<i>Type</i>	<i>Project</i>	<i>%*</i>
Sistema Nacional de Areas de Conservacion (SINAC)	Nat'l Gov't	In-kind	3,023,000	34
Sistema Nacional de Guardacostas (SNG)	Nat'l Gov't	Grant	2,000,000	23
Instituto Costarricense de Acueductos y Alcantarillados (AyA)	Nat'l Gov't	Grant	2,000,000	23
Instituto Costarricense de Pesca y Acuicultura (INCOPECA)	Nat'l Gov't	Grant	910,000	10
Instituto Costarricense de Pesca y Acuicultura (INCOPECA)	Nat'l Gov't	In-kind	880,000	10
<b>Total Co-financing</b>			<b>8,813,000</b>	<b>100</b>

\* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

## C. FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

	<i>Project Preparation a</i>	<i>Project b</i>	<i>Total c = a + b</i>	<i>Agency Fee</i>	<i>For comparison: GEF and Co-financing at PIF</i>
GEF financing	275,000	3,000,000	3,275,000	327,500	3,100,000
Co-financing	275,000	8,813,000	9,088,000		8,600,000
<b>Total</b>	<b>550,000</b>	<b>11,813,000</b>	<b>12,363,000</b>	<b>327,500</b>	<b>11,700,000</b>

## D. GEF RESOURCES REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup> n/a

## E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

<i>Component</i>	<i>Estimated person weeks</i>	<i>GEF amount (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	1461	1,345,800	0	1,345,800
International consultants*	10	0	25,000	25,000
<b>Total</b>	<b>1471</b>	<b>1,345,800</b>	<b>25,000</b>	<b>1370,800</b>

\* Details to be provided in Annex C.

## F. PROJECT MANAGEMENT BUDGET/COST

<i>Cost Items</i>	<i>Total estimated person months</i>	<i>GEF amount (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	120	248,400	0	248,400
International consultants*	0	0	0	0
Office facilities, equipment, vehicles and communications*		35,000	40,000	75,000
Travel*		12,000	10,000	22,000
Others**		4,500	795,100	799,600
<b>Total</b>		<b>299,900</b>	<b>845,100</b>	<b>1,145,000</b>

\* Details to be provided in Annex C. \*\* ‘Others’ includes expenses for coordination meetings and workshops, technical support provided by governmental agency staff and project management costs associated with co-financing activities.

## G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

## H. DESCRIBE THE BUDGETED M & E PLAN:

This Project has two levels of monitoring with slightly different objectives: 1) the information and monitoring system of the MUMAs, to be implemented through Component 3, with the objective to put in place a monitoring and decision-support tool sustainable beyond the execution of the Project, and 2) the Project monitoring and evaluation system with the objective to monitor progress in achieving the products and results presented in the Results Framework.

Building on existing initiatives, information already gathered or data being generated by partners such as SINAC, INCOPECA, ICT, universities and conservation NGOs, the Project Execution Unit (PEU) (see Part III.B) will coordinate the collaborative development of a permanent and cost-effective **information and monitoring system of the MUMAs** that will enable an integrated assessment of the status of the two marine areas. This information and monitoring system will track a set of environmental, socio-economic, legal, institutional and financial indicators and make this information available to key partners in the management of the MUMAs, including SINAC, INCOPECA, ICT, SNG, municipal governments, CI, TNC, local NGOs and private sector organizations. Additional data on the selected indicators will be gathered through the monitoring program to be implemented by the present Project, as well as through monitoring activities by project partners. The system will function under the general guidance of SINAC, but its set-up and operation will be contracted to a public or private organization with demonstrated capacity and experience in maintaining and analyzing large databases with a corresponding level of complexity. In addition, collaborative arrangements will be established at an early stage of project implementation with the “Sistema Nacional de Información Territorial” (SNIT), currently under development within the IDB-financed “Catastro project”, to ensure that the information generated by the GEF Project is linked to the SNIT. (The total estimated cost for the development of the information and monitoring system to be developed under Component 3 is US\$709,000, including support for monitoring equipment and activities).

The **monitoring and evaluation system for the Project** will be coordinated by the PEU, with additional guidance from the Comité Director (see Part III.B). The PEU will monitor progress in achieving outputs and outcomes based on the Result Framework. Monitoring and evaluation reports will be shared with: a) the members of the Comité Director (SINAC, INCOPECA, ICT and SNG), b) the Marine Commissions in the MUMAs Golfo de Nicoya and Pacífico Sur and c) local government, non-governmental and private organizations active in the project areas. The cost of general project monitoring and evaluation has been incorporated into the Project Management Budget (total estimated budget: US\$299,900), primarily through the time of the project coordinator and the fiduciary specialist, while the cost of disseminating information about project progress is part of the estimated budget for the implementation of the communication and information dissemination plan (estimated cost: US\$ 56,000). Within the first 6 months, the Project Executing Unit will ensure the consolidation of the baseline information for all indicators in the Results Framework (estimated cost: US\$26,000).

For the monitoring and evaluation at project level, monitoring activities will employ various means of verification. Specifically, for activities whose principal product is a written document, evaluation will be carried out through desk-study of reports, proposals, work plans and meeting minutes. Information related to process indicators (e.g. the

consolidation of the capacities of the Marine Commissions, the progress in implementing collaborative zoning processes, or the establishment of sustainable financial mechanisms) will be collected mainly through interviews with institutional actors and stakeholders, as well as through the review of meeting reports, minutes and agreements of the Comité Director. Stress reduction indicators (e.g. the extent to which local fishers and tour-operators shift towards more sustainable fishing and tourism practices compatible with the conservation of marine and coastal biodiversity) will be assessed through reports on direct measurements, such as the size of fishing catches in Responsible Fishing Areas (RFAs) or the adoption of best practices and sustainable tourism certifications, and indirect measurements, such as the amount of resources dedicated by government institutions and local organizations to marine surveillance operations. Finally, environmental indicators at project level will focus on the marine and coastal areas under improved, more effective management (eg. total area included in Responsible Fishing Areas). For the information and monitoring system to be developed under Component 3, a full list of indicators with corresponding data collection and analysis procedures will be developed during the first year of project implementation.

A **mid-term evaluation** of the Project will be carried out when 40% of the GEF resources have been disbursed or 30 months after the project contract goes into effect, whichever comes first. This review will determine whether the project strategy is performing according to the established objectives or adjustments are necessary. In addition, a **final evaluation** will determine, among others, the extent to which the project objectives have been achieved, the level of stakeholder participation in decision-making for the two MUMAs, any positive changes in beneficiaries' practices due to the intervention, as well as the sustainability and cost-effectiveness of the processes implemented through the Project. Both evaluations will assess the following key questions: (i) How is the Project contributing to decentralized and participatory management in the two MUMAs?; (ii) What progress has been made towards ensuring the financial sustainability of biodiversity conservation and management activities in each MUMA?; (iii) To what extent have communities and the private sector internalized the sustainable use of biodiversity, and diversified or adopted good practices for their productive activities? (iv) What additional socio-economic benefits are being generated, compared to the Project's baseline?; (v) Are management decisions being made on the basis of sound, objective information?; and (vi) How are the results and lessons learned from the project being used to foster national strategies and toolkits for integrated planning and management of marine and coastal resources, especially with respect to the other four MUMAs already declared but currently not implemented? The results of the evaluations, lessons learned, and good practices will be widely disseminated and shared through the Project's website. Both evaluations will be financed by the Bank with resources from the Agency Fee received for this Project.

## **PART II: PROJECT JUSTIFICATION:**

### **A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED GLOBAL ENVIRONMENTAL BENEFITS TO BE DELIVERED:**

The extensive continental shelf off the Pacific coast of Costa Rica and the coastal ecosystems of the Golfo de Nicoya, Golfo Dulce and the Térraba-Sierpe wetland system in Puntarenas Province provide for a particularly rich marine and coastal biodiversity and high level of productivity. According to the WWF/Nature Conservancy marine ecoregions classification scheme<sup>1</sup>, the Nicoya Ecoregion (which comprises the entire Costa Rican Pacific coast) is tied for first place with the Panama Bight Ecoregion in terms of biodiversity value out of the seven ecoregions of the Tropical Eastern Pacific Marine Province (which extends from Mexico to Ecuador), and is ranked in second place when both biodiversity value and potential threats/conservation status are taken into account. According to 2009 data<sup>2</sup>, a total of 6,777 species, or 3.5% of the world's total, have been identified within Costa Rica's Pacific marine and coastal areas. The beaches along the Pacific coast are important nesting sites for four of the world's seven species of endangered sea turtles. Térraba-Sierpe, with 33,500 ha the largest mangrove area in Central America, has been designated under the RAMSAR Convention as a site of global significance for the protection of aquatic birds, and serves as nursery area for various coastal and marine species of commercial and ecological

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<sup>1</sup> The scheme groups the individual ecoregions into 12 marine realms. These marine realms are subdivided into 62 marine provinces, which each include one or more of the 232 marine ecoregions.

<sup>2</sup> I.S. Wehrmann and J. Cortes (Eds.) 2009 . Marine Biodiversity of Costa Rica, Central America. Monographiae Biologicae, Vol. 86. Springer Verlag. 538 pp.

importance. 25 species of dolphins and whales, including humpback and pilot whales, have been observed in the waters of the Golfo Dulce and around the Osa Peninsula. In the Golfo de Nicoya, 204 species of macro-invertebrates have been identified, along with 274 species of fish, 84 species of coastal birds, 135 species of terrestrial mammals and three marine mammal species.

The Osa Conservation Area (ACOSA) in southern Puntarenas Province includes several terrestrial and marine protected areas that form part of the Sistema Nacional de Áreas de Conservación (SINAC), represents 13 different ecosystems and houses an extraordinary array of biodiversity and endemism. The marine and coastal ecosystems within these protected areas contain impressive coral reefs, seagrass beds, beaches, islands, islets and mangrove ecosystems that help regulate nutrient and sediment inputs into coastal waters and reefs, as well as serving as nurseries for economically important finfish and habitat for crustaceans and mollusks. The pristine nature of the associated terrestrial habitats contributes to the health of transitional fresh to brackish water and marine habitats. Two of these areas, Corcovado National Park and the associated Isla del Caño, represent the most significant remaining areas of lowland Pacific tropical rainforest in Central America and are being proposed as a World Heritage Site.

The ecological and socio-economic importance of the coastal and marine resources of Puntarenas Province is reflected in the fact that two of the six Multiple Use Marine Areas (MUMAs) declared by the Government in 1995 (Executive Decrees Nos. 24282 and 24483; August 1, 1995) with the objective to restore and conserve marine and coastal resources in the areas of influence of protected marine and coastal zones through integrated management of multiple use areas, are located in Puntarenas Province: the MUMA Golfo de Nicoya and MUMA Pacífico Sur (Osa Peninsula and Golfo Dulce). These two areas respectively comprise 238,000 ha (Golfo de Nicoya) and 530,400 ha (Pacífico Sur), and contain within their boundaries thirteen protected areas (*MUMA Golfo de Nicoya*: Refugio de Vida Silvestre Isla San Lucas, Reserva Biológica Absoluta Cabo Blanco, Reserva Biológica Isla Negritos, Reserva Biológica Isla Guayabos y Zona Protectora Tivives; *MUMA Pacífico Sur*: Parque Nacional Marino Ballena, Humedal Nacional Terraba-Sierpe, Parque Nacional Corcovado, Reserva Biológica Isla del Caño, Refugio de Vida Silvestre Golfito, Refugio de Vida Silvestre Estatal Playa Hermosa-Punta Mala, Reserva Forestal Golfo Dulce y Parque Nacional Piedras Blancas), as well as economically important fishing and tourism areas (including Cabo Blanco, Paquera, Montezuma, Puntarenas, Isla Tortuga, Punta Leona, Herradura, Jacó, Playa Hermosa, Ballena, Uvita, Sierpe, Bahía Drake, Puerto Jiménez, Golfito, y Playa Zancudo).

Authority for regulating resource management and economic development in the MUMAs is scattered among several national and municipal government entities. The Ministry of Environment, Energy and Telecommunications (MINAET) is charged with managing marine and coastal protected areas under SINAC, the Costa Rican Institute of Tourism (ICT) is formally responsible for developing and enforcing Coastal Regulatory Plans (CRP), jointly with local municipalities. The Costa Rican Institute for Fisheries and Aquaculture (INCOPECA) is charged with regulating the fisheries sector. While the National Coastguard Service (SNG) is responsible for enforcing infractions of the various marine and coastal regulations, including illegal fishing and incursions into protected areas. Activities of the various institutions are governed by a complex set of regulations, which are not always consistent and do not necessarily facilitate coordination among the responsible agencies. However, there has recently been progress towards increased inter-institutional collaboration in the context of the elaboration in 2008 of the National Strategy for Integrated Management of Marine and Coastal Resources, under the auspices of the Comisión Interdisciplinaria Marino Costera de la Zona Económica Exclusiva de Costa Rica (CMZEE), which consists of representatives from MINAET, SNG, INCOPECA, the Ministry of Public Works and Transport (MOPT), ICT, and several NGOs.

For each of the two MUMAs Golfo de Nicoya and Pacífico Sur, a Marine Commission has been established to facilitate their management, as well as coordination among local stakeholders and key institutions (see also Part III.B). The Comisión Interinstitucional Marino y Costera del Area de Conservación de Osa has been very active and has shown a good and increasing level of participation of key public and private institutions, whereas the Comisión para el Desarrollo y Conservación del Golfo de Nicoya has not been functional for a number of years. Nevertheless, interest in re-establishing the Commission in Golfo de Nicoya has recently increased. As part of the preparation of this Project, diagnostics, a Master Plan and an indicative action plan were developed for each of the two MUMA in 2007. During these preparatory activities, as well as during the preparation activities and consultations on the proposed project design carried out in 2008/2009, stakeholders in both areas participated actively and showed a sustained interest in the Project.

## PRINCIPLE ISSUES, DRIVERS OF CHANGE AND ROOT CAUSES

The **principal issue** to be addressed by this Project is the increasing degradation of marine and coastal resources (MUMA Golfo de Nicoya) and the increasing level of threats to biodiversity (MUMA Pacífico Sur) in these two important marine areas.

The **main drivers of change** are:

- **Rapid expansion of tourism development** in the last two decades, particularly in the southern part of the MUMA Golfo de Nicoya (Puntarenas - Jacó – Potrerillos) and more recently in the MUMA Pacífico Sur, associated with the construction of the Costanera Highway from Puntarenas. Even though tourism expansion in coastal areas is now subject to increased regulation through Municipal and Coastal Regulatory Plans, marine resource-based tourism activities such as sport fishing, marine wildlife observation and recreational diving are experiencing a rapid development that has not been accompanied by the adoption of biodiversity conservation practices and standards.
- **The depletion of fishing stocks** (crustaceans such as white shrimp, finfish and shellfish) is particularly acute in the Gulf of Nicoya, which concentrates most of the 11,000 fishers estimated countrywide. The coastal waters off Costa Rica's Pacific coast sustain a rich marine fishery, but burgeoning artisanal, industrial and sport fishing fleets are significantly increasing the pressure on marine resources. The port city of Puntarenas and the coastal town of Quepos are the two main fisheries centers in the Central Pacific Region, absorbing 62% of the national catch, with a total annual catch of 6,698 and 4,690 metric tones respectively. Small-scale artisanal fisheries account for 80% of the fishing fleet, the remainder being comprised of larger artisanal fishing, long-lining and bottom-trawling vessels. Informal fishing is an additional problem, since it is often practiced disregarding all fishing regulations (only about 3,000 of the estimated 11,000 fishers hold a license with INCOPECSA). Many low-income coastal residents fish for self-consumption or to generate seasonal income. While the incursions of the industrial fleet contribute to overfishing in both MUMAs, current evidence suggests that addressing the threat of depletion of fishing stocks in the MUMAs, particularly in the Gulf of Nicoya, requires as a first step a serious effort in managing artisanal fishing areas and organizing fishing communities, so that they can exercise an increased level of self-regulation and more sustainable resource use.
- **Both land-based and coastal contamination** is threatening marine and coastal ecosystems. Contamination is particularly serious in the Gulf of Nicoya: nearly 25% of Costa Rica's territory, containing some of its largest urban centers, drains into the Gulf via the Tárcoles, Tempisque and Bebedero rivers, meaning that its waters receive 55% of Costa Rica's wastewaters. The pollution load includes untreated municipal and industrial waste streams from the San José Metropolitan Area, where about 90% of the country's industry is located. The Gulf is also heavily impacted by sedimentation from erosion in the upper watersheds and coastal development, as well as by contaminants from mining, agricultural and aquaculture operations<sup>3</sup>. Heavy metal concentrations have been detected in mollusks, such as the piangua clam (*Anadara tuberculosa*). While water quality and ecosystem health is considerably better in the Golfo Dulce, early signs of contamination, including fish kills and die-offs of shellfish, have also been reported in the waters near the head of the gulf. Likewise, sedimentation rates are beginning to increase, which is contributing to deterioration in coral reefs, and pollution from untreated sewage in coastal towns and beaches threatens public health and tourism in coastal areas, especially along tourist beaches (a development that received ample press coverage in the country in 2008-09).

The analysis of **root-causes** of the loss of biodiversity in the MUMAs Golfo de Nicoya and Pacífico Sur has been enriched by important inputs from four participatory workshops organized during project preparation, and has identified the following underlying causes.

First, critical gaps and limitations in the **legal and institutional framework and existing institutional coordination and capacities** seriously impede management effectiveness and need to be addressed in order to permit integrated planning and management in the two MUMAs. A consensus has been reached among key institutions that the legal framework needs to be adjusted to give MUMAs status as marine multiple-use planning areas, rather than as a category of protected area without clear legal status. Specific regulatory instruments and marine zonings for each MUMA are needed to define operational mechanisms and establish regulations of uses.

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<sup>3</sup> To address this threat MINAET promotes a program for pollution control based on economic instruments, applying a "canon de vertido".

Local governing capacities need to be increased with a particular focus on strengthening the Marine Commission in the MUMA Pacífico Sur and a restructuring of the Commission for MUMA Golfo de Nicoya (as it is not presently operational). Another important limitation is the lack of reliable, continuous funding. Both MUMAs lack mechanisms for sustainable financing and depend on sporadic, usually project-related resources, mainly from international conservation organizations.

Second, the lack of **sustainability of key economic activities** in both MUMAs contributes significantly to existing degradation processes and increases threats to marine and coastal biodiversity. To date, no systematic effort has been made to promote the adoption of best environmental practices by marine-coastal tourism operators, and no specific standards have been developed in order to ensure that the existing Certification of Sustainable Tourism scheme (developed by ICT) includes tourism activities based on marine and coastal resources. Also, the control and supervision of coastal fisheries is by and large ineffective, and only recently have disarticulated attempts been made to promote self-regulation and establish territorial fisheries management plans with artisanal fishing communities. So far, no comprehensive strategies have been developed in the MUMAs to promote environmentally and financially sustainable alternative livelihoods for vulnerable fishing communities, which would enable them to substitute and/or complement income from fishing and hence decrease pressure on fishing stocks.

Third, the absence of **integrated information management** hampers decision-making processes and negotiations between stakeholders, and contributes to low management effectiveness. Existing environmental, socio-economic and legal-institutional data, as well as resource-use information, are managed by individual institutions for internal use, are not collected with a view toward managing the system at the level of the MUMA, are not systematically shared between institutions, and are not readily available to decision-makers and users groups. There is also a clear need in both MUMA to develop a monitoring system that would, based on a manageable set of key ecological and socio-economic indicators, contribute to the availability of information about the MUMAs and facilitate collaborative management among stakeholders.

#### PROJECT APPROACH AND BENEFITS

The approach chosen for this Project recognizes that the ecological integrity of both MUMAs, as critically important tropical coastal-marine systems in the Eastern Pacific Ocean, will largely depend on a substantial improvement of their management effectiveness. The Project promotes the integrated planning and management of the marine and coastal ecosystems in the MUMAs Golfo de Nicoya and Pacífico Sur as a means for conserving their biodiversity, sustaining the production of environmental services, and providing a basis for sustainable socio-economic development based on tourism, fisheries and other sustainable livelihood options (community-based tourism, handicrafts, sustainable small-scale aquaculture etc). In addition to responding to site-specific issues in each MUMA, the Project will also contribute to addressing common root-causes at the national level. The Project envisions the improved management in the two MUMAs as pilot experiences, which will feed corresponding national strategies and contribute to fostering their implementation, with a view to replicating successful practices in the remaining four MUMAs already declared (but currently not implemented) and in other marine and coastal areas nation-wide.

The project design is oriented directly toward the three root causes of environmental degradation and threats to biodiversity identified during project preparation. The first component addresses the critical gaps and limitations in the legal and institutional framework and existing institutional coordination and capacities. The second component will increase the sustainability of key economic activities in both MUMAs. The third component will focus on integrated information management and the implementation of participatory monitoring processes.

