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dentro de Bameritas  
63642



**INITIATION PLAN  
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

**Country:** Costa Rica

UNDAF Outcome(s)/Indicator(s): Institutional changes and citizen's practices lead to a healthy, equitable, safe and ecologically balanced environment and a sustainable handling of resources with in a territorial plan.

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

Expected Outcome(s)/Indicator (s): Coordination and leadership of the environmental sector  
*(CP outcomes linked t the SRF/MYFF goal and service line)*

Expected Output(s)/Indicator(s):  
*(CP outcomes linked t the SRF/MYFF goal and service line) Normative framework of the Ministry of the Environment and Energy reworked anda institutional reform 100% completed.*

Programme Period: 2008-2012  
Programme Component: Environment, energy and risk management  
PPG Title: Consolidating Costa Rica's Marine Protected Areas (MPAs)  
ATLAS Project ID: 00074249  
PIMS Project ID: 4259  
Duration: 13 months  
Management Arrangement: DEX

**Total budget: \$ 160,881**

Allocated resources:

- Regular (GEF) \$ 80,000
- Government (SINAC) In Kind \$ 40,881
- Other:
  - o Donor: FCR- Cash \$ 40,000

**AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:**

*Luiza Carvalho*  
*Resident Representative*

*Luiza Carvalho*  
Signature:

Date: November 1<sup>st</sup>, 2009

## **Brief Description of Initiation Plan**

The project preparation grant (PPG) supports the design of the full-sized project “Consolidating Costa Rica's Marine Protected Area”.

The PPG will begin in October 2009 and end in December 2010. The major output of the PPG will be the full-sized project document, which will be attained through implementing the following main activities: (i) the definition of baseline for MPA management, (ii) the assessment of current and projected MPA funding levels, (iii) the identification of MPAs to be expanded and/or created, ecosystems to be represented, and definition of baseline values and conservation targets for key marine species; and finally (iv) the development of the monitoring and evaluation strategy

**GEF PPG approved grant document**



**REQUEST FOR PROJECT PREPARATION GRANT (PPG)**

**PROJECT TYPE: Full-sized Project  
THE GEF TRUST FUND**

**Submission date:** ~~June 8, 2009~~

**GEF PROJECT ID: 3956**

**GEF AGENCY PROJECT ID: 4259**

**COUNTRY(IES):** Costa Rica

**PROJECT TITLE:** Consolidating Costa Rica's Marine Protected Areas (MPAs)

**GEF AGENCY(IES):** UNDP

**OTHER EXECUTING PARTNER(S):** National System of Conservation Areas (SINAC)

**GEF FOCAL AREA(s):** Biodiversity

**GEF-4 STRATEGIC PROGRAM(s):** BD-SP2-Marine PA; BD-SP1-PA Financing

**NAME OF PARENT/PROGRAM/UMBRELLA PROJECT (if applicable):** N/A

**A. PROJECT PREPARATION TIMEFRAME**

Start date of PPG	October 2009
Completion date of PPG	November 2010

**B. PAST PROJECT PREPARATION ACTIVITIES (\$) :** N/A

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
N/A				
N/A				
N/A				
N/A				
N/A				
<b>Total Project Preparation Financing</b>				

**C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)**

The Project Preparation Grant (PPG) will cover the following preparatory activities:

- 1. Definition of baseline for MPA management**

**1.1. Socioeconomic analysis for the three MPAs in order to define the baseline for participatory management arrangements:** Socioeconomic studies for three (3) existing MPAs to be expanded as part of the project, will be developed using PPG funds to define the baseline for participatory management arrangements. These studies will allow the preliminary identification of local- and regional-level stakeholders, as well as areas for cooperation and conflict with local communities and economic sectors. These studies will also allow the early involvement of stakeholders in the decision-making processes for the MPAs and the identification of potential partnerships with local groups to promote effective participatory planning and management. Socioeconomic studies will include stakeholder analysis, resource use pattern and trends, socioeconomic expectations of local groups and impacts of MPAs on the stakeholders, and perceptions of the marine environment and MPAs. Special consideration will be given to successful experiences within Costa Rica in participatory protected areas (PA) management with the aim of maximizing cost effectiveness and the sustainability of social participation.

**1.2. Definition of scope of climate change mitigation and adaptation strategy for MPAs:** PPG funds will also be used to define the scope of a strategy to mitigate and adapt to the impacts of climate change on Costa Rica's MPAs. Although climate change has been identified as one of the major threats to Costa Rica's marine biodiversity, the full extent of this threat is currently unknown. GEF funds will be used to assess the current and potential impacts of climate change on marine/coastal biodiversity and MPAs on both the Pacific Ocean and Caribbean Sea of Costa Rica. This assessment will include: (i) detailed scientific literature review of climate change effects on marine/coastal biodiversity and MPAs; (ii) documentation summary of mitigation and adaptation national policies, strategies, and marine projects; (iii) matrices describing the impact of climate change on biodiversity in each of the project's MPAs; and (iv) guidelines for mitigating climate change and the development of cost-effective adaptive management strategies in a selected number of MPAs that will be determined during the PPG phase.

