

## United Nations Development Programme

Country: **Costa Rica**

### PROJECT DOCUMENT

**Project Title: Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change**

**UNDAF Outcome(s):** Institutional changes and practices have been secured for a healthy, equitable, secure and ecologically balanced environment, as well as a sustainable management of resources in a territorial planning framework

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:** Mainstreaming environment and energy  
**UNDP Strategic Plan Secondary Outcome:** --

**Expected CP Outcome(s):** Mechanisms for prevention of, adjustment to and mitigation of climate change at all relevant national and local institutions improved

**Expected CPAP Output(s):** Networks of the National Emergency System to increase capacity to respond to climate change. Reduced use of substances which deplete the ozone layer.

**Executing Entity/Implementing Partner:** Ministry of Environment, Energy and Telecommunications - National Meteorological Institute

**Implementing Entity/Responsible Partners:** UNDP COSTA RICA

#### Brief Description

The goal of this project is to prepare a national report on the main aspects related to Climate Change in Costa Rica following the guidelines that the UNFCCC approved for this aim and in accordance with the United Nations Development Goals.

The main expected outcomes of the project are: a Greenhouse Gas Inventory for 2010 as reference year and a description of the programs containing the most important adaptation and mitigation measures, including vulnerability analysis in non covered areas by the First and Second National Communications. These will be synthesized in a report that will allow Costa Rica to highlight and disseminate climate change concerns to a wide national and international audience.

Programme Period:	2008 -2012
Atlas Award ID:	00065676
Project ID:	00082066
PIMS#:	
Start Date:	01/04/12
End Date:	30/9/2014
Management Arrangement:	NIM
PAC Meeting Date:	12/4/2012

Total resources required:	US \$ 787,500
• GEF	US \$ 480,000
• Government	
In-kind	US \$ 307,500

Agreed by Minister of Environment, Energy and Telecommunications:

  
Name \_\_\_\_\_ Signature \_\_\_\_\_ Date/Month/Year 19/06/2012



Agreed by Director of the National Meteorological Institute:

Juan Carlos Fallos Sojo  
Name \_\_\_\_\_ Signature \_\_\_\_\_ Date/Month/Year 18/04/2012

Agreed by UNDP Resident Representative:

WIZACARUANO  
Name \_\_\_\_\_ Signature \_\_\_\_\_ Date/Month/Year 10/7/12

Agreed by Minister of MIDEPLAN:

ROBERTO J. GALLARDO  
Name \_\_\_\_\_ Signature \_\_\_\_\_ Date/Month/Year 19-6-2012



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## **Acronyms and Abbreviations**

CC: Climate Change

CCT: Centro Científico Tropical

CDM: Clean Development Mechanism

CFIA: Colegio Federado de Ingenieros y de Arquitectos

CONICIT: Consejo Nacional para Investigaciones Científicas y Tecnológicas

DCC: Dirección de Cambio Climático

ECA: Ente Costarricense de Acreditación

ENCC: Estrategia Nacional de Cambio Climático

FNC: First National Communication

FONAFIFO: Fondo Nacional de Financiamiento Forestal

FUNDECOR: Fundación para el Desarrollo de la Cordillera Volcánica Central

GEF: Global Environment Facility

GHG: Greenhouse Gas

ICE: Instituto Costarricense de Electricidad

IMN: Instituto Meteorológico Nacional

INTECO: Instituto de Normas Técnicas de Costa Rica

IPCC: Intergovernmental Panel on Climate Change

MICIT: Ministerio de Ciencia y Tecnología

MINAET: Ministerio de Ambiente, Energía y Telecomunicaciones

MOPT: Ministerio de Obras Públicas y Transporte

NC: National Communications

NGO: Non Governmental Organization

PND: Plan Nacional de Desarrollo

PSA: Pago por Servicios Ambientales

RECOPE: Refinadora Costarricense de Petróleo

REDD: Reducing Emissions from Deforestation and forest Degradation

SNC: Second National Communication

TNC: Third National Communication

UNFCCC: United Nations Framework Convention on Climate Change

## **1. Situation Analysis**

### **Context and significance**

Costa Rica is a Democratic Republic located in Central America, with a continental area of 51,100 square kilometers. To the North, it is bordered by Nicaragua, to the East by the Caribbean Sea, to the Southeast with Panama, and to the Southwest and West with the Pacific Ocean.

The greater share of electrical production comes from clean sources and, in this sense; the country has become a leader in the Central American region. In 2006, 93.6% of electricity came from this type of sources (hydraulic, geothermal and wind), with a small share (6.3%) of electricity produced through thermal power plants.

In 2005, national forest cover rose to 48% of the territory, without taking into consideration mangroves, moors, and forest plantations. "Of all existing forests covers, only 45% (1,118,995 ha) is under some sort of protection, while the rest (1,327,122 ha) falls outside any sort of protection unit. It must be pointed out, however, that of the forest area existing outside protected areas, a total of 451,500 ha have been under conservation through the Payment for Environmental Services (PSA) program in the period 1997-2005, which equaled in 2005 to 18.4% of the national forest cover, or 34% of the forest area within protected regions. During the 2000-2005 period, forest cover rose in 169,000 ha as a result of recovery processes, while forest loss amounted to only 23,600 ha. This is equivalent to a yearly recovery rate of 0.66% of the national territory, and a yearly forest degradation rate of 0.09%.

The objectives of the Convention were incorporated into the National Development Plan 2010 - 2014 and thus, an essential step towards creating a national policy to facilitate planning and implementation of coordinated sectorial and institutional actions on this matter was taken. In this context, the country has committed itself to developing the National Climate Change Plan.

In turn, the "Peace with Nature" initiative, which arises as a response by President Oscar Arias and a group of professionals on the growing concerns on the country and planet-wide environmental degradation, places climate change as a priority area for action, having acquired the Government of Costa Rica the commitment to becoming carbon neutral by 2021.

The National Climate Change Strategy requests all public and autonomous institutions and local governments to structure and put in practice a short, mid, and long-term action plan with clear goals, that takes into account its four pillars and six axis. The fundamental pillars are shared responsibility, opportunity, threat, and capacity and legitimacy development. The National Agenda, with a clear orientation towards action, has been defined around six strategic axes or components, the main of which are Mitigation and Adaptation; the other four transversal components are: Metrics, Capacity Building and Technology Transfer, Education, Culture and Public Awareness, and Financing

Current domestic policies and guidelines for emissions mitigation along with the country's goal towards carbon neutrality provide explicit recognition to the internalization of an economic policy in the national environmental policy. This policy incorporates in the energy bill, economic benefits obtained from renewable energy sources, as well as reduction and avoidance of an important quantity of greenhouse gas emissions (GHG) that will have been release otherwise in a base scenario. In addition, the policy internalizes and promotes a transport sector based on renewable energy, since more than 60% of GHG emissions derive from the use of fossil fuels from transportation activities.

Another innovator policy element is the internal scheme that provides incentives to national companies and producers to move forward in the process for technological research and development to reduce emissions in relation to each production unit. This will be accomplished by designing a local market for net emission reductions that could be purchased by those who did not

achieve their emission goals. According to this scheme, holders of verified net credits could allocate them with those that exceed their net emission balance. This scheme will enter into effect progressively in order to promote the process and move towards the goal of carbon neutrality.

### **Previous experiences in the preparation of National Communications**

Through the National Meteorological Institute of the Ministry of the Environment, Energy and Telecommunications, Costa Rica has developed two National Communications to the UNFCCC.

The First National Communication was submitted to the UNFCCC in 2000. One of the most important components was the preparation of the two National Greenhouse Gases Emissions Inventory of sources and sinks for the base year 1990 and 1996, and a first assessment of the vulnerability to climate change on several crops, coastal zones, forest and water resources. Information was also included on the mitigation programs and policies taken by the country,

The First National Communication was prepared under the Guidelines for the preparation of national communications for Non-Annex I Parties agreed in the COP 2, held in Geneva in 1996.

In the COP 5 (Bonn, 1999) a review process for this guidelines started and in the COP 8 (New Delhi, 2002) the parts agreed on a new set of guidelines, which Costa Rica used to prepare its Second National Communication.

The Second National Communication to the UNFCCC was submitted in 2009 and included an updated version of the GHG Inventory for 2000 and 2005, a section about climate, variability, and climate change, and is an important guide towards the understanding of current and future climate, crucial in the design of a National Adaptation to Climate Change Strategy, future climate projections obtained through the PRECIS model and vulnerability and adaptation assessments on public health, biodiversity and partially water resources.

Moreover, it was included information about policies adopted, measures and proposals for mitigation of greenhouse gas emissions, technology transfer, systematic observation, investigation, and capacity development in Costa Rica, and education, creation of culture and public awareness.

As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience, as well as to achieve the following objectives established in Paragraph 1 of the UNFCCC guidelines for the preparation of national communications from non-Annex I Parties (decision 17/CP.8):

- (i) To assist non-Annex I Parties in meeting their reporting requirements under the Convention;
- (ii) To encourage the presentation of information in a consistent, transparent, comparable and flexible manner;
- (iii) To facilitate the presentation of information on support required for the preparation of national communications;
- (iv) To serve as policy guidance to the operating entity of the financial mechanism of the Convention, for the timely provision of financial support needed by non-Annex I Parties in order to fulfill their reporting requirements; and
- (v) To ensure that the COP has sufficient information to carry out its responsibility for assessing the implementation of the Convention by Parties.

## **2. Project Strategy**

### **Project rationale**

Costa Rica is committed to comply with Article 4, paragraph 1 of the Convention, regarding commitments of the Parties to the UNFCCC, and Article 12, paragraph 1, on the transmission of adequate information related to the status of implementation of said commitments.

The National Communication is an instrument very important to establish policies and measures about climate change but we required the GEF resources for the implementation of the Third National Communication.

The present proposal will strengthen institutional and technical capacities in Costa Rica related to climate change and development issues. Without GEF intervention, it would be difficult to strengthen Costa Rica's position.

The following steps will be followed for the development of the Third NC:

- a) Conduct a Stocktaking Exercise and a Stakeholder Consultation process. These activities have already taken place, as described in the appendix A.
- b) To ensure the cooperation with other national and international institutions to preparing GHG inventories.
- c) Based on new studies and researches, to improve the knowledge and the understanding of the opportunities for Costa Rica to follow a low carbon path growth and strengthen resilience to the impacts of climate change.
- d) Perform expert's consultations on a continuous basis with all the institutions involved in the preparation of the Third NC, as well as pertinent stakeholders.
- e) Strengthen the technical working groups and the provision of resources needed for the preparation of NCs to support the continuity of the process.
- f) Ensure the integration of gender perspective into key relevant outputs.
- g) Assist decision makers in the development of policies and measures to address climate change and the research centers in the definition of research priorities.

The project comprises eight main components with related outcomes, outputs and activities:

1. National GHG Inventory for 2010.
2. Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions.
3. Hydro-electrical power generation Vulnerability to Climate Change Analysis and definition of long term adaptation actions.
4. Public and Private Infrastructure Vulnerability to Climate Change Analysis and definition of long term adaptation actions.
5. Country Vulnerability to Climate Change Analysis and definition of long term adaptation actions
6. Analysis of mitigation actions.

6. Education and public awareness.
7. Third National Communication to the UNFCCC and its technical annexes presented and published.

## **Country ownership**

Costa Rica is a non Annex I Party; the UNFCCC was ratified on June 13th, 1994. Moreover, the Kyoto Protocol was ratified too.

## **Project objective, outcomes and outputs/activities**

### General objectives

1. To inform the Conference of the Parties about the efforts held in Costa Rica to identify and face its vulnerability to climate change, as well as the adaptation and mitigation measures, and to inform about emissions by sources and removals by sinks of GHG.
2. To count with an updated report that will serve to highlight and disseminate climate change concerns to a wide national audience that includes decision makers.

### Specific Objectives

- To perform the National GHG Inventory for 2010, using IPCC methodologies and parameters.
- To establish emission trends by sector: Energy, industrial processes, agriculture, land use change and waste management.
- To integrate the efforts made in the country to determine food and nutritional security vulnerability to climate change and to define long term adaptation actions.
- To integrate the efforts made in the country to determine hydro-electrical power generation vulnerability to climate change and to define long term adaptation actions.
- To integrate the efforts made in the country to determine public and private infrastructure vulnerability to climate change and to define long term adaptation actions.
- To review, analyze and integrate the information from different studies, policies and projects related to vulnerability, risks and adaptation to climate change.
- To review, analyze and integrate the information from different studies, policies and projects related to mitigation of climate change.

To compile, synthesize, analyze and divulgate a unique document that allows the country to transmit to the Secretary of the UNFCCC the information that should be communicated to the parts according with the convention guidelines.

- Raising awareness and building capacity relating to gender and climate issues among decision-makers and others working on climate change in order to achieve improved policies and increase knowledge base on gender and climate issues through research, action learning and frequent knowledge exchange to identify a growing host of options for most effective mitigation and adaptation



In preparing the National Communication will be considered the negotiations at COP held in Durban, South Africa. In addition, all actions that involve the creation of public policies related to the national inventory, mitigation and adaptation and other issues about climate change.

The execution mechanisms for the programmed activities (see Annex C) seek to promote the participation of different stakeholders on climate change management, under the coordination of IMN.

The studies (including data accumulation and analyze, mitigation options evaluations, vulnerability and adaptation measures evaluations) should be made by expert groups from the concerning government institutions in collaboration with external consultants under contract for specific tasks.

#### Outcomes and outputs/activities

##### **Outcome 1. National GHG Inventory for 2010**

Output 1a: National GHG Inventory 2010 for the following sectors: Energy, Industrial processes, Agriculture, Forestry and other land use (AFOLU); and waste; and time-series results for the period 1990-2010 have been recalculated.

Output 1b: An analysis of key GHG emission categories has been carried out and an uncertainty analysis and a QA/QC plan have been established

Output 1c. Data base of national emission factors available.

Output 1d. GHG emissions inventory is published and have been presented to stakeholders

Output 1e. GHG inventory for 2010 is available in a web.

##### **Outcome 2. Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions**

Output 2a: Assessment of impacts and vulnerability and adaptation options, including gender, to address climate change, variability and extreme events for Food and Nutritional Security have been carried out

##### **Outcome 3. Hydro-electrical power generation Vulnerability to Climate Change Analysis and definition of long term adaptation actions**

Output 3a. Assessment of impacts and vulnerability and adaptation options to address climate change, variability and extreme events for hydroelectric generation have been carried out.

##### **Outcome 4. Public and Private Infrastructure Vulnerability to Climate Change Analysis and definition of long term adaptation actions**

Output 4a. Assessment of impacts, vulnerability and adaptation options to address climate change, variability and extreme events for public and private Infrastructure have been carried out.

##### **Outcome 5. Country Vulnerability to Climate Change Analysis and definition of long term adaptation actions**

Output 5a. New and detailed climate change scenarios based on Precis and regional Eta model have been generated.

Output 5b. Impacts, vulnerability and adaptation programs and strategies implemented during 2010 to 2012 have been assessed.

Outcome 5c. Studies have been carried out and tools and methodologies have been developed for the assessment of impacts, vulnerability and adaptation options.

Outcome 5d. A Portfolio of adaptation options has been prepared.

Outcome 5e. Analysis of financial schemes for adaptation projects has been performed.

