



# PROJECT IDENTIFICATION FORM (PIF)<sup>1</sup>

PROJECT TYPE: Medium-sized Project  
 TYPE OF TRUST FUND: GEF Trust Fund

## PART I: PROJECT IDENTIFICATION

Project Title:	Capacity building for mainstreaming MEA objectives into inter-ministerial structures and mechanisms		
Country(ies):	Costa Rica	GEF Project ID: <sup>2</sup>	5028
GEF Agency(ies):	UNDP (select) (select)	GEF Agency Project ID:	5097
Other Executing Partner(s):	Ministry of the Environment, Energy, and Telecommunications (MINAET)	Submission Date:	2012-09-21
GEF Focal Area (s):	Multi-focal Areas	Project Duration (Months)	36
Name of parent program (if applicable): ➤ For SFM/REDD+ <input type="checkbox"/>	N/A	Agency Fee (\$):	98,000

### A. FOCAL AREA STRATEGY FRAMEWORK<sup>3</sup>:

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
(select) CD-3	Global environmental objectives are integrated into national policy and planning frameworks	1. Targeted reforms to meeting global environmental objectives; 2. Approved strategy for environmental policy reforms under implementation; 3. Strengthening of an inter-ministerial committee to coordinate environmental policies	GEFTF	265,000	450,000
(select) CD-3	Rio Convention provisions are effectively being implemented through national environmental legislation and regulation	1. The legal and regulatory framework is strengthened with updated environmental legislation and regulation per cross-cutting Rio Convention provisions, and accompanying recommended amendments 2. Review of areas of mutual exclusivity between sectoral and environmental legislation and regulation 3. Prepare key amendments to legislation and regulation to be consistent with Rio Conventions 4. Approved strategy for implementing the legislative and regulatory reforms.	GEFTF	275,000	475,000
(select) CD-4	Improved technical and management capacities to apply integrate global environment into national environment and development strategies,	1. Design training programme, and implementation; 2. Information campaign targeted to technical staff and decision-makers designed and under early implementation	GEFTF	370,000	575,000

<sup>1</sup> It is very important to consult the PIF preparation guidelines when completing this template.

<sup>2</sup> Project ID number will be assigned by GEFSEC.

<sup>3</sup> Refer to the reference attached on the [Focal Area Results Framework](#) when filling up the table in item A.

	plans, and programmes	3. Operationalize an on-going inter-agency collaboration to catalyze and institutionalize technical capacities			
(select)	(select)		(select)		
(select)	(select)		(select)		
(select)	(select)		(select)		
(select)	(select)		(select)		
(select)	(select)		(select)		
(select)	(select)	Others	(select)		
Sub-Total				910,000	1,500,000
Project Management Cost <sup>4</sup>			GEFTF	<b>70,000</b>	150,000
<b>Total Project Cost</b>				980,000	1,650,000

## B. PROJECT FRAMEWORK

<b>Project Objective: To integrate and institutionalize inter-ministerial decision-making for MEA implementation</b>						
<b>Project Component</b>	<b>Grant Type</b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>Trust Fund</b>	<b>Indicative Grant Amount (\$)</b>	<b>Indicative Cofinancing (\$)</b>
1. Integrated inter-ministerial decision-making process for the global environment	TA	Global environmental objectives are integrated into national policy and planning frameworks	1. Targeted reforms to meeting global environmental objectives 2. Implemented governance reforms to meet global environmental objectives; 3. Approved strategy for environmental policy reforms under implementation; 4. Strengthening of an inter-ministerial committee to coordinate environmental policies	GEFTF	265,000	450,000
2. Integrating cross-cutting Rio Convention provisions into environmental legislation and regulation	TA	Rio Convention provisions are effectively being implemented through national environmental legislation and regulation	1. Cross-sectoral discussion of targeted environmental legislation and regulation per cross-cutting Rio Convention provisions, and accompanying recommended amendments 2. Review of areas of mutual exclusivity between sectoral and environmental legislation and regulation 3. Prepare key amendments to legislation and regulation to be consistent with Rio Conventions 4. Approved strategy for implementing the legislative and regulatory reforms	GEFTF	275,000	475,000
3. Management	TA	Improved technical and	1. Design training	GEFTF	370,000	575,000

<sup>4</sup> GEF will finance management cost that is solely linked to GEF financing of the project. PMC should be charged proportionately to focal areas based on focal area project grant amount.



Agency	Trust Fund		Name/Global	Amount (a)	(b) <sup>2</sup>	c=a+b
UNDP	GEFTF	Multi-focal Areas	Costa Rica	980,000	98,000	1,078,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)(select)	(select)				0
(select)	(select)(select)	(select)				0
(select)	(select)(select)	(select)				0
(select)	(select)(select)	(select)				0
(select)	(select)(select)	(select)				0
(select)	(select)(select)	(select)				0
<b>Total Grant Resources</b>				980,000	98,000	1,078,000

<sup>1</sup> In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table

<sup>2</sup> Please indicate fees related to this project.

