

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budget Activity Account Code	ATLAS Budget Description	Amount Year 2008 (USD)	Amount Year 2009 (USD)	Amount Year 2010 (USD)	Amount Year 2011 (USD)	Amount Year 2012 (USD)	Total (USD)	See Budget Note:
OUTCOME 5: Successful PA System management models are scaled-up and replicated at the systemic level through strategic partnerships with key stakeholders.	SINAC	62000	GEF	71200	International Consultants	44,000	44,000	-	-	-	88,000	26
				71300	Local Consultants	54,000	54,000	50,000	50,000	36,000	244,000	27
				71600	Travel	17,000	17,000	7,000	7,000	5,000	53,000	28
				72100	Contractual Services - Companies	58,000	58,000	58,000	58,000	56,000	288,000	29
				72200	Equipment and Furniture	20,000	20,000	20,000	13,000	12,000	85,000	30
				72300	Materials and Goods	10,000	10,000	10,000	10,000	5,000	45,000	
				73100	Rental & Maintenance	2,000	6,000	6,000	6,000	2,000	22,000	31
				74100	Professional Services	-	-	-	-	-	-	
				74200	Audio Visual and Printing production costs	1,000	2,500	2,500	2,500	1,700	10,200	
				74500	Miscellaneous Expenses	5,000	5,000	5,000	5,000	5,000	25,000	
					Sub-total GEF	211,000	216,500	158,500	151,500	122,700	860,200	
					Total Outcome 5	211,000	216,500	158,500	151,500	122,700	860,200	

MONITORING, LEARNING, ADAPTIVE FEEDBACK & EVALUATION	SINAC	62000	GEF	71200	International Consultants	-	-	13,750	-	44,000	57,750	32	
				71300	Local Consultants	4,500	4,500	13,500	3,000	18,000	43,500	33	
				71600	Travel	-	-	9,710	-	17,480	27,190	34	
				74100	Professional Services	-	-	-	-	-	-	-	35
				74500	Miscellaneous Expenses	3,300	2,000	2,150	-	3,550	11,000		
					Sub-total GEF	7,800	6,500	39,110	3,000	83,030	139,440	36	
					Total Outcome - M&E	7,800	6,500	39,110	3,000	83,030	139,440		

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PROJECT MANAGEMENT	SINAC	62000	GEF	71200	International Consultants	54,000	54,000	54,000	54,000	54,000	270,000	37			
				71300	Local Consultants	24,000	24,000	24,000	24,000	24,000	120,000	38			
				71600	Travel	4,200	3,200	3,200	3,200	3,200	17,000	39			
				72200	Equipment and Furniture	4,220	1,925	1,925	1,925	1,925	11,920	40			
				72300	Materials and Goods										
				72500	Supplies										
				73100	Rental & Maintenance									41	
				74200	Audio Visual and Printing production costs										
				74500	Miscellaneous Expenses										
					Sub-total GEF	86,420	83,125	83,125	83,125	83,125	83,125	83,125	83,125	418,920	
					Total Outcome - PMU	86,420	83,125	83,125	83,125	83,125	83,125	83,125	83,125	418,920	

Table 10. Total Project GEF Resources

Total Project GEF Resources (As per UNDP ATLAS budget lines) ⁴⁶						
	Amount Year 2008 (USD)	Amount Year 2009 (USD)	Amount Year 2010 (USD)	Amount Year 2011 (USD)	Amount Year 2012 (USD)	Total (USD)
71200	179,371	185,750	139,000	67,250	112,500	683,871
71300	234,257	245,114	226,757	167,150	150,150	1,023,428
71600	59,200	86,700	68,410	42,900	55,276	312,486
72100	178,000	279,714	409,714	350,000	86,000	1,303,428
72200	91,220	128,925	82,925	28,925	21,925	353,920
72300	45,621	66,000	63,000	58,000	16,000	248,621
72300	-	-	-	-	-	-
73100	16,000	40,000	42,000	36,000	13,000	147,000
74100	30,000	35,000	30,000	15,000	5,000	115,000
74200	7,000	14,000	14,000	11,000	8,400	54,400
74500	26,100	25,800	24,950	20,800	28,196	125,846
	866,769	1,107,003	1,100,756	797,025	496,447	4,368,000
PROJECT TOTAL (GEF-UNDP)						

Table 11. Summary of Project Funds (GEF and Co-Financing Sources)

DONOR NAME	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)
GEF	866,769	1,107,003	1,100,756	797,025	496,447	4,368,000
SINAC (GoCR) in cash/in kind	733,836	1,000,000	866,900	866,900	866,900	4,334,536
Inter-American Development Bank (IADB)	-	-	-	-	-	-
Sustainable Tourism Programme	-	828,368	4,141,844	4,141,844	4,141,844	13,253,900
Inter-American Development Bank (IADB)	-	-	-	-	-	-
Cadastro Programme	370,000	270,000	251,000	180,000	120,112	1,191,112

⁴⁶ This table includes the total available GEF funds for the project budget and the amounts shown combine all 5 Outcomes, the M&E costs and the PMU costs shown above in the separate table.

The Nature Conservancy (TNC)	370,000	370,000	381,200	380,200	360,400	1,861,800
Government of Spain (AECl)	73,000	60,323	-	-	-	133,323
Pro-Parques	30,000	30,000	32,000	-	-	92,000
FUNDECODES (Private Sector Contributions)	-	50,000	50,000	50,000	43,000	193,000
TOTAL	2,443,605	3,715,694	6,823,700	6,415,969	6,028,703	25,427,671

Table 12. Budget Notes

Note #	Budget line	Comments
1	71200 - International Consultants	<p>OUTCOME 1: Costa Rica's legal and policy framework reformed and enhanced to ensure effective management and long-term financial and ecological sustainability of the PA System.</p> <p>As part of the incremental capacity building activities and institutional strengthening, Outcome 1 will focus on creating the legal and policy framework needed for removing barriers for the sustainability of Costa Rica's National Protected Areas System. Institutional change requires a need to plan for needed adjustments in response to changes in the legal framework. This will especially concern how to define the new management categories for the range of protected areas in the system. International consultants will provide short-term services required for achieving this Outcome, particularly concerning expertise related to the design of policy frameworks and strategies for the NPAS.</p> <p><u>Protected Area Specialist:</u> As the Project will focus on improving PA management and system wide performance, the project will require a Full time PA Management specialist who will advise SINAC and the PMU on new PA management approaches, This specialist will be particularly instrumental in contributing to outcome 1. This position will be fully paid by GEF funds.</p> <p>This position requires an international consultant because of the range of tasks required. These encompass technical assistance to SINAC in order to modify it's legal framework, it's institutional make up, including a strategic plan for it's long-term development. Tasks also include developing practical management guidelines for protected areas in close coordination with SINAC's staff. This position requires a combination of strong technical competence and policy advocacy skills.</p>
2	71300 - Local Consultants	<p>National consultants will also provide legal and technical inputs in order to conduct the pre-requisite legal reforms and design the planning tools to best direct the NPAS in Costa Rica in its consolidation process.</p> <p>Legal experts: National consultants will provide legal and technical inputs in order to conduct the pre-requisite legal reforms and design the planning tools to best direct the NPAS in Costa Rica in its consolidation process.</p>
3	71600 - Travel	<p>The budget established for travel under this Outcome is limited to paying for the travel and Per Diem expenses of the international consultants. The Per Diems were calculated on the basis of a total amount of 100 person days/20 person weeks. The current daily Per Diem rate for Costa Rica for international consultants is USD 160.</p> <p>The majority of the envisioned legal studies will be carried out at the national level in the capital (San Jose). However, limited domestic travel will be carried out by local staff or local consultants related to the below planned consultation rounds (see under BL 73100). For these travel costs, the current standard UNDP Per Diem rate is \$70/day for local travel.</p>
4	721000 - Contractual Services - Companies	<p>Outcome 1 will require specialized legal services, particularly in Output 1.2. This will require the project to recruit not only national consultants, but also specialized legal services for issues related to pre-requisite legal reforms to the NPAS.</p>
5	72200 - Equipment & furniture	<p>The NPAS project will also seek to improve policy effectiveness and to re-design the regulation and operations of the NPAS, both at central level and in the field. Although the GoCR is committed to improving this situation, resources are restricted and the financial package for essential institutional strengthening requires limited GEF resources to improve planning capacities.</p>
6	73100 - Rental &	<p>This Outcome centers on strengthening the legal and policy framework for removing barriers to the sustainability of Costa Rica's NPAS. The activities budgeted under this BL therefore concerns the costs of planned consultation rounds with experts and key stakeholders to be</p>