**Outcome 6. Country Mitigation Efforts Analysis**

Output 6a. GHG emissions scenarios from sources and sinks have been generated.

Output 6b. Potential GHG mitigation policies and measures for key sectors have been studied and analyzed.

Output 6c. GHG mitigation policies and measures implemented between 2010 and 2012 at National and local levels have been described.

Output 6d. The national appropriate mitigation actions (NAMAs) necessary to Costa Rica have been included

Output 6e. Analysis of financial schemes for mitigation projects has been performed.

**Outcome 7. Education and public awareness.**

Output 7a. Workshops and training sessions organized to create capacity in public, scientific and technological institutions, educational and civil society institutions; and specially for assisting local governments in integrating CC in their planning. Raising awareness and capacity building on gender and climate change issues among youth and children; enhancing collaboration and cooperation on gender and climate issues at local, national, regional and international levels.

Output 7b. A manual for decision-making in the process of mitigation and adaptation to climate change have been developed.

Output 7c. Various educational materials aimed at the general public, teachers, elementary and secondary students, academics and local governments.

Output 7d. Web page improved.

**Outcome 8. Third National Communication to the UNFCCC and it technical annexes presented and published**

Output 8a. National GHG inventories, publications and documents from the TNC have been disseminated to the IPCC and to the UNFCCC, national stakeholders, decision makers and the general public.

Output 8b. The Third National Communication has been published and presented to the UNFCCC, national stakeholders and decision makers.

Output 8c. A Special National Communication document, accessible to the general public, has been prepared.

## **Sustainability and Replicability**

The creation of the Climate Change Office, the development of the National Plan on Climate Change and 2021 Carbon Neutrality goal shows the Costa Rican Government compromise about climate change.

The National Communication is the key instrument to support all activities about that. UNDP/GEF resources, through the proposed Enabling Activity Project are necessary for the elaboration of the Third National Communication which will allow increased public awareness and strengthening of national capacities that will be reflected by improved measures, strategies, programs, policies and plans to address climate change. It is particularly important to emphasize that these efforts will assist the government in the decision-making process that would lead to the implementation of mitigation policies and measures to obtain the Carbon Neutrality already mentioned, based on the National Greenhouse Gas Inventory and the National Plan on Climate Change.

The GEF support is very necessary to implement the Convention and the NCs.

Broad consultation processes have taken place among government, academic institutions, private sector and civil society organizations ensuring the input of state-of-the-art expertise and consensus to design interventions. Costa Rica has a group of experts and institutions has been involved in the NCs, within or linked to the "country-team" led by the IMN. This strategy will be maintained and enhanced under the TNC. Strategic partnerships among stakeholders are instrumental for implementing participatory planning and execution arrangements and create a platform to sustain a long-term climate change strategy. Several institutions involved in the FNC and SNC have already allocated own human and financial resources for the development of climate change-related activities, which demonstrates that climate change is increasingly included as a mainstream R&D area.

Regarding the replicability, the project will generate improved approaches, methodologies and tools, especially regarding inventory and vulnerability and adaptation assessment, which will prove useful to share with peer organizations, as well as important inputs for the scientific literature review periodically undertaken by IPCC.

The preparation of the National communications in Costa Rica draws on more than 15 years of partnership between the Costa Rican Government and the UNDP. Strategic partnerships among stakeholders are instrumental for implementing participatory planning and execution arrangements and create a platform to sustain a long-term climate change strategy. This successful partnership is based on consultation processes among government, academic institutions, private sector and civil society organizations. This ensure consensus on the policies and measures designed to address climate change that has been implemented by the government. In a "country-team" effort, coordinated by the MINAET - IMN, a group of experts and institutions has been involved in the preparation of the NCs at the national level. This effort will be maintained and enhanced under the proposed Project.



<p><b>Outcome 2:</b> Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions</p>	<p>national experts. 2. Database of emission factors and activity data, key source category analysis and Uncertainty assessment; 3. Studies on emission factors for key sources 4. Results disseminated in a web</p>	<p>projects related to national emission factors. 3. National experts inputs and validation 4. Results for inventories 1990, 1996, 2000 and 2005 already in web.</p>	<p>processes, agriculture, land use change and waste. 2. Analysis of key GHG emission categories and uncertainty analysis available, and a QA/QC plan established; 3. Data base of national emission factors available. 4. GHG emissions inventory for all sectors recalculated using the 2006 IPCC methodology 5. GHG inventory is published and have been presented to stakeholders; 6. GHG inventory for 2010 available in a web.</p>	<p>of the inventory</p>	<p>since a large number of actors from different economic sectors of the society are involved. Assumptions: 1. Project can draw on a pool of experts; 2. New inventory will benefit from experience gained in the preparation of previous GHG inventories 3. Assumes that enterprises will be willing and able to share data on their emissions with the project team.</p>
<p><b>Outcome 2:</b> Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions</p>	<p>Document with vulnerability analyze and adaptation recommendations validated by national experts.</p>	<p>1. Regional climate change scenarios generated 2. Results from vulnerability analysis on rice, beans, coffee and potatoes reported in FNC 3. Results of the</p>	<p>Improved assessment of impacts, vulnerability and adaptation options to address climate change, variability and extreme events for Food and</p>	<p>Project file including all aspects about the preparation of the assessment</p>	<p>Risks: 1. Access to cutting edge technology; 2. Delay to generate climate change scenarios 3. Coordination with the several researchers involved in the evaluation of impacts, vulnerability and adaptation</p>

<p><b>Outcome 3:</b> Hydro-electrical power generation Vulnerability to Climate Change Analysis and definition of long term adaptation actions</p>	<p>Document with vulnerability analyze and adaptation recommendations validated by national experts.</p>	<p>1. Regional climate change scenarios generated 2. Two results from vulnerability and adaptation analysis on water resources, a case study reported in SNC and national study recently finished. 3. Policies, projects and research promoted projects that have vulnerability analysis and</p>	<p>Nutritional Security</p>	<p>Report on Energy Sector Vulnerability to Climate Change (emphasis on hydroelectric generation) Recommendations and adaptation measures.</p>	<p>Project file including all aspects about the preparation of the assessment</p>	<p>measures could be difficult and may be cause of delay; 4. The lack of data for the assessments could be a cause of delay.  Assumptions: 1. Third NC will benefit from experience gained in the preparation of the SNC and FNC and the coordination mechanisms already in Place. 2. The Centers that run scenario models have sufficient computer capacity; 3. Project will draw on a pool of experts</p>
<p><b>Risks:</b> 1. Access to cutting edge technology; 2. Delay to generate climate change scenarios 3. Coordination with the several researchers involved in the evaluation of impacts, vulnerability and adaptation measures could be difficult and may be cause of delay; 4. The lack of data for the assessments could be a cause of delay.</p>						

<p><b>Outcome 4:</b> Public and Private Infrastructure Vulnerability to Climate Change Analysis and definition of long term adaptation actions</p>	<p>Document with vulnerability analyze and adaptation recommendations validated by national experts.</p>	<p>adaptation measures against the adverse effects of climate change in hydro-electrical power generation in Costa Rica. 4. Results of the project Economy of Climate Change in Central America.</p>	<p>Report on Public and private Infrastructure Vulnerability to Climate Change. Recommendations and adaptation measures.</p>	<p>Project file including all aspects about the preparation of the assessment</p>	<p>Assumptions: 1. Third NC will benefit from experience gained in the preparation of the SNC and FNC and the coordination mechanisms already in place. 2. The Centers that run scenario models have sufficient computer capacity; 3. Project will draw on a pool of experts</p>
<p><b>Outcome 4:</b> Public and Private Infrastructure Vulnerability to Climate Change Analysis and definition of long term adaptation actions</p>	<p>Document with vulnerability analyze and adaptation recommendations validated by national experts.</p>	<p>1. Regional climate change scenarios generated 2. Policies, projects and research projects that have promoted vulnerability analysis and adaptation measures against the adverse effects of climate change in public and private infrastructure in Costa Rica. 3. Results of the project Economy of Climate Change in Central America.</p>	<p>Report on Public and private Infrastructure Vulnerability to Climate Change. Recommendations and adaptation measures.</p>	<p>Project file including all aspects about the preparation of the assessment</p>	<p>Risks: 1. Access to cutting edge technology; 2. Delay to generate climate change scenarios 3. Coordination with the several researchers involved in the evaluation of impacts, vulnerability and adaptation measures could be difficult and may be cause of delay; 4. The lack of data for the assessments could be a cause of delay.</p> <p>Assumptions: 1. Third NC will benefit from experience gained in the preparation of the SNC and FNC and the coordination mechanisms already</p>

<p><b>Outcome 5:</b> Country Vulnerability to Climate Change Analysis and definition of long term adaptation actions</p>	<p>1. Document with vulnerability analyze and adaptation recommendations validated by national experts. 2. Mapping of vulnerability of key sectors and regions to climate change impacts. 3. New and detailed climate change scenarios based on Precis and regional Eta model;</p>	<p>1. Regional climate change scenarios generated 2. Policies, projects and research projects that have promoted vulnerability analysis and adaptation measures against the adverse effects of climate change in Costa Rica 3. Results from impacts, vulnerability and adaptation options reported in FNC and SNC</p>	<p>Improved assessment of impacts, vulnerability and adaptation options to address climate change, variability and extreme events for key sectors, tools and methodologies have been developed.</p>	<p>Project file including all aspects about the preparation of the assessment</p>	<p>in place. 2. The Centers that run scenario models have sufficient computer capacity; 3. Project will draw on a pool of experts</p> <p>Risks: 1. Access to cutting edge technology; 2. Delay to generate climate change scenarios 3. Coordination with the several researchers involved in the evaluation of impacts, vulnerability and adaptation measures could be difficult and may be cause of delay; 4. The lack of data for the assessments could be a cause of delay.</p> <p>Assumptions: 1. Third NC will benefit from experience gained in the preparation of the SNC and FNC and the coordination mechanisms already in place. 2. The Centers that run scenario models have sufficient computer capacity; 3. Project will draw on a pool of experts</p>
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<p><b>Outcome 6:</b> Country Mitigation Efforts Analysis</p>	<p>1. Assessment of GHG emissions scenarios from sources and sinks; 2. Studies and analysis of potential GHG mitigation policies and measures for key sectors.</p>	<p>1. Information contained in FNC and SNC 2. Results of NEEDs project 3. GHG mitigation policies and measures assessed for 2009-2011, national relevant studies on key sectors and official economic data; 4. Results of project Economy of Climate Change in Central America and other relevant studies</p>	<p>1. Studies and analysis for the evaluation of potential sectoral mitigation policies and measures have been carried out, including cost-benefits and barriers; 2. Macroeconomic impact of proposed GHG mitigation measures has been assessed;</p>	<p>Project file including all aspects about the preparation of the assessment</p>	<p><b>Risks:</b> 1. Delay in the assessment of mitigation measure, in the macroeconomic analysis due to lack of data for the assessment; 2. Coordination with the many stakeholders involved in the assessment and analysis of GHG mitigation could be cause of delay.  <b>Assumptions:</b> 1. Third NC will benefit from experience gained in the preparation of SNC 2. Project will draw on a pool of experts;</p>
<p><b>Outcome 7:</b> Education and public awareness</p>	<p>1. Workshops and training sessions organized 2. Material Audiovisual 3. Web page improved.</p>	<p>SNC</p>	<p>TNC</p>	<p>Project file including all aspects about the activities of education and public awareness</p>	<p><b>Risks:</b> No specific risks have been identified. <b>Assumptions:</b> 1. This outcome will benefit from experience gained in the preparation of SNC and other projects 2. Project will draw on a pool of experts.</p>
<p><b>Outcome 8:</b> Third National Communication to the UNFCCC and its technical annexes presented and</p>	<p>1. Document presented to the public, decision makers and to the UNFCCC.</p>	<p>1. Institutional, normative and strategic framework for Climate Change</p>	<p>1. Costa Rica's Third National Communication on Climate Change has been</p>	<p>Project file including all aspects about the preparation</p>	<p>Limited political support to Climate Change issues, including for the</p>

<p>published.</p>	<p>2. Sharing of project outputs (reports, GHG inventories, website); 3. Final Evaluation Report. 4. Publication of a Special TNC document accessible to the general public.</p>	<p>management in Costa Rica. 2. Technical studies and research results contained in SNC</p>	<p>finalized and published and website updated. 2. Project reports and GHG inventory 2010 presented to government and relevant stakeholders; 3. A special NC document for the general public has been prepared</p>	<p>of the TNC</p>	<p>presentation of National Communications  Risks: No specific risks have been identified. Assumptions: (1) The Government maintains its support to implement the UNFCCC in Brazil; (2) project stakeholders correctly understand UNDP/GEF M&amp;E principles. Risks: No specific risks have been identified. Assumptions: (1) The Government maintains its support to implement the UNFCCC.</p>
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**Parte VI Total budget and Workplan**

Award ID:	00065676								
Award Title:	Costa Rica Third National Communication of Climate Change								
Business Unit:	CRI10								
Project title:	Costa Rica Third National Communication of Climate Change								
PIMS No.									
Executing agency:	National Meteorological Institute								
GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	Atlas Budget description	Year 1 (US\$)	Year 2 (US\$)	Year 3 (US\$)	Total (US\$)
Outcome 1 National GHG Inventory for 2010, using IPCC methodologies and parameters.	IMN	62000	GEF	71200	International Consultants	0	0	0	0
				71300	Local consultants	0	0	0	0
				71400	Contractual Services Indiv	10,000	10,000	0	20,000
				71600	Travel	3,000	1,000	0	4,000
				72100	Contract Services Companies	30,000	10,000	0	40,000
				72200	Equipment and furniture	20,000	0	0	20,000
				74200	Audiovisual & Prints Prod	0	0	0	0
74500	Miscellaneous expenses	5,000	5,000	0	10,000				
					<b>Subtotal</b>	<b>68,000</b>	<b>26,000</b>	<b>0</b>	<b>94,000</b>
Outcome 2 Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions	IMN	62000	GEF	71200	International Consultants	0	0	0	0
				71300	Local consultants	0	0	0	0
				71400	Contractual Services Indiv	0	0	0	0
				71600	Travel	3,000	0	0	3,000
				72100	Contract Services Companies	30,000	2,500	0	32,500
				72200	Equipment and furniture	0	0	0	0
				74200	Audiovisual & Prints Prod	0	0	0	0
74500	Miscellaneous expenses	2,000	2,000	0	4,000				
					<b>Subtotal</b>	<b>35,000</b>	<b>2,500</b>	<b>0</b>	<b>37,500</b>
Outcome 3 Hydro-electrical power generation Vulnerability to Climate Change Analysis and definition of long term adaptation actions	IMN	62000	GEF	71200	International Consultants	0	0	0	0
				71300	Local consultants	0	0	0	0
				71400	Contractual Services Indiv	0	0	0	0
				71600	Travel	3,000	0	0	3,000
				72100	Contract Services Companies	30,000	2,500	0	32,500
				72200	Equipment and furniture	0	0	0	0
				74200	Audiovisual & Prints Prod	0	0	0	0
74500	Miscellaneous expenses	2,000	2,000	0	4,000				
					<b>Subtotal</b>	<b>35,000</b>	<b>2,500</b>	<b>0</b>	<b>37,500</b>