**Component 1: Strengthening of the Regulatory Framework and Local Capacities.** This component has three sub-components that respectively focus on the strengthening of key regulations and norms, the building of local capacity for integrated ecosystem management in the two MUMAs, and the design and implementation of sustainable financial mechanisms to assist in the funding of management activities. For the first subcomponent (regulations and norms), financed activities include clarifying the legal status of Multiple-Use Marine Areas, harmonization of existing Master Plans with other sectoral planning instruments for the two MUMAs, as well as proposals for currently missing or inconsistent regulations guiding resource use, operation, zoning and sanctions. For the second subcomponent (coordination capacity), technical assistance will be provided to the Marine Commission in each MUMA to improve representation of all key actors and the Commissions' technical and management capacities. The Marine Commissions will play a central role in the coordination of activities, including coordination among responsible national authorities, among different user groups, and between the national and

local governmental entities, which is particularly important given that local governments are responsible for all land planning issues outside of protected areas. The third subcomponent (sustainable financing) will lay the foundation for the continued integrated management of the MUMAs beyond the duration of this Project by implementing a set of sustainable financial mechanisms. Based on the financial sustainability analysis developed during project preparation, the economically most viable mechanisms are certain types of user fees. A more detailed analysis to define the most suitable and politically feasible mechanisms will be conducted, as part of developing the Business Plans for the two areas, once the legal status of MUMAs and hence the framework for implementing financial arrangements for managing these areas has been clarified. This includes the definition of operational mechanisms in Year 3 of the project and their implementation starting in Year 4. In addition to user fees, the project will explore the potential of Payment for Ecosystem Services schemes in marine ecosystems, as a secondary financial instrument for managing the resources within MUMAs. This activity is motivated by the successful implementation of PES schemes in terrestrial areas within Costa Rica, and the considerable PES experience and capacity that the country has developed as a result. Application of PES schemes in marine areas faces particular challenges that require significant adaptations and modifications to the schemes applied in terrestrial settings, and the information available for the project areas is currently insufficient to determine the most suitable form a PES scheme should take. Nevertheless, it is plausible, especially with respect to the Responsible Fishing Areas, that ecosystem services could be maintained by resource users in the two MUMAs and that a PES scheme would provide the necessary economic incentives to protect these ecosystem services in the medium- to long-term. Thus, to explore this potential further, the proposed project will finance a valuation of key marine ecosystem services in the two MUMAs, an analysis to identify the most viable options for PES schemes and the implementation of two trial projects (one per MUMA).

**Component 2: Sustainable Resource Use by the Productive Sectors.** This component focuses on rendering the productive activities within the two MUMAs, particularly those of the tourism and artisanal fishing sectors, more sustainable. With respect to tourism, the component will finance activities to expand Costa Rica's existing Sustainable Tourism Certification (CTS) to marine and coastal resource-based activities (presently CTS applies only to terrestrial activities), and to train tourism entrepreneurs in the two MUMAs in the application of the newly developed sustainability standards within their own operations. With respect to the artisanal fishing sector, the project will work both on making current practices more sustainable by supporting the implementation of Responsible Fishing Areas (RFAs) that comply with sustainability and biodiversity standards, and on developing alternative sustainable livelihoods that may complement or substitute for income currently derived from less sustainable fishing practices.

**Component 3: Improvement and Systematization of Information for Decision Making.** This component addresses the critical need for better information to guide decision making, including data on ecosystem health, socio-economic data on local communities' well being and development, and regulatory information to facilitate inter-institutional coordination and community participation. The project will finance activities aimed at consolidating existing information into a single, coherent system that is accessible to all decision makers, establishing a participatory monitoring program that will feed additional data into the information system (e.g. basic data on sustainable fisheries levels by species and information to refine the carrying capacity analyses for coastal development that are being developed as part of the IDB-financed "Catastro project"), and implementing a suitable communication and information dissemination plan, to ensure that stakeholders have the capacity to use the available information in making resource management decisions for the MUMAs.

While Costa Rica has developed a recognized leadership in terrestrial conservation processes, efforts to conserve marine and coastal ecosystems – both of national and global importance – are more recent and less consolidated. By providing concrete pilot experiences in two key marine areas of the country, this Project will make a clear contribution to biodiversity conservation at the local and national level. Furthermore, the proposed Project will contribute both directly and indirectly to the generation of global environmental benefits.

Direct contributions to **global environmental benefits** will include: a) the consolidation of two important production seascapes along the Pacific coast, together totalling 768,400 ha, under a concept of integrated coastal and marine resources management; b) an increase of the area and production sectors under certified production practices that meet sustainability and biodiversity conservation standards (Responsible Fishing Areas for sustainable artisanal fishing communities; certified tourism operators deriving revenues from marine and coastal resource-based activities); c) a reduction of pressure on fishing stocks through the promotion of alternative livelihoods for vulnerable coastal communities; and d) the reduction of illegal fishing in the MUMAs through the promotion of increased self-regulation at local levels and the promotion of collaborative surveillance arrangements between local

communities and the responsible national institutions. It is expected that the Project will have a positive impact on globally important ecosystems in the MUMAs, particularly coral reefs, seagrass beds and mangroves, and will contribute to reduce pressures on populations of marine mammals and pelagic fish species by developing specific standards for certification of marine wildlife observation and sport fishing.

The Project will also contribute indirectly to global environmental benefits as follows: a) by increasing overall management effectiveness, the project will contribute indirectly to improving conditions within the protected areas located in the two MUMAs, which include areas of global importance, such as the RAMSAR site Sierpe-Térraba; b) by developing guidelines for incorporating marine and coastal ecosystem conservation priorities into future land and coastal planning instruments such as the Municipal regulatory plans, the Project will contribute to an improved understanding of linkages between marine, coastal and land-based degradation processes, as well as to a more holistic and integrated approach to the conservation of ecosystems affected by these processes; c) lessons learned from the two pilot MUMAs will support the implementation of integrated management in the other four MUMAs already declared by the Government, will aid in the application of the National Marine Strategy outside the pilot MUMAs (through marine zoning protocols, financial sustainability mechanisms, etc) and may even serve as a case study for other multiple-use marine areas outside of Costa Rica.

## **B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL AND/OR REGIONAL PRIORITIES/PLANS:**

Costa Rica ratified the Convention on Biological Diversity (CBD) on August 26, 1994 and is party to 22 international agreements on marine and coastal resources.

The importance of marine and coastal resources to the socio-economic development of Costa Rica is reflected in the “Plan Nacional de Desarrollo 2006-2010 Jorge Manuel Dengo Obregón” (PND). The PND emphasizes that one of the great environmental challenges the country faces is to stop the deterioration of coastal and marine resources and to put in place a sustainable use model for these resources. To address this challenge, the PND proposes the development and execution of a National Plan for Marine and Coastal Resources. This proposal was realized in 2008 with the elaboration of the **National Strategy for Integrated Management of Costa Rica’s Marine and Coastal Resources** through the Comisión Interdisciplinaria Marino Costera de la Zona Económica Exclusiva de Costa Rica.

This National Strategy is furthermore aligned with the Presidential Initiative “Paz Con La Naturaleza”, a political commitment to combat environmental degradation. The Initiative’s Marine and Coastal Program aims to promote a more holistic understanding, perception and management of Costa Rica’s seas and oceans by the State and by its citizens. One of the priorities identified by the Initiative is the need to improve the institutional management and governance of marine and coastal areas within Costa Rica.

The proposed Project builds directly on the National Strategy, whose mission is to promote the sustainability of marine and coastal resources in Costa Rica within a context of environmental and social responsibility that promotes conservation and a healthy socio-economic development through integrated management by the Government, but with participation from civil society. All elements of this mission are incorporated in the Project’s design. Moreover, the project addresses the following priority issues identified in the Strategy: (i) marine activities should be developed in a manner that is well planned and consistent with the potential and sustainable development of each area [overall Project objective]; (ii) there is a need to promote economic opportunities that contribute to a better quality of life [Component 2]; and (iii) the various existing planning instruments, including coastal plans, municipal plans, environmental evaluations, protected area management plans, Master Plans for the MUMAs and regional plans, need to be integrated [Component 1].

The proposed Project is also in line with the Plan Nacional de Desarrollo Turístico Sostenible 2002-2012. This National Plan establishes sustainability as a principal factor by which Costa Rica’s tourism product differentiates itself in the market. In particular, the Sustainable Tourism Certification (CTS) awarded by ICT classifies tourism enterprises according to the level of their compliance with a set of environmental sustainability criteria. This certification scheme has received worldwide attention, including by the World Tourism Organization, but is currently limited to land-based tourism activities. The present Project contributes to bridging the gap between Costa Rica’s recent emphasis on improving marine and coastal resource management and the lack of a sustainability model for one of the key economic sectors that depends on these resources by extending the CTS to marine and coastal resource-based tourism activities and promoting sustainability practices among tourism entrepreneurs in the two MUMAs.

**C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH [GEF STRATEGIES](#) AND STRATEGIC PROGRAMS:**

This Project is consistent with the GEF Biodiversity Focal Area's Strategic Objective 2 (SO-2) "To Mainstream Biodiversity Conservation in Production Landscapes/Seascapes and Sectors", given its focus on integrating conservation and sustainability measures into marine areas whose resources are the basis for economically and socially important fishing and tourism sectors. The Project will contribute to the GEF's SO-2 Indicators by:

- increasing the area of production seascapes that is *de facto* sustainably managed, through the improvement of resource use regulations, zoning and institutional governance arrangements as well as the implementation of Responsible Fishing Areas in both MUMAs
- assisting in the certification of tourism activities and operators under an enhanced ICT certification scheme that extends sustainability and biodiversity standards to marine and coastal areas/activities, and
- implementing pilot projects on Payment for Ecosystem Services derived from marine and coastal resources, with a view to their replication/expansion in the pilot MUMAs and other marine areas.

The Project contributes to both Strategic Programmes SP-4 and SP-5. SP-4, "Strengthening the Policy & Regulatory Framework for Mainstreaming Biodiversity", is supported through the Project's strong focus on consolidating a regulatory framework for the planning and management of the MUMAs that will allow for the ecologically-sustainable use of coastal and marine resources by the key productive sectors in the areas, namely fisheries and tourism. With respect to SP-5, "Fostering Markets for Biodiversity Goods and Services", the project will create two new PES schemes for coastal and marine resources and contribute to the development of a corresponding strategy at the national level (currently limited to land-based ecosystems). Furthermore, the project will develop and promote technically rigorous certification schemes for the tourism sector in the MUMAs, as well as implement five additional Responsible Fishing Areas where ecological best practices will be applied, so as to protect the coastal and marine biodiversity that these important economic sectors depends on.

**D. JUSTIFY THE TYPE OF FINANCING SUPPORT PROVIDED WITH THE GEF RESOURCES.**

The financial support provided with the GEF Resources will take the form of a grant, which is justified by the early stage of development of integrated marine and coastal resources management in the country, and the need to: a) enhance the common context for individual actors' actions through an improved regulatory framework and consolidated local management capacities in the two MUMAs; b) support the development and adoption of biodiversity-compliant standards and practises by the private tourism sector and fishing communities; c) support alternative livelihood pilot initiatives to catalyze their replication; and d) create the necessary conditions for improved and coordinated information management and monitoring processes by the various actors in the MUMAs. It is expected that the GEF grant resources will significantly contribute to creating the institutional conditions and knowledge base for future, broader investment in marine and coastal management, including non-grant investments.

**E. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:**

The proposed Project is complementary to a number of initiatives currently in execution or in planning by the institutions involved, including two approved GEF projects.

First, the Project is directly related and closely coordinated with three projects that will serve as **grant co-financing for the present GEF Project**: an environmental enforcement initiative by SNG (US\$500,000 per year for four years), a project for the planning and management of the Golfo de Nicoya to be financed by INCOPECA and the Walton Foundation (US\$910,000 total), and part of a wastewater management project to reduce land-based contamination from tourism infrastructure in coastal zones, especially hotels, by AyA (US\$2 million total). The environmental enforcement initiative will complement GEF-financed activities in the use and conservation of coastal ecosystems (especially mangroves and wetlands), management of fishing activities and development of sustainable productive projects that comply with applicable marine and coastal resource regulations. The project for Golfo de Nicoya will support GEF-financed zoning and planning processes, support activities to render artisanal fisheries in the area more sustainable, generate science-based information about the Gulf's ecosystems and initiate alternative livelihood options in aquaculture for artisanal fishers. The wastewater management project as a whole aims to improve the environmental and sanitary conditions in and around the city of Jacó through the implementation of a sanitary system that allows the collection, treatment and adequate disposal of the city's wastewater. A portion of the project's funds (approx. 15%) will provide co-financing to the GEF Project in activities related to improving the sustainability of tourism activities in the Golfo de Nicoya, specifically through

reducing the marine and coastal impacts resulting from land-based contamination from hotels and other tourism infrastructure in the city of Jacó.

In addition to these three projects, five other initiatives are worth mentioning due to their thematic relation to the present GEF Project. SINAC and UNDP have recently initiated the execution of the GEF project “*Overcoming Barriers to Sustainability of Costa Rica’s Protected Areas System*”, with co-financing from the IDB-financed “Tourism Program in Protected Areas”. This GEF project aims to consolidate Costa Rica’s system of protected areas as a key component of the country’s sustainable development. While the focus of the project is exclusively on protected, not on productive areas, it nevertheless relates to the present Project in two important ways: i) it will enhance SINAC’s institutional capacities for management effectiveness, private sector engagement and community outreach [Outcome 2 of “Overcoming Barriers”]; and ii) it will support the development of strategies and instrument to improve the financial sustainability of the Protected Areas System and foster effective and cost-efficient management [Outcome 3 of “Overcoming Barriers”]. Given SINAC’s central role in the execution of the present Project, the institution’s enhanced capacity as well as the lessons learned from the development and implementation of financial sustainability mechanisms (albeit for protected areas) will directly benefit this Project. To promote adequate coordination with other initiatives, “the GEF Project coordinators from other GEF-funded partner projects will be invited to participate in sessions [of the ‘Overcoming Barriers’ Project Steering Committee]” (p.58, Project Document, GEF Project ID 2773). The present project intends to take advantage of this opportunity to maximize synergies between the two projects.

The aforementioned IDB-financed “*Tourism Program in Protected Areas*”, which has been approved by the Bank and is currently awaiting congressional approval, aims to strengthen the link between tourism in state-owned protected areas, conservation of those areas and sustainable socio-economic development of the communities living in proximity to protected areas. This loan operation will co-finance numerous activities of the “Overcoming Barriers” Project and thereby relates to the present Project in the ways mentioned above. Moreover, the loan will finance activities to strengthen SINAC’s financial and administrative systems, and to enhance the planning and management of sustainable tourism in and around protected areas, several of which are in coastal regions. Also, it has an additional link to the proposed GEF Project, namely through the promotion of sustainable tourism at the local level and the involvement of private tourism enterprises in the management of the natural resources on which their business depend. Coordination between the loan and this project is readily established, given that SINAC has a key role in both projects and execution of both will be coordinated by the IDB’s Office in Costa Rica.

The GEF project “*Mainstreaming Market-Based Instruments for Environmental Management*” (IBRD/FONAFIFO/MINAET) builds on the Ecomarkets project (GEF ID: 671) by developing and implementing Payment for Environmental Services (PES) programs in productive landscapes in the buffer zones of protected areas and the corridors connecting them. The focus of this project is on terrestrial areas and the application of PES programs to the protection of terrestrial ecosystems. Nevertheless, the lessons learned from the application of PES program to watersheds and productive landscapes will inform Sub-component 1.c of the proposed Project to the extent possible, given the different characteristics of terrestrial and marine PES schemes. Of particular interest to the present Project is the successful functioning of FONAFIFO, an institutional arrangement that may be worth replicating for marine and coastal PES schemes. Since MINAET is an executing partner in both projects, inter-change of information between the projects is greatly simplified.

On a more continuous basis, SINAC, SNG and MarViva are collaborating in an initiative to systematically enforce fisheries regulations in the Osa Conservation Area (and other areas of the country). This initiative has built good working relationships between the three institutions, from which the current Project will directly benefit. It has also generated important insights that serve to illustrate the challenges and needs for improvement with respect to implementing a systematic and coordinated enforcement program in the MUMAs.

Finally, the UNDP recently presented to the GEF a proposal for the project “*Consolidating Costa Rica’s Marine Protected Areas*” (GEF ID: 3956), with SINAC as the principal executing partner. This project aims to consolidate Costa Rica’s MPAs in order to increase their ecological representativeness and ensure the effectiveness of their management and their financial sustainability. Given the close link in subject area, strong connections between this project and the present GEF Project are highly likely. For effective coordination, a coordination plan will be established between the two projects at the UNDP project’s inception workshop, establishing communication mechanisms between the projects’ Steering Committees, SINAC’s marine program staff, project coordinators, and

key project staff, as well as coordination between project's AWP and with SINAC's National Coastal-Marine Program to identify areas for further cooperation and to avoid duplication of efforts.

**F. DISCUSS THE VALUE-ADDED OF GEF INVOLVEMENT IN THE PROJECT DEMONSTRATED THROUGH INCREMENTAL REASONING :**

The fundamental value-added of GEF involvement will derive from the catalytic effect of the activities to be funded: the Project is designed to a) remove a series of bottle-necks that are currently impeding initiatives by individual actors for promoting conservation and sustainable resource use within the MUMAs, b) create a context that fosters coordinated planning and management by the multiple actors in the marine areas, and c) pilot new conservation and sustainable use activities in the MUMAs to prompt replication, especially by the private sector.

**Without GEF involvement.** Without GEF involvement, it is most likely that current limitations will persist and the present level of planning and management will be maintained or deteriorate. MUMAs are currently not fully recognized as planning areas, marine zoning for the MUMAs has not been established yet, and the MUMAs lack legal instruments that are critical to their operation and sustainable use. In addition, gaps and overlaps in institutional jurisdictions and competences among institutions are hindering management effectiveness. And the funding of management activities in the MUMAs is dependent on limited national agency resources (and the priorities for allocating these sparse resources) and contributions from conservation NGOs for specific conservation activities. The Commission of the MUMA Pacífico Sur may lose momentum due to reduced funding from conservation NGOs in the next years (as a result of declining contributions in the wake of the global economic situation), and it is unlikely that the Commission of the Gulf of Nicoya will be restructured without a specific facilitation process. The lack of sustainable financing mechanisms will leave both MUMAs dependent on a variable and not necessarily well coordinated inflow of funds from international NGOs and development agencies.

Several initiatives exist to address certain elements of the drivers of change targeted by this project, but their impact is limited outside an integrated planning and management framework. Specifically, MINAET promotes a program for terrestrial pollution control affecting coastal waters and resources, but rapid expansion in coastal tourism development is exacerbating the problem of sedimentation and coastal contamination. ICT has developed standards and a sustainable tourism certification scheme for terrestrial tourism activities but there are no corresponding standards for marine activities. INCOPECA, together with local communities, has experimented with the development of rules, regulations and fishing practices to be implemented in Responsible Fishing Areas, but lacks the operational capacity for zoning these areas, establishing new areas and implementing the required monitoring and enforcement to protect the participating fishers' user rights under the agreed regulations and practices. Some pilot initiatives for alternative livelihood activities have taken place but there is a lack of systematization of these initiatives and related research, and data on the economic and environmental feasibility of the initiatives are absent or inconsistent, which make it difficult to access national and international financing (including established national trust funds such as JUDESUR and INCOP-ICT). These short-comings will constrain the pace of adoption of improved standards, best practices and management arrangements in the tourism and artisanal fishing sectors, and communities in the MUMAs will likely continue to depend heavily on State incentives during no-fishing periods, rather than developing alternative livelihood projects.

Finally, the lack of systematic information management will continue to be a limiting factor. The various existing systems are mostly of internal use by a particular government entity or NGO and not shared among institutions on a systematic basis. Projects that have generated relevant information (GIS, monitoring data on specific species such as marine mammals) and the results of university-based investigations are not generally available. Thus, it is unlikely that the necessary information will reach public and private decision-makers or users of marine and coastal resources, that needed agreements will be negotiated on the basis of sound, shared information, or that collaborative monitoring of the state of the MUMAs will be implemented and used to improve data availability.

**With GEF Involvement.** The GEF alternative will allow for the consolidation of key elements of the regulatory framework governing the MUMA, the strengthening of local management capacities through the Marine Commissions, and the design and implementation of sustainable financing mechanisms, including pilot experiences of Payment for Environmental Services, to fund important management activities within the two MUMAs. Moreover, the lessons learned from the MUMAs Golfo de Nicoya and Pacífico Sur will enrich the toolkit for implementing priority activities (marine zoning protocol, financial sustainability strategy, etc) from the *National Strategy for the Integrated Management of Costa Rica's Marine and Coastal Resources* and practices and instruments developed and piloted will be replicable in the implementation of effective management in the

remaining four MUMA in the country. By contributing to an improved institutional and regulatory framework for more effective management in the MUMAs, it is expected that the GEF alternative will also contribute to create a more attractive environment for further national and international investment in integrated coastal–marine resources management, in both MUMAs involved in this Project, in other MUMAs and at the national level.