Note #	Budget line	Comments
	Maintenance - Premises	<p>carried out both at the national, CA and local levels. No office rental expenses will be paid by GEF. Rental refers to meeting venues, audiovisual equipment and transportation to support participatory activities linked to the development and consensus building activities. These workshops and meetings will be of particular importance to the drafting of SINAC's new Strategic Plan and Action Plan (plan Director). Since SINAC is a decentralized institution, these workshops will take place in several key Conservation Areas around the country.</p>
<p>OUTCOME 2: SINAC's institutional PA System framework and capacity is enhanced for eco-regional planning and optimal management effectiveness</p>		
7	71200 - International Consultants	<p>Outcome 2 will develop institutional capacities to set up, re-align and consolidate appropriate arrangements for conducting the planning and effective management of the PA System and its individual PAs from an eco-regional approach, in line with the Law of Biodiversity. This will include the re-structuring of SINAC's institutional structure within its Central offices and within each Conservation Area. While all longer-term consultants involved in this process will be local, an international consultant will be brought in during Year 1 to help formulate the underlying Re-Profiling Strategy for SINAC. Strong efforts will be made to recruit a suitable candidate from the Central American region.</p> <p><u>Territorial, Administration & Planning:</u> Pilot processes will be key tools in implementation of the planned Stakeholder Involvement Plan (see Section IV, Part III). This Outcome aims to apply the new legal and policy frameworks developed in <u>Outcome 1 and 2</u>, while using the new financial mechanisms developed in <u>Outcome 3</u>, to (i) test and develop new tools for enhancing PA management and cost effectiveness; and (ii) for the generation of lessons learned to be shared at the national, regional and global levels. This Outcome also seeks to apply and further strengthen many of the new institutional and governance arrangements developed in <u>Outcome 1 through 3</u> through ground proofing the development of SINAC's regional (Conservation Area level) and sub-regional offices (PA site-level).</p> <p>To spearhead this process, a part-time Territorial Land Use Planning Specialist will be hired on an international consultant contract, due to the nature of the tasks required; there is a need for international technical expertise. Land/Use planning reform has been notoriously difficult in current costarican institutional setting. This will require special negotiation skills, knowledge of international approaches to land/use planning and specifically bio-regional planning, as well as an understanding of the complexities of Costarica's public sector.</p>
8	71300 - Local Consultants	<p>The implementation of the Re-Profiling Strategy work will be led by a full-time Institutional/Public Administration Specialist. This person will constitute an important part of the technical assistance team supporting the PMU and the position will be covered by national consultant. This full-time position is split between Outcomes 2 and 5 due to the nature of the activities to be addressed. The remainder of national consultants costed for under this BL are: (1) A Trainer; (ii) M&E Specialist; and (iii) a Knowledge Manager/Computer Specialist/Programmer. It should be noted that the M&E Specialist and the Knowledge Manager will be responsible for the day-to-day activities pertaining to the establishment and management of the Knowledge Management System and regular M&E activities. All costs related to the Monitoring and Evaluation Plan has been extracted from Output 2.5 and is shown and costed in the below M&E Budget. It should also be noted that while the GEF is funding these local consultants, the needed equipment and other aspects needed for the KMS will be co-funded by SINAC, TNC, and the two IADB Programmes (Sustainable Tourism and Cadastro).</p> <p>The implementation of the Re-Profiling Strategy work will be led by a full-time Institutional/Public Administration Specialist. This person will constitute an important part of the technical assistance team supporting the PMU and the position will be covered by a national consultant. This full-time position is split between Outcomes 2 and 5 due to the nature of the activities to be addressed.</p> <p>The Trainer will work very closely together with the Project Coordinator/PA Mgt Specialist and Administration/Inst. Specialist in carrying out the planned training Programme for practitioners at all levels on administrative, technical and practical skills necessary for optimal PA mgt effectiveness (Output 2.4). The Trainer will also spearhead the training concerning financial planning and management (Output 3.6)</p> <p>The M&E Specialist and the Knowledge Manager: will be responsible for the <u>day-to-day activities</u> pertaining to the establishment and management of the <u>Knowledge Management System</u> and <u>regular M&E activities</u>. All costs related to the <u>Monitoring and Evaluation Plan</u> has been extracted from Output 2.5 and is shown and costed in the below M&E Budget.</p>

Note #	Budget line	Comments
9	71600 - Travel	<p>The budget established for travel under this Outcome includes paying for the travel and Per Diem expenses of the international consultant. The Per Diem was calculated on the basis of a total amount of 15 person days/3 person weeks. The current daily Per Diem rate for Costa Rica for international consultants is USD 160.</p> <p>A mix of training approaches/methods will be used for the development of abilities and skills of human resources at key institutions, including: Short-term courses, workshops, retreats, conferences, and internships (domestically). For related travel costs, the current standard UNDP Per Diem rate is \$70/day for local travel.</p> <p>The project will promote the participation of professionals in graduate and postgraduate programs abroad (considering the lack of these programs in the country). However, this will be done by circulating information on relevant courses and funding opportunities. Only in a very few selected cases the project will provide partial financial support to travel within the Central American region if key expertise is considered necessary for the NPAS and other funding sources are not available.</p>
10	72100 - Contractual Services - companies	<p>Outcome 2 will center on capacity building of SINAC staff at all levels. This will involve organizing training sessions, short courses and seminars. The number and range of training activities will require the PMU to sub-contract specialized institutions such as universities and schools to design and deliver training modules required by the project.</p>
11	72300 - Materials and Goods	<p>As training activities will involve the distribution of texts, CD ROMs and other relevant materials, a substantial budget has been earmarked for educational and outreach materials.</p>
12	73100 -- Rental & Maintenance - Premises	<p>A mix of training approaches/methods will be used for the development of abilities and skills of human resources at key institutions, including: Short-term courses, workshops, retreats, conferences, and internships (domestically). The activities budgeted under this BL therefore concerns some of the costs of these planned training events. No office rental expenses will be paid by GEF. Rental refers to meeting venues, audiovisual equipment and transportation to support participatory activities. Since SINAC is a decentralized institution, some of these workshops will take place in several key Conservation Areas around the country.</p>
13	74100 - Professional Services	<p>As training modules will need to be developed or customized to the need of the project. Hence, specialized professional services will be required to design written materials for training modules and develop training materials. This is a separate services to the Contractual Services itemized above, which will be limited to teaching and training activities.</p>
<p>OUTCOME 3: SINAC has the financial sustainability to effectively attain its strategic objectives and provide resources for long-term PA System management needs.</p>		
14	71200 - International Consultants	<p>This Outcome will support the establishment of appropriate legal, policy, and institutional frameworks to enable SINAC's PA financing system to develop. The focus will be on improving the ability of the PA System to secure sufficient, stable and long-term financial resources and manage and allocate them in a timely manner, so that the individual PA units are managed effectively and cost efficiently. Hence, the Project will develop a system-wide Financing Strategy (Output 3.1), and a related Finance Business Plan (Output 3.2). To address the PA System's existing funding gap, the Project will also support measures to increase the revenue capture of SINAC. One measure will be for SINAC to receive even partial payment for the PAs' generation of environmental services, especially through the new Water Tax (<i>Canon de Agua</i>) and PES measures (Output 3.3). Others will be an optimization of the PA System's fee structure and improvement of SINAC's collection of tax revenues (Outputs 3.3, 3.6). Finally, the Project will encourage increasing visitation to PAs with a high visitation growth rates and mid-level PES/benefits contribution (Outputs 4.2, 5.6). To capitalize on tourism as a source of revenue, all the measures will fully integrate the sustainable tourism aspects supported by the SINAC-ICT-IADB partner programme. The goal is to develop a steady, reliable, sufficient flow of annual resources from a diverse base of local recurrent income, trust fund yields, national budget contributions, and other sources.</p>