Outcome 4 Public and Private Infrastructure Vulnerability to Climate Change Analysis and definition of long term adaptation actions	IMN	62000	GEF	71200	International Consultants	0	0	0	0	0	0	0		
				71300	Local consultants	0	0	0	0	0	0	0	0	
				71400	Contractual Services Indiv	0	0	0	0	0	0	0	0	
				71600	Travel	3,000	0	0	0	0	0	0	0	3,000
				72100	Contract Services Companies	30,000	2,500	0	0	0	0	0	0	32,500
				72200	Equipment and furniture	0	0	0	0	0	0	0	0	0
				74200	Audiovisual & Prints Prod	0	0	0	0	0	0	0	0	0
				74500	Miscellaneous expenses	2,000	0	0	0	0	0	0	0	2,000
	<b>Subtotal</b>			<b>35,000</b>	<b>2,500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>37,500</b>			
Outcome 5 Country Vulnerability to Climate Change Analysis and definition of long term adaptation actions	IMN	62000	GEF	71200	International Consultants	0	10,000	0	0	0	0	10,000		
				71300	Local consultants	0	10,000	0	0	0	0	0	20,000	
				71400	Contractual Services Indiv	10,000	3,000	0	0	0	0	0	3,000	
				71600	Travel	0	0	0	0	0	0	0	0	
				72100	Contract Services Companies	0	0	0	0	0	0	0	0	
				72200	Equipment and furniture	10,000	0	0	0	0	0	0	0	10,000
				74200	Audiovisual & Prints Prod	0	0	0	0	0	0	0	0	0
				74500	Miscellaneous expenses	2,000	2,500	0	0	0	0	0	0	4,500
	<b>Subtotal</b>			<b>22,000</b>	<b>25,500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>47,500</b>				
Outcome 6 Country Mitigation Efforts Analysis	IMN	62000	GEF	71200	International Consultants	0	0	0	0	0	0	0		
				71300	Local consultants	0	0	0	0	0	0	0	0	
				71400	Contractual Services Indiv	0	0	0	0	0	0	0	0	
				71600	Travel	0	2,000	0	0	0	0	0	0	2,000
				72100	Contract Services Companies	0	12,000	0	0	0	0	12,000	0	24,000
				72200	Equipment and furniture	0	0	0	0	0	0	0	0	0
				74200	Audiovisual & Prints Prod	0	0	0	0	0	0	0	0	0
				74500	Miscellaneous expenses	0	500	0	0	0	0	500	0	1,000
	<b>Subtotal</b>			<b>0</b>	<b>14,500</b>	<b>0</b>	<b>0</b>	<b>12,500</b>	<b>500</b>	<b>27,000</b>				
Outcome 7 Education and Public awareness	IMN	62000	GEF	71200	International Consultants	0	0	0	0	0	0	0		
				71300	Local consultants	0	0	0	0	0	0	0	0	
				71400	Contractual Services Indiv	0	0	0	0	0	0	0	0	
				71600	Travel	0	4,000	0	0	0	0	0	0	4,000
				72100	Contract Services Companies	0	10,000	0	0	0	0	0	0	10,000
				72200	Equipment and furniture	5,000	5,000	0	0	0	0	0	0	10,000
				74200	Audiovisual & Prints Prod	20,000	22,000	0	0	0	0	22,000	0	64,000
				74500	Miscellaneous expenses	0	500	0	0	0	0	500	0	1,000
	<b>Subtotal</b>			<b>25,000</b>	<b>41,500</b>	<b>0</b>	<b>0</b>	<b>32,500</b>	<b>500</b>	<b>99,000</b>				

Outcome 8 Third National Communication to the UNFCCC and its technical annexes presented and published.	IMN	62000	GEF	71200	International Consultants	0	0	0	0	0	0	0	0	0	0			
				71300	Local consultants	0	0	0	0	0	0	0	0	0	0	0	20,000	
				71400	Contractual Services Individ	0	0	0	0	0	0	0	0	0	0	0	10,000	
				71600	Travel	0	0	0	0	0	0	0	0	0	0	0	0	
				72100	Contract Services Companies	0	0	0	0	0	0	0	0	0	0	0	17,500	
				72200	Equipment and furniture	0	0	0	0	0	0	0	0	0	0	0	0	
				74200	Audiovisual & Prints Prod	0	0	0	0	0	0	0	0	0	0	0	0	
				74500	Miscellaneous expenses	0	0	0	0	0	0	0	0	0	0	0	2,500	
					<b>Subtotal</b>													<b>50,000</b>
																		<b>50,000</b>
9. Project Management, Monitoring and Evaluation	IMN	62000	GEF	71200	International Consultants	0	0	0	0	0	0	0	0	0	0			
				71300	Local consultants	0	0	0	0	0	0	0	0	0	0	0	0	
				71400	Contractual Services Individ	20,000	20,000	0	0	0	0	0	0	0	0	0	5,000	
				71600	Travel	0	0	0	0	0	0	0	0	0	0	0	0	
				72100	Contract Services Companies	0	0	0	0	0	0	0	0	0	0	0	0	
				72200	Equipment and furniture	0	0	0	0	0	0	0	0	0	0	0	0	
				74100	Professional Services	0	0	0	0	0	0	0	0	0	0	0	5,000	
				74200	Audiovisual & Prints Prod	0	0	0	0	0	0	0	0	0	0	0	0	
				74500	Miscellaneous expenses	0	0	0	0	0	0	0	0	0	0	0	0	
					<b>Subtotal</b>													<b>20,000</b>
														<b>20,000</b>				
														<b>135,000</b>				
														<b>105,000</b>				
														<b>480,000</b>				
														<b>480,000</b>				

**Summary of funds:**

	Amount Year 1 US \$	Amount Year 2 US \$	Amount Year 3 US \$	Total US \$
<b>GEF</b>	240,000	135,000	105,000	480,000
<b>Government (in kind)</b>	123,000	123,000	61,500	307,500
<b>Total</b>	363,000	258,000	166,500	787,500

### Government contribution (in kind)

<b>Budget line description</b>	<b>Amount (US dollars/ per year)</b>
National coordinator (part time)	24.000
GHG Inventory Coordinator (part time)	18.000
Expert on vulnerability & adaptation (part time)	18.000
Expert on art. 6 of the Convention	18.000
Other professionals (equivalent to two full time)	36.000
Services (telephone, fax, internet, electricity)	2.000
Office rental	2.000
Computer equipment	2.000
Administrative expenses	1.500
Transport	1.000
Furniture	500
<b>Total annual</b>	<b>123.000</b>
<b>Project total (30 months)</b>	<b>307.500</b>

## Work Plan

Outputs/Activities	Year 1 (quarters)				Year 2 (quarters)				Year 3 (quarters)			
	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q8	Q10	Q11	Q12
Implementation arrangements and project inception												
National GHG inventory for 2010, using IPCC methodologies and parameters.												
Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions												
Hydro-electrical power generation Vulnerability to Climate Change Analysis and definition of long term adaptation actions												
Public and Private Infrastructure Vulnerability to Climate Change Analysis and definition of long term adaptation actions												
Country Vulnerability to Climate Change Analysis and definition of long term adaptation actions												
Country Vulnerability to Climate Change Analysis and definition of long term adaptation actions												
Country Mitigation Efforts Analysis												
Education and Public Awareness												
Third National Communication to the UNFCCC and its technical annexes presented and published.												

## **5. Management Arrangements**

The project will be carried out under the national execution modality following the national guidelines for this Project modality (UNDP established guidelines).

### **Project Steering Committee**

The Project Steering Committee comprises the following members:

- MINAET/IMN: Minister of Environment or his representative.
- UNDP: Resident Representative.

The Project Steering Committee:

- Will provide guide and recommendations to the Project for the consecution of the expected outcomes.
- Will approve work plans and annual budgets.
- Will facilitate the dissemination of the Project results.
- Will meet at least once a year.

### **Execution Agency**

IMN of MINAET will be the execution agency and will be in charge of the project coordination. IMN will provide office space for project staff.

Project manager functions:

- Ensure political support for the project
- Perform the necessary steps to facilitate the institutional coordination of the project.
- Monitor the Project coordination
- Ensure human resources within the IMN for the benefit of the project, as long as possible.
- Keep the Advisory Committee duly informed about the progress of the project.
- Participate in the Advisory Committee meetings.
- Approve work plans, budgets and terms of reference for subcontracts and consulting.
- At the end of the project, facilitate the transfer of inventory of equipment to its destination, according to UNDP guidelines.
- Notify the Project operational closure to UNDP Costa Rica.

### **Implementation Agency**

UNDP is the implementing agency for the project. UNDP will provide administrative support and budgetary and financial monitoring for the execution of project activities. This involves the following functions:

- Support staff for financial and administrative activities
- Designation of a program officer as the focal point for this project.
- Process payment requests and prepare the respective check or bank transaction.
- Prepare contracts and their extensions according to the applications received.
- Support equipment purchase according to UNDP guidelines when requested by the project.
- Submit accounting, financial and budgetary documentation to the execution agency.
- Send monthly copy of receipts, including those annexes, to the executing agency.

In addition, UNDP Costa Rica will perform the following functions:

- Monitor the Project.



- Provide technical assistance.
- Prepare reports for the Regional Coordinating Unit and UNDP Headquarters.
- UNDP will accompany the direction of the project in order to contribute to the reach, impact and quality of its results. Moreover, as the GEF Implementing Agency, UNDP will be responsible for the consistency of resources management with the specific objectives indicated in project document by observing transparency, competitiveness, efficiency and economy principles. UNDP is also responsible for financial management and results compliance to GEF.

### **Project Coordinator**

According to the terms of reference approved by the steering committee, the Project coordinator will be in charge of the daily management, coordination and supervision of project activities.

Project coordination functions:

- Prepare a detailed work plan for the project in close coordination with the Project manager.
- Prepare terms of reference for subcontracts and consultants and subject to the approval of project manager.
- Monitor, coordinate and facilitate national and international consultants work, including subcontracts for various activities to be executed.
- Coordinate all activities undertaken by the project.
- Evaluate technical proposals and submit them to the project manager for approval.
- Keep project manager informed about the progress of its execution.
- Control expenditures and ensure proper management of project resources. Submit expenditures reports to UNDP.
- Keep and update the inventory of equipment purchased
- Attend Advisory Committee meetings and track the results of these meetings.
- Obtain the signature of the Combined Quarterly Report of Expenditures and budget revisions (mandatory, general and substantive) according to UNDP guidelines. Submit them to UNDP Costa Rica.

## **6. Monitoring Framework and Evaluation Framework**

The project will be subject to the monitoring and evaluation rules and practices of the UNDP / GEF. This includes a tripartite meeting (TPR) at least once a year with the Minister of Foreign Affairs, Ministry of Environment, Energy and Telecommunications and the UNDP. The first meeting will take place twelve months after initiating the project execution.

According to the GEF requirements, progress report on activities and achievements related to each component of the project should be presented quarterly to the UNDP office in Costa Rica as well as to the UNDP/GEF Regional Coordination Unit.

The final report will be presented at the final tripartite meeting. The draft should be provided with sufficient time to be evaluated and clarified at the tripartite meeting.

Moreover, the activities include the production of the national report, or "Third National Communication" to be presented to the UNFCCC.

Quarterly financial reports will be submitted to the UNDP office in Costa Rica, as well as annual financial audits in accordance with UNDP rules and regulations.

The results of the project, both partial and final will be disseminated widely to the scientific and political communities as well as to the general public, to enhance awareness of climate change aspects and thus preserve the sustainability of the project.

The project will ensure broad participation at the national level and shared experience in the international level.

The institutional framework has been defined and the commitment with the obligations of the Convention is clear, through both the First and Second National Communication as through the activities that are conducted.

The project will be monitored through the following M&E activities.

### **Project start:**

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and program advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d) Discuss financial reporting procedures and obligations.
- e) Plan and schedule Project Steering Committee meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first Project Steering Committee meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

### **Bi-annually:**

- Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.
- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc...

### **Periodic Monitoring:**

A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory

and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.

*Day to day monitoring of implementation progress* will be the responsibility of the Project Coordinator/Manager based on the project's Annual Workplan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely manner.

### **End of Project:**

During the last three months, the project team will prepare a brief terminal report. This brief report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

### **Learning and knowledge sharing:**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

## **7. Legal Context**

The project document will be the instrument referred to the Basic Assistance Agreement Standard between the United Nations Program for Development and the Government of the Republic of Costa Rica, signed by the parties on August 7, 1973, and ratified by Law 5878 published in "La Gaceta" of January 31, 1976.

The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in that Agreement. The UNDP Resident Representative in Costa Rica is authorized to effect in writing the following types of revision to this Project Document, provided that he/she has verified the agreement there to by the UNDP-GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) Revisions or additions to any of the annexes of the project;
- b) Revisions that do not involve significant changes in the immediate objectives, products or activities of the project that are caused by the agreed rearrangement of inputs or by increased costs due to inflation; and
- c) Mandatory annual revisions that reschedule the agreed delivery schedule of inputs, or increase the experts and other items costs due to inflation or take into account the flexibility in the payments of the agency.
- d) Inclusion of additional annexes and attachments only as set out here in this Project Document.

Consistent with the Article III of the SBAA, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) Assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

#### **Audit**

The audit of the Project is an integral part of financial and administrative management within the accountability framework of UNDP. The Project will be audited in order to obtain reasonable assurance that resources are managed in accordance with financial regulations, the terms and conditions of the project document, work plan and budget.

The budget of the project shall provide the necessary resources to conduct the audit. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

The firm selected by UNDP Costa Rica, through a bidding process and subjected to a rigorous evaluation within the principles of transparency, neutrality and cost benefit will take over this exercise in accountability.

#### **Special Considerations:**

##### **Audit Clause**

The Costa Rican Government will provide periodic financial certifications following the procedures of the UNDP-GEF Programming and Finance Manuals.

The audit can be conducted by a government authority or carried out externally by a Government endorsed auditor.

##### **Use of Institutional Logos on Project Deliverables**

In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgment to GEF.

Publications, research and products generated as part of the project, are jointly owned by the MINAET, IMN and UNDP Country Office. Additionally, all material from this project must carry a

visible and similar sized logo from GEF, UNDP, MINAET and IMN, stating the complete name of the project and give credit to the authors and organizations that gave their support, according to the Steering Committee.

In addition, all publications resulting from this document must necessarily include the following legend:

"The opinions, analysis and policy recommendations do not necessarily reflect the views of the United Nations Development Program, or its Executive Board or its member states."

This project document will be translated into Spanish according to UNDP procedures. The budget will consider this activity to be carried out within the first month of the project's implementation.