## **PART II: PROJECT JUSTIFICATION**

### **A. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**

A.1.1 the [GEF focal area/LDCF/SCCF](#) strategies /[NPIF](#) Initiative:

The GEF strategy on capacity development serves to support countries' ability to meet and sustain Rio Convention objectives, that is, to achieve global environmental sustainability. This project will seek to maximize synergies among the policies, rules and decision-making procedures governing the management of biodiversity, climate change and land degradation, among other environmental issues in Costa Rica.

The present CCCD project, as is defined, is consistent with GEF Capacity Development Objective 3 of the GEF-Capacity Development Results Framework, targeting: CD 3- To strengthen capacities for policy and legislation development for achieving global benefits, and CD 4- To strengthen capacities for management and implementation of convention guidelines.

To this end, the project will formalize, under CD 3, the integration of global environmental objectives into national policy and planning frameworks, by 1) Targeting and implementing governance reforms to meet global environmental objectives; 2. Approving a strategy for environmental policy reforms under implementation, and; 3. Strengthening of an inter-ministerial committee to coordinate environmental policies.

It will also ensure that the Rio Convention provisions are effectively being implemented through national environmental legislation and regulation, by 1. Cross-sectoral discussion of targeted environmental legislation and regulation per cross-cutting Rio Convention provisions, and accompanying recommended amendments; 2) A review of areas of mutual exclusivity between sectoral and environmental legislation and regulation; 3) Review of key amendments to legislation and regulation so as they are consistent with Rio Conventions; and 4) the approval of a strategy for legislative and regulatory reforms.

Under CD 4, the project will: 1) Seek to enhance institutional capacities to manage environmental issues and implement global conventions; and 2) Improve technical and management capacities to apply integrate global environment into national environment and development strategies, plans, and programmes. It will design a training programme, and its implementation. To do so, it will design and implement an Information campaign targeted to technical staff and decision-makers. An on-going inter-agency collaboration will be set to catalyze and institutionalize technical capacities, and ensure the strengthening of the management capacity of National Focal Points regarding the mainstreaming of MEA objectives.

The project will also contribute implementing the recommendations of the National Reports to the three Rio Conventions and their Action Plans. It will: 1) Assess on training needs; 2) develop and implement a training programme; 3) target an Information campaign to technical staff and decision-makers designed under early implementation; and 4) ensure an on-going inter-agency collaboration to catalyze and institutionalize technical capacities.

A.1.2. For projects funded from LDCF/SCCF: the LDCF/SCCF eligibility criteria and priorities:

N/A

A.1.3 For projects funded from NPIF, relevant eligibility criteria and priorities of the Fund:

N/A

A.2. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.:

Costa Rica is signatory to the three Rio Conventions on biodiversity conservation, climate change, and desertification and drought, among other multilateral environmental agreements (MEAs).

Costa Rica completed its National Capacity Self-Assessment (NCSA) in 2007, the final report of which included a prioritization of capacity development actions by focal area as well as cross-cutting. Costa Rica identified the strengthening of State organizational capacities to have a better understanding of the scope and scale of influence from the MEAs. Activities included better training and sensitization of government decision-makers responsible for rule-making and enforcement, as well as strengthening inter-agency cooperation for improved planning of environmentally sound and sustainable development. Costa Rica's National Capacity Self-Assessment (NCSA) undertook an analysis of the thematic and cross-cutting challenges, as well as identified priority capacity development needs: the NCSA Final Report had determined that a great number of environment laws and decrees generated much confusion, impeding Costa Rica's ability to effectively comply with Convention objectives. The NCSA also pointed out that decision-makers and planners are not adequately versed on the excessive legislation, resulting in the latter poor enforcement. The CCCD project will build into the existing government initiatives targeting specific components of Costa Rica's environmental governance system, allowing the country to build a practicable approach towards meeting Rio Conventions' objectives. The main barriers found were a) juridical (the need to adequate the legal framework currently in force to facilitate the Conventions; implementation), b) political (the need to facilitate the process of design, implementation, follow-up, evaluation, and feed-back of decision-making related to environmental policies), c) Institutional (ensure a homogeneous framework for allocation of responsibilities, in order to transform the political environmental objectives into services to final users), d) Financial (the assignation of both national and international resources to comply with the commitments derived from the Conventions), and e) Operative (Information platform to facilitate the generation, systematization, research and awareness activities related to Environmental commitments). The top priority cross-cutting capacity development activities identified in the NCSA Action Plan will be strategically organized during the project development phase within the rubric of capacity building to mainstream MEA objectives and provisions into inter-ministerial structures.