Note #	Budget line	Comments
		<p>To spearhead this process, a part-time International Financing Specialist will be hired on an international consultant contract. This person would work very closely with the specialized Service Companies outlined under BL 72100. A total of 100 person days/20 weeks have been budgeted for this person and the time will be allocated over the initial three years of the project duration.</p> <p>A part-time International Financing Specialist will be hired to assist SINAC in improving the ability of the PA System to secure sufficient, stable and long-term financial resources and manage and allocate them in a timely manner, so that the individual PA units are managed effectively and cost efficiently.</p> <p>This person would work very closely with the specialized Service Companies outlined under BL 72100. A total of 100 person days/20 weeks have been budgeted for this person and the time will be allocated over the initial three years of the project duration.</p> <p>Given the complex nature of these tasks, the project team will resort to hiring an international expert on PA Financing. Although SINAC has in-house capacities in financial planning, the range and complexity of instruments required for designing SINAC's financial strategy calls for an international expert. Strong efforts will be made to recruit a suitable candidate from the Central American region.</p>
15	71300 – Local Consultants	<p>Two local consultants will be hired to work closely with the above International Financing Specialist: (i) A computer specialist with experience in PA Financing, and (ii) a Trainer, who will lead the planned training activities pertaining to PA Financing.</p> <p>Computer Specialist: This local consultant will be hired to work closely with the above International Financing Specialist and must have previous experience in setting up PA Financing mechanisms/systems. Will also work closely together with the full-time Project Knowledge Management/Computer Specialist/Programmer to ensure close coordination of data compilation and processing.</p> <p>Capacity Development Trainer: The Trainer will work very closely together with the Project Coordinator/PA Mgt Specialist and Administration/ Inst. Specialist in carrying out the planned training Programme for practitioners at all levels on administrative, technical and practical skills necessary for optimal PA mgt effectiveness (Output 2.4). The Trainer will also spearhead the training concerning financial planning and management (Output 3.6)</p>
16	72100 – Contractual Services - Companies	<p>The design of a custom-made financial management system for SINAC will require specialized services. This will include the development of a online entrance fee management system and a new system for revenue generation for the NPAS. This Information Technology System will be designed and applied by Contractual Services Companies, based on specific TORs. Furthermore under Output 3.2 a system-wide financing strategy and business plan will be determined. This will involve contracting services from a specialized organization which would help SINAC in assessing the long term funding needs and sources for the NPAS. This will also include costing the maintenance of basic equipment purchased through the project and other equipment expenditure that would be required in the long term of the operation of the system. Innovative financing mechanisms will be tested in the project and included in the financing plan of the NPAS, thus addressing the sustainability of maintenance and replacement of essential equipment in the short, medium and long term</p>
17	72200 – Equipment & furniture	<p>The financing strategy to be determined in Output 3.1 would determine the long-term funding needs and sources for the NPAS, including the maintenance of basic equipment purchased through the project and other equipment expenditure required in the long term for the operation of the system. Co-funding will support the maintenance and running of these during and post project and committed National Budget increase for PAs will further contribute to the sustainability of these investments.</p>
18	73100 – Rental & Maintenance - Premises	<p>Outcome 3 will center on the design and implementation of a financial strategy for SINAC to achieve long term sustainability. This will require extensive consultation by the international and national experts on ecological economics and public administration. Additional activities will involve training workshops for SINAC senior management and administrative staff. A mix of training approaches/methods will be used for the development of abilities and skills of human resources at key institutions, including: Short-term courses, workshops, retreats, and conferences. The activities budgeted under this BL therefore concerns some of the costs of these planned training events. No office rental expenses will be paid by GEF. Rental refers to meeting venues, audiovisual equipment and transportation to support participatory activities. Since SINAC is a decentralized institution, some of these workshops will take place in several key Conservation Areas around the country.</p>

Note #	Budget line	Comments
19	74100 – Professional Services	Designing a new financial system and increasing management performance of SINAC will require highly specialized professional services by experts in ecological economics, public administration and Information Technology. For this reason, some resources have been earmarked for professional services, in addition to national consultants, to provide more specialized inputs into the design of a financial strategy for SINAC.
OUTCOME 4 - SINAC tests new and innovative conservation approaches at the Conservation Area and PA levels.		
20	71200 - International Consultants	<p>Pilot processes will be key tools in implementation of the planned Stakeholder Involvement Plan (see Section IV: Part III). This Outcome aims to apply the new legal and policy frameworks developed in <u>Outcome 1 and 2</u>, while using the new financial mechanisms developed in <u>Outcome 3</u>, to (i) test and develop new tools for enhancing PA management and cost effectiveness; and (ii) for the generation of lessons learned to be shared at the national, regional and global levels. This Outcome also seeks to apply and further strengthen many of the new institutional and governance arrangements developed in <u>Outcome 1 through 3</u> through ground proofing the development of SINAC's regional (Conservation Area level) and sub-regional offices (PA site-level).</p> <p>To spearhead this process, a part-time Territorial Land Use Planning Specialist will be hired on an international consultant contract. This is justified due to the type of tasks required under the pilot projects under outcome 4, many of which will involve work with municipal governments, SINAC Conservation Area Staff, as well as private sector. The practical nature of these tasks requires the knowledge and skills of an international specialist on protected area planning, participatory rural appraisal and territorial administration, a combination hard to find in Costa Rica. This person would work very closely together with the Project Coordinator – especially in his/her capacity as the PA Management Specialist – along with the legal experts from Outcome 1 and the Sustainable Financing Specialist from Outcome 3. A close teamwork will also be established with the specialized Service Companies outlined under BL 72100. Given the key role that this consultant will play in the activities under this Outcome, a total of 200 person days/40 weeks have been budgeted for this person and the time will be allocated over all 5 project years. Strong efforts will be made to recruit a suitable candidate from the Central American region.</p> <p>It should be noted that due to the the IADB Sustainable Tourism Programme will constitute a key co-financing partner towards Outcome 4. One sub-component on Investments within PAs will channel direct investments into 10 selected PAs, geared towards rehabilitating and improving existing infrastructure inside the PAs. These investments will be complemented by much of this GEF Project's efforts in increasing SINAC's systemic and institutional capacity. Two additional sub-programs - 1) Sustainable Tourism Management at the municipal level; and 2) Sustainable Tourism management by the private sector - will focus on working with local businesses to improve the linkages between PAs and tourism operators. The first sub-component will fund a TA package to support municipal governments. This IADB will therefore fully co-finance a Sustainable Tourism Specialist (international consultant), who will most likely constitute the Team Leader for the IADB-funded Programme.</p>
21	71300 – Local Consultants	<p>Two local consultants will be hired to work closely with the above team members: (i) A short-term Legal Specialist, with an expertise in PA demarcation matters, and (ii) a Community Development/Livelihoods Specialist. The latter person is a crucial team member, so there is budgeted for 4 months of input/year from this person. It should be noted that this person will also play a significant role in Outcome 5. Another part of this person's contract is therefore budgeted under Outcome 5. This IADB Sustainable Tourism Programme will also fully Co-finance an Infrastructure Specialist/Engineer (national consultant), who will play a key role in Output 4.2 concerning infrastructure and accessibility of the 10 most visited PAs within the NPAS.</p> <p>Legal Specialist Demarcation: This consultancy concerns the legal registration and demarcation of PA boundaries. The local expert will work in close coordination with IADB Cadastral Program, under the special regime areas (ABRE). This specialist will need to have a solid background in issues of land tenure, cadastral survey and other legal requirements linked to securing public ownership of protected areas.</p>