The GEF alternative will also be instrumental in accelerating the pace of adoption of certifications, improved standards, best practices, and responsible management arrangements for the more sustainable use of marine and coastal resources in the MUMAs by the private sector, particularly by tourism operators applying the expanded certification scheme of the ICT to marine and coastal activities and by artisanal fishers implementing and expanding sustainable management and conservation practices through the establishment of Responsible Fishing Areas. In addition, it will contribute to developing alternative livelihoods for local fishing communities by developing a robust project portfolio and facilitating access to financing by national and international sources.

Finally, the GEF alternative will support the consolidation of existing information into an Integrated Environmental Information System for the two pilot MUMAs, which will be readily accessible to all stakeholders at the local, regional and national level. In addition, the project will facilitate the closing of information gaps and incorporation of new information, such as that generated by an IDB-funded Cadastre project currently in implementation. The GEF alternative will also enable a more participatory management in the two MUMA, specifically through the development of a participatory monitoring programme that will complement other monitoring efforts and the implementation of a communication plan that will keep public and private actors in the MUMAs informed on and involved in the integrated planning and management activities in the two areas.

**G. INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS, THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MANAGEMENT MEASURES:**

The main risk to project execution is related to *existing weaknesses in the legal framework governing the MUMAs*, in particular the fact that the revised version of the Executive Decree creating the MUMAs has not been published yet. While this risk may affect the approval of MUMA-specific regulatory instruments (such as operational regulations of the MUMAs), it should not affect other key activities such as the marine zoning and the approval of sector-specific regulatory instruments. This risk will be mitigated by activities in Components 1 and 2 that will result in local co-management arrangements backed by sector-specific decrees (such as the establishment of Responsible Fishing Areas, backed by complementary fishing regulations issued by INCOPECA). Similarly, marine zoning is not only a “de jure” approach to strengthening the regulatory framework, but will also be used as a “de facto” approach to promoting voluntary agreements on resource use and management between local actors (e.g. artisanal fishers and the sport-fishing industry in the MUMA Pacífico Sur).

The *limited inter-institutional coordination and local management capacities*, particularly in the MUMA Golfo de Nicoya, poses a moderate risk. To mitigate this risk, the project will make use of existing and well-functioning national level coordination mechanisms, especially the Comisión Interdisciplinaria Marino Costera de la Zona Económica Exclusiva. In the MUMA Golfo de Nicoya, Component 1 will support the re-organization of the Marine Commission, drawing lessons from the previous experiences and taking into account key aspects of the MUMA Pacífico Sur process. The risk of a continued lack of functionality of the Golfo de Nicoya Marine Commission at the beginning of the project will be mitigated by the adoption of an alternative approach if required, which will consist in establishing separate coordination mechanisms around SINAC’s ACOPAC Conservation Area for the Puntarenas-Jacó area and around SINAC’s ACT conservation area for the north-western area of the Gulf of Nicoya.

The *high level of dependence on external sources of funding for coastal-marine conservation* also constitutes a moderate risk for the operation, particularly in the MUMA Pacífico Sur, since it is expected that international conservation funding might be harder to access in the near future. The project will mitigate this risk by developing MUMA-specific business plans and implement sustainable financing mechanisms (including pilot PES schemes), which will aim at increasing private sector and national financing.

A different but related risk is the *potential negative impact of global economic down-turn on private sector willingness* to contribute to sustainable conservation efforts. Project activities will include willingness-to-pay studies and seek to maintain an active involvement of stakeholders and resource users through the MUMAs’ Marine Commissions in order to mitigate this risk. This is considered a low to medium level risk.

Finally, the up-coming *change of government* (presidential and legislative elections in February 2010) could affect the current national priority given to the implementation of integrated marine-coastal resources management. However, this is considered a low-level risk, since important integrated coastal management and fisheries policies are in place at the national level, and the main impetus for the proposed Project derives from the involvement of the technical divisions of government entities and local actors, which will not be affected by the national election, since government changes in the country usually maintain the technical structures in place. Additionally, because the Executing Agency is an NGO, rather than a governmental entity, the risk associated with political changes can be considered low.

It is not expected that climate change-related risks will significantly affect the project's objectives and activities from being accomplished in the timeframe proposed. This is due to the fact that the project is focused on the improvement of processes and strengthening capacity; activities that are not *per-se* affected by impacts of climate change. Nevertheless, climate change-related impacts will almost invariably result in changes within the ecosystems contained within the two MUMAs. These ecosystem changes in turn will have implications for the resources managed through the aforementioned processes and used by the various user groups. Local-level forecasting is at present not accurate enough to provide reliable information on what specific changes will affect the two gulf areas that are the focus of the proposed project. Yet, it is virtually certain that management strategies for the two MUMAs will have to adjust to the changing resource conditions. From this perspective, the coordination mechanisms to be strengthened by the proposed project gain even greater relevance; since they bring all key user groups to the table and foster a joint management of the resources, the Marine Commissions will be able to serve as a suitable forum for addressing shifts in resource management or even possible use conflicts that may arise as a result of the changing climate and its impacts on marine and coastal resources. Also, the harmonization of planning instruments and the proposal for marine-coastal planning will be measure that should facilitate adaptation to climate changes within the project areas.

#### **H. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN:**

The following description lays out the four principles that were applied during the formulation of this Project which support the cost-effectiveness of its design:

First, the Project builds on existing institutions and processes, both at local and national levels. For example, the CMZEE provides a good forum for high-level coordination among the key institutions involved in the project (MINAET-SINAC, INCOPESCA, ICT, SNG and leading NGOs), as evidenced by the successful elaboration of the *National Strategy for Integrated Management of Costa Rica's Marine and Coastal Resources* in 2008. Similarly, in the MUMA Pacífico Sur, a local Commission has been functioning under SINAC's coordination and will be made more effective through the support from the proposed project. Drawing on the experiences gained from establishing this Commission, the Project will support the establishment and initial operation of a similar commission in the MUMA Golfo de Nicoya, with adjustments to the particularities of that area as required. Likewise, the project will build on existing processes, standards and protocols. For example, for the certification of sustainable tourism, the project will strengthen and complement ICT's existing CTS to be also applicable to marine and coastal activities, instead of developing a new certification protocol. The marine zoning process builds on existing coastal area planning processes (municipal regulation plans, terrestrial zoning, etc), but also strengthen them through specific guidelines to ensure that future sectoral planning take into account key aspects of the marine zoning. Thus, by building on existing institutions and processes, the project can take advantage of existing experiences and initiatives and foster improvements at a reduced cost.

Second, the project focuses on eliminating bottlenecks that currently impede advances in integrated management by the different stakeholders. Specifically, the project will: a) make existing information accessible to all key actors and implement systems for effective information sharing; b) systematize and strengthen disconnected local initiatives aimed at developing alternatives to fishing activities; c) develop a strategy and project portfolio to attract sustainable financing; d) support broadly participatory processes for marine and costal resource management, which will strengthen the involvement of local users in the planning, management and conservation of the resources their livelihoods depend on, and e) improve the regulatory framework of the MUMAs to facilitate private and public investment decisions.

Third, creating the conditions for up-scaling and replication is at the heart of the project strategy and will contribute to its cost-efficiency. This approach is reflected in all three components: a) lessons learned from the zoning exercises in the two MUMAs will aid in the formulation of a national-level protocol for marine zoning, which will

enhance the planning capacity of the CMZEE and facilitate zoning exercises in other MUMAs (Component 1); b) stakeholders will benefit from experiences gained during pilot projects in more sustainable resource use by productive sectors, and the systematization of local initiatives and project portfolios will facilitate their access to funding (Component 2); and c) the integrated information and monitoring system of the MUMAs will facilitate the implementation of information and monitoring systems in other MUMAs and allow for continued incorporation of relevant marine and coastal information into a national-level planning system through its link to the Sistema Nacional de Información Territorial (SNIT) (Component 3).

Fourth, to support the continued cost-effectiveness of the financed activities, the Project will develop business plans and sustainable financing mechanisms to generate funding for the required management activities in the two pilot MUMAs. In this context, it is also worth emphasizing that the Project is designed to allow for future leveraging of existing funding mechanisms. For example, JUDESUR (“Junta de Desarrollo del Sur”) is a public regional development fund that finances local productive projects. To date, the lack of feasibility studies has been the key obstacle to financing any marine or coastal resource related project. By developing a portfolio of projects – with feasibility studies – that provide alternatives to traditional fishing, the GEF intervention will facilitate applications for JUDESUR funding in a cost-effective manner. Thus, the project contains several elements aimed at creating opportunities for leveraging existing, but currently inaccessible or under-used, funds.

### **PART III: INSTITUTIONAL COORDINATION AND SUPPORT**

#### **A. INSTITUTIONAL ARRANGEMENT:**

Costa Rica’s six MUMAs were created by Executive Decrees Nos. 24282 and 24483 in August 1995. The Decrees did not define the legal status of this new category, and institutional responsibilities for their management were therefore based on existing regulations and institutional arrangements. Hence, the Ministry of Environment, Energy and Telecommunications is responsible for managing protected marine and coastal areas that form part of the National System of Conservation Areas (SINAC). Outside of terrestrial protected areas, the local municipalities and the Costa Rican Institute of Tourism are responsible for developing and enforcing the plans regulating development in the coastal zone, whereas the Costa Rican Institute for Fisheries and Aquaculture (INCOPECA) is charged with regulating the fisheries sector. However, there is a certain overlap between these various activities with the responsibilities of the National Coastguard Service (SNG) who is charged with the overall enforcement of infractions of marine and coastal regulations, including for example incursions into protected areas, cutting of coastal/mangrove forests and illegal fishing. Other institutions with important responsibilities in the area covered by the two MUMAs are the Ministry of Health (MS), the Ministry of Planning (MP), the National Animal Health Service (SENASA) and the Instituto Costarricense de Puertos del Pacífico (INCOP)

To increase inter-institutional coordination and synergies and to facilitate integrated management, a Marine Commission was established for each of the two MUMA’s that form part of this project. The Comisión Interinstitucional Marino y Costera del Área de Conservación de Osa was created through Executive Decree No. 32801 and is comprised of the following institutions: MINAET-SINAC, INCOPECA, ICT, SNG, the Research Center for Ocean Science and Limnology (CIMAR) of the University of Costa Rica, the National University’s School of Exact Sciences, the Municipality of Osa, the Municipality of Golfito, the Ministry of Public Works and Transport (MOPT), the Port Authority, the Regional Biodiversity Council of the Osa Conservation Area (CRACOSA), and three non-governmental organizations specializing in marine and coastal resources issues. The Comisión para el Desarrollo y Conservación del Golfo de Nicoya was similarly created, but has not been functional for a number of years. Hence, there is currently no active inter-institutional coordination body in the MUMA Golfo de Nicoya.

The Ministries of Health and Planning, SENASA and INCOP are not currently represented on the Commissions, despite their responsibilities within the areas. Similarly, community, civil society and private sector actors are currently under-represented. The present Project therefore places emphasis, through Sub-component 1.b, on increasing the representativeness of the Marine Commissions. Similarly, it finances a series of activities specifically aimed at increasing institutional coordination within the MUMAs, so as to maximize synergies and reduce inconsistencies between the different agencies’s activities and provide greater clarity to the private sector and local communities about the management, use of resources and enforcement within the MUMAs.

## **B. PROJECT IMPLEMENTATION ARRANGEMENT:**

The Executing Agency for this GEF Project is MarViva through its office in San José, Costa Rica. The Government and the Bank agreed to select as Executing Agency a not-for-profit institution that operates in both MUMAs and has good working relations with all key stakeholder groups, in order to facilitate the execution of this intersectorial and multi-location project. MarViva, a regional NGO specialized in marine and coastal resource management, has demonstrated its capacity for the adequate legal, fiduciary, administrative and technical management of projects that are similar in nature and scope, and hence its capacity to assume the full administrative, financial and management coordination responsibilities for this operation vis-à-vis the Bank and the GEF.

For the purpose of executing this project, MarViva will establish a Project Execution Unit (PEU), consisting of a project coordinator, a fiduciary specialist and an administrative assistant, that will assume the day-to-day technical responsibilities, contract all services and goods financed by the Project following Bank procurement policies, and ensure the adequate administrative and financial management of the Project, including the preparation of the Annual Work Plan (AWP) and progress reports to be submitted to the Bank, as well as the annual Project Implementation Review to be submitted to GEF via the Bank.

A *Comité Director*, consisting of SINAC, INCOPECA, ICT and SNG, will approve the Annual Work Plan and validate the technical quality of the goods and services provided by MarViva. To ensure a smooth coordination between the *Comité* and MarViva, as well as between the government agencies constituting the *Comité*, the inter-institutional agreements governing these interactions will be a condition for first disbursement. It is not anticipated that this condition will result in delays to project execution, given that similar agreements already exist between the agencies involved in the context of other initiatives.

A strongly participatory approach is central to the project's success, given its nature and the diversity of actors involved. To ensure the participation of local stakeholders, the two Marine Commissions will assume the role of advisory committees to the *Comité Director*, responsible for promoting communication and exchange of information with local users and communities, and for providing feedback on key project documents, such as the AWP and regulatory proposals to be developed through Component 1. Participation of the Marine Commissions in this way will furthermore complement and re-enforce the capacity strengthening financed by the Project, in that commission members will see the immediate relevance of the technical assistance provided and the benefits of stronger participation in planning and management of the MUMAs

The Bank will assign responsibility for the supervision of project execution, including mid-term and final evaluations, to its Country Office in Costa Rica, with support from a natural resources specialist at Headquarters in Washington, the latter also serving as contact person with the GEF.

## **PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF:**

This Project was formulated and a PDF-A approved during GEF-3. For this reason, a PIF was not required at the time of the Request for Project Preparation Grant (PPG), approved by the GEF Secretariat on March 14, 2007. The project design presented here is consistent with the project rationale, objectives and amounts of funding presented in the PPG Request, as explained in the following paragraphs.

The project maintains the original objective of strengthening the conservation and sustainable use of globally important marine and coastal biodiversity in the Province of Puntarenas, Costa Rica through the promotion of integrated planning and management of the marine and coastal ecosystems in the MUMAs Golfo de Nicoya and Pacífico Sur. This aim responds to a number of threats that were outlined in the original PPG (expanded format used at the time of approval) and continue to endanger marine and coastal biodiversity (as described in Part II.A. of this Request): (i) rapid tourism development and unplanned coastal development; (ii) strong pressure on fish stocks from overfishing, coupled with disregard for and poor enforcement of fisheries regulations; and (iii) pollution in coastal areas from a variety of sources. To counteract threats and achieve the Project's objectives, the PDF-B suggests three lines of activities, namely "Facilitate integrated planning and regulatory management of resources in the marine and coastal zone", "Promote sustainable management of marine and coastal tourism, fisheries and aquaculture/ mariculture" and "Improve the information base for effective marine and coastal management", which are clearly reflected in the three components of the proposed Project.

In the PPG, the cost of the project was estimated at US\$11.7 million, of which US\$3.1 million were to be GEF funds and the remaining US\$8.6 million to be provided primarily by an IDB-financed loan (which was in preparation at the time the PPG request was presented to the GEF Secretariat). For reasons beyond the control of the project team, preparation of the proposed loan was discontinued in the first semester of 2008. A combined effort by MINAET-SINAC, the IDB and other stakeholders supportive of the present Project resulted in the co-financing structure presented in Part I above. Based on this level of funding, all expected outputs and outcomes presented in the PPG, with only minor adjustments made for technical reasons, have been retained in the project design presented here. Hence, there have been no fundamental changes in the scope of the project or the overall project design compared to the project concept laid out in the Request for Project Preparation Grant.

**PART V: AGENCY CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.

<p><i>Ricardo Quiroga</i>          INE/RND, IADB          GEF Agency Coordinator</p> <p>Date: <i>(Month, day, year)</i></p>	<p>Annette B. C. Killmer          Natural Resources Specialist          INE/RND, IADB          Project Contact Person</p> <p>Tel.: 202-623-2225          E-mail: <a href="mailto:annettek@iadb.org">annettek@iadb.org</a></p>
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## ANNEX A: PROJECT RESULTS FRAMEWORK

### RESULTS FRAMEWORK & INDICATOR MATRIX

<b>Project Objective</b>	To promote the integrated planning and management of marine and coastal ecosystems in the Multiple-Use Marine Areas (MUMAs) Golfo de Nicoya and Pacífico Sur (Puntarenas Province), with the goal of conserving important biodiversity, maintaining the provision of crucial ecosystem services, and providing a basis for sustainable socio-economic development through tourism, artisanal fishing and other income generating activities at the local scale
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Result Indicators	Base Line	Goal
Extent (in ha) of multiple use marine areas (consisting largely of production seascapes) that are managed in an integrated and sustainable manner	0	768,400 ha (Golfo de Nicoya: 238,000 ha; Pacífico Sur: 530,400 ha)
The regulatory framework in the two MUMAs is coherent and promotes the integrated and sustainable management of marine and coastal resources	Profound deficiencies in regulatory framework	✓
Inter-institutional coordination mechanisms in the two MUMAs are fully functional and guide the integrated and sustainable management of marine and coastal resources	Limited functionality in MUMA Pacífico Sur	✓
% of costs directly related to the integrated management of the two MUMAs covered by income from sustainable financial mechanisms, including payment for marine and coastal ecosystem services schemes	0	20%
Management decisions for the two MUMAs are based on sound technical data derived from an integrated and readily accessible information and monitoring system (that is technically, institutionally and financially sustainable)	Integrated information system does not exist	✓
Number of tourism entrepreneurs that have obtained sustainability certification for their marine and coastal resources-based activities within the two MUMAs	0	20
Extent (in ha) of Responsible Fishing Areas that are effectively managed, meet sustainability and biodiversity standards and have been certified by INCOPECA	27,320 ha	150,000 ha
Number of coastal communities that obtain income from profitable alternative sustainable livelihoods	0	10

Component 1	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
<b>Sub-Component 1a</b>						
<u>Products</u>						
Publication of the Reform Decree to amend the Decree that created MUMAs	Unpublished Decree proposal	✓				✓
# of proposals of Operating Regulations (coherent with Reform Decree) consulted and presented to MINAET	Do not exist	1 (Pacífico Sur)	1 (Nicoya)			2
# of zoning proposals, with corresponding Executive Decree, developed, consulted and published	Do not exist		2 (Both MUMA)			2
# of proposals of use regulations for specific marine and coastal resources (coherent with zoning proposal) consulted and presented to MINAET [cumulative]	Do not exist		3	6		6
# of Master Plans revised, taking into account other official planning documents (national, regional or local) and guidelines for continued harmonization between Plans and relevant sectoral planning instruments developed	Each MUMA has a Master Plan but harmonization is limited		1 (Pacífico Sur)	1 (Nicoya)		2 Master Plans harmonized and guidelines developed
# of proposals of regulations critical for effective marine and coastal management developed and presented to lead agency	Critical gaps in marine and coastal rules and norms		1 (Marine-coastal PES regulation)	1 (Fishing regulations within MUMAs)	1 (Navigation Law)	3
Proposal of consistent sanction regime for marine and coastal resources consulted and presented to relevant authorities	Lack of clarity and/or of sanctions		✓			✓
Proposal for zoning protocol and marine-coastal planning, with recommendations for strengthening the National Marine Strategy, developed & presented to CMZEE	Protocol does not exist		✓			✓
<u>Intermediate Results</u>						
# of developed proposals that have been formalized by relevant authorities	0	0	4	7	10	10
Products generated in the context of the two pilot MUMAs strengthen national framework for implementing MUMAs	Isolated initiatives	Reform decree	PES regulation; Sanctions regime; Zoning protocol		Navigation Law	✓