## **ANNEXES**

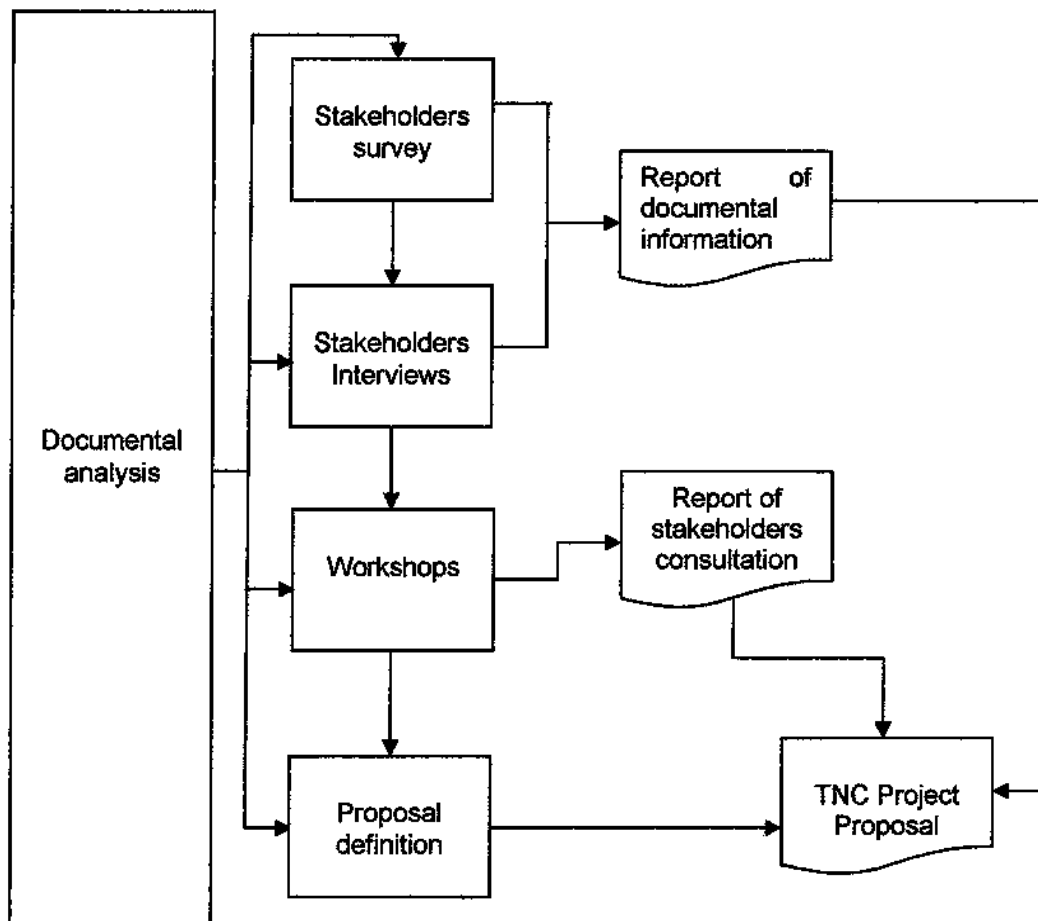
## Appendix A: Summary report of the self-assessment exercise

The stocktaking exercise and the stakeholder consultation process regarding the preparation of Costa Rica: Third National Communication to the UNFCCC was elaborated by CEGESTI for the National Meteorological Institute (IMN) and the United National Development Program (UNDP) – Costa Rica between July and August, 2011.

To prepare the Third National Communication is required a consultation process highly participative to identify and validate the priorities of the UNFCCC implementation in Costa Rica. The report shows the results of the consulting workshops with the key stakeholders including a process description and the priorities areas to be evaluated in a cost effective manner during the Third National communication.

### Description of the process and approach adopted for the stocktaking exercise

The following diagram shows the process carried out in the exercise of self-assessment of CN.



The first step was a documentary analysis, which is maintained throughout the exercise. Next, it was conducted a survey of stakeholders.

According to the results of the survey, a group of stakeholders were selected and interviewed about more information on CN.

Subsequently, the consultation workshops were held and the information obtained of this process was compiled to develop the project proposal.

### **Main outcomes of the stocktaking, includes priorities identified**

Documental analysis, surveys and interviews with key stakeholders were the first phase of the evaluation. Following this, three workshops were held: the first one was focused on previous CN, the second was focused on Vulnerability and Adaptation and the other on Mitigation.

The results of the workshops were processed by way of conclusion on priorities for implementation of the UNFCCC in Costa Rica:

- National Strategic Framework
- Changes in the inventory report
- Changes in legislation (energy, solid waste)
- Measures taken:
  - Dynamic business on the management of carbon footprint
  - Biofuels
  - Solid waste management
  - Transport
  - Agricultural Sector
  - Tourism
- Vulnerability on energy, infrastructure, public health, nutrition and food security, biodiversity, coastal zones and fisheries, infrastructure, water resources, agriculture.
- Adaptation measures in biodiversity, coastal areas and fisheries, infrastructure, water resources, food industry and food security and nutritional health as well as progress on REDD +.
- Report on the variety of projects that Costa Rica has developed, and the availability of this information.
- Report about education, training and public awareness on climate change as well as gaps on that.
- Reporting on technology needs and mechanisms for development and technology transfer.
- Analyze the potential (financial) for the implementation of actions.

The results of the workshops showed the importance of an outreach strategy of the CN that allows reaching different audiences: decision makers, technicians and general public.

Regard to vulnerability and adaptation was concluded that there are three main areas to focus the evaluation: food security, hydropower generation and infrastructure.

Regard to mitigation, it is important to note all actions taken to achieve the C Neutrality.

### **Main lessons learned of the self-assessment exercise, including and brief explanation on how outcomes have provided inputs to the preparation of the project proposal**

There are several lessons learned in developing the self-assessment:

- a) The dissemination strategy should consider the preparation of various documents (extracts from the CN if you do so), focused by type of audience. For example, some participants felt that it should be emphasized impacts / benefits, so they feel more identified with the message (ICE presented the example of communication with farmers on watershed management)



- b) The CN should include needs and constraints of the country to mitigate / adapt, so it becomes apparent that the country seriously examined if carbon neutrality strategy and what it requires to do so.
- c) It is important to position the CN (and Climate Change) between the everyday problems that are discussed in the country, to stop seeing it as something alien and link it to achieve sustainable development strategy which the country aspires.
- d) It was recommended using the websites of various institutions, so that it appears the link to the CN and thus reach a wider audience (for example, MINSALUD, MOPT, etc.)

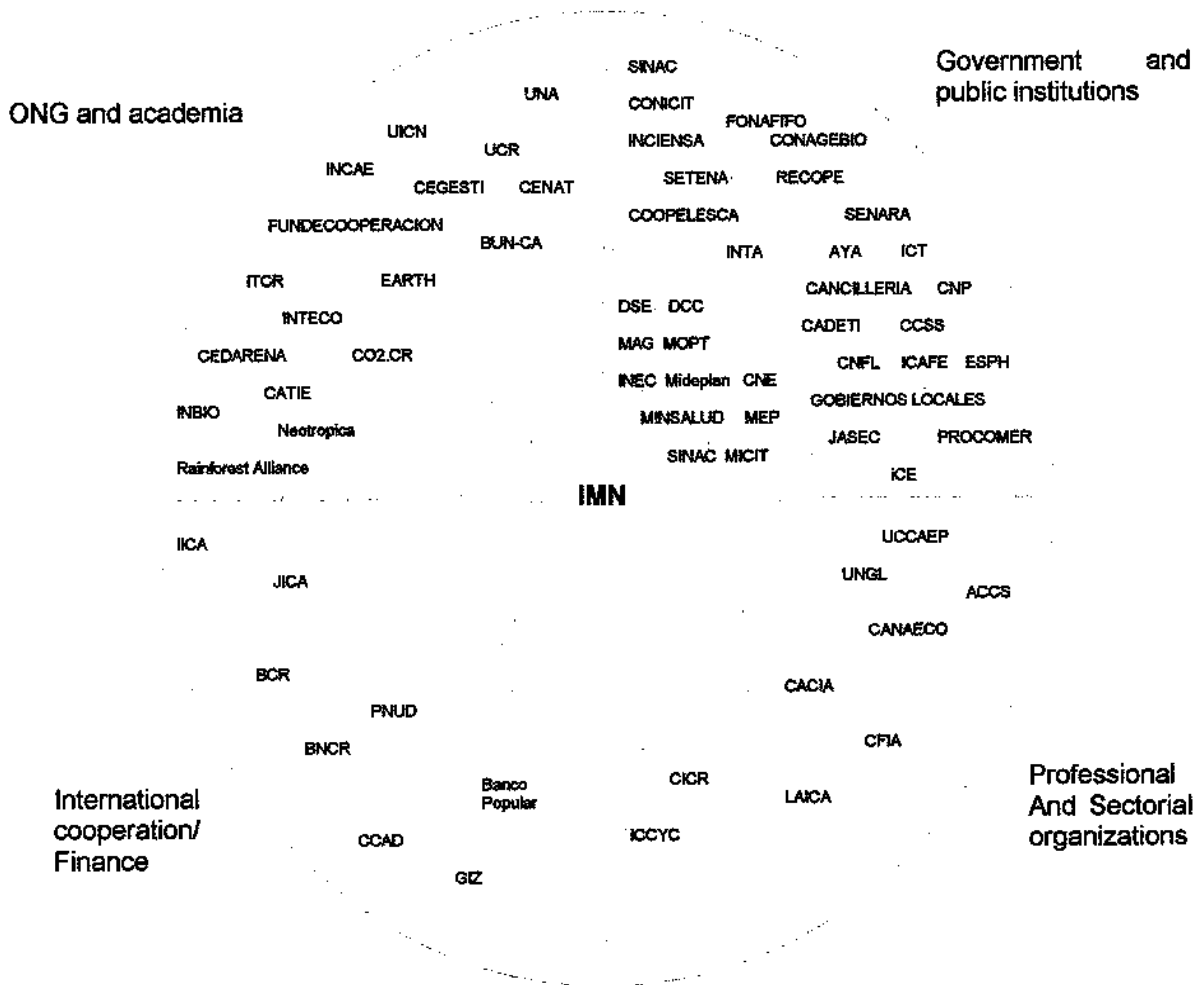
Also, to use the communication mechanisms of institutions:

- Social networks
- Bulk mail
- Brochures (type "fact sheets")
- Magazines
- Professional associations (CFIA, Agricultural College, etc)
- Newsletters
- Television (use of space at their disposal certain public institutions, as some universities)
- Internal networks (Intranet)

### **Explanation of the stakeholder consultation and validation process**

The stakeholders were chosen taking into account four sectors: NGOs and academia, government and public institutions, international agencies and financial entities; and professional and industry organizations.

## Costa Rica: Stakeholders involved on climate change



- NC Responsible
- Provide information/ sector coordinators
- Provide information/ funds for the NC

Source: CEGESTI, 2011.

The comments and inputs provided in the interviews and questionnaires were related not only to different ways to improve the national communications but on how to take advantage of the national communication process in the rest of the country, and in general on the country's environmental policies.

They commented on a set of climate change topics that they consider must be subject of further research, such as analysis of vulnerability on infrastructure, biodiversity, coastal zones and mangroves; forest, etc.

## **Appendix B: Technical components of the project proposal**

### **1. Description of components and activities**

#### **Outcome 1. National GHG inventory for 2010**

Output 1a: National GHG Inventory 2010 for the following sectors: Energy, industrial processes, Agriculture, Forestry and other land use (AFOLU); and waste; and time-series results for the period 1990-2010 have been recalculated.

##### **Activities**

- Compilation of relevant information.
- Organize data collection, validation and processing for the inventory in each sector.
- Collect the data needed for the inventory, according to IPCC guidelines, for the following sectors: energy, industrial processes, agriculture, land use change and waste management.
- Review and adjust, as required, national emission factors. Conduct inventory assessment according to the IPCC guidelines.
- Analyze the evolution and trend of the inventories results using as reference the previous inventories conducted in 1990, 1996, 2000 and 2005.
- Preparation of inventory document.

Output 1b: An analysis of key GHG emission categories has been carried out and an uncertainty analysis and a QA/QC plan have been established

##### **Activities**

- Develop of a Tier 1 y tier 2 Key Category Analysis
- Develop of an Uncertainty Analysis.
- Improve of Quality Control and Quality assurance Procedures
- Establish of a QA/QC plan.

Output 1c. Data base of national emission factors available.

##### **Activities**

- Analyze the emission factors on soils, waste, land use and dams.
- Establish database for emission factors.

Output 1d. GHG emissions inventory is published and have been presented to stakeholders

##### **Activities**

- Elaborate a report on 2010 GHG inventory.
- Workshop to present results.
- Publishing.

Output 1e. GHG inventory for 2010 is available in a website.

##### **Activities**

- Post inventory of greenhouse gases on the website

**Outcome 2. Food and Nutritional Security Vulnerability to Climate Change Analysis and definition of long term adaptation actions**

Output 2a: Assessment of impacts and vulnerability and adaptation options to address climate change, variability and extreme events for Food and Nutritional Security have been carried out

##### **Activities**

- Compilation of relevant information in the country and the region related to food and nutritional security in general.
- Consultations with stakeholders in the issue of vulnerability and adaptation of food and nutritional security to climate change.
- Writing the final report summarizing the analysis of vulnerability and adaptation of food and nutritional security to climate change.

**Outcome 3.** Hydro-electrical power generation vulnerability to climate change analysis and definition of long term adaptation actions

Output 3a. Assessment of impacts and vulnerability and adaptation options to address climate change, variability and extreme events for hydroelectric generation have been carried out.

**Activities**

- Compilation of relevant information in the country and the region, related to energy in general.
- Consultations with stakeholders in the issue of vulnerability and adaptation of hydroelectric generation to climate change.
- Writing the final report summarizing the analysis of vulnerability and adaptation of hydroelectric generation to climate change.

**Outcome 4.** Public and private infrastructure vulnerability to climate change analysis and definition of long term adaptation actions

Output 4a. Assessment of impacts, vulnerability and adaptation options to address climate change, variability and extreme events for public and private Infrastructure have been carried out.

**Activities**

- Compilation of relevant information in the country and the region, related to construction, maintenance and operation of infrastructure.
- Consultations with stakeholders in the issue of vulnerability and adaptation of infrastructure to climate change.
- Writing the final report summarizing the analysis of vulnerability and adaptation of infrastructure to climate change.

**Outcome 5.** Country vulnerability to climate change analysis and definition of long term adaptation actions

Output 5a. New and detailed climate change scenarios based on Precis and regional Eta model have been generated.

**Activities**

- Selection of the Circulation Models to be considered for the regionalization of climate scenarios.
- Generation of climate variables projections.
- Preparation of a technical report.

Output 5b. Impacts, vulnerability and adaptation programs and strategies implemented during 2010 to 2012 have been assessed.

**Activities**

- A review of the national and international frame regarding vulnerability and adaptation to climate change.
- Consultations with stakeholders in the issue of vulnerability and adaptation to climate change: identifying key stakeholders and mapping them to develop participation strategies

that ensure the exchange of ideas and gathering their opinions to be used as a basis for providing recommendations to the strategy of the country.

- In addition to the results obtained, it is important to document the needs (with the level of detail that has been defined for these needs, for example, estimated budget).
- Prepare a final report including an executive summary for decision makers.