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22	71600 – Travel	<p>The budget established for travel under this Outcome includes paying for the travel and Per Diem expenses of the international consultant. The Per Diem was calculated on the basis of a total amount of 200 person days/40 person weeks. The current daily Per Diem rate for Costa Rica for international consultants is USD 160.</p> <p>The project will support knowledge management through the development of field-based projects to test approaches to more effective parks management. These field initiatives will involve personal exchange among the various stakeholders and demonstration areas. Existing support from TNC has promoted this “park-to-park” learning and cooperation regarding specific issues and promotion exchanges with natural regional parks in the region. Co-financing is needed for other pilot sites, and there are promising perspectives for private sector co-financing in the ACT Conservation Area. Thus, travel costs would be for the PA staff and stakeholders linked to the pilot sites to enable participation in training and learning activities (transportation, lodging, etc.).</p>
23	72100 - Contractual Services	<p>The largest source of co-financing for this project comes from two IADB funded projects, the Cadastro and the Sustainable Tourism Programmes. The first will provide key sources of co-financing for the demarcation and changes in parks boundaries and legal fees contemplated in Output 4.1. The Largest single source of co-financing will come from the IADB Sustainable Tourism Programme, which will involve infrastructure development in 10 selected PAs, through the building of access roads, visitor centers and other facilities to improve tourism visitation in selected PA. This explains the large amount of co-financing earmarked for Output 4.2, of which a majority of these funds will be invested in equipment and infrastructure. Given that the IADB Programme will cover the cost of much-needed equipment and infrastructure in the selected Pas under this Output, the GEF will complement these efforts by funding the needed contractual services to avoid having to fund any part of this equipment.</p> <p>At present time it has not been possible to detail out the precise nature, duration and costing of these Contractual Services, as the IADB Sustainable Tourism Programme is only scheduled for approval in early 2009. So at this point, a significant amount of money have simply been earmarked under this BL for further detailed specification together with the IADB Tourism Programme team in Year 2 – 2009 – when the Programme has become operational. In addition, more information will become available in 2008, as SINAC just started the executing of a Technical Assistance provided by IADB with resources from the Japanese Special Fund. Among other things, this TA will prepare the design and the technical specifications of the infrastructure that will be constructed with the loan money. Information will also be gathered concerning the environmental studies and the tourism development plans of the 7 Pas that will be the beneficiaries of the loan.</p>
24	72200 – Equipment & furniture	<p>The project strategy includes the field demonstrations of cost-effective management in four pilot sites. Given the focus on supporting SINAC in its de-concentration efforts, 4 out of the 11 Conservation Areas will constitute the Demonstration Sites. These pilot areas will provide an inter-regional platform for the exchange of knowledge and best practices. The Conservation Areas were also selected on the basis of potential co-financing from IADB and TNC activities, the latter primarily in Osa. Finally, these sites have been selected to maximize global benefits in the short term and to provide replicable lessons throughout the PA. To pilot best practices the operations need to be strengthened and communication with nearby communities improved.</p>
25	73100 – Rental & Maintenance - Premises	<p>Outcome 4 will be characterized by field-based activities in a number of conservation areas. It also includes two outputs (4.1 and 4.2) with substantial co-financing involving infrastructure development inside selected PAs. This output will require a large number of activities, in terms of workshops and consultations will local stakeholders. These workshops will involve national and local authorities, small local NGOs and private sector. Activities will also involve negotiations with local stakeholders to define new relations within and outside PA. These participatory activities will complement large investments and training activities development in and around PAs co-financed by the IADB-SINAC’s Sustainable Tourism Programme and TNC.</p> <p>The activities budgeted under this BL therefore concerns some of the costs of these planned training/consultative events. No office rental expenses will be paid by GEF. Rental refers to meeting venues, audiovisual equipment and transportation to support participatory activities. A significant amount of these events will take place in several key Conservation Areas and PAs around the country, due to the nature of the pilot initiatives.</p>

Note #	Budget line	Comments
26	71200 - International Consultants	<p>OUTCOME 5: Successful PA System management models are scaled-up and replicated at the systemic level through strategic partnerships with key stakeholders.</p> <p>This Outcome seeks to replicate and scale up the successful PA management approaches developed in the Pilot Projects in Outcome 4. It also aims at promoting the implementation of the new strategic reforms in Outcome 1, while taking advantage of the strengthened capacities resulting from Outcome 2 to make changes across the overall PA System. The main goal of this Outcome is to strengthen the governance system in and around PAs with a wide range of stakeholders to improve the long-term management efficiency of the overall PA system in Costa Rica.</p> <p>This scaling-up of local conservation partnerships will require a two-tiered approach. A first step will be to <u>consolidate existing consultative bodies</u>, such as the Regional and Local PA Management Councils. The strengthening of such regional councils and local PA management boards will be critical for guaranteeing long-term commitment of local stakeholders in biodiversity conservation. Second, building on the systemic and institutional capacities strengthened in Outcomes 1 through 3, and drawing lessons from the pilots developed in Outcome 4, the project will extend to the entire system some of the best practices and innovative initiatives with local and regional partners to improve management efficiency and contribute to sustainable livelihoods of populations living in and around PAs. The project strategy will contribute to the scaling up of best practices in the following thematic areas: (i) Improved Governance of Conservation Areas and PA through consolidated consultative bodies; (ii) Institutional mechanisms for alternative livelihood support to communities in and around PA; (iii) Institutional mechanisms for managing concessions for PA service provision with private sector; (iv) Collaborative Management of selected PA by local partnerships and consortia; (v) Harmonized and integrated land use planning approaches with Municipalities; and (vi) Contribution of the PA System to the consolidation of Biological Corridors. Each of these thematic areas will be addressed by different outputs to scale up and replicate at the systemic level best practices in PA management and eco-regional planning.</p> <p>Different international legal specialists will be recruited on a short-term basis to assist in the legal aspects pertaining to concessions, use permits, and public-private partnerships.</p> <p><u>Short-term Legal Finance Expert</u>: This consultancy concerns the legal aspects of concessions and use permits. This position will need to address one of the most critical aspects of SINAC's legal reform, in particular in terms of developing guidelines for the provision of non-essential services in protected areas, as well as the handing out of use permits within protected areas. Due to considerable political pressure to open up protected areas to private investment, this position requires outside expertise.</p> <p><u>Short-term Legal Finance Expert</u>: This consultancy concerns the legal aspects of Public-Private Partnerships. This part-time position will need cutting-edge knowledge on how to engage constructively with the private sector in publicly owned protected areas. This requires update understanding of both the legal and business dimensions of promoting innovative public-private partnerships around protected areas. This is why, this position requires an international expert who can provide insight and international experience on these types of legal arrangements.</p>
27	71200 - Local Consultants	<p>Outcome 5 will centre on scaling up successful approaches to PA management, and will also require the design of a well conceived exit strategy for the project. This will require a strong involvement of national consultants to provide the basis for a progressive takeover of tasks and responsibilities for PA management by local and national stakeholders. This is why both the Institutional/Public Administration Specialist and the Community Development/Livelihoods Specialist are divided up between this Outcome and Outcomes 2 and 4 respectively.</p> <p>In addition, Output 5.3 will build on existing experiences with the private sector, which will require to contract services in order to scale up successful approaches through a systemic replication of sound partnerships. Hence, a national Business Specialist will be hired to play a significant role in these activities.</p> <p>Moreover, the three partners in the SINAC-ICT-IADB Tourism Program plan to design and jointly fund a <u>Marketing and Communications Strategy</u> to promote the sustainable management of tourism in PA through an innovative approach. This Strategy will aim to stimulate PA visitation and other complementary activities, which are compatible with conservation goals, by working with the private sector. GEF funds will finance a national <u>Communications Specialist</u>, while the co-financing partners will fund the majority of the needed publication of</p>