Component 1	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
<u>Results</u> The regulatory framework in the two MUMAs is coherent and promotes the integrated and sustainable management of marine and coastal resources	Profound deficiencies in the regulatory framework				✓	✓
<b>Sub-Component 1b</b>						
<u>Products</u> % of key public and private actors represented on and participating in the Marine Commissions of the two MUMAs	Pacífico: 60% Nicoya: --	Pacífico: 70% Nicoya: 60 %	Pacífico: 80% Nicoya: 70%	Pacífico: 90% Nicoya: 80%	Pacífico: 90% Nicoya: 90%	Pacífico: 90% Nicoya: 90%
Marine Commission of each MUMA develops AWP and monitors execution by responsible member institutions	Not currently the case		✓ (Pacífico)	✓ (Both)	✓ (Both)	✓
Agreements that govern collaboration and division of responsibilities between key institutions in the two MUMAs signed	Agreements do not exist	(Key gaps and overlaps identified)	(Proposals of agreements developed)	✓		✓
<u>Intermediate Results</u>						
Marine Commission for Pacífico Sur expands membership and consolidates its leadership role in integrated management	Commission functions to limited degree	Improved representation	Improved technical capacity	Improved management capacity		✓
Marine Commission for Golfo de Nicoya expands membership and assumes leadership role in integrated management	Commission currently not functional	Basic functionality	Improved representation	Improved technical capacity	Improved management capacity	✓
Clarification of shared competencies and responsibilities between key institutions facilitates integrated management	Lack of clarity hinders integrated management				✓	✓
<u>Results</u> Inter-institutional coordination mechanisms in the two MUMAs are fully functional and guide the integrated and sustainable management of marine & coastal resources	Limited functionality in MUMA Pacífico Sur				✓	✓
<b>Sub-Component 1c</b>						
<u>Products</u> # of Business Plans, to ensure the financial sustainability of integral management activities in each MUMA, in execution	Do not exist	(Detailed study of financial needs)	(Plans developed and consulted)	(Operational mechanisms established)	2 (Both MUMAs)	2 (Both MUMAs)

Component 1	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
# of trial projects for PES based on marine and costal resources in execution	Do not exist	(Detailed valuation study)	(Identification of feasible projects)	2 initiated (1 per MUMA)	2 continued	2
National strategy for sustainable financing of MUMAs developed and presented to MINAET	Does not exist			✓		✓
<b>Intermediate Results</b> Analysis of pilot experiences in PES based on marine and costal resources with view toward lessons learned and replication	PES applied only to conservation of terrestrial areas				✓	✓
<b>Results</b> % of costs directly related to the integrated management of the two MUMAs covered by income from sustainable financial mechanisms, including payment for marine and coastal ecosystem services schemes	0%	0%	0%	10%	20%	20%

Component 2	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
<b>Sub-Component 2a</b>						
<b>Products</b> # of marine and coastal tourism activities for which sustainability standards, based on ICT's Sustainable Tourism Certification (CTS) have been developed [cumulative]	0 (CTS applies to terrestrial activities)	(2 activities in each MUMA prioritized)	2	4		4
# of tourism entrepreneurs trained in new sustainability standards and in integrating them into their business plans	0		30 familiarized with standards	20 trained in application		20 trained in application
Sustainable tourism practices and products are promoted through and by a voluntary network of interested entrepreneurs	Network does not exist		Network established in each MUMA	Active interchange through networks	Promotional campaign by networks	✓
<b>Intermediate Results</b> # of tourism entrepreneurs that have adopted sustainable practices promoted through CTS or networks [cumulative]	0			20	40	40
# of tourism entrepreneurs that apply full sustainability standards for costal-marine resources in their operations [cumulative]	0			15	20	20

Component 2	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
<u>Results</u> # of tourism entrepreneurs that have obtained sustainability certification for marine and coastal resources-based activities within the two MUMAs [cumulative]	0			10	20	20
<b>Sub-Component 2b</b>						
<u>Products</u> # of fishing communities trained in responsible and sustainable management of fishery resources [cumulative]	1 pilot experience		8	16		16
# of Responsible Fishing Areas with planning instruments developed through participatory process [cumulative]	1		3	6		6
# of pilot projects to improve value chain for particular fishing product in execution in communities that practice responsible management of fishery resources	Do not exist			(4 projects with feasibility studies)	4	4
# of agreements governing compliance and enforcement activities, coordinated between local communities and relevant national institutions and coherent with planning instruments for Responsible Fishing Areas, in execution [cumulative]	Disconnected enforcement initiatives		(6 agreements signed)	3	6	6
<u>Intermediate Results</u> # of Responsible Fishing Areas created, recognized by INCOPECSA and operating based on fisheries management plan	1 in progress (Coopetarcoles in Golfo de Nicoya)			3	6	6
Analysis of Responsible Fishing Area experiences with view toward lessons learned and replication in other fishing areas	--	✓ (Coopetarcoles)			✓ (New areas)	✓
<u>Results</u> Extent (in ha) of Responsible Fishing Areas that are effectively managed, meet sustainability and biodiversity standards and are recognized by INCOPECSA	27,320 ha (Coopetarcoles in Golfo de Nicoya)				150,000 ha (total for both MUMAs)	150,000 ha (total for both MUMAs)

Component 2	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
<b>Sub-Componente 2c</b>						
<u>Products</u> Productive diversification strategy at level of MUMA, to complement or substitute income from fishing activities, consulted and agreed between communities and relevant institutions	Does not exist		✓			✓
# of existing productive diversification initiatives in vulnerable communities strengthened to enhance profitability and sustainability	Isolated local initiative exist	(8 identified)	4	6	8	8
# of new alternative livelihood initiatives developed and presented to suitable potential funding sources	0			(10 developed)	10 presented	10
<u>Intermediate Results</u> # of productive diversification initiatives consolidated and analyzed with view toward lessons learned and replication in other fishing communities	0				8	8
<u>Results</u> # of coastal communities that obtain income from profitable alternatively sustainable livelihoods	0				10	10

Component 3	Baseline	Year 1	Year 2	Year 3	Year 4	Goal
<u>Products</u> All data for baseline indicators collected within 6 months of project start-up	Data gaps exist	✓				✓
Integrated information system for the two MUMAs, with adequate environmental, socio-economic, legal, institutional and financial data, accessible on-line and sustainable operational arrangements for system clearly defined	A consolidated information system does not exist	(Design of system)	(System consolidated within single institution)	(System accessible to all users on-line)	(Sustainable operational arrangements defined)	✓

<b>Component 3</b>	<b>Baseline</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Goal</b>
Participatory monitoring program of the status of marine and coastal resources within the MUMAs is established and contributes data to the integrated information system	Isolated monitoring activities		✓	✓	✓	✓
Communication and information dissemination plan in execution	--	✓	✓	✓	✓	✓
<u>Intermediate Results</u> Institutions and organizations involved in the management of the MUMAs regularly use the integrated information system to reach agreements and support decisions	Integrated information system does not exist			✓	✓	✓
<u>Results</u> Management decisions for the two MUMAs are based on sound technical data derived from an integrated and readily accessible information and monitoring system (that is technically, institutionally and financially sustainable)	Integrated information system does not exist				✓	✓

## ANNEX B: RESPONSES TO PROJECT REVIEWS

Included below are the comments received from the GEF Secretariat, STAP and Council, with the corresponding responses. No comments on the PIF were received from other GEF Agencies or the Convention Secretariat.

### GEF SECRETARIAT

#### **Comment(s) at PIF**

“Please ensure full coordination with UNDP marine protected area project and outline this coordination in the CEO endorsement document” [*Item 10 of Review Sheet*] and “By the time of CEO endorsement, please consider climate change risks to long-term sustainability of achieving project outcomes.” [*Item 14 of Review Sheet*]

#### **Response at CEO Endorsement**

The two points have been respectively addressed in Part II, Section E and Part II, Section G of the FSP proposal.

### STAP

#### **Comment(s) at PIF**

STAP provided the following guidance:

- “2. STAP notes the intention to include 2 pilot schemes on payment for ecosystem services in this project. The PIF includes no details of the services to be paid for or the potential buyers and the full project proposal should include a detailed plan for the pilot projects. For the design of the pilots, STAP refers IADB to its general guidelines on PES projects and in particular the need to address the most common barriers to PES effectiveness: (i) non-compliance; (ii) poor administrative selection; (iii) spatial demand spillovers; and (iv) adverse self-selection. The full proposal should detail how each of these barriers will be addressed and the project design should be capable of assessing whether the pilot interventions were in fact effective.
3. The project also aims to increase the level of sustainability certified marine and coastal tourism activities in Costa Rica. STAP’s guidance document on whether and how certification can lead to ecosystem use changes correlated with environmental services and biodiversity will be available in late 2009. The project design should take these guidelines into account if possible.
4. A question that that the full proposal should address is why Costa Rica, with such a long history of seemingly successful capacity building and PA development projects funded by GEF and others, still needs to develop institutional and legislative capacity and frameworks in biodiversity conservation - whether in terrestrial or marine systems? This should be considered and addressed in the full project proposal, with reference to the GEF Country Portfolio Evaluation: Costa Rica (1992-2005).”

#### **Response at CEO Endorsement**

- **PES Pilot Schemes:** It is worth emphasizing that the focus of Sub-component 1c) is on the development of business plans for the two MUMAs to ensure sustainable financing for their management and on a National strategy for sustainable financing that would have broader applications to other MUMAs as well.

In this general context, the project will explore the potential of Payment for Ecosystem Services schemes in marine ecosystems, as a secondary financial instrument for managing the resources within MUMAs. This activity is motivated by the successful implementation of PES schemes in terrestrial areas within Costa Rica, and the considerable PES experience and capacity that the country has developed as a result, which was also highlighted by the GEF Country Portfolio Evaluation: Costa Rica (1992 – 2005).

However, application of PES schemes in marine areas faces particular challenges that require significant adaptations and modifications to the schemes applied in terrestrial settings, and the information available for the project areas is currently insufficient to determine the most suitable form a PES scheme should take. Nevertheless, it is plausible, especially with respect to the Responsible Fishing Areas, that ecosystem services could be maintained by resource users in the two MUMAs and that a PES scheme would provide the necessary economic incentives to protect these ecosystem services in the medium- to long-term. Thus, to explore this potential further, and building on the experience already present in Costa Rica with terrestrial

PES schemes, the project proposes to finance (a) a valuation of key marine ecosystem services in the two MUMAs (this could not be included in project preparation due to the expense entailed and the competing demands for funds for other, important preparatory studies), (b) an analysis to identify the most viable options for PES schemes and (c) two trial projects (one in each MUMA) that are aimed at testing the applicability of the most viable option(s) identified. The analytical work related to (b) will include an assessment of issues of compliance, administration, demand spillovers and adverse self-selection as part of the viability analysis.

That being said, the focus of the Subcomponent will be on the overall financial sustainability of the MUMA. The majority of financial instrument currently identified (through a financial sustainability analysis conducted during project preparation) are various types of user fees. The PES pilot projects would provide an interesting complement to these mechanisms, but by no means be a primary mechanism to ensure the achievement of management objectives in the MUMA.

- **Sustainable Tourism Certification:** As of Nov 30th, 2009, it does not appear that the mentioned guidance document has been made available to the public. It is worth noting, however, that the proposed certification scheme for marine-based tourism activities will build on Costa Rica's existing and internationally-recognized tourism certification scheme for land-based activities. This will not only facilitate the introduction of the scheme with respect to institutional issues and consumer recognition, but also allow the project to build directly on past successes and lessons learned.

The point that certification does not necessarily result in changing behavior is well taken, especially considering possible 'biased selection' (of operators with good environmental performance) associated with voluntary participation. However, the existing certification scheme has contributed to establishing Costa Rica as an eco-tourism destination, with corresponding price premiums providing a good economic incentive for tourism operators to switch to and/or increase their environmentally responsible behaviors. We anticipate observing a similar effect when the existing scheme is extended to include marine and coastal resource based activities as part of the proposed project.

While we will not be able to include STAP guidance in the preparation of this project, we will consult the document, once it is published, to determine which guidelines can be incorporated into project execution.

- **Institutional and Regulatory Strengthening:** Costa Rica does indeed have considerable institutional and legal-regulatory capacity in the context of protected areas management, specifically with respect to terrestrial areas. The institutional, legal and regulatory strengthening of the current project addresses a different need: the capacity to manage multiple-use productive marine areas. The current challenges posed to an effective management of these areas are: (a) the lack of clarity on the legal status of Multiple-Use Marine Areas (MUMAs), (b) the corresponding absence of regulatory instruments and marine zoning/spatial planning for MUMAs, and (c) the scattering of regulatory responsibilities for each MUMA among a large number of governmental entities, requiring greater inter-institutional coordination and improved harmonization of policies, regulations and enforcement efforts for each MUMA between the different entities. The legal, regulatory and institutional strengthening proposed by the project will be targeted to address these critical issues. While some of the regulations and capacities required for effective management of MUMAs can – and will – build on those already existing in the context of terrestrial PA management, the focus on productive activities, inter-institutional coordination and the marine environment necessitate particular skills and frameworks that the country has not yet been able to establish since the declaration of the MUMAs in 1995, but will be able to replicate in the other four MUMAs already declared (and potentially in other multiple-use marine areas) subsequent to the successful implementation of the proposed project.

The GEF Country Portfolio Evaluation: Costa Rica (1992 – 2005) supports the justification of the proposed project in that it points out that the country's marine protected areas are beneficial but of limited impact given Costa Rica's extensive coastal and marine resources and highlights the Gulf of Nicoya as the most degraded marine area due to overexploitation of its resources and pollution. In this context, integrating biodiversity into productive seascapes provides a strong complement to the environmental benefits achieved through strictly protected marine areas, particularly in seascapes with high levels of economic activity where marine conservation measures are most like to be adopted as part of a broader, integrated approach.

## COUNCIL

### 1. SWITZERLAND

#### **Comment(s) at PIF**

“The project is presented under GEF's focal area Biodiversity and addresses the Strategic Programmes BD-SP4-Policy and BD-SP5-Markets, with the project complying with both of them.

The objective is to improve integrated planning and management of two Multiple-Use Marine Areas (MUMAs) in Costa Rica by i) strengthening the regulatory framework and local capacities, ii) rendering productive activities (especially tourism and artisanal fishing) more sustainable and iii) by improving and systematising the information provided for decision making.

Switzerland recognises a significant potential of the project to generate benefits for local and global biodiversity as well as for the livelihood of the local population by introducing two pilot schemes on payment for ecosystem services, by assisting the certification of tourism activities and operators and increasing the area of production seascapes managed sustainably.

Conclusions and Recommendations: Switzerland recommends endorsement of this project.”

#### **Response at CEO Endorsement**

The project team would like to thank Switzerland for recognizing the project’s significant potential for generating local and global benefits, and for the recommendation made.

### 2. FRANCE

#### **Comment(s) at PIF**

“The project provides an integrated approach for the management of Marine and coastal resources in the east coast of Costa Rica.

The project is very relevant as the fisheries of this coast are under high pressure, but reading the document PIF, the current activities proposed seem more of some “wishful thinking” than resulting from a detail field assessment.

The project should be improved on the following point:

- There is already some management agreement with fishermen on this coast and some regulations which are not correctly respected by fishermen and poorly enforced by local authorities : the project is not addressing how this new project will be able to get better result than what is already in place : additional training and sensitization seem not convincing to get better results.
- The project is not addressing the shark fining activities and traffic with neighbouring countries which are still very important in these area;
- We share the STAP concern concerning the feasibility of 2 PES (payment for ecosystem services) schemes. We add that these 2 PES scheme are supposed to provide sustainable funding for the activities, but the overall financial and technical feasibility of such schemes remain totally unclear. The project need to clarify what are these PES schemes, what is the level of ownership from stakeholders, and if the financial streams expected from these PES scheme will be sufficient to cover the costs of the integrated management of the coastal and marine resources.
- The project intend to develop alternative livelihoods for the fishermen families, but it remains unclear how much fishermen will benefit from these alternative compared to the number of fishermen implementing unsustainable fishing activities in the area (it is said that there is more than 11.000 fishermen in Costa Rica, and that a majority of them are in the project area, while it seem little convincing that the project could involve a massive shifting of activities of this population in only 4 years of project duration)

Opinion: taking into account these aspects, favourable subject to a strong integration of STAP recommendations”

## Response at CEO Endorsement

Thank you for recognizing the relevance of this project, particularly to the fisheries in the project area.

- The project will be working with the fishers and the various enforcement authorities in the areas in order to remove several of the bottlenecks that are currently preventing better management. While the project will finance training and sensitization, the main focus will be on improving coordination among governmental agencies, fostering a clear and consistent application of regulations in the two areas, and working with the fishers and INCOPECA on the implementation of Responsible Fishing Areas, an approach to sustainably manage local fisheries that has support from local fishing cooperatives. By working with both the governmental authorities and the resource users themselves to remove overlaps, contradictions and gaps in the current regulatory structure, the project anticipates to achieve the proposed results. Moreover, the project was consulted with user groups in the two MUMAs during project preparation, and the proposed results were jointly agreed on as being both desirable and achievable by the various stakeholder groups involved.
- In direct response to the demands and priorities of the Government of Costa Rica, the proposed project focuses on the mainstreaming of biodiversity considerations into two economically very important productive seascapes. Part of the project will be the improved enforcement of environmental regulations in the two areas, including any formal regulations that relate to the conservation and management of particular species or groups of species. With respect to shark conservation, it is also worth noting that INCOPECA, an integral partner of the proposed project, presented the *Plan de Acción Nacional para la Conservación y Ordenación del Tiburón en Costa Rica* (PANT), on April 2<sup>nd</sup>, 2009. In line with other national plans developed in neighbouring countries, the plan outlines actions to be taken to protect and sustainably manage shark populations. As applicable, measures included in the PANT will be incorporated into the design of the Responsible Fishing Areas.
- Details on the activities related to PES schemes are included in Part II, Section A of the FSP proposal.
- The major impact of this project in the fisheries sector will derive from the implementation of Responsible Fishing Areas, i.e. work with the fishers to render their fishing activities more sustainable. This work is anticipated to result in a total of six RFA during the execution of the project, corresponding to approximately 150,000ha in area (20% of the total area of the two MUMAs), with replication potential post project completion in other parts of the two MUMAs and in other MUMAs. In addition, the project intends to support approx. 10 initiatives that assist vulnerable fishing communities to diversify their productive activities in a sustainable and profitable manner. The intent is not to promote a large scale shift to other activities, but rather to offer interested fishing communities – some of which have already tried to initiate diversification projects - the opportunity to complement or substitute income from fishing activities, as a diversification strategy that can assist with compliance with fishery regulations by providing more flexibility in the source of income available to fishers and their families.

Details on the integration of STAP comments are provided in the corresponding section in this Annex.

## ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF RESOURCES

All consultants to be hired for this project using GEF resources will be **local** consultants.

### FOR PROJECT MANAGEMENT

Position Titles	\$/ person month	Estimated person months	Tasks to be performed
Project Coordinator	3250	48	Overall project coordination on behalf of MarViva, including planning, coordination, monitoring and evaluation of the activities financed by this project, supervision of the consulting contracts entered into for the execution of this project, and coordination with MarViva, the Bank, SINAC and the other three member institutions of the Comité Director.
Fiduciary Specialist (finance and procurement)	2200	24	Procurement and financial activities required for project execution, including preparation of calls for Expressions of Interest and procurement packages, coordination of selection processes, negotiation and finalizing of consulting contracts and the financial accounting and reporting required by the Bank and the GEF.
Administrative Assistant	825	48	Administrative support to the Project Coordinator and the Fiduciary Specialist in the carrying out of their functions.
<p><i>Justification for Travel, if any:</i> The Project Coordinator will be located in San José, Costa Rica, to facilitate coordination with the members of the Comité Director and the Bank. However, regular visits to both project sites will be required for the proper coordination of this project.</p>			

### FOR TECHNICAL ASSISTANCE

The **estimated dollar rate per person week** has been averaged to \$1000 for all consultants providing technical assistance. Given the large number of consultants required and the fact that contracting will be grouped into approximately 12 contracting packages (see Procurement Plan, Annex IV, Plan of Operations), an accurate estimate for each position was not possible.

Position Titles	Estimated person week	Tasks to be performed
<b>Component 1 - Strengthening of Regulatory Framework and Local Capacities</b>		
<i>Consultancy 1 - Regulatory framework: Reform Decree, regulatory proposals and sanction regime</i>		
Legal specialist (w/ focus in environment and/or natural resources)	61	Drafting and presentation to competent authority of Reform Decree (which will establish MUMAs' legal status as coastal-marine planning areas), of proposals of Operation Regulations coherent with Reform Decree, of Marine-coastal PES regulation, fishing regulations within MUMAs and Navigation Law, and of proposals for a unified penal and administrative sanction regime for the use and access to coastal-marine resources in the MUMAs.
<i>Consultancy 2 - Regulatory framework: zoning, harmonizing Master Plans, user regs, zoning protocol &amp; planning proposal</i>		
Environmental Planner (w/ focus in marine & coastal resource planning)	50	Planning, coordination, monitoring, and control of the participatory zoning processes and of the harmonization of the existing Master Plans with other sectoral instruments (including any required up-dating of the plans) for the two MUMAs; Systematization of planning lessons learned from these processes in pilot MUMAs; drafting and presentation to CMZEE of proposal for zoning protocol and marine-coastal planning, with recommendations for strengthening the National Marine Strategy, based on systematization.
Legal specialist (w/ focus in environment and/or natural resources)	16	Drafting and presentation to competent authority of zoning proposals (decree), proposals of use regulations for specific marine and coastal resources (coherent with zoning); Systematization of legal lessons learned from these processes in pilot MUMAs; collaborate w/ Environmental Planner on proposal to CMZEE.