**1.3. Baseline management effectiveness assessment for MPAs to be expanded:** PPG resources will be used to collect baseline data and to establish the METT baseline scores for management effectiveness in the existing MPAs to be expanded as part of the project's activities, including three (3) MPAs where participatory management arrangements will be carried out as stated on the PIF. METT baseline scores for MPAs to be created will be determined during project implementation phase.

## **2. Assessment of current and projected MPA funding levels.**

Current and projected levels of MPA funding from both public (i.e., annual government contributions) and private sources (e.g., Forever Costa Rica initiative – FCR, and others) will be assessed using PPG funds. This activity will be carried out in consultation with SINAC's finance officials and in close coordination with the ongoing UNDP/GEF *Overcoming Barriers to Sustainability of Costa Rica's Protected Areas System* project to optimize results. This activity will be based on a review of the feasibility of different income generation options being carried out as part of the MPAs consolidation process. Based on these analyses, a financial scenario will be developed to show how the financial resource levels for MPAs are likely to evolve in coming years. This will in turn allow the definition of needs for any additional income sources in order to ensure increased and diversified funding sources for MPAs. PPG resources will also be used for articulating the design of the FCR Protected Areas Trust Fund with the project's design and needs. The Trust Fund is currently being designed by SINAC's private partners.

## **3. Identification of MPAs to be expanded and/or created, ecosystems to be represented, and definition of baseline values and conservation targets for key marine species. This will enable the full definition and costing of activities for the FSP.**

**3.1. Preliminary definition of boundaries for MPAs to be expanded and/or created:** PPG funds will be used to define preliminary boundaries for 12 areas within 12 prioritized sites identified as part of Costa Rica's land use zoning proposal for biodiversity conservation (GRUAS II: marine conservation gap analysis). Prioritized sites in the Pacific Ocean are: 1) Dominical-Sierpe, 2) Bahía de Santa Elena, 3) Golfo de

Papagayo, 4) Punta Gorda-Punta Pargos, 5) Golfo Dulce, 6) Isla del Caño, 7) Corcovado, 8) Chira-Tempisque in Golfo de Nicoya, 9) Isla del Coco and Montañas Submarinas Cocos, and 10) Cabo Blanco; and in the Caribbean Sea: 11) Gandoca and 12) Barra del Colorado. Specific activities to be developed using GEF funds are: (i) review and summary of existing ecological and socioeconomic information regarding the sites for MPAs expansions and/or creation; (ii) consultation workshops with MPA experts and SINAC officials to identify biodiversity of global importance to be protected and to define initial MPA boundaries, and (iii) preliminary mapping of boundaries and determination of MPA coverage. Final MPA boundaries will be defined during project implementation phase.

**3.2. Identification of marine ecosystems to be represented in expanded and/or created MPAs:** A key criterion for the selection of preliminary MPA boundaries is ecosystem representation. PPG funds will be used in the identification of the marine ecosystems to be included within the expanded and/or created MPAs, as well as the increased ecosystem representation relative to the current representation in Costa Rica's MPAs subsystem. Increased ecosystem representation will be characterized according to the following categories: terrestrial-coastal areas; marine areas from zero to 30 meters deep, marine areas from 30 to 200 meters deep, and oceanic areas >200 meters deep.

**3.3. Baseline data collection and definition of biodiversity indicators:** PPG funds will be used to finance baseline studies that will result in the definition of indicators and their baseline values and conservation targets for key coastal and marine species and ecosystems found in three (3) MPAs. Specifically, the following activities will be funded: (i) detailed literature review on key species, habitats and ecosystem, and conservation threats for key resident and visitor marine species of MPAs; (ii) quantification of biological and population variables (i.e., abundance, life cycle stages, distribution, and habitat requirements) for key marine and coastal species; and (iii) definition of indicators and their baseline values and conservation targets for selected species; and (iv) development of maps of the location/distribution of selected species and threats.