Note #	Budget line	Comments
		<p>guidebooks, prospecti and other promotional material, complementary to ICT's regular promotion of sustainable tourism at the local, national and international level.</p> <p><u>Communication Specialist:</u> A national consultant will be hired to work on outreach activities, including the preparation of a Marketing and Communication Strategy on PA values, vulnerabilities and revenue mechanisms (Output 5.6)</p> <p><u>Business Development Specialist:</u> Output 5.3 will build on existing experiences with the private sector, which will require to contract services in order to scale up successful approaches through a systemic replication of sound partnerships. Hence, a national Business Specialist will be hired to play a significant role in these activities. This national specialist will work closely with the international consultant for legal aspects of Public-Private Partnerships.</p>
28	71600 – Travel	<p>The budget established for travel under this Outcome includes paying for the travel and Per Diem expenses of the international consultants. The Per Diem was calculated on the basis of a total amount of 100 person days/40 person weeks. The current daily Per Diem rate for Costa Rica for international consultants is USD 160.</p>
29	72100 - Contractual Services	<p>The systematization and scaling up of the successful project-funded experiences will require the support of contractual services through competent organizations specialized in PA management and conservation policy, such as IUCN. There are opportunities for co-financing of these efforts and mainstreaming them into national PA management practices.</p>
30	72200 – Equipment & furniture	<p>IADB will help fund the strengthening of consultative bodies, especially Local and Regional PA Management Councils (Output 5.1). However, given that many of these Councils will have to be created from scratch, co-financing from GEF is needed for either basic facilities and infrastructure, or upgrading of the existing rudimentary equipment to facilitate a strong coordination between these entities across Costa Rica.</p>
31	73100 – Rental & Maintenance - Premises	<p>The scaling up of successful approaches to the management of PA will be achieved through building partnerships with key stakeholders. Strong emphasis in this Outcome will therefore be placed in empowering local partners in and around PAs, through local regional councils, work with traditional indigenous authorities and other stakeholders involved in collaborative management of PA. This will require a series of activities aimed at providing local stakeholders with clear guidelines and tools to manage PA collaboratively, to build local public-private partnerships and to develop successful biological corridors to contribute to biodiversity conservation from a bio-regional and/or landscape approach. This Outcome will therefore require a large number of activities, in terms of workshops and consultations will local stakeholders. These workshops will be conducted by the PMU with the support of contractual services companies and will involve national and local authorities, small local NGOs and private sector. Activities will also involve negotiations with local stakeholders to define new relations within and outside PA. IADB will help fund the strengthening of consultative bodies, especially Local and Regional PA Management Councils (Output 5.1), and the tendering and bidding of concessions and other use permits (Output 5.3). The activities budgeted under this BL therefore concerns some of the costs of these planned training/consultative events. No office rental expenses will be paid by GEF. Rental refers to meeting venues, audiovisual equipment and transportation to support participatory activities. A significant amount of these events will take place in several key Conservation Areas and PAs around the country, due to the nature of the pilot initiatives.</p>
MONITORING, LEARNING, ADAPTIVE FEEDBACK & EVALUATIONS (NOTE - extracted from OUTCOME 2, Output 2.5)		
	Sub-total GEF	<p>It should be noted that the sub-total GEF amount is extracted from Outcome 2, Output 2.5, which contains a broader workplan, especially pertaining to an integral Knowledge Management System. However, this extracted amount of \$139,440 will cover the GEF contribution towards the planned Monitoring & Evaluation Plan. The Monitoring and Evaluation Plan will be co-financed by SINAC (\$42,000), TNC (\$19,900), the IADB Cadastro Programme (\$14,000), and the IADB Tourism Programme (\$35,200), which totals \$111,100.</p>
32	71200 – International Consultants	<p>GEF funds will cover the full cost of international consultants for this budget line. International consultants will be hired to carry out mid- and final project evaluations, which tend to be carried out by teams with at least one international consultant. Moreover, an international consultant will be hired for the preparation of the Terminal Report.</p>

Note #	Budget line	Comments
		<p>The calculation is based on an average daily fee rate of US\$550 and the amount of allocated days is as per standard UNDP/GEF evaluation ToRs.</p> <p>Due to GEF requirements the mid-term and final project evaluations need to be conducted by international consultants. These consultants will be selected from UNDP's Regional Roster of GEF consultants under the biodiversity thematic area.</p>
33	71300 – Local Consultants	<p>A significant amount of funds is budgeted for local consultants to keep the use of international consultants to a minimum.</p> <p>A significant part of this BL will be covered by co-financing from TNC (\$18,600), IADB Cadastro Programme (\$12,000) and IADB Tourism Programme (\$10,500).</p> <p>Local consultants will be hired as part of the teams for project mid- and final evaluations. Moreover, there is a need for local consultants to (i) conduct the MEIT at mid- and end term and for technical report preparations; and (ii) measurements of means of verifications for both project purpose, progress and performance indicators (3 and 5 times during project duration respectively). Local consultants will also carry out (iii) a project audit and (iv) identify and document lessons learned annually. Finally, (v) 2 person weeks of local consultant input/year have been earmarked towards the preparation of technical reports, if the need occur.</p> <p>The calculation is based on an average daily fee rate of US\$300, which accomodates the standard range of US\$ 200 – 400 used for local consultants in UNDP-GEF projects in Costa Rica.</p> <p>These national consultants will provide back stopping support to the project management team in close coordination with the project coordinator and particularly in monitoring and evaluation of project activities.</p>
34	71600 – Travel	<p>The total travel costs under this BL are significantly co-financed with funds from SINAC (\$38,000) and the IADB Tourism Programme (\$13,500). The relatively high travel costs are due to the fact that the amount includes: (i) International travel cost of the international consultants, where an average ticket cost of US\$1,500 was used for the calculation (4 trips x \$1,500 = \$4,500). (ii) Local travel cost, which include the local travel cost related to the specific assignments, including visits to field sites. (iii) International DSA for the international consultants, where the standard UNDP rate for Costa Rica of US\$160/day was used for the calculations. (iv) Local DSA to cover the food and potential local lodging for the local consultants, if and when needed. The average rate of US\$70/day was utilized for the costing.</p>
35	74100 – Professional Services	<p>The expenditures under this BL are fully funded by co-financing from SINAC (\$4,000), TNC (\$1,300), the IADB Cadastro Programme (\$2,000) and IADB Tourism Programme (\$5,200). The expenditures concern the Inception Workshop and the costs of photo copying and printing for the wider dissemination of the assignment findings (indicators and lessons learned).</p>
PROJECT MANAGEMENT (NOTE - extracted from ALL OUTCOMES)		
36	71200 - International Consultants	<p>Given the size and complexity of this Full-Size project, the project design team together with SINAC and UNDP deemed it necessary to budget for a highly qualified and seasoned Project Coordinator. This position will therefore be filled by an international consultant recruited on an International SSA Contract as per standard UNDP rules and procedures by UNDP Costa Rica.</p> <p>To keep the overall cost of the PMU staff – and especially the cost of this international consultant post – down, co-financing from the Government was explored. However, it should be noted that one of the main barriers that this Project aims to remove is the immensely cumbersome public contracting processes that currently plague it.</p> <p>Instead an innovative staffing arrangement was agreed to. This Project Coordinator will be the key responsible party for maintaining the overall project management and for establishing a close partnership relationship with the SINAC leadership and other project partners to push through the necessary reforms for the sustainability of the NPAS.</p>

Note #	Budget line	Comments
37	71200 - Local Consultants	<p>Project Coordinator: This Project Coordinator will be the key responsible party for maintaining the overall project management and for establishing a close partnership relationship with the SINAC leadership and other project partners to push through the necessary reforms for the sustainability of the NPAS. Given the size and complexity of this project, this position will be filled by an international consultant under a long-term contract for the entire duration of the project. This position also requires political insight, solid management capacity and technical competence. This combination of skills and knowledge will require international expertise. Finally, given the sensitive nature of the policy reforms required by this project, it is clearly desirable to rely on an international consultant rather than a national consultant.</p> <p>The Project Management Unit will mostly be staffed with local consultants. More specifically, these team members will be (i) National Coordinator; (ii) a Project Administrator; (iii) an Administrative Finance Assistant and (iv) a Coordination and Operations Assistant. These four posts are funded by co-financing sources, especially SINAC. Especially given the ambitious nature of this project, it was therefore deemed necessary to complement the Project Coordinator with a full-time Project Administrator. This person will be responsible for the overall articulation of the administrative and logistical aspects for the successful implementation of project activities and the achievement of the objectives. As such, key tasks will include leading the day to day management of the PMU in the absence of the Project Coordinator and otherwise focus on project aspects, such as oversight of all work plans, project budgets, procurement and recruitment/staffing issues.</p> <p>National Institutional Coordinator: responsible for coordinating interaction between the PMU and SINAC, and other national institutions. Key tasks will include convene meetings with national authorities, establish policy agendas and coordinate activities with project coordinator.</p> <p>Project Coordinator: responsible for the overall articulation of the administrative and logistical aspects for the successful implementation of project activities and the achievement of the objectives. As such, key tasks will include leading the day to day management of the PMU in the absence of the Project Coordinator and otherwise focus on project aspects, such as oversight of all work plans, project budgets, procurement and recruitment/staffing issues.</p> <p>Administrative Finance Assistant: will provide administrative, logistical and financial support to project implementation in line with UNDP rules and procedures. Will work under the direct supervision and guidance of the Project Coordinator and Project Administrator.</p> <p>Coordination & Operations Assistant: will provide coordination and logistical support to project implementation in line with UNDP rules and procedures. Will work under the direct supervision and guidance of the Project Coordinator and Project Administrator.</p>
38	71600 - Travel	<p>Costs of travel in this outcome comprise expenses for overland travel of the Project Coordinator and Protected Areas Management Expert, especially given his/her double role as the Project Coordinator and Protected Areas Management Expert.</p> <p>A key responsibility of the Project Coordinator is to ensure strong coordination, collaboration and lessons exchange, especially with the Project partners TNC and the IADB Tourism and Cadastro Programmes. All these activities are heavily field-based, which will necessitate frequent field visits of the Project Coordinator, especially to also ensure cost efficiencies from joint planning of needed external expertise where appropriate. The travel costs are therefore calculated based on the estimation that the Project Coordinator will use an average of 10 days/month to provide effective oversight and technical support to project field activities.</p> <p>It is also expected that over the lifespan of the project the Coordinator would participate in two technical workshops that promote lessons exchange, update in technical issues and GEF project procedures most likely sponsored by other GEF projects in protected area management in the LAC region, such as the UNDP-GEF Nicaragua and UNDP-GEF Chile PA Systems Projects.</p> <p>SINAC will co-finance these travel expenses, where GEF funds will cover local DSA for 5 days/month through all five project years (\$17,000), while SINAC will cover the remaining 5 days/month (\$21,000). The remainder of the travel costs will be borne by the GEF.</p> <p>A significant amount of co-funding has been mobilized from the Government ... both through its own budget resources and its loan-based programmes in collaboration with the LADB (Sustainable Tourism and Cadastro) - NGOs and private owners. However, this co-financing is largely related to and earmarked for specific project activities and products rather than co-funding the equipment and operations of the Project Management.</p>
39	72200 - Equipment and furniture	