<b>Position Titles</b>	<b>Estimated person week</b>	<b>Tasks to be performed</b>
Marine Biologist	62	Identify, systematize and provide scientific information on marine and coastal resources in the two MUMAs to support zoning and Master Plan activities; Actively contribute to participatory zoning processes and Master Plan harmonization; Collaborate with legal specialist and planner in drafting proposals of use regulations for specific marine and coastal resources (coherent with zoning) for the two MUMAs, and on proposal to CMZEE.
Social Scientist	44	Identify, systematize and provide scientific information on the social, economic, and cultural characteristics of the two MUMAs to support zoning and Master Plan activities; Actively contribute to participatory zoning and Master Plan harmonization processes.
Facilitator for Participatory Processes	16	Organize and facilitate the participation of stakeholders in zoning processes, in the development of proposals of use regulations for specific marine and coastal resources, and in Master Plan harmonization for the two MUMAs; Systematize and disseminate results from participatory processes.
GIS Specialist	4	Provide GIS support to zoning process, including geo-referencing and integration of GIS data into information system.
<i>Consultancy 3 - Support for agreements on collaboration between institutions with management responsibility in MUMAs</i>		
Social Scientist	4	Support for involvement and participation of key public and private actors in the two Marine Commissions.
Institutional Specialist	8	Elaboration of proposed agreements for improved mechanisms of institutional cooperation and division of responsibilities between key institutions in the two MUMAs, in close coordination with those institutions.
<i>Consultancy 4 - Facilitators for Marine Commissions</i>		
Facilitators for Marine Commissions (2)	192 (total)	Sustained mediation and institutional support to the Marine Commissions (especially during Commission meetings) to facilitate a productive collaboration between participants in the integrated management of each MUMA.
<i>Consultancy 5 - Sustainable Financial Mechanisms sub-component, except admin. of PES funds</i>		
Financial Specialist (w/ focus on environmental/conservation finance)	48	Formulation of business plan for each MUMA (including operational mechanisms), to ensure financial sustainability of integrated management, and assistance with initial implementation phase; Drafting and presentation to MINAET of National strategy for sustainable financing of MUMAs.
Facilitator for Participatory Processes	4	Organize and facilitate the participation of stakeholders in the preparation of Business Plans; Systematize and disseminate results from participatory processes.
Environmental Economist (w/ focus on PES)	24	Identification and development of economically, ecologically and institutionally viable Payment for Environmental Services Schemes based on marine and coastal resources for the two MUMAs (including PES valuation study); implementation of one PES pilot project in each MUMA (w/ Resource Manager).
Coastal and Marine Resource Manager	24	Identification and development of economically, ecologically and institutionally viable Payment for Environmental Services Schemes based on marine and coastal resources for the two MUMAs (coherent with regulations pertinent to marine and coastal resources); implementation of one PES pilot project in each MUMA (w/ Environmental Economist).

<b>Position Titles</b>	<b>Estimated person week</b>	<b>Tasks to be performed</b>
<b>Component 2 - Sustainable Resource Use by Key Productive Sectors</b>		
<i>Consultancy 6 - Sustainable Tourism sub-component, except administration of promotion funds</i>		
Sustainable Tourism Specialist	138	Development of sustainability standards for marine and coastal tourism activities, based on ICT's Sustainable Tourism Certification (CTS); Assistance to tourism entrepreneurs in learning new standards, incorporating them in their business plans and obtaining certification; Collaborate with Marketing Specialist in establishment of entrepreneur networks to promote sustainable tourism practices and products, including proposal for product integration and operative mechanisms to build sustainable tourism services clusters and marketing processes.
Trainer in Sustainable Tourism Practices	10	Planning, design, and implementation of training for tourism entrepreneurs in new sustainability standards and in integrating standards into business plans.
Tourism Marketing Specialist	12	Establishment of entrepreneur networks in both MUMAs to promote sustainable tourism practices and products, including proposal for product integration and operative mechanisms to build sustainable tourism services clusters and marketing processes.
<i>Consultancy 7 - Artisanal Fishing sub-component, except administration of pilot project funds</i>		
Fisheries Biologist	136	Development, in collaboration with INCOPECA, of detailed ecological parameters for Responsible Fishing Areas, including assessment of current status of key resources based on best available information; Planning, design, and implementation of Responsible Fishing Areas, including technical aspects of training in responsible and sustainable management of fishery resources; Support of associated participatory processes, pilot projects and compliance & enforcement agreements through technical inputs on ecological issues.
Institutional Specialist (w/ focus on community organizations)	136	Assistance with development of detailed parameters for Responsible Fishing Areas, specifically those related to institutional/organizational aspects; Assistance with planning, design, and implementation of Responsible Fishing Areas in general; Responsible for implementing training in responsible and sustainable management of fishery resources and participatory processes associated with implementation of Responsible Fishing areas, with technical support from fisheries management specialist; Support of pilot projects and compliance & enforcement agreements through technical inputs on organizational/institutional issues.
Fisheries Management Specialist	96	Assistance with development of detailed parameters for Responsible Fishing Areas, specifically those related to fisheries management aspects; Key role in training communities in responsible and sustainable management of fishery resources; Support of associated participatory processes, pilot projects and compliance & enforcement agreements through technical inputs on fishery management issues.
Business Administration Specialist	32	Planning, design and implementation of pilot projects to improve value chain for four selected fishing products, including transparent selection of targeted products and development of corresponding feasibility studies.
<i>Consultancy 8 - Alternative Sustainable Livelihoods sub-component, except administration of diversification project funds</i>		
Alternative Livelihood Specialist	48	Development of productive diversification strategy at level of MUMA; identification of existing productive diversification initiatives and strengthening of selected initiatives to enhance their profitability and sustainability; development of new alternative livelihood initiatives, including identification and presentation to suitable potential funding sources.

<b>Position Titles</b>	<b>Estimated person week</b>	<b>Tasks to be performed</b>
<b>Component 3 - Improvement and Systematization of Information for Decision Making</b>		
<i>Consultancy 9 - Completion of Baseline</i>		
Monitoring and Evaluation Specialist	24	Up-dating and completion of baseline, including compilation of any available data on carrying capacity and sustainable fisheries levels by species.
<i>Consultancy 10 - Design and implementation of integrated information system</i>		
Information Systems Specialist	48	Design and implementation of readily accessible integrated information system (SIG-Web based), including protocol and mechanisms for its administration (w/ System Engineer).
Systems Engineer	36	Design and implementation of readily accessible integrated information system (SIG-Web based), including protocol and mechanisms for its administration (w/ Information Systems Specialist).
Coastal and Marine Resource Manager	30	Identification, evaluation, gathering and systematization of natural science related information for establishment and updating of information system.
Social Economist	30	Identification, evaluation, gathering and systematization of social science related information for establishment and updating of information system.
<i>Consultancy 11 - Implementation of participatory monitoring program, except equipment and monitoring services funds</i>		
Marine Ecologist	48	Design and implementation of participatory monitoring program, including protocol and methodologies for implementation and administration, to evaluate status of marine and coastal resources within the MUMAs and contribute data to the integrated information system.
Monitoring and Evaluation Specialist	48	Design and implementation of participatory monitoring program, including protocol and methodologies for implementation and administration, to evaluate status of marine and coastal resources within the MUMAs and contribute data to the integrated information system.
<i>Consultancy 12 - Implementation of communication and information dissemination plan</i>		
Web Designer	2	Design of project web-page, consistent with needs of communication plan.
Social Communications Specialist	30	Finalization and implementation of communication and information dissemination plan for the two MUMAs.
<i>Justification for Travel, if any:</i> Travel expenses for local consultants will mostly cover costs related to field activities such as studies, technical assistance, training activities, and other site-based activities. Most consultants are likely to reside in San José or in one of the project areas and will therefore require extensive travel to one or both of the two MUMAs.		

**ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS**

**A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.**

The objective of the PPG, as presented in the PPG proposal approved by the GEF on March 14, 2007, was to develop the full-sized GEF Project proposal and complement co-financing resources from the IADB for the preparation of diagnostic/technical studies and the participatory formulation of *Planes Directores* for the two pilot MUMAs, Golfo de Nicoya and Pacífico Sur. This objective has been fully achieved.. The diagnostics for the *Planes Directores* were completed in November 2007 and the plans themselves in February 2008 (components 1 and 2 of the PPG). These diagnostics and plans, including the corresponding indicative action plans for both areas, provided the cornerstones for the development of the present Project (component 3 of the PPG). In addition, both GEF and co-financing resources were used during the preparation of the Master Plans and the full-sized GEF Project proposal to consult with local stakeholders and ensure that the Project meets the needs and realities within the project areas. All major documents developed during the preparation phase are listed on page iii (“Information available in the Files of INE/RND”) of the Plan of Operation accompanying this Request and are available from the Project Contact Person listed above upon request.

**B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:**

All findings during project preparation that might notably affect project design and/or are cause for concern during project implementation either have been addressed within the design of the Project presented here or are discussed explicitly (together with measures to reduce the risks posed) in Part II.G of this Request.

**C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:**

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
1. Integrated diagnostic/ technical studies	Completed	50,000	46,059	0	3,941	175,000
2. Participatory formulation of integral master plans & indicative action plans for the Marine & Coastal Master Plans	Completed	0	0	0	0	100,000
3. Participatory design of the Full-sized GEF/IDB Project	Completed	195,000	140,181	46,560	8,259	0
4. External evaluation (STAP Review)	No longer applicable	5,000	0	0	5,000	0
5. PPG management cost	Completed	0	0	0	0	0
<b>Total</b>		250,000	186,240	46,560	17,200	275,000

\* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee. 30. April 2010

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**COSTA RICA**

**INTEGRATED MANAGEMENT OF MARINE AND COASTAL  
RESOURCES IN PUNTARENAS**

**(CR-X1004)**

**PLAN OF OPERATIONS**

This document was prepared by the project team consisting of: Annette Killmer (INE/RND; Team Leader); Luis Hernando Hintze (RND/CCR); Rikke Olivera (INE/RND); Juan Carlos Perez-Segnini (LEG/SGO); and Lisa Restrepo (INE/RND).

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## **ANNEXES**

ANNEX I	Results Framework
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## **APPENDICES**

Draft Resolution

## **BASIC SOCIOECONOMIC DATA**

For basic socioeconomic data, including public debt information, please refer to the following address:

[http://www.iadb.org/countries/home.cfm?id\\_country=CR&language=English](http://www.iadb.org/countries/home.cfm?id_country=CR&language=English)

**INFORMATION AVAILABLE IN THE FILES OF INE/RND**

Diagnostic for Preparation of Master Plan and Indicative Action Plan (Pacífico Sur)  
Diagnostic for Preparation of Master Plan and Indicative Action Plan (Golfo de Nicoya)  
Master Plan and Indicative Action Plan for the MUMA Pacífico Sur  
Master Plan and Indicative Action Plan for the MUMA Golfo de Nicoya  
Diagnostic of Legal and Institutional Framework  
Preliminary Report of Baseline and Alternative GEF Scenarios  
Incremental Cost Analysis  
Stakeholder and Institutional Capacity Analysis  
Communication Strategy  
Financial Sustainability Plan  
Completed GEF Tracking Tool for Biodiversity Strategic Program SP-2  
Monitoring and Evaluation Plan

## ABBREVIATIONS

AyA	Instituto Costarricense de Acueductos y Alcantarillados
CMZEE	Comisión Interdisciplinaria Marino Costera de la Zona Económica Exclusiva de Costa Rica
CTS	Certification of Sustainable Tourism
GEF	Global Environment Facility
ICT	Costa Rican Institute of Tourism
INCOPECA	Costa Rican Institute for Fisheries and Aquaculture
INRECOMAR	National Coastal and Marine Resources Institute
MINAET	Ministry of Environment, Energy and Telecommunications
MUMA	Multiple Use Marine Area
NGO	Non-governmental Organization
PEU	Project Execution Unit
SINAC	Sistema Nacional de Áreas de Conservación
SNG	National Coastguard Service
SNIT	Sistema Nacional de Información Territorial
TC	Technical Cooperation
TOR	Terms of Reference
UNDP	UN Development Programme

**PLAN OF OPERATIONS  
For Non-reimbursable Technical Cooperation Programs**

**(CR-X1004)**

**EXECUTIVE SUMMARY**

<b>Beneficiary:</b>	Sistema Nacional de Áreas de Conservación (SINAC); MarViva		
<b>Executing agency:</b>	MarViva		
<b>Target Beneficiaries:</b>	Local fishing communities and tourism operators in the Multiple-Use Marine Areas (MUMAs) Golfo de Nicoya and Pacífico Sur in the province of Puntarenas, Costa Rica, as well as national and local governmental agencies active within the project area.		
<b>Financing:</b>	IDB (GEF):	US\$	3.0 million
	Local:	US\$	8.8 million
	Total:	US\$	11.8 million
<b>Objectives:</b>	To promote the integrated planning and management of marine and coastal ecosystems in the MUMAs Golfo de Nicoya and Pacifico Sur, with the goal of conserving important biodiversity, maintaining the provision of crucial ecosystem services, and providing a basis for sustainable socio-economic development through tourism, artisanal fishing and other income generating activities at the local scale.		
<b>Execution timetable:</b>	Execution period:	48 months	
	Disbursement period:	54 months	
<b>Special contractual conditions:</b>	<u>Conditions prior to first disbursement:</u> (1) The Executing Agency has established the Project Execution Unit, as described in Paragraph 4.2. (2) The agreement between the Executing Agency (MarViva) and SINAC has been signed. (3) Additional inter-institutional agreements governing the interactions between the <i>Comité Director</i> and the Executing Agency have been signed.(see Paragraph 4.3)		
<b>Exceptions to Bank Policies and Procedures:</b>	None		
<b>Environmental and social review:</b>	Reviewed by ESR on April 17, 2009. Classified as Category C project with no further actions required.		
<b>Coordination with Other Donors:</b>	The project will coordinate with related initiatives by the UN Development Programme (UNDP), the Global Environment Facility (GEF) and the Walton Foundation through the SINAC, who is a key collaborator in all major costal and marine resources related activities in the project areas.		

## I. BACKGROUND AND JUSTIFICATION

- 1.1 The extensive continental shelf off the Pacific coast of Costa Rica and the coastal ecosystems of the Golfo de Nicoya, Golfo Dulce and the Térraba-Sierpe wetland system in the Puntarenas Province provide for a particularly rich marine and coastal biodiversity and high-level productivity. According to 2009 data, a total of 6777 species, or 3.5% of the world's total, have been identified within Costa Rica's Pacific marine and coastal areas. The beaches along the Pacific coast are important nesting sites for four of the world's seven species of endangered sea turtles. Térraba-Sierpe, the largest mangrove area (33,500 ha) in Central America, has been designated under the RAMSAR Convention as a site of global significance for the protection of aquatic birds and serves as nursery area for a variety of coastal and marine species of commercial and ecological importance. 25 species of dolphins and whales, including humpback and pilot whales, have been observed in the waters of the Golfo Dulce and around the Osa Peninsula. In the Golfo de Nicoya, 204 species of macro-invertebrates have been identified, along with 274 species of fish, 84 species of coastal birds, 135 species of terrestrial mammals and three marine mammal species
- 1.2 The ecological and socio-economic importance of the coastal and marine resources of Puntarenas Province is reflected in the fact that two of the six Marine Multiple Use Areas (MUMAs), declared by the Government in 1995 (Executive Decrees Nos. 24282 and 24483; August 1, 1995) with the objective to protect and conserve marine and coastal resources through integrated management, are located in Puntarenas Province: the MUMA Golfo de Nicoya and MUMA Pacífico Sur (Osa Peninsula and Golfo Dulce). These two areas respectively comprise 238,000 ha (Golfo de Nicoya) and 530,400 ha (Pacífico Sur).
- 1.3 The principal issue to be addressed by this TC is the increasing degradation of marine and coastal resources (MUMA Golfo de Nicoya) and the increasing level of threats to biodiversity resources (MUMA Pacífico Sur) resulting from: i) rapid expansion of tourism development in the last two decades; ii) the depletion of fishing stocks, which is particularly acute in the Gulf of Nicoya, where most of the estimated 11,000 fishers nationwide operate; and iii) land-based and coastal contamination (nearly 25% of Costa Rica's territory, containing large urban centers, drains into the Gulf of Nicoya via the Tárcoles, Tempisque and Bebedero rivers, meaning that its waters receive 55% of Costa Rica's wastewaters).
- 1.4 The observed environmental degradation and increasing threats to biodiversity can be traced to three principal underlying causes. First, critical gaps and limitations in **the legal and institutional framework and existing institutional coordination and capacities** seriously impede management effectiveness and need to be addressed in order to permit integrated planning and management in not presently operational). Both MUMAs lack mechanisms for sustainable financing and depend on sporadic, usually project-related resources, mainly from international conservation organizations. Second, the lack of **sustainability of**

**key economic activities** in both MUMAs contributes significantly to existing degradation processes and increases threats to marine and coastal biodiversity. To date, no systematic effort has been made to promote the adoption of best environmental practices by marine-coastal tourism operators. Also, the control and monitoring of coastal fisheries is by and large ineffective, and only recently have disarticulated attempts been made to promote self-regulation and establish territorial fisheries management plans with artisanal fishing communities. So far, no comprehensive strategies have been developed in the MUMAs to promote environmentally and financially sustainable alternative livelihoods for vulnerable fishing communities, which would enable communities to substitute and/or complement income from fishing. Third, the absence of **integrated information management** hampers decision-making processes and negotiations between stakeholders, and contributes to low management effectiveness. Existing environmental, socio-economic and legal-institutional data, as well as resource-use information, are managed by individual institutions for internal use, are not collected with a view toward managing the system at the level of the MUMA, are not systematically shared between institutions, and are not readily available to decision-makers and users groups. There is also a clear need in both MUMA to develop a monitoring system that would, based on a manageable set of key ecological and socio-economic indicators, facilitate collaborative management among institutions and users groups.

- 1.5 Recognizing that the ecological integrity of both MUMAs, as well as the considerable socio-economic benefits derived from their coastal and marine ecosystems, will largely depend on substantial improvement in the effective management of these multiple-use marine areas, the Government of Costa Rica has solicited the Bank's assistance, in its role as a GEF Agency, in the preparation of this GEF project. The project takes a two-pronged approach aimed at promoting integrated management of coastal and marine resources both at the local and the national scale. To this end, the project will finance activities that correspond closely to the particular context encountered in each MUMA. Yet, building on these pilot experiences, the project will also finance activities that strengthen national-level strategies and norms, improve access to information and foster replication of similar activities in other multiple use marine areas of considerable socio-economic and ecological importance. The replication and continuation of the financed activities is further supported by the considerable counterpart funding, which is required by the GEF but also provides a strong involvement of local and national stakeholder, which promotes the sustainability of the results achieved beyond the duration of the project itself. The proposed TC is in line with the Bank's Country Strategy for Costa Rica, particularly with the objective of "Deepening the country's growth and international positioning model" by increasing the sustainability of the fisheries and tourism sectors in two key productive areas of the country.

## II. PROGRAM DESCRIPTION

- 2.1 The purpose of this non-reimbursable Technical Cooperation (TC) is to promote the integrated planning and management of marine and coastal ecosystems in the MUMAs Golfo de Nicoya and Pacifico Sur, with the goal of conserving important biodiversity, maintaining the provision of crucial ecosystem services, and providing a basis for sustainable socio-economic development through tourism, artisanal fishing and other income generating activities at the local scale. The specific objectives are to strengthen the MUMAs governance structures, promote sustainable private sector practices and improve information for decision making.
- 2.2 Accordingly, this GEF project will finance three components: (i) Strengthening of the Regulatory Framework and Local Capacities; (ii) Sustainable Resource Use by the Productive Sectors; and (iii) Improvement and Systematization of Information for Decision Making
- 2.3 Component 1: Strengthening of the Regulatory Framework and Local Capacities. This component has three sub-components that respectively focus on the strengthening of key regulations and norms, the building of local capacity for integrated ecosystem management in the two MUMAs, and the design and implementation of sustainable financial mechanisms to assist in the funding of management activities for the two MUMAs. Financed activities include the updating of existing Master Plans for the two areas, as well as proposals for currently missing or inconsistent regulations guiding resource use, operation, zoning and sanctioning within the MUMAs. Also, technical assistance will be provided to the Marine Commission in each MUMA to improve representation of all key actors and the Commissions' technical and management capacities. To lay the foundation for the continued integrated management of the MUMAs beyond the duration of this TC, Component 1 includes the implementation of sustainable financial mechanisms, including pilot experiences in applying Payment for Ecosystem Services schemes to marine and coastal resources in the two MUMAs.
- 2.4 Component 2: Sustainable Resource Use by the Productive Sectors. This component focuses on rendering the productive activities within the two MUMAs, especially those of the tourism and artisanal fishing sectors, more sustainable. With respect to tourism, the component will finance activities to expand Costa Rica's existing Sustainable Tourism Certification (CTS) to marine and coastal resource-based activities (presently CTS applies only to terrestrial activities), and to train tourism entrepreneurs in the two MUMAs in the application of the newly developed sustainability standards within their own operations. With respect to the artisanal fishing sector, the project will work both on making current practices more sustainable by supporting the implementation of Responsible Fishing Areas that comply with sustainability and biodiversity standards, and on developing alternative sustainable livelihoods (e.g community tourism, acuiculture, mariculture and crafts) that may complement or substitute for income currently derived from less sustainable fishing practices.