The Costa Rica NCSA stressed out that, in order to comply with the international commitments derived from the Rio Conventions, it is necessary to include actions directly linked to these MEA's in national development plans, in order to allocate human, financial, and technical resources to comply with the commitments. Costa Rica is fully engaged to meet its obligations under the MEAs. On this regard, the proposed project is intended to assist the progress of maximizing synergies among the policies, rules and decision-making procedures governing the management of climate change, land degradation and biodiversity, among other environmental issues, for an effective national environmental framework. It will reinforce institutional capacities to manage and implement global conventions and improve technical capacities, skills and attitudes of stakeholders and other key participants of different sectors of the society. The NCSA results emphasized the need to set up a socialization process to increase the awareness of public officials about national responsibilities associated with the Conventions. Another critical issue is the need to strengthen institutional capacities to address sustainable development policies that go beyond the environmental sector. By integrating and institutionalizing inter-ministerial decision-making for MEA implementation, this project will contribute to cover the main issues identified through the NCSA, such as:

A) Integrate Rio Convention commitments into the country's set of national development and environmental strategies and plans; B) Ensure that all national legal instruments translate the international commitments into a selection of working programmes; C) Eliminate overlapping of national agencies' mandates and functions that cause duplication of efforts, lack of full coverage and the subsequent substantial policy gaps, by ensuring a strong inter-agency coordination and a national legal framework that defines and distributes the responsibilities among governmental organizations; and D) Eradicate any existing discrepancy between national and international environmental priorities.

Costa Rica is fully committed to meet its obligations under the MEAs and the proposed project is intended to facilitate an important step towards developing the capacities for an effective national environmental management framework. More specifically the project, directly or indirectly, addresses the following articles<sup>6</sup> under the Conventions: UNFCCC (Article 4), CBD (Articles 6, 8, 9, 11, 14, 16, 19, 20, 21 and 22), and UNCCD (Articles 4, 5, 8, 9, 10, 12, 13, 18, 20 and 21).

## **B. PROJECT OVERVIEW:**

B.1. Describe the baseline project and the problem that it seeks to address:

In spite of the significant progress Costa Rica has made in establishing a broad legislation for effective environmental management, serious gaps remain between the legal and strategic frameworks and their implementation. The main barriers towards an effective implementation are twofold: poor policy coordination and inadequate mechanisms to learn and apply best practices. Therefore, this CCCD project baseline of co-financing involves proceedings to negotiate recommended amendments to the set of national legislation and regulation to mainstream/integrate key cross-cutting provisions of the Rio Conventions, such as strengthening data and information management systems. The project will therefore require close coordination with other similar exercises currently underway in Costa Rica, that are taking a more focal area approach to mainstreaming.

Policy coordination and planning mechanisms are weak within the Ministry of the Environment, Energy and Telecommunications (MINAET) and between the relevant institutions with specific responsibilities in environmental matters, which often times overlap in coverage. In addition to these, coordination is poor with the municipalities and other local communities, which are not effectively represented or engaged in environmental decision-making processes. Mechanisms to share national and international best practices and lessons learned are woefully inadequate. Despite the many experiences and achievements that exist to integrate global environmental priorities and objectives into national policy frameworks, these best practices are neither adequately disseminated nor replicated in Costa Rica. There is a need to establish/strengthen policy and programmatic coordination efforts with international and regional NGOs and research institutes, which play an important role in the facilitating and catalyzing international cooperation as well as guaranteeing the effectiveness of investments. The government is committed to ensuring that the country's development plans are environmentally sustainable, but the lack of access to these national and international experiences obstructs their implementation.

Within public entities, particularly the MINAET that has a set of generic responsibilities, there is no structure or institutional mechanism that fulfills these responsibilities in a harmonious, orderly, integral and efficient way: liaison functions are distributed among different dependencies, without adequate coordination despite their points in common; this leads to an inefficient use of resources due to duplication or gaps in national efforts to meet national priorities.

The priority capacity constraints encountered by the MINAET are related to the development and implementation of the required cross-sectoral mechanisms and instruments. One opportunity is to consolidate existing consultative mechanisms and strengthen them as a regular part of the National Planning System. The capacity constraints that prevail at a national level on that regard are posing barriers to the effective implementation of the conventions and hence to addressing global environmental issues of priority concern in Costa Rica.

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<sup>6</sup> Refer to table 3 (page 28) in GEF/UNDP/UNEP document "*National Capacity Self-Assessments Results and Lessons Learned for Global Environmental Sustainability*"

B. 2. incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund/NPIF) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

By developing capacities for mainstreaming environmental policies into inter-ministerial bodies in Costa Rica, the country will be able to integrate and institutionalize inter-ministerial decision-making for MEA implementation. The GEF contribution will build capacities to align global environmental priorities within national environmental strategies, programmes, and plans, creating a steady strategy development, and setting a robust platform for effective and efficient political dialogue; creating inter-institutional alliances that will strengthen the planning mechanisms at all levels. Co-financing aims at strengthening capacities to operationalize the cross-sectoral and inter-institutional mechanisms. It will strengthen capacities to operationalize the cross-sectoral and inter-institutional mechanisms.