Note #	Budget line	Comments
		<p>Furthermore, as mentioned above, the Government Institutions – both SINAC and ICT (Government partner of the Sustainable Tourism Programme) – have strong institutional and legal limitations that impede the purchase of vehicles and equipment for actions that are not strictly related to their specific institutional duties. Thus, while SINAC will fund the actual office space (see below), GEF resources will be needed to co-fund the Project Management Unit through setting up basic equipment needs and operational systems that will allow efficient implementation of the project.</p> <p>GEF resources are required for vital equipment for office establishment and fitting-out for the project team for daily tasks. This includes basic office furniture and 2 portable and 1 stationary computers (for Project Coordinator, Project Administrator and Admin Assistant) that will be used for project management. While GEF funds will cover the full cost of basic office furniture, to cut down on the GEF contribution, the IADB Tourism Programme will co-finance the computers.</p>
40	73100 – Rental and Maintenance	<p>The Project Management Unit will be located in SINAC installations. The cost of rental of office space will therefore be covered 100% by SINAC through its in-kind contribution with an estimated \$1,000/month, which totals \$60,000 for the 5 year of project duration.</p>

SECTION IV: ADDITIONAL INFORMATION (SEE SEPARATE FILE)

- Part I. Other Agreements
- Part II. Terms of References for the Key Project Staff and main sub-contracts
- Part III. Stakeholder Involvement
- Part IV. Global Significance of Costa Rica Biodiversity
- Part V. Overview of Costa Rica's Protected Area System
- Part VI. Eco-regional Approach
- Part VII. Legal and Institutional Context
- Part VIII. Information about Financing Mechanisms
- Part IX. Pilot Demonstrations
- Part X. Plan for Monitoring and Evaluating the Impact of the Project
- Part XI. Lessons Learned
- Part XII. Methodologies used during the PDF B
- Part XIII. List of documents produced during the Preparatory Phase
- Part XIV. References

Table 13. - UNDP-GEF Financial Sustainability Indicator Scorecard

Introduction

Context

Protected area financing is critical for sound PA management. However, globally, protected area financing needs to be improved at both site and system level. Hence developing long-term financing systems is a key element for protected areas sustainability.

Protected area "financial sustainability" refers to the ability of a country to meet all costs associated with the management of a protected area system. This implies a funding "supply" issue of generating more revenue, but as importantly, a "demand" side challenge of accurately defining PA financing needs (at sites and at the system level). PA financial sustainability needs to be addressed from both sides of the financial equation. It is this systematic process of defining costs and identifying ways to meet those costs that constitutes financial planning. Good financial planning enables PA managers to make strategic financial decisions such as re-allocating spending to match management priorities, and identifying appropriate cost reductions and potential cash flow problems. In addition to cost and revenue concerns, a third area that requires special consideration in order to achieve PA financial sustainability is institutional arrangements. In many cases, efficient, transparent, credible mechanisms for collecting PA related fees are not in place.

Therefore, UNDP has developed this scorecard to assist project teams and governments track their progress to make PA systems more financially sustainable. The Scorecard has been designed at the PA system level and not site level because:

- There are activities required at a network level and not just a site such as policy reform, fund management and setting PA fees which can affect all PAs;
- There are activities that require a coordinated effort and support from several government institutions, particularly the Ministry of Finance, which are best achieved through a centralized management and financing system;
- Sites will often require similar activities so it is cost-effective to provide them centrally, such as training or verification of ambient quality and monitoring plans;
- It can allow more effective and coordinated fundraising;
- Reduce competition between sites; and
- Allow cross-subsidization between sites.

PA financing must be viewed at two levels. One is the basic status of a PA system's finances – how much is being spent and how much is needed to be spent for effective management. This will look at annual expenditures, operational costs, investment needs, revenue generation etc. From this it is possible to assess financing gaps and financial targets for increasing budgets and expenditures and/or reducing management costs in order to balance accounts.

However, there are limitations to what a snapshot of a PA system's financial accounts shows about the underlying structure, health and future direction of a PA system's finances. One year there could be a high level of expenditure due to donor support a capital injection from a debt-for-nature swap or a jump in tourism. However, one year's financial status does not necessarily ensure future financial health of a PA system. To fully assess if a PA system is moving towards financial sustainability it is also important to investigate and analyse the structural foundations of what enables and promotes long-term financial improvements for PAs. A PA system's financing is based on many elements, which are becoming increasingly known, and are quite common across countries.

Purpose

The purpose of this scorecard is to assist governments, donors and NGOs to investigate and record both aspects of a financing system – its accounts and its underlying structural foundations – to show both its current health and status and to indicate if the system is holistically moving over the long-term towards an improved financial situation.

There is a section to record overall financial changes to the inflows and outflows of capital of the PA system. However, the scorecard is designed to check progress of elements which are the foundations of a PA financing system and which will lead to the future financial viability of a PA system. Therefore the scorecard is structured to look at elements of a financing system, described below.

This Tool will be complemented by an additional guide for cost-effective protected area management ie use of funds. This is currently under development at UNDP.

Structure

The scorecard is compartmentalized into three fundamental components for a fully functioning financial system at the site and system level – (i) governance and institutional frameworks, (ii) business planning and other tools for cost-effective management (eg accounting practices) and (iii) revenue generation.

COMPONENT 1: GOVERNANCE FRAMEWORKS THAT ENABLE SUSTAINABLE PA FINANCING

Legal, policy, regulatory and institutional frameworks affecting PA financing systems need to be clearly defined and supportive of effective financial planning, revenue generation, revenue retention and management. Institutional responsibilities must be clearly delineated and agreed, and an enabling policy and legal environment in place. Institutional governance structures must enable and require the use of effective, transparent mechanisms for allocation, management and accounting of revenues and expenditures.

COMPONENT 2: BUSINESS PLANNING AND OTHER TOOLS FOR COST-EFFECTIVE MANAGEMENT

Financial planning, accounting and business planning are important tools for cost-effective management when undertaken on a regular and systematic basis. Effective financial planning requires accurate knowledge not only of revenues, but also of expenditure levels, patterns and requirements. Options for balancing the costs/revenues equation should include equal consideration of revenue increases and cost control. Good financial planning enables PA managers to make strategic financial decisions such as allocating spending to match management priorities, and identifying appropriate cost reductions and potential cash flow problems. One positive corollary to the application of management effectiveness frameworks in protected areas is the resulting increase in the confidence of donors and governments, who are thereby assured that funds invested in a protected area are being used effectively.