#### 4. Monitoring and evaluation strategy

PPG funds will be used to develop a monitoring and evaluation (M&E) strategy to track the project's impacts and to measure biodiversity conservation and financial performance trends over the long term. Activities will include the following: (i) Evaluation of current M&E systems of participating institutions to measure conservation impacts and the financial sustainability of MPAs; (ii) development of MPA-level key biodiversity and financial indicators; (iii) evaluation of how partner institutions account for financial sustainability and biodiversity impacts and benefits in decision-making and project implementation; (iv) formulation of a project M&E strategies including baseline levels, indicators, methodologies, and targets to track project progress and effectiveness; and (v) development of a cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned, and outline replication strategies.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)				Total (c = a + b)
			Cash		In kind		
Baseline for MPA management	<ul style="list-style-type: none"> <li>Socioeconomic baseline for participatory management arrangements is established for three (3) existing MPAs.</li> </ul>	34,370	FCR	15,600	SINAC	9,649	59,619
	<ul style="list-style-type: none"> <li>Scope of climate change mitigation and adaptation strategy for MPAs is defined.</li> </ul>						

	<ul style="list-style-type: none"> <li>METT baseline scores are established for existing MPAs to be expanded.</li> </ul>						
Assessment of current and projected MPA funding levels	<ul style="list-style-type: none"> <li>Baseline of existing and projected government and private funding levels for MPAs is defined.</li> </ul>		FCR	5,856	SINAC	1,316	7,172
MPAs identification, ecosystem representation, and definition of baseline values and conservation targets	<ul style="list-style-type: none"> <li>Preliminary boundaries for twelve (12) new and/or expanded MPAs are defined and mapped.</li> </ul>		FCR	18,544	SINAC	10,572	29,116
	<ul style="list-style-type: none"> <li>Marine ecosystems to be further represented under Costa Rica's PA system are identified.</li> </ul>						
	<ul style="list-style-type: none"> <li>Biological indicators for selected marine species and conservation baselines/targets are defined.</li> </ul>						
Monitoring and evaluation (M&E) strategy	<ul style="list-style-type: none"> <li>M&amp;E strategy is developed.</li> </ul>	45,630			SINAC	19,344	64,974
	<ul style="list-style-type: none"> <li>Monitoring strategy for financial sustainability of the MPAs is developed.</li> </ul>						
	<ul style="list-style-type: none"> <li>ProDoc and CEO Endorsement Request are submitted.</li> </ul>						
<b>Total Project Preparation Financing</b>		<b>80,000</b>		<b>40,000</b>		<b>40,881</b>	<b>160,881</b>

**D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)**

	Project Preparation	Agency Fee
GEF financing	80,000	8,000
Co-financing	80,881	
<b>Total</b>	<b>160,881</b>	<b>8,000</b>

**E. PPG REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

GEF Agency	Focal Area	Country Name/ Global	(in \$)		
			PPG (a)	Agency Fee (b)	Total c = a + b
N/A					
N/A					

N/A					
N/A					
N/A					
<b>Total PPG Requested</b>					

<sup>1</sup> No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

#### F. PPG BUDGET REQUEST

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	GEF (\$)	Co-financing (\$)		Total (\$)
			Cash	In kind	
Local consultants	40 (GEF)	28,000	40,000		68,000
International consultants	14 (GEF)	42,000			42,000
Travel and miscellaneous		10,000		3,600	13,600
Activity Coordination and Technical Support <sup>1</sup>				37,281	37,281
<b>Total PPG Budget</b>		<b>80,000</b>	<b>40,000</b>	<b>40,881</b>	<b>160,881</b>

#### G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
John Hough UNDP/GEF Deputy Executive Coordinator			Santiago Carrizosa	+507 302-4510	Santiago.carrizosa@undp.org

<sup>1</sup> The Government of Costa Rica through SINAC will name a project coordinator that will be responsible for: (i) providing guidelines and orientation for PPG-phase activities implementation according to SINAC's policies and mandates, including the M&E strategy; (ii) representing SINAC in meetings and decision-making scenarios related to the project; and (iii) coordinating actions related to the project internally within SINAC. Also, a technical/advisory committee will be established with up to five (5) members from SINAC and its project partners including The Nature Conservancy, the Walton Foundation, and a marine biodiversity expert. The committee will operate on an as needed basis in support of the activities of the PPG phase.