The GEF contribution will be targeted to activities that provide demonstrable global environmental benefits. Indeed, global, national and local environmental issues present the same underlying causes, that is, inadequate policies and practices related to natural resources and the environment. Costa Rica, by mainstreaming MEA objectives into the political decision-making will produce joint national and global benefits through sustainable development actions at national, regional and local levels. For example, by integrating MEAs into an approved National strategy to national legislation and policies, it will lead to regional and local policies across the country that will effectively watch over sustainable use of natural resources, leading to benefits to local population. Also, it would promote sustainable agriculture: the developing possibilities of extracting non-timber products from forests and wild lands, and the limitation of buffer zones to protect megadiverse spots, among others.

Co-financing plays an important role to ensure that the global increment is fully institutionalized within national environmental structures and mechanisms. GEF financing will be complemented by 160% of co-financing from the government of Costa Rica, UNDP, USAID and Conservation International, which will be confirmed during the project preparation phase.

**Project Rationale:** Global environmental concerns, priorities and objectives would be integrated into Costa Rica's key national development policy framework, including poverty reduction strategies and programmes, and associated management capacities strengthened. The objective of the project is to institutionalize decision-making processes that integrates global environmental into sectoral development priorities. The strategy is to do so through a robust and resilient inter-ministerial consultative and decision-making process, building upon existing similar structures in Costa Rica. The best model will be analyzed and selected during the project preparation phase. The project will be implemented through three components:

**Component 1: Integrated inter-ministerial decision-making process for the global environment (50% GEF, 50% co-financing)**

The project will start with a consultative decision-making process, in order to formalize the integration of Global Environmental Objectives (GEO) into national policy and planning frameworks. It will target reforms that meet the GEO, prepare key amendments to Legislation and Regulation to be consistent with Rio Conventions, and then build and approve a National Strategy for the country's environmental policy reforms. It will also facilitate the creation of an inter-ministerial mechanism to coordinate environmental policies that arises from the sharing of expertise and experience across institutions/agencies. In particular, the success of improved policy coordination is expected to result in greater effectiveness and efficiency of the GOC to meet its obligations under the three Rio Conventions.

This component will assess and structure an improved consultative and decision-making process that will operationalize integrated decision-making to achieve both national and global environmental objectives. Through this component, the project will formalize the integration of global environmental objectives into national policy and planning frameworks, by targeting governance reforms to meet global environmental objectives; building a National strategy for the country's environmental policy reforms; and strengthening an inter-ministerial mechanism to coordinate environmental policies. This component will also ensure that Rio Convention provisions are effectively being implemented through national environmental legislation and regulation, through the performance of: a) the strengthening of the legal and regulatory framework with updated environmental legislation and regulation per cross-cutting Rio Convention provisions, and accompanying recommended amendments; b) a review of areas of mutual exclusivity between sectoral and environmental legislation and regulation; c) a review of key amendments to legislation and regulation so as they are consistent with Rio Conventions; and d) the approval of a strategy for legislative and regulatory reforms in Costa Rica.

This will be achieved by institutionalizing a holistic approach to policy coordination, and strengthening associated human capacities to manage this process. The project will seek to address the priority barriers to implement the three conventions, particularly by strengthening cooperation among the various governmental units to develop policies and programmes and implement legislation that reduce the overlapping relationships among biodiversity, climate change, and land degradation. The removal of these barriers will also facilitate the Government of Costa Rica (GOC) to share and communicate the necessary steps taken to implement the three conventions.

Building on the existing capacities and those developed as part of the NCSA consultative process, the project will strengthen a policy dialogue process to catalyze effective consultation and collaboration in a cost-effective manner. This project will strengthen capacities of the MINAET, and the Local Government to effectively *coordinate* the policy decisions and *catalyze* implementation pertaining to the three Rio Conventions. The preparation of the project document will determine the best institutional structure and/or mechanism to be implemented during the Medium Size Project (MSP).

A strengthened institutional structure and mechanism (i.e., an inter-ministerial decision-making coordination unit or platform) will rely on the expertise and capacities from outside the government, notably the various non-governmental organizations, private sector and academic institutions. The project will seek to strengthen and formalize, as appropriate, the existing relationships with these organizations in order to catalyze the development and implementation of environmental policies and programmes that strengthen Costa Rica's ability to meet the obligations of the MEAs.

Co-financing will ensure that improved inter-ministerial policy coordination allows governmental bodies to reduce overlap in the management of data and information, as well as to create innovation and synergies that arises from the sharing of expertise and experience across institutions/agencies. In particular, the success of improved policy coordination is expected to result in greater effectiveness and efficiency of the GOC to meet its obligations under the three Rio Conventions. It will also ensure that overlap, ambiguities, and competing management responsibilities and accountabilities across agencies and stakeholder organizations are reconciled, with mandates modified to create management synergies and an appropriate level of redundancies that are necessary to create resilience of operational procedures in face of staff turnover and attrition.