Outcome 5c. Studies have been carried out and tools and methodologies have been developed for the assessment of impacts, vulnerability and adaptation options

#### Activities

- Explanation of the relationship between the terms used in the National Communication on Climate Change in risk management (according to guidelines of the UNFCCC) and at the national level (according to CNE).
- Technical evaluation of the studies related to climate change scenarios, impacts, vulnerability and adaptation to climate change developed after the Second National Communication of Costa Rica. Consider IMN, MINAET, academic centers, NGO, among others.
- Compilation of information on policies, projects, studies, results, findings, gaps, and lessons learned that have promoted the analysis of vulnerability and adaptation measures against the adverse effects of climate change (specially of sectors not covered by the studies made by IMN).<sup>1</sup> Minimum elements to consider:
  - Efforts made by public institutions in risk management as a mechanism for reduction, disaster response and recovery, under the leadership of CNE.
  - MIDEPLAN study "Impacto económico de los eventos naturales y antrópicos extremos en CR, 1988-2009"
  - Information update (as indicated in the Second National Communication on Climate Change) on inventories of biodiversity related to the fragility / vulnerability to climate change and its associated ecosystems, studies analyzing the impact of infrastructure development in the watershed and coastal ecosystems and biodiversity as a factor that decreases the resilience to climate change, as well as projects and programs that the country is making to conserve its biodiversity.
  - Information update (as indicated in the Second National Communication on Climate Change) on vulnerability analysis and adaptation of the fishing industry (change in ocean temperature, marine currents). Consider inputs like impact studies of overfishing on the stocks of several species of commercial importance, made by CIMAR (UCR) as well as responsible fisheries projects implemented in the country, through INCOPECA and NGOs.
  - Collect Costa Rican studies on sea level rising due to climate change, including the expansion of tourism on the coasts.
  - Information on the vulnerability of the agricultural sector (see "Estudio del Estado de la Producción Sostenible y propuesta de mecanismos permanentes para el fomento de la producción sostenible", conducted by MAG)
  - Progress of the "Estrategia Nacional para la Gestión Integrada de los Recursos Marino-Costeros (ENM)" from SINAC, including projects such as coastal marine Biodiversity Project - Adaptation to Climate Change "BIOMARCC" (SINAC-GIZ)
  - Progress of the "Plan Nacional de Gestión Integral del Recurso Hídrico" and its corresponding strategy, including the National Water Balance. Gather information about specific measures, such as projects of "water harvesting" developed by MAG, the ESPH environmental sanitation project, GAM treatment plant (AyA), the watershed management plans, among others.
  - Efforts made by the health sector (such as progress on the project " Análisis de la Salud pública Costarricense ante el cambio climático y abordaje desde la perspectiva de la adaptación y el ejercicio de la Rectoría del Ministerio de Salud ").

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<sup>1</sup> Consider at least CONICIT and researches of public universities as sources of information.

- Synthesis of information

Outcome 5d. A Portfolio of adaptation options has been prepared.

**Activities**

- Review and information compilation in relation to the adaptation options to the climate change and extreme events
- Integration of a portfolio of adaptation options for Costa Rica.

Outcome 5e. Analysis of financial schemes for adaptation projects has been performed.

**Activities**

- Review and information compilation in relation to the financial schemes for adaptation projects.
- Synthesis of information.

**Outcome 6. Country Mitigation Efforts Analysis**

Output 6a. GHG emissions scenarios from sources and sinks have been generated.

**Activities**

- Elaboration of a baseline scenario
- Compilation and analysis of mitigation actions, measures and programs in the short and medium terms (tendencies)
- Elaboration of alternative scenarios
- Technical report integration

Output 6b. Potential GHG mitigation policies and measures for key sectors have been studied and analyzed.

**Activities**

- Review and information compilation in relation to the potential GHG mitigation policies and measures for key sectors
- Synthesis of information.

Output 6c. GHG mitigation policies and measures implemented between 2010 and 2012 at National and local levels have been described.

**Activities**

- Review and information compilation in relation to the programs and actions to reduce the emissions for key sectors
- Technical, legal, institutional analysis and of human capacities and infrastructure to define the strengths, opportunities and weakness of the programs and actions applied by Costa Rica
- Synthesis of information

Output 6d. Analysis of financial schemes for mitigation projects has been performed.

**Activities**

- Review and information compilation in relation to the financial schemes for mitigation projects.

- Synthesis of information.

**Outcome 7. Education and public awareness.**

Output 7a. Workshops and training sessions organized to create capacity in public, scientific and technological institutions, educational and civil society institutions; and specially for assisting local governments in integrating CC in their planning.

**Activities**

- Conduct training activities aimed at the general public, local government, among others.

Output 7b. Various educational materials aimed at the general public, teachers, elementary and secondary students and academics and local governments.

**Activities**

- Elaboration of a booklet about CC to teachers, students and local governments..
- Brochures about risks and vulnerability and mitigation to CC
- Educational and informative material about CC.

Output 7c. Website improved.

**Activities**

- Review all sections of the website to identify improvements in them.
- Update website with new materials and reports.

**Outcome 8. Third National Communication to the UNFCCC and its technical annexes presented and published**

Output 8a. National GHG inventories, publications and documents from the TNC have been disseminated to the IPCC and to the UNFCCC, national stakeholders, decision makers and the general public.

**Activities**

- Analyze and synthesize information from the previous studies part of this project. Information must be integrated into a document to be presented to the Conference of the Parties of the UNFCCC.
- Update the information presented in previous national communications. The following chapters are planned for the Third National Communication (the final decision on the structure of the communication will be defined with the coordination of the project):
  - National circumstances and their relation to the emission and absorption of GHG: Update the information in Chapter 1 of the Second National Communication.
  - Strategic and policy framework to implement the Convention: The National Climate Change Strategy (including action plan) and its integration into the National Development Plan, supplemented with appropriate institutional arrangements (such as the creation of the "Dirección de Cambio Climático" of MINAET). Consider the regional strategies of which Costa Rica is a party (such as ERAS and the Regional Strategy on Climate Change). Indicate recent changes in legislation, as well as other important and relevant national standards developed by INTECO. This section should indicate the difficulties that the country has faced in order to achieve a better inter and intra-sectoral coordination on Climate Change.
  - National Emissions Inventory: Analyze and synthesize information from the 2010 National Emissions Inventory.
  - Policies, measures and proposals for the mitigation of GHG emissions: Analyze and synthesize information from the reports prepared for this chapter.

- Vulnerability, climate change impacts and adaptation: Analyze and synthesize information from the reports prepared for this chapter, as well as the “Estudio de Vulnerabilidad, Amenaza y Riesgo del Sector Hídrico al Cambio Climático como herramienta de Adaptación” (IMN).
  - Technology transfer: Analyze and synthesize information generated in the documents “Evaluación de las Necesidades de Tecnología” (MINAET) and “Plan Nacional de Ciencia y Tecnología” (MICIT), where the topic of “Alternative Energy” is mentioned as a priority area. Also consider the technological infrastructure available in the country (both present and planned, such as the “Centro de Eficiencia Energética”, between MINAET-ICE-UCR-RECOPE).
  - Systematic observation, research and capacity building for climate change: Review and update the information in the Second National Communication. Consider the list of research projects listed in the chapters of mitigation, vulnerability and adaptation. Communicate the progress of SINIA (“Sistema Nacional de Información Ambiental”, project between MINAET and INEC). Highlight the importance of a mechanism to establish which studies have been done (and which are in process) in the different sectors, and therefore being able to identify gaps and overlaps. Indicate relevant training projects (such as the training program with farmers on issues of adaptation, mitigation, and vulnerability, coordinated by CORFOGA - LAY - ICAFE – MAG; RUTA experience in mainstreaming gender issues in climate change training; among others).
  - Education, training and public awareness: Improve coordination with other institutions (notably MEP) to include climate change as a central focus of education. Highlight the needs for education and awareness (such as the lack in awareness projects to the population in coastal areas with respect to direct and indirect impacts of climate change).
  - Other relevant information: Analyze and synthesize the available studies on investment and financial flows in the water, biodiversity and forestry sectors. Analyze the difficulties and obstacles for the development of CDM projects in the country. Investigate policies for allocating resources for climate change management (for example, if this topic has been included in the financing modulation of MINSALUD, as well as the implementation of mechanisms for the sustainability of PSA). Highlight the need for funding key studies (eg Agriculture Census, land use, capacity use, and groundwater balance).
- Edit, review and evaluate the material contained in the Communication, together with representatives of different sectors: government, private sector, academia and NGOs.
  - Prepare an executive summary (in Spanish and English) which gives an overview of the information contained in the full document and a summary for decision makers (not to exceed 10 pages).

Output 8b. The Third National Communication has been published and presented to the UNFCCC, national stakeholders and decision makers.

#### Activities

- Publishing of Costa Rica Third National Communication.
- Presentation of Costa Rica Third national Communication.

Output 8c. A Special National Communication document, accessible to the general public, has been prepared.

#### Activities



- Preparation of a special NC document in citizen language for the general public
- Publishing the Special NC document

## **Appendix C**

### **Terms of Reference**



## United Nations Development Program

### Terms of reference for the preparation of the National Greenhouse Gas Inventory for 2010

#### Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change

August 2011

#### 1. Introduction

The UNFCCC, held in 1992 in Rio de Janeiro, Brazil, committed the signatories, among other things, to prepare national inventories of GHG emissions. The Convention entered into force in March 1994 and its commitments became mandatory for signatories. Costa Rica ratified the Convention, and in compliance with its commitments prepared its first inventory of GHG emissions by sources and sinks, taking as reference year 1990. Later, an update of that inventory was performed, in this case with 1996 data. Recently, in 2009 two additional updates of inventories for the years 2000 and 2005 were published.

According to the IPCC methodologies used, inventories were divided into five areas of economic activity: energy, industrial processes, agriculture, land use change and waste management.

For the Third National Communication the reporting year is 2010. Non Annex I parties, should follow the 2006 IPCC Guidelines for National GHG Inventories. These guidelines are complemented by the following documents: Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories (2000), Good Practice Guidance for Land Use, Land-Use Change and Forestry (GPG-LULUCF) (2003), as well as by the 17th Decision of COP 8 (2003) Guidelines on National Communications from non-Annex 1 Parties.

#### 2. Objectives

- To conduct an inventory of emissions sources and sinks of GHG for 2010.
- To establish emission trends by sector: energy, industrial processes, agriculture, land use change and waste management.

#### 3. Basis

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### **4. Methodology**

The work will consist of:

- Coordinate data collection for the inventory of each sector. This involves the coordination with various national organizations, such as “Dirección Sectorial de Energía”, RECOPE, ICE, MOPT, cement industries, glass producers, MAG, camera unions, MINSALUD, SINAC, “Comisión de Incendios Forestales”, FONAFIFO, “Oficina Nacional Forestal”, INEC, among others.
- Process and validate the information obtained to generate inventories, including national emission factors.
- Create a national inventory of greenhouse gases in Costa Rica in 2010.

#### **5. Activities**

- Detailed work plan of activities to be performed, including description of activities, resources, expected outcomes and implementation schedule and the methodology from which the study will be addressed.
  - Compilation of relevant information. The following guidelines have to be taken into account: 2006 IPCC Guidelines for National Greenhouse Gas Inventories. And its complementary documents: Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories (2000), Good Practice Guidance for Land Use, Land-Use Change and Forestry (GPG-LULUCF) (2003), and the 17th Decision of COP 8 (2003): Guidelines on National Communications from non-Annex 1 Parties.
  - Organize data collection, validation and processing for the inventory in each sector.
  - Collect the data needed for the inventory, according to IPCC guidelines, for the following sectors: energy, industrial processes, agriculture, land use change and waste management.
- Review and adjust, as required, national emission factors. To that end, new developments in the country must be considered, such as the efforts that public and private bodies (e.g. Centro Científico Tropical and Universidad Nacional) have made to estimate carbon contents in different types of Costa Rican forests, the National Farming Survey and studies made by townships on composition and waste management (e.g. The Municipalities of Belén and San Carlos, among others).
- Conduct inventory assessment according to the IPCC guidelines.
- Analyze the evolution and trend of the inventories results using as reference the previous inventories conducted in 1990, 1996, 2000 and 2005.
- Preparation of inventory document. Keep into account that this document should be explicit about the level of precision of the data and the scope of the information presented. (It is important to mention what is excluded).
- Presentation of inventory results.

#### **6. Expected Outcomes**

- Work plan.
- Preliminary report on the results of the consultation processes, particularly with the results of the workshop with key stakeholders.

- Final report (incorporating inputs and comments from the workshop and the research results of existing studies).
- A document with the inventory of emissions sources and sinks of GHG for 2010. As well as the emissions and evolution trend analysis by sector for the last two decades (1990-2010).

## **7. Study Conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish.
- Meetings: Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- Reports:
  - Work Plan.
  - Bi-monthly progress reports.
  - Final Report.
  - A document with the inventory of emissions sources and sinks of GHG for 2010. As well as the emissions and evolution trend analyze by sector for the last two decades. (1990-2010).
- Review reports: IMN will review the report within eight business days after delivery by consultants.
- The Project Coordination (IMN) must approve all reports.
- A printed and digital report should be presented to IMN.
- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information, giving the credits as dictated by scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- Given that the payments are made in national currency, the financial offer must be presented in colones.

## **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 18 months from the date of signing the contract.



## United Nations Development Program

### Terms of Reference for the integration of activities and food and nutritional security studies

#### Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change

August 2011

#### 1. Introduction

Through the Instituto Meteorológico Nacional, of the Ministerio del Ambiente, Energía y Telecomunicaciones, Costa Rica has developed two National Communications to the UNFCCC. As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience.

Food and nutrition security has emerged as a topic of great relevance and interest as a mechanism which seeks to guarantee the right to food, with emphasis on vulnerable groups.

Various elements, including climate change pose a threat on food availability; therefore it has been considered relevant to analyze the country food and nutritional security vulnerability to climate change and its adaptation capacity.

#### 2. Objective

Integrate efforts that have been made in the country to determine the vulnerability of food and nutrition security to climate change and define actions required for long-term adaptation.

#### 3. Basis

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### **4. Methodology**

The work will consist of:

- A compilation of information on activities, findings, gaps, lessons learned, research, and studies that have promoted the analysis of vulnerability and adaptation measures against the adverse effects of climate change on food and nutritional security in Costa Rica. The compilation should include National Policy on Food Security and Nutrition 2011-2021 (MINSALUD), 1 State Policy for the Agrifood Sector and Rural Development (MAG), Commercial Policy (COMEX), among other relevant documents 2.
- Validate the conclusions about vulnerability and identify the adaptation measures (both actual and potential) that are being taken or planned for food and nutritional security, which must be formulated in a participatory, reflective analysis, construction and recognition of the causes and effects of social, economic and environmental climate-related threats to the hydropower generation.
- Identify priority areas and measures to be taken into account by the country.
- Preparation of a document summarizing the analysis of vulnerability and adaptation measures for food and nutritional security to the adverse effects of climate change.

#### **5. Activities**

- Detailed work plan of activities to be performed, including description of activities, resources, expected outcomes and implementation schedule and the methodology from which the study will be addressed.
- Compilation of relevant information from secondary sources in the country and the region, which should include at least the research studies that have been conducted in all public universities in the country, MINSALUD, INCIENSA, MAG and other institutions from the public or private sector related to food and nutritional security in general.
- Consultations with Stakeholders in the issue of vulnerability and adaptation of food and nutritional security to climate change: identifying key stakeholders and mapping them to develop participation strategies that ensure the exchange of ideas and gathering their opinions to be used as a basis for providing recommendations to the strategy of the country.
- Writing the final report summarizing the analysis of vulnerability and adaptation of food and nutritional security to climate change. Annexes include all sources of information, contacts and lists of research or studies, either running or planned but not initiated, and which may be of interest for subsequent communications.

#### **6. Expected Outcomes**

- Work plan.
- Preliminary report on the results of the consultation processes, particularly with the results of the workshop with key stakeholders.