COMPONENT 3: TOOLS AND SYSTEMS FOR REVENUE GENERATION AND MOBILIZATION

PA systems must be able to attract and take advantage of all existing and potential revenue mechanisms within the context of their overall management priorities. Diversification of revenue sources is a powerful strategy to reduce vulnerability to external shocks. Sources of revenue for protected area systems include traditional funding sources – government subsidies and donor projects – along with innovative ones such as debt swaps, tourism concession arrangements, and in some cases, carefully controlled levels of resource extraction.

Scoring

The scoring is aimed to allow comparisons between years to show improvements in a given country. Score comparisons across countries will be possible. However, some countries will have different total scores as certain elements may or may not be applicable to them such as Trust Funds and payments for ecosystem services. Therefore the total score can be adjusted and for cross country comparisons percentage scores will be more useful.

In each country certain elements may be more important and difficult to achieve than others. In this case country teams should have flexibility to modify the current weighting system and increase the number of points allocated to a certain element so the scoring better suits their national conditions. Any modifications to scoring should be transparent and footnoted.

FINANCIAL SCORECARD – PART I – OVERALL FINANCIAL SITUATION

Overall Sustainability of a National Protected Area System	Baseline year⁴⁷ (US\$)⁴⁸	Year X⁴⁸ (US\$)⁵⁰	Year X+5 (forecast)⁵¹ (US\$)⁵¹	Comments
(i) Total annual expenditure for PAs (operating and investment costs)	20,371,745	9,343,969		.Los gastos de 2007, corresponden al I semestre, 30 de junio
- national protected areas	20,371,745	9,343,969		
- national areas co-managed by NGOs				En CR el comanejo no tiene sustento legal
- state/municipal protected areas				En CR Únicamente existen AP nacionales
- others				
(ii) Total annual government budget provided for PA management (excluding donor funds)	24,491,216	24,001,297		
- national protected areas	24,491,216	24,491,216		
- national areas co-managed by NGOs				
- state/municipal protected areas				
- others				
(iii) Total annual government budget provided for PA management (including donor funds, loans, debt-for nature swaps)	27,741,751	29,548,501		% of total budget provided by government
- national protected areas	27,741,751	29,548,501		
- national areas co-managed by NGOs				
- state/municipal protected areas				
- others				
(iv) Total annual revenue generation from PAs, broken down by source	9,732,325	6,992,600		
a. Tourism (fees, concessions and taxes)	5,151,785	3,046,545		
b. Payments for ecosystem services (PES)	275,366			

⁴⁷ Insert year

⁴⁸ Insert in footnote the local currency and exchange rate to US\$ and date of rate

⁴⁹ Insert year

⁵⁰ Insert in footnote the local currency and exchange rate to US\$ and date of rate

⁵¹ Insert in footnote the local currency and exchange rate to US\$ and date of rate

(iv) Net annual surplus/deficit ⁵²	4,305,174	3,946,055	
(iv) Percentage of PA generated revenues retained in the PA system for re-investment ⁵³			
(v) Projected revenues (over 5 year period)	93,007,875	112,633,768	112,633,768
- national protected areas	35,729,519	39,693,815	
- national areas co-managed by NGOs			
- state/municipal protected areas			
- others	57,278,356	72,939,952	
(vi) Estimated financing needs for basic management costs and investments to be covered	34,640,056	34,638,732	
(vii) Estimated financing needs for optimal management costs and investments to be covered			
(viii) Annual actual financing gap (financial needs - available finances)			
a. Annual financing gap for basic expenditure scenarios	6,898,305	5,090,231	55,557,973
b. Annual financing gap for optimal expenditure scenarios			

⁵² This will be more relevant to parastatals and PA agencies with autonomous budgets

⁵³ This includes funds to be shared by PAs with local stakeholders

FINANCIAL SCORECARD – PART II – ASSESSING ELEMENTS OF THE FINANCING SYSTEM

Component 1 – Legal, regulatory and institutional frameworks					
<i>Element 1</i> – Legal, policy and regulatory support for revenue generation by PAs		None (0)	Some (1)	Fully (3)	COMMENT
(i) Laws have been reformed so that they do not constrain or act perversely towards PA revenue mechanisms			1		
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks are introduced			1		
<i>Element 2</i> – Legal, policy and regulatory support for revenue sharing within the PA system		No (0)	Yes, but suboptimal (1)	Yes, optimally (3)	
(i) Laws, policies and procedures are in place for PA revenues to be retained by the PA system				3	
(ii) Laws, policies and procedures are in place for PA revenues to be retained, in part, at the PA site level		0			
(iii) Laws, policies and procedures are in place for revenue sharing at the PA site level with local stakeholders			1		
<i>Element 3</i> – Legal and regulatory conditions for establishing, endorsement or trust funds ⁵⁴					
(i) A Trust Fund have been created to finance the PA system		No (0)	Yes (3)		
			3		
(ii) Trust Funds have been created to finance specific PAs		None (0)	Some (1)	Fully (3)	
				3	
(iii) Trust Funds are integrated into the national PA financing systems		No (0)	Partially (1)	Fully (3)	
				3	
<i>Element 4</i> – Legal, policy and regulatory support for alternative institutional arrangements for PA management		None (0)	Partial (1)	Full (3)	
(i) There are laws which allow and regulate delegation of PA management and associated financial affairs for concessions				3	
(ii) There are laws which allow and regulate delegation of PA management and associated financial affairs for co-management		0			
(ii) There are laws which allow and regulate delegation of PA management and associated financial affairs to local government			1		
(iv) There are laws which allow and regulate delegation of PA management and associated		0			

⁵⁴ Where a PA system does not require a Trust Fund due to robust financing within government award full 9 points

financial affairs for private reserves	Not begun (0)	In progress (1)	Completed (3)
<i>Element 5 - National PA financing strategies</i>			
(i) Policy for revenue generation and fee levels across PAs			3
(ii) Criteria for allocation of PA budgets to PA sites (business plans, performance etc)			3
(iii) Safeguards are in place to ensure that revenue generation does not adversely affect conservation objectives of PAs			3
(iii) Policy to require all PA management plans to include financial sections based on standardized format and criteria			3
(iv) Degree of implementation of national financing strategy and adoption of policies		1	
<i>Element 6 - Economic valuation of protected area systems</i>	None (0)	Partial (1)	Full (3)
(i) Economic data on PA values exists		1	
(ii) PA economic values are properly documented		1	
(iii) PA economic values are recognized across government		1	
<i>Element 7 - Improved government budgeting for PA systems</i>	No (0)	Yes (1)	
(i) Policy of the Treasury towards budgeting for PAs provides for increased medium to long term financial resources in accordance with demonstrated needs		1	
(ii) Policy requires budgeting for PAs based on financial need as determined by the PA business plan		1	
(iii) There are policies that PA budgets should include funds for the livelihoods of communities living in and around the PA as part of threat reduction strategies		1	
<i>Element 8 - Clearly defined institutional responsibilities for PA management and financing</i>	None (0)	Partial (1)	Full (3)
(i) Mandates of institutions regarding PA finances are clear and agreed		1	
<i>Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level</i>	None (0)	Partial (1)	Full (3)
(i) Sufficient number of positions for economists and financial planners and analysts in the PA authorities to properly manage the finances of the PA system		1	
(ii) Laws and regulations motivate PA managers to promote site level financial sustainability		1	
(iii) PA managers are accountable for balanced budgets		1	
(iv) TORs for PA staff include responsibilities for revenue generation, financial management and cost-effectiveness	0		
(v) PA managers have the flexibility to budget and plan for the long-term		1	
(vi) Incentives are offered for PA managers to implement business plans	0		
Total Score for Component 1		14	SCORE: 43