## **Component 2: Integrating cross-cutting Rio Convention provisions into environmental legislation and regulation (50% GEF, 50% co-financing)**

Component 2 will undertake an in-depth and updated review of Costa Rica's set of environmental legislation and regulation and related laws, reconciling their provisions with the provisions of the Rio Conventions. This will also be reconciled with the set of laws and regulations that have an impact on biodiversity and other natural resources' conservation and sustainable use, with particular attention to identifying areas of mutual exclusivity. These two tasks will be carried out with the support of and under the oversight of an inter-ministerial policy coordination mechanisms that is strengthened under component 1. The present component will include the strengthening of monitoring and compliance structures and mechanisms, including the development of measurable indicators to verify and report performance and progress made implementing environmental legislation and regulation. Also, key amendments to legislation and regulation will be revised to be consistent with Rio Conventions **and a strategy for normativity, legislative and regulatory reforms will be discussed and approved under this component.**

Training of governmental staffs and other individuals of key stakeholder organizations to develop a sufficient baseline of capacities in order to monitor the application and enforcement of specific environmental legislation will be undertaken as part of the more comprehensive package in Component 3 below.

**Component 3: Management capacities for implementing integrated environmental and socio-economic development strategies, programmes and plans (50% GEF, 50% co-financing)**

Whereas component 1 will strengthen the MINAET capacities to effectively coordinate policy decisions related to the Rio Conventions, component 3 focuses on building administrative and technical capacities to staff and management structures of MINAET (and other stakeholder organizations with key management responsibilities and accountabilities) to implement those policy decisions.

To this end, the project will design and implement a comprehensive training and public awareness campaign targeted to technical staff, decision-makers, and key practitioners which will include, among others, educational materials and a webpage section on MEAs at the [MINAET website](#). Project activities in this component will be designed and implemented with the particular aim of ensuring the global environmental character of the structures and mechanisms, and their outputs. Strengthened management and technical capacities are expected to improve coordination among the various governmental agencies to catalyze and institutionalize technical capacities, and to develop and implement integrated plans that have demonstrable global environmental benefits. **This component will give special attention to the strengthening of management capacity of the National Focal Points and the establishment of sustainable technical and financial mechanisms.**

Finally, the project is expected to improve capacities of several governmental staff in order to better understand and operationalize integrated and inter-ministerial environmental policy and management frameworks. The project will see the active role of representatives from the Ministry of Health (human health and environment, toxic substances), the Ministry of Education, the Public Works and Transportation Ministry (air and infrastructure), the Cattle and Agriculture Ministry (soil, plant health, biosecurity, traffic of endangered species), the National Planning and Economic Policy Ministry (national and regional development plans), the Foreign Affairs Ministry (general responsibility for the country's foreign policy), Costa Rican Fishing and Aquaculture Institute (marine resources in unprotected areas), Labor and Social Security Ministry (occupational security), Culture and Youth Ministry (historical and cultural heritage), International Trade Ministry (International commerce), Finance Ministry (fiscal policy), and the Costa Rican Tourism Institute (tourism, marine and terrestrial zone).

Total public sector functionaries expected to receive capacity building amounts to 60 (2 professional from each Ministry, plus representatives from MINAET and Municipalities).

Sustainability of the project outcomes will be guaranteed, inter alia, by the establishment of an inter-ministerial mechanism, which will provide close follow-up to the integration of environmental policies and global obligations into national development strategies, programs and plans.

- B.3. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF). As a background information, read [Mainstreaming Gender at the GEF.](#)":

Benefits at the national level will include enhanced management and technical capacities among key national agencies, as well as stakeholder groups that include decision-makers and practitioners. Stakeholders, **including civil society**, will gain a better appreciation that links between the global environmental issues and national development priorities, in particular of the socio-economic risks associated to global environmental impacts, such as droughts and floods. Mainstreaming the global environment will therefore play an important role improving the strategies, programmes and plans that will improve socio-economic benefits. **The effective integration of the Rio Conventions provisions into the Costa Rican legislation and policies will result in significant benefits at national, regional and local levels: for example, improving conservation efforts, along with a good capacity training, would lead into an increased number of jobs in biodiversity-related works, including the expansion of eco-tourism.** These changes in the national legislation, along with the capacitation enhancement and public awareness would lead as well into to better mitigation and adaptation strategies related to climate change, especially in the shorelines, and would improve best practices regarding desertification combat. The project is expected to improve capacities of government staff, and decision-makers at the municipalities level, taking into account **indigenous communities, and empowering disadvantaged or vulnerable social groups.** Gender will be taken into account in the mainstreaming exercise, including children and the poor, to ensure that these groups of Costa Rica's society are not affected disproportionately from the results of integrated global/national environmental and development strategies, programmes and plans. By the very holistic nature of integrated environmental policy and management frameworks, a life-cycle analysis will be undertaken of the project outputs to identify potential unintended consequences. As part of the project implementation arrangements, directed attention will be paid to ensuring an appropriate gender balance in the training and capacity development activities.