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<sup>2</sup> Consider the preliminary list of 2006-2011 projects identified in the project "Autoevaluación para la Tercera Comunicación Nacional de Cambio Climático de Costa Rica", coordinated by IMN.

- Final report (incorporating inputs and comments from the workshop and the research results of existing studies).

## **7. Study conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish.
- Meetings: Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- Reports:
  - Work plan and proposed methodology (1 week after the signing of the contract).
  - A report summarizing the compilation of information and results of consultation with key actors (at 3 months of signing the contract).
  - A draft document of vulnerability and adaptation (5 months after signing the contract) to be reviewed by the IMN, who will make recommendations for improvement and may request clarification.
  - Final report (6 months after signing the contract).
- Review reports: IMN will review the report within eight business days after delivery by consultants.
- All reports must be approved by the Project Coordination (IMN).
- A printed and digital report should be presented to IMN.
- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information as appropriate credit given to scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- The financial offer must be presented in colones because the payments are in national currency.

## **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 6 months from the date of signing the contract.





Costa Rica

## United Nations Development Programme

### Terms of Reference for the integration of activities and energy security studies (emphasis on hydroelectric generation)

#### Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change

August 2011

#### 1. Introduction

Through the Instituto Meteorológico Nacional, of the Ministerio del Ambiente, Energía y Telecomunicaciones, Costa Rica has developed two National Communications to the UNFCCC. As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience.

At the end of 2007, the installed capacity of the National Interconnected Electric System reached 2.182 MW (4.1% more than in 2006), generating 8.987 GWh in that year (75.3% hydro, 13.8% geothermal, 8.2% thermal, and 2.7% wind)<sup>3</sup>. Because of the importance of hydroelectric generation for the country's energy security, and its relationship to water resources, it seems important to analyze the vulnerability and capacity for adaptation to climate variability and climate change in current and projected hydropower projects.

#### 2. Objective

Integrate efforts that have been made in the country to determine the vulnerability of hydropower generation to climate change and define actions required for long-term adaptation.

#### 3. Basis

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### 4. Methodology

The work will consist of:

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<sup>3</sup> Dirección Sectorial de Energía, [www.dse.go.cr](http://www.dse.go.cr)

- A compilation of information on activities, findings, gaps, lessons learned, research, and studies that have promoted the analysis of vulnerability and adaptation measures against the adverse effects of climate change on electricity generation in Costa Rica in the long term, particularly for the hydropower sector, but also considering other sources of power generation that could eventually be affected.<sup>4</sup>
- Identify the adaptation measures (both actual and potential) that are being taken or planned for hydroelectric generation (defined for extreme rainy events and extreme dry events, according to the results of the current risk assessment of climate change held the IMN<sup>5</sup>, which considers the threat and vulnerability of the water system to Climate Change), which must be formulated in a participatory, reflective analysis, construction and recognition of the causes and effects of social, economic and environmental climate-related threats to the hydropower generation.
- Identify priority areas and measures to be taken into account by the country.
- Preparation of a document summarizing the analysis of vulnerability and adaptation measures for hydroelectric generation to the adverse effects of climate change.

## **5. Activities**

- Detailed work plan of activities to be performed, including description of activities, resources, expected outcomes and implementation schedule and the methodology from which the study will be addressed.
- Compilation of relevant information from secondary sources in the country and the region, which should include at least the research studies that have been conducted in all public universities in the country, Comisión Nacional de Emergencias, ICE, and other institutions from the public or private sector related to energy in general.
- Consultations with Stakeholders in the issue of vulnerability and adaptation of hydroelectric generation to climate change: identifying key stakeholders and mapping them to develop participation strategies that ensure the exchange of ideas and gathering their opinions to be used as a basis for providing recommendations to the strategy of the country.
- Writing the final report summarizing the analysis of vulnerability and adaptation of hydroelectric generation to climate change. Annexes include all sources of information, contacts and lists of research or studies, either running or planned but not initiated, and which may be of interest for subsequent communications.

## **6. Expected Outcomes**

- Work plan.
- Preliminary report on the results of the consultation processes, particularly with the results of the workshop with key stakeholders.
- Final report (incorporating inputs and comments from the workshop and the research results of existing studies). Emphasize actions to take to lessen the

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<sup>4</sup> Consider the preliminary list of 2006-2011 projects identified in the project "Autoevaluación para la Tercera Comunicación Nacional de Cambio Climático de Costa Rica", coordinated by IMN.

<sup>5</sup> Project "Mejoramiento de las Capacidades Nacionales para la Evaluación de la Vulnerabilidad y Adaptación del Sistema Hídrico al Cambio Climático en Costa Rica, como mecanismo para disminuir el riesgo al Cambio Climático y aumentar el Índice Desarrollo Humano."

potential impact of climate change on energy generation capacity in the country, especially in the case of hydroelectric power.

## **7. Study Conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish.
- Meetings: Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- Reports:
  - Work plan and proposed methodology (1 week after the signing of the contract).
  - A report summarizing the compilation of information and results of consultation with key actors (at 3 months of signing the contract).
  - A draft document of vulnerability and adaptation (5 months after signing the contract) to be reviewed by the IMN, who will make recommendations for improvement and may request clarification.
  - Final report (6 months after signing the contract).
- Reports review: IMN will review the report within eight business days after delivery by consultants.
- All reports must be approved by the Project Coordination (IMN).
- A printed and digital report should be presented to IMN.
- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information as appropriate credit given to scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- The financial offer must be presented in colones because the payments are in national currency.

## **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 6 months from the date of signing the contract.



## **United Nations Development Programme**

### **Terms of Reference for the integration of infrastructure-related activities and studies**

#### **Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change**

**August 2011**

#### **1. Introduction**

Through the Instituto Meteorológico Nacional, of the Ministerio del Ambiente, Energía y Telecomunicaciones, Costa Rica has developed two National Communications to the UNFCCC. As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience.

One of the most important issues for the country, given their development and the lag that has occurred in recent years with respect to the growth of public infrastructure, is the impact that climate change may have or is already having on the deterioration of major infrastructure for the country. Several investigations have identified that changes in weather patterns and particularly increases in the levels of climatic stress can affect security factors of the country's infrastructure. Additionally, the country must take the challenge of improving preventive maintenance of the different buildings, roads, among others. Thus the great challenge in terms of infrastructure and climate change is how we have adapted to the conditions expected and how to foster the development of infrastructure in a more secure and durable way.

#### **2. Objective**

Integrate efforts that have been made in the country to determine the vulnerability of public and private infrastructure to climate change and define actions required for long-term adaptation.

#### **3. Basis**

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### **4. Methodology**

The work will consist of:

- A compilation of information on activities, findings, gaps, lessons learned, research, and studies that have promoted the analysis of vulnerability and adaptation measures against the adverse effects of climate change on infrastructure in Costa Rica.<sup>6</sup> Consider different efforts such as CFIA in the application of PIEVC (Public Infrastructure Engineering Vulnerability Committee) protocol, MIDEPLAN study named "Impacto económico de los eventos naturales y antrópicos extremos en CR, 1988-2009", among others.
- Identify the adaptation measures (both actual and potential) that are being taken or planned for infrastructure, which must be formulated in a participatory, reflective analysis, construction and recognition of the causes and effects of social, economic and environmental climate-related threats to infrastructure.
- Identify priority areas and measures to be taken into account by the country.
- Preparation of a document summarizing the analysis of vulnerability and adaptation measures for infrastructure to the adverse effects of climate change.

## **5. Activities**

- Detailed work plan of activities to be performed, including description of activities, resources, expected outcomes and implementation schedule and the methodology from which the study will be addressed.
- Compilation of relevant information from secondary sources in the country and the region, which should include at least the research studies that have been conducted in all public universities in the country, CFIA, and other institutions from the public or private sector related to construction, maintenance and operation of infrastructure.
- Consultations with Stakeholders in the issue of vulnerability and adaptation of infrastructure to climate change: identifying key stakeholders and mapping them to develop participation strategies that ensure the exchange of ideas and gathering their opinions to be used as a basis for providing recommendations to the strategy of the country.
- Writing the final report summarizing the analysis of vulnerability and adaptation of infrastructure to climate change. Annexes include all sources of information, contacts and lists of research or studies, either running or planned but not initiated, and which may be of interest for subsequent communications.

## **6. Expected Outcomes**

- Work plan.
- Preliminary report on the results of the consultation processes, particularly with the results of the workshop with key stakeholders.
- Final report (incorporating inputs and comments from the workshop and the research results of existing studies).

## **7. Study Conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish.

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<sup>6</sup> Consider the preliminary list of 2006-2011 projects identified in the project "Autoevaluación para la Tercera Comunicación Nacional de Cambio Climático de Costa Rica", coordinated by IMN.

- **Meetings:** Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- **Reports:**
  - Work plan and proposed methodology (1 week after the signing of the contract).
  - A report summarizing the compilation of information and results of consultation with key actors (at 3 months of signing the contract).
  - A draft document of vulnerability and adaptation (5 months after signing the contract) to be reviewed by the IMN, who will make recommendations for improvement and may request clarification.
  - Final report (6 months after signing the contract).
- **Reports review:** IMN will review the report within eight business days after delivery by consultants.
- All reports must be approved by the Project Coordination (IMN).
- A printed and digital report should be presented to IMN.
- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information as appropriate credit given to scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- The financial offer must be presented in colones because the payments are in national currency.

#### **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 6 months from the date of signing the contract.



## United Nations Development Programme

### Terms of Reference for the integration of vulnerability and adaptation to climate change related activities and studies

#### Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change

August 2011

#### 1. Introduction

Through the Instituto Meteorológico Nacional, of the Ministerio del Ambiente, Energía y Telecomunicaciones, Costa Rica has developed two National Communications to the UNFCCC. As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience.

#### 2. Objective

Review, analyze and integrate information from different studies, policies and projects related to vulnerability and adaptation to climate change.

#### 3. Basis

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### 4. Methodology

The work will consist of:

- A compilation of information on activities, findings, gaps, lessons learned, research, and studies that have promoted the analysis of vulnerability and adaptation measures against the adverse effects of climate change in Costa Rica.<sup>7</sup> Additionally, a review of the national and international frame regarding these topics.
- Identify priority areas and measures to be taken into account by the country.
- Preparation of a document summarizing the analysis of vulnerability and adaptation measures to the adverse effects of climate change.

#### 5. Activities

<sup>7</sup> Consider the preliminary list of 2006-2011 projects identified in the project "Autoevaluación para la Tercera Comunicación Nacional de Cambio Climático de Costa Rica", coordinated by IMN.

- Detailed work plan of activities to be performed, including description of activities, resources, expected outcomes and implementation schedule and the methodology from which the study will be addressed.
- A review of the national and international frame regarding vulnerability and adaptation to climate change.
- Consultations with Stakeholders in the issue of vulnerability and adaptation to climate change: identifying key stakeholders and mapping them to develop participation strategies that ensure the exchange of ideas and gathering their opinions to be used as a basis for providing recommendations to the strategy of the country.
- Explanation of the relationship between the terms used in the National Communication on Climate Change in risk management (according to guidelines of the UNFCCC) and at the national level (according to CNE).
- Technical evaluation of the studies related to climate change scenarios, impacts, vulnerability and adaptation to climate change developed after the Second National Communication of Costa Rica. Consider IMN, MINAET, academic centers, NGO, among others.
- Compilation of information on policies, projects, studies, results, findings, gaps, and lessons learned that have promoted the analysis of vulnerability and adaptation measures against the adverse effects of climate change (specially of sectors not covered by the studies made by IMN).<sup>8</sup> Minimum elements to consider:
  - Efforts made by public institutions in risk management as a mechanism for reduction, disaster response and recovery, under the leadership of CNE.
  - MIDEPLAN study "Impacto económico de los eventos naturales y antrópicos extremos en CR, 1988-2009"
  - Information update (as indicated in the Second National Communication on Climate Change) on inventories of biodiversity related to the fragility / vulnerability to climate change and its associated ecosystems, studies analyzing the impact of infrastructure development in the watershed and coastal ecosystems and biodiversity as a factor that decreases the resilience to climate change, as well as projects and programs that the country is making to conserve its biodiversity.
  - Information update (as indicated in the Second National Communication on Climate Change) on vulnerability analysis and adaptation of the fishing industry (change in ocean temperature, marine currents). Consider inputs like impact studies of overfishing on the stocks of several species of commercial importance, made by CIMAR (UCR) as well as responsible fisheries projects implemented in the country, through INCOPECA and NGOs.
  - Collect Costa Rican studies on sea level rising due to climate change, including the expansion of tourism on the coasts.
  - Information on the vulnerability of the agricultural sector (see "Estudio del Estado de la Producción Sostenible y propuesta de mecanismos permanentes para el fomento de la producción sostenible ", conducted by MAG)
  - Progress of the "Estrategia Nacional para la Gestión Integrada de los Recursos Marino-Costeros (ENM)" from SINAC, including projects such as

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<sup>8</sup> Consider at least CONICIT and researches of public universities as sources of information.



coastal marine Biodiversity Project - Adaptation to Climate Change "BIOMARCC" (SINAC-GIZ)

- Progress of the "Plan Nacional de Gestión Integral del Recurso Hídrico" and its corresponding strategy, including the National Water Balance. Gather information about specific measures, such as projects of "water harvesting" developed by MAG, the ESPH environmental sanitation project, GAM treatment plant (AyA), the watershed management plans, among others.
  - Efforts made by the health sector (such as progress on the project " Análisis de la Salud pública Costarricense ante el cambio climático y abordaje desde la perspectiva de la adaptación y el ejercicio de la Rectoría del Ministerio de Salud ").
- In addition to the results obtained, it is important to document the needs (with the level of detail that has been defined for these needs, for example, estimated budget).
  - Prepare a final report including an executive summary for decision makers (no more than 5 pages, in Spanish and English) and a PowerPoint presentation.

## **6. Expected Outcomes**

- Work plan.
- Report on the collection of information.
- A report of the consultation with key stakeholders.
- Final report, including:
  - The analysis and synthesis of the potential impacts of climate variability and climate change in different studied sectors.
  - Portfolio of measures in adaptation to climate change implemented in the different sectors studied, including policy instruments to support them.
  - Portfolio of potential adaptation measures to climate change in the different priority sectors studied, including policy instruments to support them, indicating which of them are planned to be implemented and funding requirements.
  - Lessons learned.
- Executive summary for decision makers (no more than 5 pages, in Spanish and English) and a PowerPoint presentation.

## **7. Study Conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish (except for the summary for decision makers, which must be presented in Spanish and English).
- Meetings: Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- Reports:
  - Work plan and proposed methodology (2 weeks after signing the contract).
  - A report summarizing the compilation of information (2 months after signing the contract).

- A report summarizing the results of consultation with key actors (7 months after signing the contract).
- A draft document of vulnerability and adaptation measures (9 months after signing the contract).
- Final report (12 months after signing the contract).
- Reports review: IMN will review the report within 16 business days after delivery by consultants.
- All reports must be approved by the Project Coordination (IMN).
- A printed and digital report should be presented to IMN.
- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information as appropriate credit given to scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- The financial offer must be presented in colones because the payments are in national currency.