- 2.5 Component 3: Improvement and Systematization of Information for Decision Making. This component addresses the critical need for better information to guide decision making, including biological data on sustainable fisheries levels by species and carrying capacity for coastal development, socio-economic data on local communities' well being and development, and regulatory information to facility inter-institutional coordination and community participation. The project will finance activities aimed at consolidating existing information into a single, coherent system that is accessible to all decision makers, establishing a participatory monitoring program that will feed additional data into the information system, and implementing a suitable communication and information dissemination plan, to ensure that stakeholders have the capacity to use the available information in making resource management decisions for the MUMAs.

### III. COST AND FINANCING

- 3.1 The total cost of the Project has been estimated at US\$11.8 million, US\$3.0 million of which will be provided as grant funding from the Global Environment Facility (GEF), through the Bank in its role as GEF Agency. The remaining US\$8.8 million will be provided by various government entities, in line with the GEF's requirements in regard to counterpart funding. Specifically, the Sistema Nacional de Areas de Conservacion (SINAC) will provide US\$3,023,000 in in-kind resources. The Servicio Nacional de Guardacostas (SNG) and the Instituto Costarricense de Acueductos y Alcantarillados (AyA)<sup>1</sup> will contribute US\$2 million each in grant resources, and the Instituto Costarricense de Pesca y Acuicultura (INCOPECA) will provide US\$910,000 as grant resources and US\$880,000 in-kind. These contributions are backed by Letters of Commitment, as required by the GEF. Table 1 provides the summary cost table for the project. (For a detailed estimated budget, see Annex II.)

**Table 1. Estimated Cost by Component (in '000 US\$)**

<b>Component</b>	<b>IDB (GEF)</b>	<b>Local</b>	<b>Total</b>
Strengthening Regulatory Framework & Capacities	639	4,259	4,898
Sustainable Resource Use by Productive Sectors	1,270	3,860	5,130
Improvement & Systematization of Information	791	603	1,394
Project Management	300	91	391
<b>TOTAL</b>	<b>3,000</b>	<b>8,813</b>	<b>11,813</b>

- 3.2 **Sustainability.** Contributing to the long-term sustainability of integrated marina and coastal management in both MUMAs is a central tenet of this GEF project. To promote said sustainability beyond the duration of the project, the TC a) has a

<sup>1</sup> Co-financing from AyA focuses on the reduction of land-based contamination from tourism infrastructure in coastal zones, especially hotels, as part of the sustainable tourism practices (Sub-component 2a). Since AyA operates under the direction of the MINAET, it is not directly represented on the *Comité Director*.

strong focus on stakeholder involvement and participatory decision process, which will generate local capacity and institutional sustainability; b) will implement a financial sustainability plan to increase income from public and private sources generated on the basis of marine and coastal resource use in the MUMAs and directly benefiting the integrated management of these resources; and c) establishes a coherent management framework and information system for the MUMAs, which creates enabling conditions for further public and private investment.

#### IV. EXECUTING AGENCY AND MECHANISM

##### A. Executing Agency and Mechanism

- 4.1 The executing agency for this GEF Project is MarViva through its office in San José, Costa Rica. The Bank, in consultation with the Government decided to select as executing agency a not-for-profit institution that operates in both MUMAs and has good working relations with all key stakeholder groups, in order to facilitate the execution of this intersectorial and multi-location project. Several highly qualified NGOs were interviewed and assessed during the design of this TC, and the final choice was made by the Bank, in consultation with the Government, based on the organization's technical capacity, the fit of the present project with the mission and other initiatives of the organization, the proposed executing arrangements within the Executing Agency and the organization's presence and relationship with stakeholders in the project area. MarViva, a regional NGO specialized in marine and coastal resource management, has demonstrated its capacity for the adequate legal, fiduciary, administrative and technical management of projects that are similar in nature and scope, and hence its capacity to assume the full administrative, financial and management coordination responsibilities for this operation vis-à-vis the Bank and the GEF.
- 4.2 MarViva will establish a Project Execution Unit (PEU), consisting at minimum of a project coordinator, a fiduciary specialist and an administrative assistant, that will be financed by the project. The PEU will assume the day-to-day technical responsibilities, contract all services and goods financed by the project, following Bank procurement policies, and ensure the adequate administrative and financial management of the project, including the preparation of the Annual Work Plan (AWP), progress reports to be submitted to the Bank and an annual external audit.
- 4.3 A *Comité Director*, consisting of SINAC, INCOPESCA, ICT and SNG, will approve the Annual Work Plan and validate the technical quality of the goods and services provided by MarViva. To ensure a smooth coordination between the *Comité* and MarViva, as well as between the government agencies constituting the *Comité*, the inter-institutional agreements governing these interactions will be a condition for first disbursement. It is not anticipated that this condition will result in delays to project execution, given that similar agreements already exist between the agencies involved in the context of other initiatives.

- 4.4 A strongly participatory approach is central to the TC's success, given its nature and the diversity of actors involved. To ensure the participation of local stakeholders, the two Marine Commissions will assume the role of advisory committees to the *Comité Director*, responsible for promoting communication and exchange of information with local users and communities, and for providing feedback on key project documents, such as the AWP and regulatory proposals to be developed through Component 1. Participation of the Marine Commissions in this way will furthermore complement and re-enforce the capacity strengthening financed by the TC, in that commission members will see the immediate relevance of the technical assistance provided and the benefits of stronger participation in planning and management of the MUMAs

**B. Program implementation readiness**

- 4.5 This TC is ready to be implemented upon Bank approval. All technical analyses required by the Bank and the GEF prior to approval, indicative Terms of Reference (TOR) for key consulting position or consultancy have been developed (see Annex III) and the Operating Manual is currently being developed.

- 4.6 Conditions prior to first disbursement: (1) The Executing Agency has established the Project Execution Unit, as described in Paragraph 4.2. (2) The agreement between the Executing Agency (MarViva) and SINAC has been signed. (3) Additional inter-institutional agreements governing the interactions between the *Comité Director* and the Executing Agency have been signed.

**C. Execution period and disbursement schedule**

- 4.7 The execution period of the present TC is 48 months, with a disbursement period of 54 months, based on the complexity significant counterpart funding of the TC.

**D. Procurement**

- 4.8 Procurements for the proposed TC will be carried out in accordance with the *Policies for the Procurement of Works and Goods Financed by the Inter-American Development Bank* (GN-2349-7) and the *Policies for the Selection and Contracting of Consultants Financed by the Inter-American Development Bank* (GN-2350-7; July 2006). The present TC will primarily finance technical assistance, targeted scientific and technical analyses, and stakeholder training, workshops and consultations. The TC will not finance any major works and the procurement of goods will be in direct support of the technical services provided. The responsibility for selecting, contracting and supervising consulting services, as well as the responsibility for procuring goods in accordance with Bank policy rests with the Executing Agency. In order to facilitate procurement processes, project activities have been bundled where possible and in line with the nature of the activities, thereby reducing the total number of contracts required. Annex IV provides the procurement plan for the first 18 months of project execution.

## V. MONITORING AND EVALUATION

- 5.1 The project design incorporates two separate but complementary types of monitoring. Component 3 finances the implementation of an integrated information system and corresponding participatory monitoring program, to continue beyond the duration of this GEF project. This system will track a considerable number of indicators related to the environmental, socio-economic, legal, institutional and financial performance of the MUMA, and will be designed to support planning and management decisions for the two areas. Some of the information generated through this system will be useful in the evaluation of project performance, especially as part of the final evaluation. However, since the system will primarily track impact indicators, results may not be readily analysable within the relatively short timeframe that the system will have been operational by the end of the project (2-3 years). To directly monitor and evaluate the performance of the GEF project, the TC will therefore track the completion of particular products critical to project success, as well as the progress toward intermediate results and result indicators, as established in the Results Framework (see Annex I).
- 5.2 **Technical and basic responsibility** for monitoring project execution rests with the Executing Agency and all corresponding monitoring and evaluation activities will be coordinated by the PEU. As required, the *Comité Director* may provide inputs and/or guidance in these activities, however, the Executing Agency is ultimately responsible vis-à-vis the Bank for the adequate monitoring and evaluation of the TC. The PEU will also be responsible for collecting, within the first 6 months of project execution, all remaining data needed to ensure a complete baseline for measuring project performance via the Results Framework.
- 5.3 To permit an adequate level of coordination by the Bank, the Executing Agency will submit semi-annual progress reports, with the first being submitted six months after project start-up and the final report upon project completion. These **progress and final reports** should provide a succinct up-date on the progress toward achieving the objectives and deliverables of the TC, each including information for the report period on (i) progress achieved in the implementation of all TC activities, including degree of compliance with the AWP and Results Framework, key results achieved, and important financial information; and (ii) major issues encountered during the respective period, actions taken to resolve them, important points for clarification with the Bank that have arisen during the period covered by the report, and, if applicable, a brief presentation of any issues that are likely to affect the satisfactory completion of the work, including recommendations for minimizing negative impacts on project execution.
- 5.4 Moreover, in accordance with GEF requirements, the Bank in coordination with the Executing Agency will elaborate an annual Project Implementation Review, to be submitted to the GEF Secretariat. Also, using fee resources provided for this purpose by the GEF, the Bank will carry out a **mid-term evaluation** when 40%

of the GEF resources have been disbursed or 30 months after the project contract goes into effect, whichever comes first. This review focuses on whether the project strategy is performing according to the established objectives, or if adjustments are necessary. A **final evaluation**, shortly after TC completion, focuses on the extent to which the project objectives have been reached, the level of stakeholder participation in decision-making, positive changes in beneficiaries' practices due to the intervention, as well as sustainability and cost-effectiveness. In addition, both evaluations will assess the following key questions: (i) How is the Project contributing to decentralized and participatory management of both MUMAs?; (ii) What progress has been made towards ensuring the financial sustainability of biodiversity conservation and management activities in each MUMA?; (iii) To what extent have communities and the private sector internalized and diversified the sustainable use of biodiversity and good practice in their productive activities and what types of socio-economic benefits are being generated?; (iv) Are management decisions being made on the basis of the best available and accurate information?; and (v) How are the results and lessons learned from the project being used to foster national strategies and toolkits for integrated planning and management of marine and coastal resources?

## VI. PROGRAM BENEFITS AND RISKS

- 6.1 **Program benefits and developmental impact.** The principal benefit anticipated from this project is its catalytic role in establishing the integrated and sustainable management of the MUMAs Golfo de Nicoya and Pacífico Sur, which together cover over 750,000 ha of marine and coastal area of great socio-economic and ecological importance (both nationally and globally). A correlated benefit is the active participation of local stakeholders in the coordinated management of the two MUMAs, giving local communities greater awareness and responsibility in the sustainable management of the resources they depend on. Moreover, the experiences gained in the context of these two areas will inform similar management efforts of productive seascapes in other parts of the country, or possibly even the region. The expected development impact of this TC is the increased compatibility of socio-economic activities with marine and coastal ecosystems in the two MUMAs, which in turn is expected to foster long-term sustainability of the activities due to a better long-term management of the resources that these activities directly depend on.
- 6.2 **Target Beneficiaries.** It is expected that the project will have a positive socio-economic impact on local communities in the MUMAs Golfo de Nicoya and Pacífico Sur in the province of Puntarenas, Costa Rica, through the promotion of more sustainable tourism activities, fishing practices and alternative (or complementary) livelihoods. In addition, the project will benefit the national and local governmental agencies active within the project area, as it is designed to facilitate coordination between these institutions, reducing redundancies and leveraging synergies between management activities currently undertaken by the different entities.

- 6.3 **Risks.** As part of the risk analysis required by the GEF, three medium level risks which could potentially affect project implementation have been identified. First, existing weaknesses in the legal framework governing the MUMAs, especially the need to change the MUMA's status from a management to a planning category, may affect the approval of MUMA-specific operating regulations. To mitigate this risk, the project includes key planning activities, such as marine zoning and sector-specific regulatory instruments that are not dependent on the publication of the reform decree. Second, the limited inter-institutional coordination and local management capacities, particularly in the MUMA Golfo de Nicoya, pose a moderate risk, but Component 1b is directly designed to mitigate this risk. And third, the current global financial situation may in the short to medium-term reduce private sector willingness to contribute to sustainable conservation efforts and/or affect the level of complementary marine and coastal conservation activities, particularly in the MUMA Pacífico Sur, that are currently financed through international conservation funds. To mitigate this risk, Component 1c designs and implements sustainable financial mechanisms and Component 2 is designed to demonstrate the benefits of more sustainable practices to private sector actors within the MUMAs.

## VII. ENVIRONMENTAL AND SOCIAL REVIEW

- 7.1 This TC was reviewed by ESR on April 17, 2009 and classified as Category C project with no further actions required.
- 7.2 This TC finances technical assistance, scientific analyses and small investments in goods with the explicit goal of conserving important biodiversity, maintaining the provision of crucial ecosystem services, and providing a basis for sustainable socio-economic development in the MUMAs Golfo de Nicoya and Pacífico Sur. The project will be instrumental in consolidating the legal and regulatory framework for MUMAs. While the Executive Decrees that created MUMAs as a management category define the concept, they do not establish the category's legal nature or protection status. The TC aims to rectify this, as well as to make necessary adjustments and additions to existing *Planes Directores* and sectorial planning instruments in order to ensure their consistency and completeness with respect to zonification of the MUMAs, user regulations, operational aspects and enforcement and compliance measures. The TC will also increase the sustainability of productive activities that are currently contributing to the degradation of marine and coastal resources in the two MUMAs. (The TC will only support productive activities in areas of the MUMA that allow for such activities. Moreover, it is anticipated that the participatory zoning process financed through this TC will contribute to improving the *de facto* protection of existing conservation and marine protected areas within the two MUMAs.) As such, this TC is designed to have a positive impact on the environment, as well as on marginalized socio-economic groups, particularly those involved in artisanal fishing activities, within the project area.

**DETAILED ESTIMATED PROGRAM BUDGET (IN US\$)**

Item	Year 1	Year 2	Year 3	Year 4	Total
<b>Component 1: Strengthening of the Regulatory Framework and Local Capacities</b>					
<u>Sub-Component 1a - Strengthening of Regulatory Framework</u>					
Consultants (Honoraria)	51,000	136,000	56,000	10,000	<b>253,000</b>
Travel Expenses	3,750	6,900	3,150	0	<b>13,800</b>
Workshops & Meetings	8,000	14,000	4,000	0	<b>26,000</b>
Equipment	0	0	0	0	<b>0</b>
Other	0	0	0	0	<b>0</b>
Counterpart Financing	631,104	1,703,981	694,214	126,221	<b>3,155,520</b>
<b>Total for Sub-component</b>	<b>693,854</b>	<b>1,860,881</b>	<b>757,364</b>	<b>136,221</b>	<b>3,448,320</b>
<u>Sub-Component 1b – Strengthening of Local Capacities</u>					
Consultants (Honoraria)	27,360	38,400	15,360	7,680	<b>88,800</b>
Travel Expenses	3,500	0	0	0	<b>3,500</b>
Workshops & Meetings	16,000	12,000	6,000	0	<b>34,000</b>
Equipment	0	0	0	0	<b>0</b>
Other	0	0	0	0	<b>0</b>
Counterpart Financing	233,070	323,291	127,813	67,666	<b>751,840</b>
<b>Total for Sub-component</b>	<b>279,930</b>	<b>373,691</b>	<b>149,173</b>	<b>75,346</b>	<b>878,140</b>
<u>Sub-Component 1c – Sustainable Financial Mechanisms</u>					
Consultants (Honoraria)	48,000	12,000	36,000	4,000	<b>100,000</b>
Travel Expenses	3,000	3,000	4,500	1,500	<b>12,000</b>
Workshops & Meetings	0	4,000	2,000	2,000	<b>8,000</b>
Equipment	0	0	0	0	<b>0</b>
Other – Support for PES Funds	0	0	50,000	50,000	<b>100,000</b>
Counterpart Financing	168,883	42,221	126,662	14,074	<b>351,840</b>
<b>Total for Sub-component</b>	<b>219,883</b>	<b>61,221</b>	<b>219,162</b>	<b>71,574</b>	<b>571,840</b>
<b>TOTAL COMPONENT 1</b>	<b>1,193,667</b>	<b>2,295,793</b>	<b>1,125,699</b>	<b>283,141</b>	<b>4,898,300</b>
<b>Component 2: Sustainable Resource Use by the Productive Sectors</b>					
<u>Sub-Component 2a – Sustainable Tourism</u>					
Consultants (Honoraria)	24,000	73,000	63,000	0	<b>160,000</b>
Travel Expenses	5,000	16,000	11,000	0	<b>32,000</b>
Workshops & Meetings	0	8,000	2,000	0	<b>10,000</b>
Equipment	0	0	0	0	<b>0</b>
Other	0	10,000	10,000	0	<b>20,000</b>
Counterpart Financing	365,970	1,113,159	960,671	0	<b>2,439,800</b>
<b>Total for Sub-component</b>	<b>394,970</b>	<b>1,220,159</b>	<b>1,046,671</b>	<b>0</b>	<b>2,661,800</b>

Item	Year 1	Year 2	Year 3	Year 4	Total
<b>Sub-Component 2b – Sustainable Artisanal Fisheries</b>					
Consultants (Honoraria)	57,600	171,200	171,200	0	<b>400,000</b>
Travel Expenses	0	58,000	70,000	0	<b>128,000</b>
Workshops & Meetings	0	34,000	50,000	0	<b>84,000</b>
Equipment	0	0	0	0	<b>0</b>
Other	0	0	100,000	100,000	<b>200,000</b>
Counterpart Financing	141,120	419,440	309,720	109,720	<b>980,000</b>
<b>Total for Sub-component</b>	<b>198,720</b>	<b>682,640</b>	<b>700,920</b>	<b>209,720</b>	<b>1,792,000</b>
<b>Sub-Component 2c – Sustainable Alternative Livelihoods</b>					
Consultants (Honoraria)	0	24,000	24,000	0	<b>48,000</b>
Travel Expenses	0	6,000	6,000	0	<b>12,000</b>
Workshops & Meetings	0	0	0	0	<b>0</b>
Equipment	0	0	0	0	<b>0</b>
Other – Support for diversification projects	0	88,000	88,000	0	<b>176,000</b>
Counterpart Financing	0	219,900	219,900	0	<b>439,800</b>
<b>Total for Sub-component</b>	<b>0</b>	<b>337,900</b>	<b>337,900</b>	<b>0</b>	<b>675,800</b>
<b>TOTAL COMPONENT 2</b>	<b>593,690</b>	<b>2,240,699</b>	<b>2,085,491</b>	<b>209,720</b>	<b>5,129,600</b>
<b>Component 3: Improvement and Systematization of Information for Decision Making</b>					
Consultants (Honoraria)	160,000	88,000	40,000	8,000	<b>296,000</b>
Travel Expenses	7,000	4,000	0	0	<b>11,000</b>
Workshops & Meetings	18,000	14,000	6,000	6,000	<b>44,000</b>
Equipment - Monitoring	60,000	60,000	60,000	20,000	<b>200,000</b>
Other – Support for carrying out monitoring programs	40,000	80,000	80,000	40,000	<b>240,000</b>
Counterpart Financing	326,054	179,330	81,513	16,303	<b>603,200</b>
<b>TOTAL COMPONENT 3</b>	<b>611,054</b>	<b>425,330</b>	<b>267,513</b>	<b>90,303</b>	<b>1,394,200</b>
<b>Component 4: Project Management</b>					
Consultants (Honoraria)	62,100	75,300	62,100	48,900	<b>248,400</b>
Travel Expenses	3,000	3,000	3,000	3,000	<b>12,000</b>
Workshops & Meetings	1,500	1,000	1,000	1,000	<b>4,500</b>
Facilities, equipment, vehicles and communication	8,750	8,750	8,750	8,750	<b>35,000</b>
Counterpart Financing	22,935	22,935	22,935	22,934	<b>91,739</b>
<b>TOTAL COMPONENT 4</b>	<b>98,285</b>	<b>110,985</b>	<b>97,785</b>	<b>84,584</b>	<b>391,639</b>
<b>PROJECT TOTAL</b>	<b>2,496,696</b>	<b>5,072,807</b>	<b>3,576,488</b>	<b>667,748</b>	<b>11,813,739</b>