- B.4 Indicate risks, including climate change risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the project design:

- (L): Changes that might occur within this Administration: The present Costa Rican Administration has confirmed its support to this project, which has been consulted broadly and has also the support of key institutions of different sectors.
- (M): Delays in project implementation due to bureaucratic processes: UNDP Costa Rica will support the management of the project, ensuring that the times and processes are duly met.
- (L): Institutional Sustainability: Institutional sustainability will be enhanced by: a) taking a holistic approach to the project design; b) building in mechanisms of accountability; c)

undertaking consultations to ensure and sustain legitimacy and trust; d) employing existing governance structures to increase the efficiency and cost-effectiveness of delivery; e) applying adaptive collaborative management to allow project activities to be flexible to changing circumstances while maintain consistency to agree project objectives; and f) wherever appropriate, ensuring that stakeholders receive an equitable sharing of benefits to sustain their interest, commitment and accountability of project activities, outputs, and outcomes.

Note on Capacity Development Scorecard (GEF Tracking Tool): The methods set out in the Monitoring Guidelines of Capacity Development in GEF projects will be incorporated into the project framework. These methods include the use of a Capacity Development (CD) Scorecard, which was developed specifically for the Cross-Cutting Capacity Development (CCCD) projects and which build upon recent work on capacity and capacity development from the GEF, its Implementing Agencies, and from external research. The CD scorecard uses indicators and their corresponding ratings in order to quantify the qualitative process of capacity change and will be applied as a three-point (beginning, mid-point, and terminal) time series programme evaluation of how the project contributes to CD outcomes. Incorporating this CD framework into project design, implementation, and monitoring will provide a comprehensive monitoring framework aimed at assessing the range of needed capacities to achieve global environmental outcomes and ensure their sustainability, i.e., global environmental sustainability.

B.5. Identify key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable:

<b>Stake holders</b>	<b>Role in Implementation of the Project</b>
MINAET	MINAET will guide the process of how global environmental concerns, priorities and objectives would be integrated into Costa Rica's key national development policy framework, including poverty reduction strategies and programmes, and associated management capacities strengthened. <b>MINAET is also the focal point of the GEF.</b> Also, both the <b>CC (through its National Institute of Meteorology, IMN) and the BD focal points</b> (through its Protected Areas System, SINAC) are hosted at this Ministry .
Ministry of Education	The Ministry of Education would play a key role in the inclusion of MEAs objectives into the national education plans. It also would advise on the assessment of capacity in training and awareness at all levels.
Ministry of Cattle and Agriculture (MAG)	The Cattle and Agriculture Ministry is the lead institution of the agricultural sector. MAG will guide the integration of environmental priorities into the agro-industry productive sectors, including concerns related to low carbon climate resilient development strategies. <b>It is the national focal point for land degradation and organic production.</b>
National Planning and Economic Policy Ministry	MIDEPLAN is in charge of national and regional development plans, improving governance in the short, medium and long terms, advising the Executive power in decision-making strategies. It would play a key role in the project promoting national debate and coordinating the project objectives into the National Planning System.
Foreign Affairs Ministry	In charge of international cooperation. This project will benefit from the Foreign Affairs guidance ensuring it is at all times in harmony with national priorities and the principles of foreign policy of CR.
National Commission for Indigenous Affairs	CONAI is the public institution that governs the administration of indigenous reserves in Costa Rica. It is a governmental institution whose objectives include the development of participatory strategies for the sustainable management and use of water, flora, fauna and biodiversity.

(CONAI)	
Costa Rican Institute of Tourism	This institution is responsible for public policymaking on tourism. Non-traditional stakeholder that can play a key role in environmental priorities related to preserving and managing tourism related activities. It would foresee to strengthen institutions responsible for promoting tourism and the administration of the natural heritage of the Costa Rican nation in the light of the MEAs objectives.
Other government institutions with influence on mainstreaming MEA objectives	The project will work to build the capacity of other institutions, such as the Ministry of Health, the Costa Rican Fishing and Aquaculture Institute (marine resources in unprotected areas), Labor and Social Security Ministry (occupational security), Culture and Youth Ministry (historical and cultural heritage), International Trade Ministry (International commerce), Finance Ministry (fiscal policy), among others
UNDP	The UNDP will provide technical and administrative support, management tools, and practical and theoretical knowledge to the implementing agencies so that the project is implemented effectively and within the foreseen timeframe.

Key ministries and agencies would include: The Ministry of Health (human health and environment, toxic substances), the Ministry of Education, the Public Works and Transportation Ministry (air and infrastructure), Cattle and Agriculture Ministry (soil, plant health, biosecurity, traffic of endangered species), National Planning and Economic Policy Ministry (national and regional development plans), the Foreign Affairs Ministry (general responsibility for the country's foreign policy), Costa Rican Fishing and Aquaculture Institute (marine resources in unprotected areas), Labor and Social Security Ministry (occupational security), Culture and Youth Ministry (historical and cultural heritage), the CONAI (Indigenous affairs), International Trade Ministry (International commerce), Finance Ministry (fiscal policy), and the Costa Rican Tourism Institute (tourism, marine and terrestrial zone).