#### **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 12 months from the date of signing the contract.



## United Nations Development Programme

### Terms of Reference for the integration of GHG emissions mitigation related activities and studies

#### Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change

August 2011

#### 1. Introduction

Through the Instituto Meteorológico Nacional, of the Ministerio del Ambiente, Energía y Telecomunicaciones, Costa Rica has developed two National Communications to the UNFCCC. As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience.

#### 2. Objective

Review, analyze and integrate information from different studies, policies and projects related to mitigation of GHG emissions.

#### 3. Basis

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### 4. Methodology

The work will consist of:

- A compilation of information on activities, findings, gaps, lessons learned, research, and studies that have promoted the mitigation of GHG emissions.<sup>9</sup> Additionally, a review of the national and international frame regarding this topic.
- Identify priority areas and measures to be taken into account by the country.
- Preparation of a document summarizing the analysis of measures to mitigate GHG emissions.

#### 5. Activities

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<sup>9</sup> Consider the preliminary list of 2006-2011 projects identified in the project "Autoevaluación para la Tercera Comunicación Nacional de Cambio Climático de Costa Rica", coordinated by IMN.

- Detailed work plan of activities to be performed, including description of activities, resources, expected outcomes and implementation schedule and the methodology from which the study will be addressed.
- A review of the national and international frame regarding the mitigation of GHG emissions.
- Consultations with stakeholders in the issue of mitigation of GHG emissions: identifying key stakeholders and mapping them to develop participation strategies that ensure the exchange of ideas and gathering their opinions to be used as a basis for providing recommendations to the strategy of the country.
- Technical evaluation of the studies related to climate change scenarios, impacts, vulnerability and adaptation to climate change developed after the Second National Communication of Costa Rica. Consider IMN, MINAET, academic centers, NGO, among others.
- Compilation of information on policies, projects, studies, results, findings, gaps, and lessons learned that have promoted the mitigation of GHG emissions.<sup>10</sup> Minimum elements to consider:
  - Progress of C-Neutral standard and development of the accreditation scheme, as well as creating new incentives for the industrial sector (e.g. environmental awards program from DIGECA).
  - Private companies and public sector initiatives for the calculation of carbon footprints and the subsequent declaration of carbon neutrality (with or without the official standard). Organizations that may be included: Coopedota, ICE, JASEC, Pelón de la Bajura, Nature Air, among others. The new vision towards carbon neutrality as a marketing and administrative management tool must be highlighted, as well as low carbon markets (such as PPP between Dole - GIZ - FUNDECOR).
  - Financial sector support to business initiatives: the national bank has taken its first steps towards the promotion of green credits (Banco Popular, Banco Nacional, for example) to support SMEs and economic programs such as energy efficiency, which is a positive sign for the business sector.
  - Advances in "Estrategia Industrial ante Cambio Climático" (2009).<sup>11</sup>
  - Advances in "Programa Bandera Azul Ecológica".
  - Advances in "Programa Nacional de Biocombustibles".
  - Advances in "Estrategia de Gobierno Digital".
  - Progress in implementing the "Ley para la Gestión Integral de Residuos Sólidos".
  - Achievements of the "Programa Nacional de Ahorro de Energía Eléctrica" (PRONAE).
  - Actions taken by the agricultural sector (MAG).
  - Actions taken by the transport sector: initiatives by MOPT (such as the "Plan Nacional de Transportes") as well as those carried out by the PRUGAM, CFIA, INCOFER and even local governments (such as bike lanes proposed in Cartago).
  - Actions taken by the tourism sector: initiatives such as "CSA – Viaje Limpio"<sup>12</sup>, "Viajeros con Consciencia Climática" (VCC)<sup>13</sup>, the CST

<sup>10</sup> Consider at least CONICIT and researches of public universities as sources of information.

<sup>11</sup> [http://www.cicr.com/docs/actividades/cambio\\_climatico.pdf](http://www.cicr.com/docs/actividades/cambio_climatico.pdf)

<sup>12</sup> <http://www.fonaffo.com/>

<sup>13</sup> <http://www.canaeco.org/?page=viajero>

- certification (including aspects such as energy efficiency and other savings programs).
  - REDD strategy and developments in Costa Rica.
- Evaluate the information above against the measures presented in the study "Opciones de Mitigación de Emisiones de Gases de Efecto Invernadero en Costa Rica: Hacia la Carbono Neutralidad en el 2021" (NEEDS, MINAET)
- In addition to the results obtained, it is important to document the needs and barriers (with the level of detail that has been defined for these needs, for example, estimated budget).
- Prepare a final report including an executive summary for decision makers (no more than 5 pages, in Spanish and English) and a PowerPoint presentation.

## **6. Expected Outcomes**

- Work plan.
- Report on the collection of information.
- A report of the consultation with key stakeholders.
- Final report, including:
  - Portfolio of measures in mitigation of GHG emissions implemented in the different sectors studied, including policy instruments to support them.
  - Portfolio of potential mitigation measures in the different priority sectors studied, including policy instruments to support them, indicating which of them are planned to be implemented and funding requirements.
  - Lessons learned.
  - Executive summary for decision makers (no more than 5 pages, in Spanish and English) and a PowerPoint presentation.

## **7. Study Conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish (except for the summary for decision makers, which must be presented in Spanish and English).
- Meetings: Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- Reports:
  - Work plan and proposed methodology (2 weeks after signing the contract).
  - A report summarizing the compilation of information (2 months after signing the contract).
  - A report summarizing the results of consultation with key actors (7 months after signing the contract).
  - A draft document of vulnerability and adaptation measures (9 months after signing the contract).
  - Final report (12 months after signing the contract).
- Reports review: IMN will review the report within 16 business days after delivery by consultants.
- All reports must be approved by the Project Coordination (IMN).
- A printed and digital report should be presented to IMN.

- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information as appropriate credit given to scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- The financial offer must be presented in colones because the payments are in national currency.

#### **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 12 months from the date of signing the contract.



## **United Nations Development Programme**

### **Terms of Reference for the edition of the Third National Communication to UNFCCC**

#### **Costa Rica: Third National Communication to the United Nations Framework Convention on Climate Change**

**August 2011**

#### **1. Introduction**

Through the Instituto Meteorológico Nacional, of the Ministerio del Ambiente, Energía y Telecomunicaciones, Costa Rica has developed two National Communications to the UNFCCC. As part of its commitments to ratify the UNFCCC, the country prepares the third National Communication. Thus, Costa Rica will have an updated report that will serve to highlight and disseminate climate change concerns to a wide national and international audience.

#### **2. Objective**

Collect, synthesize, analyze, and disseminate a single document that allows the country to transmit to the Secretariat of the UNFCCC the information to be communicated to the Parties in accordance with the guidelines of the Convention. This paper will form the Third National Communication to the UNFCCC.

#### **3. Basis**

The consultancy is part of the Project "Costa Rica: Third National Communication to the UNFCCC" and is located within the general objectives: 1. Report to the Conference of the Parties on the efforts of Costa Rica about its vulnerability, mitigation and adaptation measures to climate change, as well as the emission sources and removals by sinks of GHG, and 2. Have an updated report that will serve the country to highlight and disseminate climate change conclusions to a wide national audience, including decision makers.

#### **4. Methodology**

The work will consist of:

- A compilation and review of the information generated by previous studies of this project, all directed by the IMN.
- An update to the information indicated in the Second National Communication.
- Prepare, publish and disseminate the document Third National Communication of Costa Rica to the UNFCCC.

#### **5. Activities**

- Analyze and synthesize information from the previous studies part of this project. Information must be integrated into a document to be presented to the Conference of the Parties of the UNFCCC.
- Update the information presented in previous national communications. The following chapters are planned for the Third National Communication (the final decision on the structure of the communication will be defined with the coordination of the project):
  - **National circumstances and their relation to the emission and absorption of GHG:** Update the information in Chapter 1 of the Second National Communication.
  - **Strategic and policy framework to implement the Convention:** The National Climate Change Strategy (including action plan) and its integration into the National Development Plan, supplemented with appropriate institutional arrangements (such as the creation of the "Dirección de Cambio Climático" of MINAET). Consider the regional strategies of which Costa Rica is a party (such as ERAS and the Regional Strategy on Climate Change). Indicate recent changes in legislation, as well as other important and relevant national standards developed by INTECO. This section should indicate the difficulties that the country has faced in order to achieve a better inter and intra-sectoral coordination on Climate Change.
  - **National Emissions Inventory:** Analyze and synthesize information from the 2010 National Emissions Inventory.
  - **Policies, measures and proposals for the mitigation of GHG emissions:** Analyze and synthesize information from the reports prepared for this chapter.
  - **Vulnerability, climate change impacts and adaptation:** Analyze and synthesize information from the reports prepared for this chapter, as well as the "Estudio de Vulnerabilidad, Amenaza y Riesgo del Sector Hídrico al Cambio Climático como herramienta de Adaptación" (IMN).
  - **Technology transfer:** Analyze and synthesize information generated in the documents "Evaluación de las Necesidades de Tecnología" (MINAET) and "Plan Nacional de Ciencia y Tecnología" (MICIT), where the topic of "Alternative Energy" is mentioned as a priority area. Also consider the technological infrastructure available in the country (both present and planned, such as the "Centro de Eficiencia Energética", between MINAET-ICE-UCR-RECOPE).
  - **Systematic observation, research and capacity building for climate change:** Review and update the information in the Second National Communication. Consider the list of research projects listed in the chapters of mitigation, vulnerability and adaptation. Communicate the progress of SINIA ("Sistema Nacional de Información Ambiental", project between MINAET and INEC). Highlight the importance of a mechanism to establish which studies have been done (and which are in process) in the different sectors, and therefore being able to identify gaps and overlaps. Indicate relevant training projects (such as the training program with farmers on issues of adaptation, mitigation, and vulnerability, coordinated by CORFOGA - LAY - ICAFE - MAG; RUTA experience in mainstreaming gender issues in climate change training; among others).
  - **Education, training and public awareness:** Improve coordination with other institutions (notably MEP) to include climate change as a central focus



of education. Highlight the needs for education and awareness (such as the lack in awareness projects to the population in coastal areas with respect to direct and indirect impacts of climate change).

- **Other relevant information:** Analyze and synthesize the available studies on investment and financial flows in the water, biodiversity and forestry sectors. Analyze the difficulties and obstacles for the development of CDM projects in the country. Investigate policies for allocating resources for climate change management (for example, if this topic has been included in the financing modulation of MINSALUD, as well as the implementation of mechanisms for the sustainability of PSA). Highlight the need for funding key studies (eg Agriculture Census, land use, capacity use, and groundwater balance).
- Edit, review and evaluate the material contained in the Communication, together with representatives of different sectors: government, private sector, academia and NGOs.
- Prepare an executive summary (in Spanish and English) which gives an overview of the information contained in the full document and a summary for decision makers (not to exceed 10 pages).

## **6. Expected Outcomes**

- Work plan.
- A report of the consultation process.
- The main result is a document containing the Third National Communication on Climate Change, duly endorsed by the competent authorities. Includes an executive summary that should not exceed 10 pages in length, giving an overview of the information contained in the full document.
- Summary for decision makers.

## **7. Study Conditions**

- The scale of the work is national.
- The working language to use both written and spoken is Spanish (except for the summary for decision makers, which must be presented in Spanish and English).
- Meetings: Regular coordination and monitoring meetings are expected between the consultants and the IMN, to address issues related to the development of the project. The IMN will make recommendations and observations, which may be discussed by both parties.
- Reports:
  - Work plan and proposed methodology (1 week after signing the contract).
  - A report summarizing the results of consultation with key actors (5 months after signing the contract).
  - A document containing the Third National Communication, approved by the competent authorities (9 months after signing the contract).
  - Executive summary for decision makers (9 months after signing the contract).
- Reports review: IMN will review the report within 16 business days after delivery by consultants.
- All reports must be approved by the Project Coordination (IMN).

- A printed and digital report should be presented to IMN.
- IMN will provide logistical support (sending invitations, receiving confirmations, searching for places and workshop services) in the workshops (the cost should be incorporated into the financial bid), in coordination with the consultant. Support will not be given for processing information obtained from these workshops.
- MINAET, IMN, UNDP and GEF logos should appear on the cover of each report.
- UNDP will own all intellectual property and other property rights, in accordance with Annex I.
- List all the original sources of information as appropriate credit given to scientific work.
- Information on projects will be provided only if the project authorities consider this to be necessary.
- The financial offer must be presented in colones because the payments are in national currency.

#### **8. Time for completion of the proposed goals**

The product should be delivered in a maximum period of 9 months from the date of signing the contract.

**Appendix D: Endorsement letters**

DIRECCIÓN GENERAL DE COOPERACIÓN Y RELACIONES INTERNACIONALES  
Costa Rica



San José, March 14th, 2012  
DCI-089-2012

**Luiza Carvalho**  
Resident Representative  
UNDP  
Costa Rica

Dear Madam,

**Re: Project proposal for the preparation of Costa Rica National Communication to the United Nations Convention on Climate Change**

On behalf of the Government of Costa Rica and, in my capacity as GEF Operational Focal Point, I hereby endorse the request of funding for US\$ 480,000 from the Global Environment Facility for the above mentioned project proposal, to be presented through the United Nations Development Programme.

In doing so, I express my agreement with the content of the project proposal and with its implementation arrangements.

We look forward to your kind consideration in this matter.

Sincerely,

  
**Rubén Muñoz**  
GEF Operational Focal Point



C. Dr. René Castro Salazar, Ministro  
Ing. María Guzman, Vice Ministra de Energía, Punto Focal Político GEF  
Ing. Juan Carlos Sojo, Director IMN  
Ing. William Alpizar, Punto Focal Cambio Climático  
Consejo Nacional GEF-CR  
Archivo.

CONSTRUIMOS UN PAÍS SEGURO



Gobierno de Costa Rica

Apdo. Postal 10104 -1000 San José, Costa Rica  
CENTRAL (506)22334533 EXT. 154, 165, 169, 184

Teléfono (506) 22580069 Fax (506) 22235086

[www.cooperacionminae.go.cr](http://www.cooperacionminae.go.cr)



**MINAET**

March, 16<sup>th</sup> 2012  
DCC-059-2012

Ms.  
Luiza Carvalho  
Resident Representative  
UNDP/Costa Rica

**Re: Project proposal for the preparation of Costa Rica National Communication to the United Nations Convention on Climate Change**

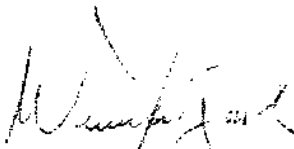
Dear Madam,

On behalf of the Government of Costa Rica and, in my capacity as UNFCCC Focal Point, I hereby endorse the request of funding for US\$ 480,000 from the Global Environment Facility for the above mentioned project proposal, to be presented through the United Nations Development Programme.

In doing so, I express my agreement with the content of the project proposal and with its implementation arrangements.

We look forward to your kind consideration in this matter.