**PROCUREMENT PLAN**  
(FOR FIRST 18 MONTHS OF EXECUTION)

Description of the contract and estimated cost of procurement	Estimated costs ('000 US\$)	Procurement method	Review (prior or post)	Source of financing and percentage		Pre-qualification (Yes/No)	Estimated dates	
				BID%	Local/Other		Procurement notice	Completion of contract
<b>Consultancy services</b>								
<b>Consultancy 1</b> (Regulatory framework: Reform Decree, regulatory proposals and sanction regime)	66.5	QCBS	Ex ante	100	0	No	Q4 2009	Q4 2013
<b>Consultancy 2</b> (Regulatory framework: zoning, harmonizing Master Plans, user regulations and zoning protocol & planning proposal)	226.3	QCBS	Ex ante	100	0	No	Q4 2009	Q4 2012
<b>Consultancy 3</b> (Support for agreements on collaboration between institutions with management responsibility in MUMAs)	19.5	NICQ	Ex post	100	0	No	Q1 2010	Q2 2011
<b>Consultancy 4</b> (Facilitators for Marine Commissions)	76.8	NICQ	Ex ante	100	0	No	Q1 2010	Q4 2013
<b>Consultancy 5</b> (Sustainable Financial Mechanisms sub-component, except admin. of PES funds)	120	QCBS	Ex ante	100	0	No	Q4 2009	Q4 2013
<b>Consultancy 6</b> (Sustainable Tourism sub-component, except administration of promotion funds)	202	QCBS	Ex ante	100	0	No	Q4 2009	Q4 2012

Description of the contract and estimated cost of procurement	Estimated costs ('000 US\$)	Procurement method	Review (prior or post)	Source of financing and percentage		Pre-qualification (Yes/No)	Estimated dates	
				BID%	Local/Other		Procurement notice	Completion of contract
<b>Consultancy 7</b> ( <i>Artisanal Fishing</i> sub-component, except administration of pilot project funds)	612	QCBS	Ex ante	100	0	No	Q4 2009	Q4 2013
<b>Consultancy 8</b> ( <i>Alternative Sustainable Livelihoods</i> sub-component, except administration of diversification project funds)	60	QCBS	Ex ante	100	0	No	Q4 2009	Q4 2013
<b>Consultancy 9</b> (Completion of Baseline)	26	NICQ	Ex post	100	0	No	Q4 2009	Q4 2010
<b>Consultancy 10</b> (Design and implementation of integrated information system)	181	QCBS	Ex ante	100	0	No	Q4 2009	Q 4 2013
<b>Consultancy 11</b> (Implementation of participatory monitoring program, except equipment and monitoring services funds)	118	NICQ	Ex ante	100	0	No	Q4 2009	Q4 2013
<b>Consultancy 12</b> (Implementation of communication and information dissemination plan)	56	NICQ	Ex ante	100	0	No	Q4 2009	Q4 2013
<b>Non-consulting Services</b>								
<b>Monitoring Services</b> [various contracts] (for participatory monitoring program)	240	NCB	Ex post	100	0	No	Q4 2009	Q4 2013

Description of the contract and estimated cost of procurement	Estimated costs ('000 US\$)	Procurement method	Review (prior or post)	Source of financing and percentage		Pre-qualification (Yes/No)	Estimated dates	
				BID%	Local/Other		Procurement notice	Completion of contract
<b>Goods</b>								
<b>Goods 1</b> [various procurements] (Monitoring Equipment)	170	NCB	Ex post	100	0	No	Q4 2009	Q4 2013
<b>Goods 2</b> (Initial logistic support for regular Marine Commission meetings)	30	NICQ	Ex post	100	0	No	Q 2 2010	Q 4 2012
<b>Coordination and management</b>								
<b>Project Coordinator</b>	156	NICQ	Ex ante	100	0	No	Q3 2009	Q4 2013
<b>Fiduciary Specialist</b> (Procurement & Financial Administration)	52.8	NOCQ	Ex ante	100	0	No	Q3 2009	Q4 2012
<b>Administrative Assistant</b>	39.6	NOCQ	Ex ante	100	0	No	Q3 2009	Q4 2013

**Notes:** 1) Funds for pilot projects and PES schemes, that form part of Sub-components 1.c, 2.a, 2.b and 2.c, will be executed in accordance with the rules established in the Operating Manual. Should procurement of goods and/or services be required during the first 18 months of project execution as part of these funds, this information will be added to the Procurement Plan as it becomes available.

2) Details for the procurement of monitoring services and equipment will be provided once the information system and participatory monitoring program have been designed (scheduled for Year 1 of execution)

## **COSTA RICA**

### **MANEJO INTEGRADO DE RECURSOS MARINO-COSTEROS EN PUNTARENAS (CR-X1004)**

#### **Servicios de Consultoría para la Ejecución del Componente 1**

##### **TÉRMINOS DE REFERENCIA - INDICATIVOS**

###### **Consultoría 1 – Aspectos legales y regulatorios**

- 1.1 El Consultor es el responsable de elaborar las actividades descritas para el bloque de contratación 1 (Aspectos Legales) y debe ser un profesional en derecho que demuestre poseer experiencia en temática ambiental, preferiblemente con respecto a la normativa vinculada con las AMUM y las regulaciones de la zona marino costera. Se espera que el consultor presente los productos descritos en forma y tiempo con la finalidad de que las instituciones y actores relacionados con las AMUM operen en un marco regulatorio coherente e impulsor del uso sostenible de los recursos marino-costeros.
- 1.2 El Consultor debe elaborar las disposiciones legales y normativas necesarias para regular el uso adecuado de los recursos costero marino presentes en la región. En este sentido debe apoyar la publicación del decreto de reforma al decreto de creación de las AMUM (en que las mismas se conciben como mecanismo de ordenamiento de usos). Deberá además elaborar borradores de reglamentos generales de ambas AMUM, para presentar a las autoridades gubernamentales correspondientes.
- 1.3 Por otro lado, El Consultor debe elaborar en forma consensuada al menos tres proyectos de legislación prioritarios, que serán presentados a las autoridades competentes para su promulgación: entre las propuestas de legislación prioritaria, se identificaron durante la formulación del proyecto las siguientes tres propuestas prioritarias: a) Complementos a la reglamentación de los mecanismos de Pago por Servicios Ambientales para que puedan abarcar el ámbito marino-costero (MINAET); b) Proyectos de reglamentos de pesca específicos para cada AMUM (INCOPECA); y c) Propuesta de ley de navegación.
- 1.4 Finalmente, El Consultor también apoyará los esfuerzos de armonización de las sanciones penales y administrativas en los cuerpos legales que rigen el uso de y acceso a los recursos marino-costeros, mediante la elaboración de propuestas de regímenes sancionatorios consensuados y presentados ante las autoridades competentes para su promulgación.
- 1.5 Las principales funciones del Consultor, entre otras, serán:
  - Apoyar la publicación del Decreto de reforma al Decreto de creación de las AMUM, concebidas como áreas de ordenamiento costero-marino;

- Elaborar y prestar ante las autoridades competentes, propuestas de Reglamento de Operación de las AMUM, coherentes con el Decreto de Creación promulgado;
- Elaborar y prestar ante las autoridades competentes para su promulgación, tres proyectos de legislación prioritarios;
- Elaborar y prestar ante las autoridades competentes propuestas de armonización de las sanciones penales y administrativas en los cuerpos legales que rigen el uso de y acceso a los recursos marino costeros;
- Asegurar el buen funcionamiento de la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Proyecto los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Proyecto;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Proyecto, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

## **Consultoría 2 –Zonificación y planes directores**

**El Consultor** es el responsable de elaborar las actividades descritas para el bloque de contratación 2 (Zonificación y planes directos). **El Consultor** debe probar que cuenta con un equipo profesional en los siguientes campos; Especialista en Planificación de Recursos Marino Costeros, Especialista Legal Ambiental, Especialista en Biología Marina, Especialista en Ciencias Sociales, Facilitador de Procesos Participativos, Especialista en Sistemas de Información Geográfica, Facilitador de Procesos de Consulta.

Se espera que **El Consultor** presente los productos descritos en forma y tiempo con la finalidad de construir consensuada y conjuntamente con los principales usuarios de los recursos naturales y autoridades competentes, una propuesta de zonificación de usos en la zona marino costera y marítima de las AMUM. Esa zonificación alimentará dos procesos adicionales: a) la elaboración de los reglamentos de usos de los recursos marino-costeros de las AMUM y, b) la actualización y mejora de los planes directores de las AMUM.

Los planes directores deberán ser coherentes con los planes reguladores municipales existentes, planes de ordenamiento turístico, planes de manejo de áreas protegidas, planes de pesca y otros. En caso de surgir contradicciones entre los planes directores y

otros instrumentos de planificación sectorial existentes, se propondrán lineamientos para armonizar dichos instrumentos.

Finalmente, **El Consultor** debe elaborar un protocolo que contribuya al marco nacional de implementación de las AMUMs y a otras recomendaciones de la Estrategia Nacional Marina. Concretamente deberá presentar una propuesta de protocolo para zonificación y ordenamiento del mar y las zonas costeras y recomendaciones específicas para el fortalecimiento de la Estrategia Nacional Marina.

Las principales funciones de **El Consultor**, entre otras, serán:

- Elaborar y prestar ante las autoridades competentes una propuesta de zonificación que sustenta la elaboración de los reglamentos de usos y con la propuesta de decreto ejecutivo;
- Elaborar y prestar ante las autoridades competentes propuestas de reglamentos de aprovechamiento y usos de recursos marino-costeros específicos, concordantes con la zonificación;
- Elaborar y prestar ante las autoridades competentes Planes Directores de las AMUM revisados y actualizados, considerando otros instrumentos de oficiales de planificación, de carácter nacional, regional y local;
- Elaborar y prestar ante las autoridades competentes una propuesta de protocolo para zonificación y ordenamiento del mar y las zonas costeras y recomendaciones específicas para el fortalecimiento de la Estrategia Nacional Marina;
- Asegurar el buen funcionamiento de la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Proyecto los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Proyecto;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Proyecto, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

## **TERMINOS DE REFERENCIA INDICATIVOS**

### **CR-X1004**

#### **COMPONENTE 1**

#### **Fortalecimiento del marco regulatorio y las capacidades locales para la gestión integrada de los ecosistemas de las dos AMUM**

#### **Bloque de contratación 3– Bloque de sostenibilidad financiera**

#### **Sub-componente 1.c: Mecanismos sostenibles de financiamiento de la conservación**

**El Consultor del Subcomponente 1. c.** es el responsable de elaborar las actividades descritas para el bloque de contratación 3 (Mecanismos sostenibles de financiamiento de la conservación). **El Consultor** debe probar que cuenta con un equipo profesional en los siguientes campos; Especialista Legal Ambiental, Especialista en Ciencias Sociales, Especialista en Administración, Especialista en Economía, Especialista en manejo de recursos marino costeros. Se espera que **El Consultor** presente los productos descritos en forma y tiempo con la finalidad de que las dos AMUM operen en base en planes de negocio, y que el 20% de los costos recurrentes de ambas AMUM esté cubierto mediante mecanismos de financiamiento sostenible que incluyan mecanismos de Pago por Servicios Ambientales.

Los planes de negocios de las dos AMUM se deberán formular validando, complementando y detallando los mecanismos potenciales identificados en el plan de sostenibilidad financiera elaborado durante la preparación del proyecto. En este sentido, se deben definir las necesidades de financiamiento recurrente de ambas AMUM. Posteriormente los planes de negocios serán consensuados con los actores claves (SINAC, Finanzas, INCOP, JUDESUR, ICT, INCOPECA; Municipalidades, CANATUR y gremios turísticos), y se detallarán los mecanismos operativos de recaudación y desembolso, así como los criterios de elegibilidad para el uso y atribución de los fondos recaudados. Adicionalmente se deberá apoyar la implementación de los planes de negocios de las dos AMUM.

**El Consultor** debe colaborar en la generación de experiencias piloto de aplicación de Pagos por Servicios Ambientales a los recursos costero-marinos en ambas AMUM y la sistematización de las mismas para fines de replicación. Las actividades elegibles incluirán estudios de valoración económica de los bienes y servicios provistos por los recursos marino costeros de las AMUM y estudios de disposición a pagar de los usuarios y operadores, principalmente en el sector de turismo y pesca, que permitirán identificar las cadenas Actores X Recursos de mayor potencial (p.e.: observación de mamíferos marinos, pesca deportiva, etc) y vincularlas al financiamiento de procesos de conservación o manejo sostenible en beneficio de dichos recursos, incluidos en los planes de negocio de las AMUM.

**El Consultor** deberá elaborar los lineamientos para una estrategia nacional de financiamiento sostenible del conjunto de las AMUM (“FONAFIMAR”), que se formularán en base a las experiencias generadas en las dos AMUM piloto, de las últimas experiencias regionales o internacionales de financiamiento de la conservación de áreas marino-costeras, y de las lecciones aprendidas de otros mecanismos nacionales

de financiamiento de la conservación, como ser el Fondo Nacional de Financiamiento Forestal (FONAFIFO).

Las principales funciones de **El Consultor**, entre otras, serán:

- Elaborar y prestar ante las autoridades competentes una estrategia nacional para el financiamiento sostenible del conjunto de AMUM formulada con base a las experiencias generadas en las dos AMUM piloto y de otros mecanismos existentes de financiamiento de la conservación;
- Identificar y generar experiencias piloto de aplicación de pagos por servicios ambientales - PSA a los recursos costero-marinos en ambas AMUM implementadas y sistematizadas;
- Formular e implementar planes de negocios de las dos AMUM en base a los mecanismos potenciales identificados en el plan de sostenibilidad financiera.
- Asegurar el buen funcionamiento de la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Proyecto los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Proyecto;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Proyecto, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

## **TERMINOS DE REFERENCIA INDICATIVOS**

### **CR-X1004**

#### **COMPONENTE 2**

#### **II. Uso sostenible de la biodiversidad en los sectores productivos**

##### **Bloque de contratación 4 – Promoción del turismo sostenible**

##### **Sub-componente 2.a: Promoción del turismo sostenible.**

**El Consultor del Subcomponente 2. a.** es el responsable de elaborar las actividades descritas para el bloque de contratación 4 (Promoción del turismo sostenible) **El Consultor** debe probar que cuenta con un equipo profesional en los siguientes campos; Especialista en Mercadeo, Especialista en Turismo Sostenible. Se espera que **El Consultor** presente los productos descritos en forma y tiempo con la finalidad de que los operadores turísticos de las AMUM trabajen en redes colaborativas, y adopten mejores prácticas y esquemas de certificación de sostenibilidad turística

Este subcomponente apoyará la consolidación de modelos de desarrollo turístico sostenible para las AMUM y la definición de normas de certificación turística basada en el modelo de CST del ICT (Certificación de Sostenibilidad Turística), que sean específicas para los operadores turísticos de cada AMUM e integren estándares específicamente vinculados a la conservación y usos sostenible de recursos marino-costeros (como ser la observación de mamíferos marinos, la pesca deportiva y la operación de hoteles o embarcaderos turísticos, entre otros).

**El Consultor** apoyará en paralelo la capacitación de actores del sector turístico en materia de certificación y turismo marino-costero sostenible, así como el desarrollo de planes de negocio por parte de esos actores privados o comunitarios. Como parte de sus funciones se encuentra la formación y consolidación de redes de operadores de turismo marino-costero sostenible en cada AMUM, que podrán estar vinculadas a Cámaras de turismo local de la CANATUR u otras redes nacionales de turismo sostenible. Dentro del trabajo en redes, se proveerá asistencia técnica para establecer un “pacto de sostenibilidad” voluntario entre miembros de las redes, realizar intercambios entre operadores para difundir mejores prácticas y estándares de sostenibilidad ambiental y social, y promover la adhesión a los esquemas de certificación adecuados. Las actividades elegibles incluirán la realización de campañas de promoción de los productos sostenibles y operadores certificados en internet u otros medios relevantes.

Las principales funciones de **El Consultor**, entre otras, serán:

- Elaborar productos turísticos que cuenten con un modelo de sostenibilidad, basados en la Certificación para la Sostenibilidad Turística (CST) del ICT;
- Capacitar a operadores turísticos en modelo de sostenibilidad y su integración en planes de negocios;
- Promover prácticas y productos turísticos sostenibles a través de redes de operadores interesados;

- Asegurar el buen funcionamiento de la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Proyecto los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Proyecto;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Programa, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

**TERMINOS DE REFERENCIA INDICATIVOS**  
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**COMPONENTE 2**

**III. Uso sostenible de la biodiversidad en los sectores productivos**

**Bloque de contratación 5: Incremento de la sostenibilidad de la pesca artesanal**

**Sub-componente 2.b: Incremento de la sostenibilidad de la pesca artesanal**

**El Consultor del Subcomponente 2. b.** es el responsable de elaborar las actividades descritas para el bloque de contratación 5 (Incremento de la sostenibilidad de la pesca artesanal). **El Consultor** debe probar que cuenta con un equipo profesional en los siguientes campos; Especialista en Pesca, Especialista en Organización Local, Especialista en Administración. Se espera que **El Consultor** presente los productos descritos en forma y tiempo con la finalidad de que se hayan implementados a nivel piloto modelos de gestión pesquera artesanal sostenibles para su futura replicación dentro de las dos AMUM o en otras áreas marino-costeras del país.

**El Consultor** orientará la intervención hacia la generación y capitalización de experiencias pilotos de modelos de gestión de pesca artesanal sostenible, bajo el concepto general de Áreas de Pesca Responsable recién consensuado entre INCOPECA, la cooperativa de pescadores COOPETARCOLES y ONGs de apoyo (COOPESOLIDAR, CI). En tal sentido deberá propiciar la formación de capacidades en la temática de pesca artesanal sostenible enfocándose en aspectos técnicos para el desarrollo de esta actividad (ciclo de vida de sus especies de captura y las prácticas y artes de pesca sostenibles), complementada con el establecimiento de acuerdos entre pescadores y instituciones normativas sobre el uso de artes de pesca adecuadas. Las actividades elegibles incluirán asistencia técnica en aspectos organizativos y gerenciales de cooperativas o grupos de pescadores, como ser planes de negocios.

Además, **El Consultor** deberá impulsar el establecimiento, fortalecimiento y reconocimiento oficial por INCOPECA de iniciativas locales de pesca sostenible bajo el concepto de Áreas de Pesca Responsable. Actividades elegibles podrán incluir asistencia para planes de manejo de pesca, equipamientos para demarcación, entre otros. En las Áreas de Pesca Responsable, o donde existan iniciativas locales más informales de conservación de recurso pesquero, **El Consultor** apoyará el establecimiento de iniciativas piloto de vigilancia y control colaborativo, en forma mancomunada entre comunidades locales e instituciones como INCOPECA; SINAC o SNG, en base a experiencias de vigilancia local observadas en comunidades locales como en la Isla de Chira, Golfo de Nicoya.

**El Consultor** apoyará finalmente - en aquellas comunidades u organizaciones que hayan firmado acuerdos técnicos sobre prácticas sostenibles pesqueras, apliquen un plan de manejo pesquero u estén activas en esquemas de vigilancia -, intervenciones e inversiones específicas para el fortalecimiento de las cadenas productivas sostenibles, como ser centros de acopio y comercialización de productos de pesca.

Las principales funciones de **El Consultor**, entre otras, serán:

- Capacitar comunidades pesqueras en manejo responsable de la pesca;
- Elaborar planes de ordenamiento de pesca responsable elaborados de forma participativa;
- Elaborar proyectos piloto de encadenamiento productivo en comunidades que practican pesca responsable;
- Asegurar el buen funcionamiento del la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Programa los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Programa;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Programa, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

**TERMINOS DE REFERENCIA INDICATIVOS**  
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**COMPONENTE 2**

**IV. Uso sostenible de la biodiversidad en los sectores productivos**

**Bloque de contratación 6: Desarrollo de fuentes de ingresos alternas o complementarias a la pesca en comunidades de pescadores artesanales más vulnerables**

**Sub-componente 2.c: Desarrollo de fuentes de ingresos alternas o complementarias a la pesca en comunidades de pescadores artesanales más vulnerables**

**El Consultor del Subcomponente 2. c.** es el responsable de elaborar las actividades descritas para el bloque de contratación 6 (Desarrollo de fuentes de ingresos alternas o complementarias a la pesca en comunidades de pescadores artesanales más vulnerables). **El Consultor** debe ser un Especialista en Diseño de Proyectos y se espera que presente los productos descritos en forma y tiempo con la finalidad de que opciones rentables de generación de ingresos alternos o complementarios a la pesca hayan sido delineadas y experimentadas en comunidades piloto en ambas AMUM.