Preliminary consultations have already identified the stakeholders groups, namely research and academic institutions, NGOs, training centers, as well as business associations and key development practitioners, each with their own particular comparative advantages, to ensure a holistic approach to the integration of global environmental priorities into national development frameworks. This includes contributing to the identification and development of strategic policy and programmatic gaps to meet Rio Convention objectives, as well as to both deliver and receive training to better understand and operationalize integrated global/national environmental and development strategies, programmes and plans. The further narrowing of the targeted groups and their representatives will be undertaken through an open consultative process during the preparatory phase to re-affirm and strengthen their commitment to project objectives and goals.

The project will be implemented in line with established Government of Costa Rica and UNDP procedures in Costa Rica. MINAET will take overall responsibility for implementation of the project, and for the project success. It will establish the necessary planning and management mechanisms to oversee project inputs, activities and outputs. The UNDP CO will support the Ministry as requested and as necessary. The PPG process will be used to further define the

## management, coordination and consultation mechanisms

### B.6. Outline the coordination with other related initiatives:

The proposed project will be designed and implemented in coordination with several GEF's projects already approved or in the process of approval in sectors related to capacity development initiatives related to the environment, such as: energy efficiency, conservation of ecosystems, biodiversity conservation and forest management. This project and its outcomes require coordination and linkages with other Government initiatives related to international priorities such as: the Convention on Biological Diversity (CBD), the Convention to Combat Desertification and Drought (UNCCD), The United Nations Framework Convention on Climate Change (UNFCCC), the integrated risk management, and the achievement of the MDGs, among others. Additionally, there will be coordination with on-going and future national adaptation projects regarding the formulation of a national strategy. The project is consistent with Costa Rica's commitments to numerous global environment objectives, and will also be closely coordinated with the national plans aimed at responding to the MEAs, such as the National Action Plan to Combat Desertification (PAN, 2004); the UNDP-GEF funded First (2000) and Second (2009) National Communications to the UNFCCC, the UNDP-GEF funded National Biodiversity Strategy and Action Plan (2000) and the 4<sup>th</sup> CDB country report to the CoP. By institutionalizing decision-making that integrates global environmental into sectoral development priorities, this project will facilitate the implementation of the three Rio Conventions. In particular, the project will create synergies for the national implementation of the Conventions; and strengthening integrated approaches to environmental management. This project is fully consistent with the current National Development Plan as well as with the political programs of the present Administration. It is also consistent with the Regional Sustainable Development Framework (PARCA) developed within the cooperation scheme of the Central American Integration System. This project will be closely coordinated with Costa Rica's work to pursue low-emission and climate-resilient development (LECRD) and the UNDP-GEF project "Overcoming Barriers to Sustainability of Costa Rica's Protected Areas System", "Integrated Management of Marine and Coastal Resources in Puntarenas" funded by the IADB-GEF and "Consolidating Costa Rica's Marine Protected Areas" currently under implementation.

Coordination among different initiatives will be managed through the support of the National Focal Points to the Rio Conventions (IMN, MINAET and SINAC) and the inter-sectorial monitoring of the National GEF Focal Point. Furthermore, bi-monthly meetings with project coordinators working on related initiatives will be held in order to analyze synergy opportunities, challenges and lessons learnt.

Visibility of GEF financial support will be ensured by using the global GEF branding in all electronic and printed materials. UNDP will also apply the following UNDP-GEF policy: "The GEF logo should appear on all relevant project publications, including amongst others, project hardware and other purchases with GEF funds. Any citation in publications regarding projects funded by GEF should also acknowledge the GEF. Logos of the Implementing Agencies and the Executing Agency will also appear on all publications. Where other agencies and project partners have provided support (through co-financing) their logos may also appear on project publications." Full compliance will be made with the GEF's Communication and Visibility Guidelines ("GEF Guidelines"):

[http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf)

### C. DESCRIBE THE GEF AGENCY'S COMPARATIVE ADVANTAGE TO IMPLEMENT THIS PROJECT:

#### C.1 Indicate the co-financing amount the GEF agency is bringing to the project:

Costa Rica's various institutions and organizations plan to make counterparts in kind and in

cash, given the considerable amount of related work for institutions that are involved in the planning of Costa Rica's sustainable development.

UNDP will contribute with a counterpart in cash of US\$50,000. UNDP will also provide significant in-kind support to the project. Its technical and administrative staff will provide ongoing advice and logistical support to the project when needed. It will provide meeting facilities, communication facilities, transport facilities, as requested and as necessary. UNDP will further use its role as the UN Resident Coordinator to make sure the project is aligned with all UN system work. UNDP senior management will play a key role in advocacy, and in awareness raising by attending key public events.