Component 2 – Business planning and tools for cost-effective management			
Element 1 – Site-level business planning	Not begun (0)	In progress (1)	Completed (3)
(i) Business plans, based on standard formats, are developed for upto four pilot sites		1	
(ii) Business plans implemented at the pilot sites, measured by degree of achievement of objectives		1	
(iii) Business plans developed for all appropriate sites		1	
(iv) Business plans are directly linked to management plan goals and objectives		1	
(v) Preparation of participatory management plans including business plans in use across the PA network	0		
(vi) Monitoring and reporting on business plans through enhanced activity-based cost accounting that feeds into system wide accounting and budgeting	0		
Element 2 – Operational, transparent and useful accounting and auditing systems	None (0)	Partial (1)	Full (3)
(i) Policy and regulations require comprehensive, coordinated cost accounting systems to be in place		1	
(ii) Transparent and coordinated cost and investment accounting systems are operational		1	
(iii) Revenue tracking systems for each PA in place and operational		1	
(iv) Regular monitoring and reporting of PA investments and revenue generation occurs		1	
Element 3 – Systems for monitoring and reporting on financial management performance	None (0)	Partial (1)	Full (3)
(i) All PA revenues and expenditures are fully and accurately reported and tracked by government and are made transparent		1	
(ii) Positive return on investments from capital improvements measured and reported	0		
(iii) Financial performance of PAs is evaluated and reported (linked to cost-effectiveness)		1	
Element 4 – Methods for allocating funds across individual PA sites	No (0)	Yes (1)	
(i) National PA budget is appropriately allocated to sites based on criteria agreed in national financing strategy		1	
(ii) Policy and criteria for allocating funds to co-managed PAs complement site based fundraising efforts	0		
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and headquarters		1	
Element 5 – Training and support networks to enable park managers to operate more cost-effectively	Not available (0)	Partially (1)	Fully (3)
(i) Guidance on cost-effective management developed and being used by PA managers	0		
(ii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance		1	

(iii) Monitoring and learning systems of cost-effectiveness are in place and feed into management policy and planning			1	
(iv) PA managers are trained in financial management and cost-effective management			1	
(v) PA managers share costs of common practices with each other and with PA headquarters ⁵⁵		0		
Total Score for Component 2				SCORE: 15
Component 3 – Tools for revenue generation				
Element 1 – Increase in number and variety of revenue sources used across the PA system				
(i) Analysis of all revenue options for the country complete and available including feasibility studies;		No (0)	Partially (1)	Fully (3)
(ii) There is a diverse set of sources and mechanisms generating funds for the PA system			1	
(iii) Increased number of PAs operating effective revenue mechanisms and generating positive returns			1	
Element 2 – Setting and establishment of user fees across the PA system				
(i) A system wide strategy and implementation plan complete and adopted by government for user fees		No (0)	Yes (1)	
(ii) The national tourism industry and Ministry is supportive and a partner in the PA user fee system and programmes			1	
(iii) Tourism related infrastructure investment is proposed for PA sites across the network based on revenue potential, return on investment and level of entrance fees			1	
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst still meeting PA conservation objectives			1	
Element 3 – Effective fee collection systems				
(i) A system wide strategy and implementation plan complete and adopted by PA authorities (including co-managers) for fee collection		None (0)	Partial (1)	Full (3)
				3
Element 4 – Marketing and communication strategies for revenue generation mechanisms				
(i) Communication campaigns for the public about the tourism fees, new conservation taxes etc are widespread and high profile		None (0)	Partial (1)	Full (3)
Element 5 – Operational PES schemes for PAs⁵⁶				
(i) A system wide strategy and implementation plan complete and adopted by government for PES		0		
(ii) Pilot PES schemes at select sites developed			1	
(iii) Operational performance of pilots is evaluated and reported			1	
(iv) Scale up of PES across the PA system is underway		0		

⁵⁵ This might include aerial surveys, marine pollution monitoring, economic valuations etc.

⁵⁶ Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system

<i>Element 6 - Operational concessions within Pas</i>			
	None (0)	Partial (1)	Full (3)
(i) A system wide strategy and implementation plan complete and adopted by government for concessions		1	
(ii) Concession opportunities are identified at the site and system levels		1	
(iii) Concession opportunities are operational at pilot sites		1	
(iv) Operational performance of pilots is evaluated, reported and acted upon		1	
<i>Element 7 - PA training programmes on revenue generation mechanisms</i>			
	None (0)	Limited (1)	Extensive (3)
(i) Training courses run by the government and other competent organisations for PA managers on revenue mechanisms and financial administration		1	
Total Score for Component 3			SCORE: 18

FINANCIAL SCORECARD - PART III - SCORING AND MEASURING PROGRESS

Total Score for PA System	76
Total Possible Score	207
Percentage of actual score of total possible score	37%
Percentage scored previous year	NA

SIGNATURE PAGE

Country: Costa Rica

UNDAF Outcome(s)/Indicator(s):

(Link to UNDAF outcome.. If no UNDAF, leave blank)

UNDAF Outcome #4: Sustainable environment

Expected Outcome(s)/Indicator (s):

(CP outcomes linked t the SRF/MYFF goal and service line)

 Institutional change and practices aimed at achieving healthy equitably, safe and ecologically balanced environment as well as the sustainable use of natural resources through a territorial planning framework

Expected Output(s)/Indicator(s):

(CP outcomes linked t the SRF/MYFF goal and service line)

Number of legal regulations approved enforced and institutionalized for the sustainability for protected areas

Implementing partner:
(designated institution/Executing agency)

 UNDP

Other Partners:

 SINAC-MINAE

Programme Period: 2008-2012
 Programme Component: Environment & Energy
 Project Title: Overcoming Barriers to Sustainability of Costa Rica's Protected Areas System
 Project ID: 3423 Atlas Project #00056040
 Project Duration: 5 years
 Management Arrangement: NEX

Total budget:	25,427,671
• GEF:	4,368,000
• Government:	
• Cash	2,960,376
• In-kind	-1,374,160
• Other In kind contributions	
o IADB	14,445,012
o TNC	1,861,800
o AECI	133,323
o Pro-Parques	92,000
o FUNDECODES	193,000



Agreed by (Government):
Roberto Dobles Mora

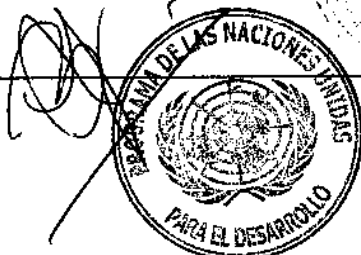
Date: _____

Agreed by (Implementing partner/Executing agency):
Ronald Vargas Brenes

Date: 28 oct, 2008

Agreed by (UNDP):
Lara Blanco Rothe

Date: _____



Notes:

UNDAF Outcome and Indicator(s)

The signature page details the UNDAF outcome(s) as well as the Outcome(s) and Output(s) related to the project. If the UNDAF lists outcomes, they should be included in the signature page. When UNDAF outcomes are not clearly articulated, country teams may decide to either revisit the UNDAF to clarify the outcomes or leave the field blank.

UNDAF Outcome indicators should be listed here.

Expected Outcome(s) and Indicator(s)

Expected Outcomes are Country Programme (CP) outcomes. They should reflect MYFF/SRF outcomes and ACC sector, which will be in the ERP).

Outcome indicator(s) should be listed here.

Expected Output(s) and Indicator(s)

Expected Outputs are Country Programme outputs. They should reflect MYFF/SRF outputs.

Output indicator(s) should be listed here.

Implementing partner:

Same as designated institution in the simplified project document – name of institution responsible for managing the programme or project (formerly referred to as executing agency). Implementing partners include Government, UN agencies, UNDP (see restrictions in Programming Manual Chapter 6) or NGOs.

Other partners:

Formerly referred to as implementing agencies in the simplified project document—partners that have agreed to carry out activities within a nationally executed project. This would include UNDP when it provides Country Office Support to national execution. Private sector companies and NGOs hired as contractors would generally not be included. The agency (i.e. Government, UN agency) that contracts with the private sector company and/or NGO is the responsible party. ‘Other partners’ can also apply to other execution modalities.

When an NGO contributes to an output, it can be noted along with the responsible party with which it contracts (e.g., UNDP/NGO, Govt/NGO). Consistent with current practice the rationale for selecting an NGO as a contractor, must be documented.

Programme period: Refers to the Country Programme period

Programme component: MYFF Goal

Project title, project code, project duration (self explanatory)

Management arrangement: Indicate NEX, AGEX, NGO Execution, DEX

Budget: Total budget minus the General Management Services Fees

General Management Services Fees: This was formerly COA (Country Office Administrative fee) for cost sharing and UNDP Administrative Fee for Trust Funds.

Total budget: Includes the budget and General Management Services Fees. In-kind contributions can be listed under 'other' resources. Unfunded amounts cannot be committed until funds are available.

Signatures:

The Implementing partner is the institution responsible for managing the programme or project. (The institution now commonly referred to as the "executing agency" but will now be referred to as the "implementing partner")

UNDP is the UNDP Resident Representative.

The Government counterpart is the government coordinating authority.