**El Consultor** apoyará la elaboración de una estrategia de diversificación productiva en comunidades pesqueras vulnerables, que consistirá en un paquete de opciones alternas o complementarias a la pesca artesanal. Actividades que podrían ser apoyadas incluyen: a) la sistematización de experiencias locales, nacionales o regionales relevantes, que incluirán análisis de rentabilidad, aceptabilidad cultural y sostenibilidad, b) la elaboración de una cartera de proyectos para cada AMUM, que parta de las demandas locales (mapeo de iniciativas y propuestas) y haya sido sometidos a análisis de factibilidad, y c) la gestión de dicha cartera de proyectos ante instituciones y proyectos específicos (Proyecto Puntarenas Ciudad Puerto del Banco Mundial, Fideicomisos nacionales como JUDESUR e INCOP-ICT, Proyecto Unión Europea de Seguridad Ambiental en Comunidades Costeras de Costa Rica, Fondo de Pequeñas Donaciones PNUD-GEF, entre otros).

En paralelo, se podrá co-financiar hasta seis pequeñas iniciativas locales en temas como maricultura de pequeña escala (moluscos como la Piangua), turismo rural o comunitario, artesanías, manejo de residuos sólidos, vigilancia marino-costera, entre otros.

Las principales funciones de **El Consultor**, entre otras, serán:

- Elaborar una estrategia de diversificación productiva consensuada y una cartera de inversiones alternas o complementarias a la pesca desarrollada y gestionada ante fuentes de financiamiento (maricultura, acuicultura, turismo rural o comunitario, artesanías, agricultura);

- Apoyar y generar iniciativas locales de diversificación productiva implementadas en comunidades vulnerables;
- Asegurar el buen funcionamiento de la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Programa los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Programa;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Programa, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

**TERMINOS DE REFERENCIA INDICATIVOS**  
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**COMPONENTE 3**

**Mejoramiento y sistematización de la base de información en apoyo al manejo eficaz y colaborativo de los recursos naturales de las AMUM**

**Bloque de contratación 7: Mejoramiento y sistematización de la base de información en apoyo al manejo eficaz y colaborativo de los recursos naturales de las AMUM.**

**El Consultor del componente 3** es el responsable de elaborar las actividades descritas para el bloque de contratación 7 (mejoramiento y sistematización de la base de información en apoyo al manejo eficaz y colaborativo de los recursos naturales de las AMUM).

**El Consultor** debe probar que cuenta con un equipo profesional en los siguientes campos; Especialista en comunicación social, Especialista en ingeniería en sistemas, Especialistas en ecología marina, Especialista en sistemas de información. Se espera que **El Consultor** presente los productos descritos en forma y tiempo con la finalidad de que los usuarios de los recursos naturales de las AMUM y las instituciones asociadas, usen la base de información mejorada y diseminada en apoyo a sus procesos de toma de decisiones, permitiendo que las decisiones de inversión, la adopción de mejores prácticas y los procesos de negociación y construcción de acuerdos se basen en información técnico-científica.

**El Consultor** deberá apoyar el establecimiento de una base de información sobre las condiciones y dinámica ecológica-ambiental, socioeconómica, y legal-institucional. En este orden se precisa el establecimiento de un sistema de información que implica entre otras: la definición de actores, información clave, formatos de entrada y salida de datos, modalidades de operación y sostenibilidad del sistema, mecanismos de acceso. Se buscará albergar el sistema de información ambiental en una institución pública, ONG o centro académico, y que el sistema está conectado con otras indicativas relevantes de Gobierno Digital.

En complemento, **El Consultor** apoyará el establecimiento de un programa participativo de monitoreo del estado y biodiversidad de las AMUM, que involucrará Universidades, ONGs e instituciones públicas que ya realizan actividades de monitoreo puntuales. Este sistema de monitoreo incluirá un número reducido y manejable de indicadores claves que integrarán un Cuadro de Mando de indicadores claves. El cuadro de mando será integrado al sistema de de información ambiental y accesible en línea.

En el marco de la consultoría, se hará un esfuerzo particular para: a) identificar en el segundo año del proyecto, las mejores opciones para albergar el sistema de información ambiental y programa de monitoreo en instituciones que tengan la capacidad de operarlo en forma continua, y b) integrar los costos de manejo de información y de operación del

sistema de monitoreo, en los planes de negocio de las AMUM a ser elaborados bajo en componente 1.c del proyecto. Finalmente, el plan de comunicación del proyecto incluirá actividades específicas para a) establecer un sitio Web inicial del proyecto; b) socializar la información del sistema de información ambiental y cuadro de mando de monitoreo-evaluación con medios complementarios a los medios electrónicos (publicaciones sobre “el Estado de las AMUM”), c) capacitar a los usuarios o público meta de la información para que puedan acceder a, analizar y hacer uso de la información generada.

Las principales funciones de **El Consultor**, entre otras, serán:

- Elaborar un sistema de información para las dos AMUM, con datos ambientales, socio-económicos, financieros, institucionales y legales relevantes, accesible en línea y con arreglos de operación sostenible definidos;
- Elaborar un programa de monitoreo participativo del estado de la biodiversidad en las AMUM establecido y contribuya al sistema de información;
- Elaborar un plan de comunicación y socialización en implementación para difundir información;
- Asegurar el buen funcionamiento del la Consultoría y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Elaborar y presentar al Coordinador del Programa los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Ejecutar los acuerdos suscritos con el Coordinador del Programa;
- Monitorear los avances y resultados de la ejecución de la Consultoría, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Programa, sobre el avance del proyecto y estar disponible para consultas de este;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

**TERMINOS DE REFERENCIA INDICATIVOS**  
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**Unidad Ejecutora del Proyecto (UEP)**

**Coordinador de Proyecto**

**El Coordinador del Proyecto** deberá ser un profesional que demuestre experiencia en el manejo integrado marino costero, con práctica en el manejo de proyectos atinentes a la materia. Este profesional estará a cargo de la Unidad Ejecutora del mismo, por lo tanto, actuará como gerente de la operación y planificación integral del proyecto, con la finalidad de mantener su coherencia y asegurar el cumplimiento de sus objetivos.

Será responsable del desempeño, resultados y metas del proyecto. Además, será el responsable de coordinar y dirigir el trabajo del personal que integrará la Unidad Ejecutora del Proyecto y su interrelación con el Banco y las autoridades gubernamentales correspondientes. El Coordinador mantendrá una relación de enlace y coordinación de las actividades y consultores del Proyecto. Adicionalmente preparará los informes requeridos, monitoreará los alcances y metas y convocará a reuniones extraordinarias, en los casos necesarios.

Las principales funciones del Coordinador, entre otras, serán:

- Elaborar y/o coordinar la formulación de los TdR's de todas las actividades;
- Verificar la idoneidad en la escogencia de consultores, en caso de que existan TdRs previamente elaborados para actividades determinadas;
- Elaborar y/o coordinar las solicitudes de inversión que forman parte del Proyecto;
- Asegurar el buen funcionamiento del Proyecto y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Coordinar y supervisar la administración de los recursos financieros del Proyecto con el responsable financiero;
- Elaborar y presentar a las autoridades gubernamentales correspondientes y al Banco los planes estratégicos y operativos, así como, los informes financieros y operativos para su aprobación;
- Dar las orientaciones generales a los actores involucrados sobre la ejecución de acciones del Proyecto;
- Asegurar la ejecución de acuerdos, contratos y convenios con las entidades y/o consultores participantes en el Proyecto;
- Monitorear los avances y resultados de la ejecución del Proyecto, así como los efectos e impactos del mismo;

- Mantener informadas a las autoridades gubernamentales correspondientes y al Banco, sobre el avance del proyecto y estar disponible para consultas de estas entidades;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.
- Brindar apoyo, en colaboración con el SINAC, a las autoridades competentes con los procesos de aprobar las propuestas elaboradas por el Proyecto.

## **TERMINOS DE REFERENCIA INDICATIVOS**

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#### **Unidad Ejecutora del Proyecto (UEP)**

##### **Asistente Administrativo**

**El Asistente Administrativo** deberá ser un profesional que demuestre experiencia en la asistencia de proyectos relacionados con el manejo integrado marino costero, con práctica en el manejo de proyectos atinentes a la materia. Este profesional será parte de la Unidad Coordinadora del Proyecto y responderá al Coordinador del Proyecto. Actuará como asistente del gerente de la operación y planificación integral del proyecto, con la finalidad de mantener su coherencia y asegurar el cumplimiento de sus objetivos.

Será responsable de asistir en el aseguramiento del desempeño, resultados y metas del proyecto. Además, será responsable de asistir en la coordinación y dirección al trabajo que generará el personal que integrará la Unidad Ejecutora del Proyecto y su interrelación con el Banco y las autoridades gubernamentales correspondientes. **El Asistente Administrativo** asistirá en las labores de enlace y coordinación de las actividades y consultores del Proyecto.

Las principales funciones del Asistente Administrativo, entre otras, serán:

- Asistir en la elaboración y/o coordinación de la formulación de los TdR's de todas las actividades;
- Asistir en la verificación de la idoneidad en la escogencia de consultores, en caso de que existan TdRs previamente elaborados para actividades determinadas;
- Asistir en la elaboración y/o coordinación de las solicitudes de inversión que forman parte del Proyecto;
- Asistir en el aseguramiento del buen funcionamiento del Proyecto y el uso apropiado de los recursos asignados, siguiendo los lineamientos establecidos;
- Asistir en la coordinación y supervisión de la administración de los recursos financieros del Proyecto con el responsable financiero;
- Asistir en la elaboración de los planes estratégicos y operativos (reportes, tablas, gráficos entre otros), así como, los informes financieros y operativos para su aprobación;
- Asistir en el monitoreo de los avances y resultados de la ejecución del Proyecto, así como los efectos e impactos del mismo;
- Mantener informado al Coordinador del Proyecto, sobre sus labores y estar disponible para consultas de este o de los socios estratégicos, así como arreglar reuniones, viajes y otras labores de logística de la UCP;
- Participar y coordinar reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

**TERMINOS DE REFERENCIA INDICATIVOS**  
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**Unidad Ejecutora del Proyecto (UEP)**

**Especialista de Adquisiciones**

**El Especialista en Adquisiciones** de la UEP será el encargado de llevar a cabo todos los procesos de adquisición de bienes y servicios, contratación de servicios de firmas consultoras, instituciones especializadas y expertos individuales que sean necesarios para dar cumplimiento a las disposiciones pertinentes el Proyecto.

**El Especialista en Adquisiciones** deberá ser un profesional con formación académica en carreras de Ciencias Económicas, Administración de Empresas, Ingeniería o ramas afines, con experiencia en asistencia y/o ejecución de procesos de adquisición en Proyectos con financiamiento interno y/o externo. **El Especialista en Adquisiciones** responderá al Coordinador del Proyecto y será parte de la Unidad Ejecutora del Proyecto.

Las principales funciones de **El Especialista en Adquisiciones**, entre otras, serán:

- Preparar el Plan de Adquisiciones del Proyecto y controlar su cumplimiento, señalando desvíos y demoras y proponiendo las eventuales medidas remediabiles que fuesen necesarias;
- Preparar y revisar los procesos de adquisiciones para la adquisición de bienes, obras y servicios relacionados y contratación de servicios de firmas consultoras, instituciones especializadas y expertos individuales;
- Estructurar el procedimiento y el flujograma de los procesos, para seguir el curso regular y legal en la adquisición de bienes, obras y servicios relacionados y contratación de servicios de firmas consultoras, instituciones especializadas y expertos individuales;
- Elaborar los documentos necesarios para los procesos de adquisiciones de acuerdo a las normas del BID y asistir a las encargados de calificación y adjudicación de propuestas en las contrataciones referidas al Proyecto;
- Controlar y velar por la correcta aplicación e interpretación de las leyes, normas y reglamentos que rigen al interior del Proyecto para la adquisición de bienes y contratación de servicios;
- Mantener un sistema de archivos individualizados para cada adquisición de bienes, obras y servicios relacionados y contratación de servicios de firmas consultoras, instituciones especializadas y expertos individuales;

- Elaborar y presentar al Coordinador del Proyecto los informes necesarios dentro de su gestión para su aprobación;
- Participar en las reuniones, talleres y demás actividades atinentes a la ejecución de sus tareas.

**GEF-4 TRACKING TOOL**  
**GEF BIODIVERSITY FOCAL AREA STRATEGIC OBJECTIVE 2**

**I. Project General Information**

1. Project Name: **Integrated Management of Marine and Coastal Resources in Puntarenas**
2. Project Type (MSP or FSP): **FSP**
3. Project ID (GEF): **2881**
4. Project ID (IA): **CR-X1004**
5. Implementing Agency: **IADB**
6. Country(ies): **Costa Rica**

Name of reviewers completing tracking tool and completion dates:

	<b>Name</b>	<b>Title</b>	<b>Agency</b>
<b>Work Program Inclusion</b>	Jean Marie Laurent; Annette Killmer	Project Coordinator; Project Team Leader	BRL Ingenierie; IADB
<b>Project Mid-term</b>			
<b>Final Evaluation/ Project completion</b>			

7. Project duration: *Planned* Four (4) years *Actual* \_\_\_\_\_ years

8. Lead Project Executing Agency(ies): **MarViva**

9. GEF Strategic Program:

- ✓ Strengthening the policy and regulatory framework for mainstreaming biodiversity (SP 4)
- ✓ Fostering markets for biodiversity goods and services (SP 5)

10. Production sectors and/or ecosystem services directly targeted by project:

10. a. Please identify the main production sectors involved in the project. Please put “**P**” for sectors that are primarily and directly targeted by the project, and “**S**” for those that are secondary or incidentally affected by the project.

<b>Sector</b>	<b>Targeting</b>
Agriculture	--
Fisheries	<b>P</b>
Forestry	--
Tourism	<b>P</b>
Mining	--
Oil	--
Transportation	--
Other (please specify)	--

## II. Project Landscape/Seascape Coverage

11. a. What is the extent (in hectares) of the landscape or seascape where the project will directly or indirectly contribute to biodiversity conservation or sustainable use of its components?

<b>Targets &amp; Timeframe</b> <b>Project Coverage</b>	<b>Foreseen at Project start</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
<b>Landscape/seascape<sup>i</sup> area directly<sup>ii</sup> covered by the project (ha)</b>	768.400 ha (2 pilot MUMAs)		
<b>Landscape/seascape area indirectly<sup>iii</sup> covered by the project (ha)</b>	???,??? ha (4 other declared MUMAs)		

Explanation for indirect coverage numbers:

The project will generate a number of products that are directly aimed at promoting the implementation of mechanisms, processes and activities similar to those in the pilot MUMAs in the other four, already declared but currently unimplemented MUMAs, as well as strengthening the national framework for implementing integrated planning and management in the other MUMAs.

11. b. Are there Protected Areas within the landscape/seascape covered by the project? If so, name these PAs, their IUCN or national PA category, and their extent in hectares.

<b>Name of Protected Areas</b>	<b>IUCN/ national category of PA</b>	<b>Extent in hectares of PA</b>
1 Reserva Natural Absoluta Cabo Blanco	Category 1B	1,269 ha land 1,630.64 ha marine
2 Reserva Biológica Isla Negritos	Category 1A	80 ha
3 Reserva Biológica Isla Guayabos	Category 1A	142.3 ha
4 Refugio Nacional de Vida Silvestre Isla San Lucas	Category IV	472 ha
5 Parque Nacional Marino Ballena	Category II	116 ha land 5,160 ha marine
6 Humedal Nacional Terraba-Sierpe	Category VI	24,360 ha
7 Parque Nacional Corcovado	Category II	42,469 ha land 2,400 ha marine
8 Reserva Biológica Isla del Caño	Category IB	83 ha
9 Refugio Nacional de Vida Silvestre Golfito	Category IV	2,810 ha
10 Reserva Forestal Golfo Dulce	Category VI	61,702 ha
11 Parque Nacional Piedras Blancas	Category II	14,025 ha land; 1,200 ha marine
12 Zona Protectora Tivives	Category VI	2,102 ha
13 Refugio de Vida Silvestre Estatal Playa Hermosa - Punta Mala	Category IV	382,29 ha land 2393,42 ha marine

11. c. Within the landscape/seascape covered by the project, is the project implementing Payment for Environmental Service schemes? If so, please complete the table below. An example is provided.

Targets and Timeframe	Foreseen at Project Start		Achievement at Mid-term Evaluation of Project		Achievement at Final Evaluation of Project	
	Extent in hectares	Payments generated (US\$)	Extent in hectares	Payments generated (US\$)	Extent in hectares	Payments generated (US\$)
Environmental Service Coverage						
Marine & coastal nursery habitat and/or wetland functions	2 pilot projects Extent & payments to be decided in Year 2 of project execution					

### **III. Management Practices Applied**

12.a. Within the scope and objectives of the project, please identify in the table below the management practices employed by project beneficiaries that integrate biodiversity considerations and the area of coverage of these management practices. Please also note if a certification system is being applied and identify the certification system being used.

Specific management practices that integrate BD	Name of certification system being used	Area of coverage foreseen at start of project	Achievement at Mid-term Evaluation of Project	Achievement at Final Evaluation of Project
Implementation of Responsible Fishing Areas	n/a	150,000 ha total		
Promotion of sustainable tourism practices and products via entrepreneurial networks	n/a	40 operators (total for both MUMAs)		
Sustainability certification for marine & coastal resources-based tourism activities	Enhanced version of ICT's CTS	20% increased over baseline (total for both MUMAs)		

### **IV. Market Transformation**

13. For those projects that have identified market transformation as a project objective, please describe the project's ability to integrate biodiversity considerations into the mainstream economy by measuring the market changes to which the project contributed.

*The present project focuses on increasing the sustainability of current productive activities, rather than transforming the corresponding markets.*

## **V. Policy and Regulatory frameworks**

**For those projects that have identified addressing policy, legislation, regulations, and their implementation as project objectives, please complete the following series of questions:**

14. a. Please complete this table at **CEO endorsement for each sector** that is a primary or a secondary focus of the project.

Please answer YES or NO to each statement under the sectors that are a focus of the project.

<b>Statement</b>	<b>Sector</b>	<b>Fisheries</b>	<b>Tourism</b>
Biodiversity considerations are mentioned in sector policy		YES	YES
Biodiversity considerations are mentioned in sector policy through specific legislation		NO	YES
Regulations are in place to implement the legislation		NO	YES
The regulations are under implementation		NO	YES
The implementation of regulations is enforced		NO	NO
Enforcement of regulations is monitored		NO	NO

14. b . Please complete this table at **the project mid-term for each sector** that is a primary or a secondary focus of the project.

Please answer YES or NO to each statement under the sectors that are a focus of the project.

<b>Statement</b>	<b>Sector</b>	<b>Fisheries</b>	<b>Tourism</b>
Biodiversity considerations are mentioned in sector policy			
Biodiversity considerations are mentioned in sector policy through specific legislation			
Regulations are in place to implement the legislation			
The regulations are under implementation			
The implementation of regulations is enforced			
Enforcement of regulations is monitored			

14. c. Please complete this table at **project closure for each sector** that is a primary or a secondary focus of the project.

Please answer YES or NO to each statement under the sectors that are a focus of the project.

<b>Statement</b>	<b>Sector</b>	<b>Fisheries</b>	<b>Tourism</b>
Biodiversity considerations are mentioned in sector policy			
Biodiversity considerations are mentioned in sector policy through specific legislation			
Regulations are in place to implement the legislation			
The regulations are under implementation			
The implementation of regulations is enforced			
Enforcement of regulations is monitored			

**All projects please complete this question at the project mid-term evaluation and at the final evaluation, if relevant:**

14. d. Within the scope and objectives of the project, has the private sector undertaken **voluntary** measures to incorporate biodiversity considerations in production? If yes, please provide brief explanation and specifically mention the sectors involved.

An *example* of this could be a mining company minimizing the impacts on biodiversity by using low-impact exploration techniques and by developing plans for restoration of biodiversity after exploration as part of the site management plan.

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## **VI. Other Impacts**

16. Please briefly summarize other impacts that the project has had on mainstreaming biodiversity that have not been recorded above.

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<sup>i</sup> For projects working in seascapes (large marine ecosystems, fisheries etc.) please provide coverage figures and include explanatory text as necessary if reporting in hectares is not applicable or feasible.

<sup>ii</sup> Direct coverage refers to the area that is targeted by the project's site intervention. For example, a project may be mainstreaming biodiversity into floodplain management in a pilot area of 1,000 hectares that is part of a much larger floodplain of 10,000 hectares.

<sup>iii</sup> Using the example in footnote 5 above, the same project may, for example, "indirectly" cover or influence the remaining 9,000 hectares of the floodplain through promoting learning exchanges and training at the project site as part of an awareness raising and capacity building strategy for the rest of the floodplain. Please explain the basis for extrapolation of indirect coverage when completing this part of the table.