Sincerely,

  
William Alpizar Zuñiga  
UNFCCC Focal Point  
Climate Change Office  
Costa Rica



**Appendix E:**

**Universal Price List as of February 1<sup>st</sup>, 2012**

<b>Service <sup>1,2,3,4</sup> (see service notes overleaf)</b>	<b>High Cost</b>
<b>Payment Process <sup>5</sup></b>	<b>36.39</b>
<b>Issue check only (Atlas Agencies)</b>	<b>13.69</b>
<b>Vendor profile only (Atlas Agencies only)</b>	<b>20.32</b>
<b>Staff selection and recruitment process for resident agencies <sup>6,7</sup></b>	<b>674.64</b>
Advertising (20%)	134.93
Short-listing (40%)	269.85
Interviewing (40%)	269.85
<b>Staff HR &amp; Benefits Administration &amp; Management <sup>8</sup> (one time fee, per staff at: - the issuance of a contract, and - again at separation)</b>	<b>215.73</b>
<b>Recurrent personnel management services: Staff Payroll &amp; Banking Administration &amp; Management <sup>9</sup> (annual fee per staff, per calendar year)</b>	<b>478.48</b>
Payroll validation, disbursement (35%)	167.47
Performance evaluation (30%)	143.55
Extension, promotion, entitlements (30%)	143.55
Leave monitoring (5%)	23.92
<b>Consultant recruitment</b>	<b>260.53</b>
Advertising (20%)	52.11
Short-listing & selection (40%)	104.21
Contract issuance (40%)	104.21
<b>Interns management</b>	<b>78.87</b>

## **Appendix F:**

### **Special clauses (in Spanish)**

El monto del pago, si éste se efectúa en una moneda distinta al dólar de Estados Unidos de Norteamérica, será determinado aplicando la tasa de cambio operacional de Naciones Unidas válida a la fecha del mismo. En caso de existir alguna variación en el tipo de cambio operacional de Naciones Unidas, en forma previa a la plena utilización del pago por parte del PNUD, el monto del saldo de los fondos aún retenidos para entonces será ajustado según corresponda. Si se registra, en tal caso, una pérdida en el monto del saldo de los fondos, el PNUD informará debidamente al Gobierno, con el objeto de determinar la factibilidad de una financiación adicional por parte de dicho Gobierno. En caso que tal financiación adicional no sea posible, el PNUD podrá reducir, suspender o terminar la ayuda proporcionada al proyecto.

El PNUD recibirá y administrará el pago de acuerdo con los reglamentos, las reglas y las directivas del mismo.

Todas las cuentas y estados financieros serán expresados en dólares de Estados Unidos de Norteamérica.

Si se esperan o se consideran alzas no programadas en gastos o en compromisos (ya sea debido a factores inflacionarios, fluctuación en las tasas de cambio o hechos fortuitos), el PNUD entregará al gobierno -de manera oportuna- una estimación complementaria, indicando la financiación adicional necesaria. El Gobierno hará sus mejores esfuerzos para obtener los fondos adicionales requeridos.

Si los pagos arriba mencionados no son recibidos según lo indica el calendario de pagos o si la financiación adicional requerida como lo menciona el párrafo anterior no está disponible por parte del Gobierno u otras fuentes, el PNUD podrá reducir, suspender o terminar la ayuda que se proporciona al proyecto regido por el presente Acuerdo.

Todo interés devengado atribuible a la contribución recibida será abonado a la Cuenta de Costos Compartidos del Programa y se utilizará según los procedimientos del PNUD establecidos.

El PNUD será titular de la propiedad de los equipos, suministros y otros bienes financiados a partir de la contribución. Los temas relacionados con la transferencia de dicha propiedad por parte del PNUD serán determinados de acuerdo con las políticas y procedimientos del PNUD.

La contribución estará sujeta exclusivamente a los procedimientos de auditoría interna y externa, según se estipula en la reglamentación financiera, normas y directivas del PNUD.

## **Appendix G:**

### **Communication Protocol (in Spanish)**

*El Protocolo de Comunicación para Proyectos PNUD* pretende servir de guía en la clarificación de los pasos, procedimientos y normas vigentes en la gestión comunicativa de los proyectos PNUD.

De esta manera se intenta articular la planificación global estratégica de la comunicación con el trabajo diario y constante que involucra cada proyecto.

La aplicación correcta y adecuada del protocolo ayudará a fortalecer la acción coordinada de las contrapartes, aumentará la productividad e impacto de la comunicación y además proporcionará la claridad necesaria para la distribución de roles, responsabilidades y deberes en la ejecución de las estrategias de comunicación.

Además de brindar guías para la acción, el protocolo define las estructuras de coordinación y toma de decisiones, lo que facilitará la división de tareas y la adecuada rendición de cuentas.

La vigencia del protocolo abarcará los plazos de ejecución de los distintos proyectos y corresponderá su cumplimiento a las organizaciones involucradas en su ejecución.

#### **A. Bases del protocolo**

1. Los Proyectos PNUD deberán contar con el uso estratégico y proactivo de la comunicación como herramienta indispensable en la gestión continua de sus acciones.
2. Los Documentos de Proyecto para iniciativas PNUD contendrán la siguiente leyenda que garantiza el abordaje estratégico de la comunicación:

#### ***Sobre la comunicación de los proyectos***

*Los proyectos PNUD impulsarán el uso estratégico de la comunicación mediante planes de trabajo que promuevan el uso proactivo de diversas herramientas de comunicación para impactar positivamente en los públicos meta que cada iniciativa haya identificado.*

*Para facilitar la implementación de los planes de comunicación, cada proyecto contará con el Protocolo de Comunicación de Proyectos PNUD (anexo N°) y con el apoyo del Oficial de Comunicaciones del PNUD.*

*Los planes de trabajo en comunicación serán elaborados conjuntamente por los puntos focales de comunicación de las contrapartes participantes, los coordinadores y otros apoyos en caso que sean necesarios. Los planes de trabajo serán aprobados por el Comité Directivo Nacional.*

*El financiamiento de los planes de trabajo de comunicación para el proyecto debe ejecutarse del presupuesto ordinario, para lo cual se realizarán las previsiones anuales necesarias. Se recomienda la previsión presupuestaria de al menos el 1% para las actividades de comunicación.*



3. Cada proyecto debe contar con un plan estratégico de comunicación que será elaborado conjuntamente entre las contrapartes y el PNUD.
4. La estrategia de comunicación por proyecto deberá contar con al menos los siguientes elementos:
  - a) Definición de objetivos
  - b) Públicos estratégicos
  - c) Acciones por objetivo
  - d) Productos esperados
  - e) Responsables de ejecución
  - f) Plazos de ejecución
  - g) Presupuesto
5. Las acciones estratégicas definidas en la estrategia tendrán los objetivos de:
  - a) Favorecer el objetivo central de la gestión del proyecto.
  - b) Promover la generación de conocimiento e impactos favorables y positivos entre socios estratégicos, públicos meta y ciudadanía.
6. Toda información producida para socios, contrapartes y públicos estratégicos de cada proyecto debe reconocer el papel cada contraparte, el PNUD, el donante y demás actores involucrados.
7. Los objetivos de comunicación que se impulsarán desde el desarrollo estratégico promoverán:
  - a) El incremento en la sensibilidad y apoyo para las iniciativas abordadas.
  - b) La participación y vinculación ciudadana en los proyectos con miras a propiciar el cumplimiento de los fines de los proyectos impulsados por PNUD y sus contrapartes.
  - c) Fortalecer la rendición de cuentas y transparencia hacia los socios estratégicos de los proyectos y contrapartes.

#### **B. Estructura de la comunicación**

8. La estructura de comunicación plantea la conformación de dos niveles distintos de gestión: **Nivel Asesor:** el Grupo Asesor de Comunicación y **Nivel Operativo:** Personal designado.
  - a. **Nivel Asesor:** Se creará un Grupo Asesor de Comunicación que estará conformado por los Oficiales de Comunicación del PNUD y de las contrapartes participantes del proyecto, así como el Coordinador del Proyecto.
9. Las funciones de este grupo serán:
  - a. Planificar y apoyar la estrategia de comunicación para cada proyecto.
  - b. Evaluar el avance de las estrategias de comunicación propuestas.

- c. Acordar y definir acciones de comunicación diseñadas para responder a los requerimientos de cada proyecto.
- d. Identificar nuevos ámbitos y oportunidades de acción.
- e. Resolver cualquier diferencia en asuntos de comunicación que entre las contrapartes se haya presentado y que no se hubiese resuelto en instancias previas.
- f. Presentar el plan de comunicación al Comité Directivo Nacional para su aprobación.

**b. Nivel Operativo**

- 10. El personal del proyecto designado para el caso se encargará de la ejecución de propuesta estratégica en comunicación con el apoyo del Grupo Asesor de Comunicación.
- 11. El nivel operativo deberá informar periódicamente a los puntos focales de comunicación del Grupo Asesor de Comunicación sobre el avance de los planes de comunicación.

**C. Visibilidad de las contrapartes**

**a. El logo**

- 12. Con el fin de cumplir con los lineamientos organizacionales en materia de visibilidad y divulgación, en todo producto elaborado por el proyecto deberán ir los logos de los actores involucrados que incluyen a las contrapartes oficiales, donante (en caso necesario) y PNUD.
- 13. En caso de publicaciones, éstos se colocarán preferiblemente en la parte superior o cabecera, al mismo nivel y en el siguiente orden de izquierda a derecha: instancias oficiales, donante (en caso de ser necesario), PNUD, otras contrapartes.
- 14. En el caso de spots televisivos se utilizarán los logos en color de cada organización y se colocarán al final del producto, en un mismo nivel y con el mismo orden señalado anteriormente.
- 15. En el caso de cuñas o productos radiofónicos se incluirá al final la mención completa de las organizaciones participantes según el orden establecido en el punto tras anterior.

**b. Producción de materiales y menciones**

- 16. Los productos comunicacionales elaborados en el marco de Proyectos PNUD enfatizarán en el posicionamiento del nombre del proyecto, así como sus respectivas contrapartes.
- 17. La elaboración de materiales pertenecientes a los proyectos deberá ser puesta a consideración de al menos dos instancias en la estructura organizativa del PNUD: El Oficial de Programas y el Oficial de Comunicaciones.
- 18. El Oficial de Programa verá los temas de fondo y técnicos de las publicaciones y el Oficial de Comunicaciones observará el cumplimiento adecuado en manejo de logos, diseño y aspectos relevantes de la transmisión del mensaje.

**D. Organización de actividades**

19. La definición y conceptualización de actividades de promoción de los proyectos corresponden al Grupo Asesor de Comunicación y personal del proyecto, para lo cual deben observar las siguientes disposiciones:
- a. La formalización de las actividades a nombre del proyecto debe realizarse como un acuerdo en firme de las contrapartes y el PNUD.
  - b. Las invitaciones a la actividad deben contemplar los logos de las contrapartes involucradas en el proyecto. Los programas, presentaciones y demás materiales deben utilizar también ambos logos.
  - c. La conformación de la mesa principal, orden de las presentaciones, agenda de la actividad será trabajada conjuntamente en el marco del Comité Asesor de Comunicación.
  - d. La convocatoria de medios de comunicación, en caso que sea requerido y recomendado por el Grupo Asesor de Comunicación, debe realizarse utilizando las mismas disposiciones de visibilidad y uso de los logos.

#### **E. Gestión de medios**

20. Los comunicados de prensa así como otros productos de carácter periodístico dirigidos a medios de comunicación y que se deriven del proyecto deben ser acordados y avalados por las contrapartes participantes.
21. Las solicitudes de entrevista de parte de los medios de comunicación sobre asuntos específicos de los proyectos podrán ser respondidas por las contrapartes de acuerdo con sus especialidades y acciones temáticas. Sin embargo se recomienda que las consultas referentes a avances globales, grado de cumplimiento, monitoreo de acciones, posibles irregularidades y otros asuntos políticos o que supongan riesgo para la imagen del proyecto deberán ser trasladados al Oficial de Comunicaciones de la Oficina de PNUD quién valorará la situación específica y dará una recomendación para la atención de las consultas. *(Ver también apartado de voceros)*
22. La gestión de medios de comunicación para actividades conjuntas, informes de avance u otros temas operativos se realizará de manera conjunta entre las organizaciones participantes del proyecto.
23. Toda solicitud de cobertura de prensa para actividades específicas que propongan las organizaciones participantes, deberá ser trasladada al Grupo Asesor de Comunicación con la mayor antelación posible. El Grupo evaluará la posibilidad de trabajo con los medios y brindará su recomendación a los solicitantes.
24. De aceptarse la recomendación del Grupo, éste elaborará una propuesta de estrategia de gestión de medios, que será presentada de manera inmediata al equipo de trabajo solicitante.
25. En la medida de lo posible se atenderá a los periodistas de acuerdo a los tiempos requeridos por los propios medios de comunicación, considerando las emisiones diarias de radio y televisión, así como los cierres de edición de la prensa. Se procurará que la respuesta a medios no sobrepase las 24 horas de espera.

26. En la medida de lo posible, PNUD se encargará de monitorear las grabaciones o publicaciones resultado de las entrevistas y las archivará. Dichos archivos estarán disponibles para la consulta de las contrapartes.

#### **F. Competencias de los Voceros**

27. Los miembros del Comité Directivo de Proyecto serán los Voceros Oficiales de la iniciativa, sin embargo podrán delegar su función a quién consideren necesario.
28. Únicamente los Representantes del Comité Directivo de Proyecto o sus delegados, podrán dar opiniones a nombre del Gobierno, Donante o PNUD ante los medios de comunicación en relación con hechos sensibles de índole social, política, ambiental, cultural o de otra área que afecten directamente los intereses del proyecto.
29. Cuando se requiera una intervención sobre un tema complejo o sensible, en la medida de lo posible se contactará de previo a los demás integrantes del Comité Directivo de Proyecto para coordinar una respuesta articulada y consensuada. En caso de no ser posible, se informará de inmediato sobre las declaraciones brindadas y sus posibles impactos.
30. Los Coordinadores de Proyectos podrán dar opiniones sobre hechos relativos a su especialidad temática, sin embargo deberán ser autorizados previamente por el Oficial de Comunicaciones de PNUD para hablar con los medios. El Oficial de Comunicaciones del PNUD también proporcionará guías o recomendaciones para la participación.

#### **G. Sobre divergencias y aspectos no considerados en este protocolo**

31. En caso de divergencias o situaciones no consideradas en el presente protocolo se acudirá al Oficial de Comunicaciones del PNUD para su valoración.

En caso que el PNUD lo considere necesario, las interpretaciones posteriores, valoraciones o resolución de divergencias, podrán ser agregadas al presente protocolo.

**Appendix H:**

**Risk Matrix (following page)**

Descripción	When it has been identified	Risk Type (Ambiental, Financiero, Operativo, Organizacional, Político, Regulatorio, Estratégico, Otro)	Impact and probability (among 1=minimum y 4 = maximum)	Risk management	Responsibility	Updated by	Last update	Status
1 Activity data collection becomes very slow due to the coordination with stakeholders may cause delay since a large number of actors from different economic sectors of the society are involved.	During the design of the PRODOC	Organizational	I = 2 P = 2	Prepare an advanced strategy to involve all sectors	Project Management	UNDP Officer	March 2012	
2 Delay in the assessment of mitigation measure, in the macroeconomic analysis due to lack of data for the assessment;	During the design of the PRODOC	Other	I = 2 P = 2	Systematize all existent information previous to the start of the consultancy	Project Management	UNDP Officer	March 2012	

3	Limited political support to Climate Change issues, including for the presentation of National Communications	During the design of the PRODOC	Political	I= 3 P= 1	Networking and communication with UNFCCC focal point and political authorities	Project Management	UNDP Officer	March 2012
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