**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

<b>Position / Titles</b>	<b>\$/ Person Week</b>	<b>Estimated PWs</b>	<b>Tasks to be performed</b>
<b>Local</b>			
Socioeconomic specialist	487	16 (COF)	<ul style="list-style-type: none"> <li>i) Review past and existing experiences for participatory management arrangements for MPAs.</li> <li>ii) Develop socioeconomic analyses for three (3) existing MPAs including stakeholder analysis, resource use pattern and trends, and socioeconomic goals and impacts of the MPAs on the stakeholders, among other topics.</li> <li>iii) Define needs for implementing effective participatory management arrangements.</li> </ul>
Climate change/MPA specialist	488	16 (COF)	<ul style="list-style-type: none"> <li>i) Review scientific literature on climate change and its effects on marine biodiversity and MPAs.</li> <li>ii) Identify climate change impacts on Costa Rica's MPAs and marine ecosystems.</li> <li>iii) Prioritize MPAs and ecosystems where cost-effective adaptive management strategies will be implemented using decision-making matrices and define implementation guidelines.</li> <li>iv) Define the project impact indicators relevant to climate change mitigation and adaptation.</li> </ul>
PA management /operational specialist	700	40 (GEF)	<ul style="list-style-type: none"> <li>i) Collect baseline data for management effectiveness assessment.</li> <li>ii) Apply METT in existing MPAs to be expanded, including three (3) MPAs where participatory management arrangements will be implemented as stated on the PIF.</li> <li>iii) Define operational strategies and resource needs for effective project implementation.</li> <li>iv) Organize stakeholder consultations (threats analysis, logical framework, institutional and participation arrangements).</li> <li>v) Define needs for implementation and participation mechanisms</li> <li>vi) Negotiate implementation and participation mechanisms with institutions and local stakeholders.</li> </ul>
PA finance/trust fund specialist	488	12 (COF)	<ul style="list-style-type: none"> <li>i) In consultation with SINAC's finance officials, assess the current funding levels of the MPAs (baseline values), in terms of needs vs. current income from</li> </ul>



			<p>government and private sources.</p> <p>ii) Define indicators of the increased and diversified funding for the MPAs to assess the set goal of an increase by 20% of MPAs financing by project end.</p> <p>iii) Define guidelines for articulating the FCR Trust Fund design with the project's design and needs. The FCR Trust Fund is currently being designed by SINAC's private partners.</p>
MPA planning specialist	488	16 (COF)	<p>i) Analyze existing ecological and socioeconomic information for the proposed expansions and/or new MPAs.</p> <p>ii) Organize and lead consultation workshops with MPA experts and SINAC officials to identify biodiversity of global importance to be protected and to define initial MPA boundaries and costs.</p> <p>iii) In coordination with the marine biologist/ecologist, map the MPAs' preliminary boundaries and determine their coverage.</p>
Marine biologist /ecologist	488	22 (COF)	<p>i) Review biological and ecological information for key coastal and marine species that reside or visit three (3) existing MPAs.</p> <p>ii) Design biodiversity impact indicators for selected key species and ecosystems that can be implemented and monitored during project implementation.</p> <p>iii) Define baseline values and targets for selected species and ecosystems.</p> <p>iv) Develop location/distribution and threats maps of selected species and ecosystems for MPAs.</p> <p>v) Jointly with the MPA planning specialist, identify the coastal and marine ecosystems within the proposed expansions and/or new MPAs.</p>
<b>International</b>			
Environmental M&E specialist	3,000	14 (GEF)	<p>i) Review and structure existing data and methodologies for development of key outputs.</p> <p>ii) Develop an M&amp;E plan including baseline analysis, project indicators, methodologies, and protocols for the collection and systematization of information.</p> <p>iii) Develop a monitoring strategy for financial sustainability of the MPAs.</p> <p>iv) Determine whether databases and technical analyses can be appropriately adapted to the scope, scale, and needs of project stakeholders and the implementer.</p> <p>v) Provide overall orientation to PPG team in relation to GEF logic and information</p>

			requirements. vi) Develop incremental cost matrices. vii) Perform final review and definition of strategic work plan and cost-efficiency analysis.
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**TBWP**

**Total Budget and Work Plan**

<b>Award ID:</b>	00059393
<b>Award Title:</b>	Consolidating Costa Rica's Marine Protected Areas (MPAs)
<b>Business Unit:</b>	CRI10
<b>Project Title:</b>	GEF-PIMS4259PPG MPA
<b>Project ID</b>	00074249
<b>Implementing Partner (Executing Agency)</b>	SINAP

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2009 (USD)	Amount 2010 (USD)	Total (USD)
<b>OUTCOME 1:</b> Preparation of the Project Document Consolidating Costa Rica's Marine Protected Areas.	SINAC	62000	GEF	71200	International Consultants		42.000	42.000
				71300	Local Consultants	2.800	25.200	28.000
				71600	Travel		5.000	5.000
				74500	Miscellaneous	1.500	3.500	5.000
<b>PROJECT TOTAL</b>						<b>4.300</b>	<b>75.700</b>	<b>80.000</b>

Summary of Funds:	Donor	Amount (USD)
	GEF	80,000
	SINAP	40,881
	FCR	40,000
	<b>TOTAL</b>	<b>160,881</b>