The UNDP CO continues to work alongside counterparts to secure further co-financing from Multinational Agencies, such as: the Central American Commission for Environment and Development (CCAD - Spanish Acronym), the German International Aid GIZ, THE IUCN and the NGO Conservation International (CI) **in order to ensure at least 1:1 co-financing ratio before project initiation.**

C.2 How does the project fit into the GEF agency's program (reflected in documents such as UNDAF, CAS, etc.) and staff capacity in the country to follow up project implementation:

The United Nations Development Programme (UNDP) is the UN's global development network, advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. UNDP is present in 177 countries, working with each country on their own solutions to global and national development challenges. UNDP works with national and regional governments and institutions, the civil society, the private sector, mass media and many allies to develop local capacity. UNDP contributes to find solutions to the challenge of human development. As part of the United Nations System, it is a neutral organization that works based on the respect for the control that each country has on its own future. The commitment with development makes UNDP a permanent promoter of change and knowledge, with a wide and decentralized presence that keeps it near to the issues, processes, ideas and resources related to development.

UNDP has extensive experience with Capacity Development worldwide, and in particular, in the Latin America and the Caribbean (LAC) region. UNDP in Costa Rica works to guarantee the integration of the energetic, environmental and natural resources considerations into the strategies of poverty reduction and sustainable development. Especially, it pays attention to all cross-cutting issues such as environmental governance, climate change, gender, and links between sustainable environmental management and poverty reduction. It aims for the inclusion of the local approach to the development strategies. In order to do so, UNDP focuses its work on the following strategic areas: i) Poverty reduction, Social Inequality and Social Exclusion, ii) Democratic Governance, iii) Environment Energy and Risk Reduction, iv) Gender Equality and Women's Empowerment, and v) Human Development, which correspond to areas of the nation's development.

This CCCD project is in line with the 2008-2012 U.N. Development Assistance Framework (UNDAF) agreed between the Government of Costa Rica and the U.N. System Country Team. It is consistent with the following outcomes: capacity building of local actors for a sustainable development, inclusive and equitable; promotion of effective participation of people in the formulation, implementation and evaluation of public policies; development of analytical skills in social organizations for an informed and sustained public participation; changes in economic and socio-cultural practices in priority groups, in favor of environmental sustainability; and creation and strengthening of social networks that work under the principles of solidarity and respect for human rights. UNDAF is the result of an agreement of the UN System in Costa Rica based on the national priorities and needs, including those defined in the National Development

Plan (NDP) 2011-2016 and the country's commitments around the Millennium Development Goals (MDGs), and other international commitments.

The Project is fully consistent with the main strategic lines of action of UNDP Costa Rica's Country Program Document Framework. UNDP Country Office will assign four staff members to be responsible for the overall management and supervision of this work. The project will be under the direct supervision of the Environmental Focal Point, a nationally recognized expert in biodiversity and in the promotion of sustainable green commodities, with 12 years of experience both at the country and regional level. The project leader will be continuously supported by the Climate Change international expert (M.Sc in Economics and Environment, with 5 years of experience in Central America) and the Senior Technical Advisor on Capacity Development, based in Bratislava, a leading professional with experience both from the public and private sector. Implementation support for Human Resources and Finance will be provided by three staff members: Operations Manager (MBA with more than 10 years of experience), Procurement Officer, and HR associate (MBA in HR Management and 10 years of experience in HR).

The GOC has requested UNDP assistance in designing and implementing this CCCD project, taking into account UNDP's proven track record of supporting similar projects. This request has also taken into account the fact UNDP Costa Rica has successfully coordinated both the Costa Rica National Capacity Self-Assessment (NCSA) -which results are the foundations of this project- and the Capacity Development components of the National Communications to the UNFCCC and other GEF-funded projects. The project will benefit from synergies and opportunities arising from an expanding portfolio of environmental projects implemented by UNDP. UNDP's comparative advantage in integrated policy development is another important consideration in their selection as the GEF implementing agency for this project. The national execution modality (NEX), which has been selected taking into account the high level and demonstrated efficiency of Costa Rica's human resources, will be used. The GOC is seeking this continuing partnership in order to move forward efficiently with the preparation of this project, making use of the strong technical and administrative support of UNDP.

**PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Mr. Ruben MUNOZ ROBLES	Director of International Cooperation, GEF Operational Focal Point	MINISTRY OF ENVIRONMENT, ENERGY AND TELECOMMUNICATIONS (MINAET)	04/26/2102

**B. GEF AGENCY(IES) CERTIFICATION**

<b>This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.</b>					
Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Yannick Glemarec Executive Coordinator UNDP/GEF		09/21/2012	Tom Twining-Ward UNDP/GEF Regional Technical Advisor	+421-2-59337 386	tom.twining-ward@undp.org