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**Project Document template for nationally implemented projects
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Project title: Development of Costa Rica's Fourth National Communication and Second Biennial Update Report to the UNFCCC		
Country: Costa Rica	Implementing Partner: National Meteorological Institute (IMN)	Management Arrangements: National Implementation Modality (NIM)
UNDAF/Country Programme Outcome: Outcome 4.2: The public, private and civil society sectors will focus on policy-making and the implementation of national strategies to review environmental quality management and integrated natural resource management, as well as the valuation of assets and Environmental services, protection, conservation and sustainable use of biodiversity.		
UNDP Strategic Plan Output: Output 1.4. Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented		
UNDP Social and Environmental Screening Category: <i>Low Risk</i>	UNDP Gender Marker: 1	
Atlas Project ID/Award ID number: 00094666	Atlas Output ID/Project ID number: 00098756	
UNDP-GEF PIMS ID number: 6013	GEF ID number: 9736	
Planned start date: July 2017	Planned end date: June 2021	
LPAC date: 18 th May 2017		
<p>Brief project description: This project aims to assist Costa Rica in meeting reporting requirements under the UNFCCC Convention, in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention and COP 16 and 17 decisions), and to strengthen the technical and institutional capacity of Costa Rica to prepare and submit its Fourth National Communication (4NC) and Second Biennial Update Report (2BUR) to the UNFCCC. The project consists of the following key elements</p> <ol style="list-style-type: none"> 1. <i>Review and update of the national circumstances and institutional arrangements</i> 2. <i>The Seventh National Greenhouse Gases Inventory (GHGI) report for the period 2014 – 2016</i> 3. <i>Assessment of sectors, actions and projects that could be included in the national emission reduction strategy</i> 4. <i>Completed vulnerability study including recommended adaptation measures for identified vulnerable sectors</i> 5. <i>Other information relevant for the preparation of 2BUR and 4NC</i> 6. <i>Second Biennial Update Report and Fourth National Communication consolidated and submitted to the</i> 		

UNFCCC

The 4NC/2BUR and their respective National Greenhouse Gas Inventories (NGHGI) will be the first built relying heavily on the SINAMECC platform to acquire and pre-process data and to carry out calculations for the NGHGI as well as provide information on mitigation activities and decarbonization pathways incorporating the TIMES-CR model.

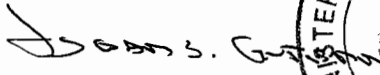
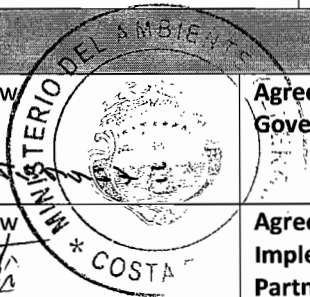

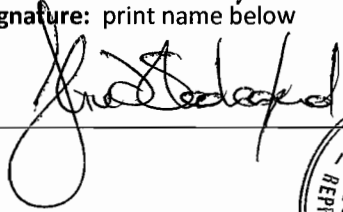
FINANCING PLAN

GEF Trust Fund or LDCF or SCCF or other vertical fund	USD 852 000
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PARALLEL CO-FINANCING (all other co-financing that is not cash co-financing administered by UNDP)

Government (In Kind contribution)	USD 646 000
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SIGNATURES

Signature: print name below 	 Agreed by Government	Date/Month/Year: 13 JOP 2017
Signature: print name below 	Agreed by Implementing Partner	Date/Month/Year: 19/09/2017
Signature: print name below 	Agreed by UNDP	Date/Month/Year:



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List of Acronyms

GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
POPP	Programme and Operations Policies and Procedures
UNDP-GEF	UNDP Global Environmental Finance Unit
MINAE	Ministry of Environment and Energy of Costa Rica
IMN	National Meteorological Institute
DCC	Climate Change Directorate
MAG	Ministry of Agriculture and Livestock
DSE	Direction of Energy
DIGECA	Direction of Environment
SETENA	Technical Secretariat for Environment
SINAC	National System of Conservation Areas (SINAC)
MIDEPLAN	Ministry of Planning and Economic Policy (MIDEPLAN)
INAMU	National Institute of Women-INAMU
4C	Scientific Council on Climate Change
5C	Consultative Citizens Council for Climate Change
IUCN	International Union for Conservation of Nature
CONARE	National Council of State University Rectors
UCR	University of Costa Rica
UNA	National University
UTN	National Technical University
CATIE	Center for Tropical Agronomical Research and Extension
CEPREDENAC	Central American Disaster Prevention Council
UCCAEP	Union of Chambers of Industry and Business

II. DEVELOPMENT CHALLENGE

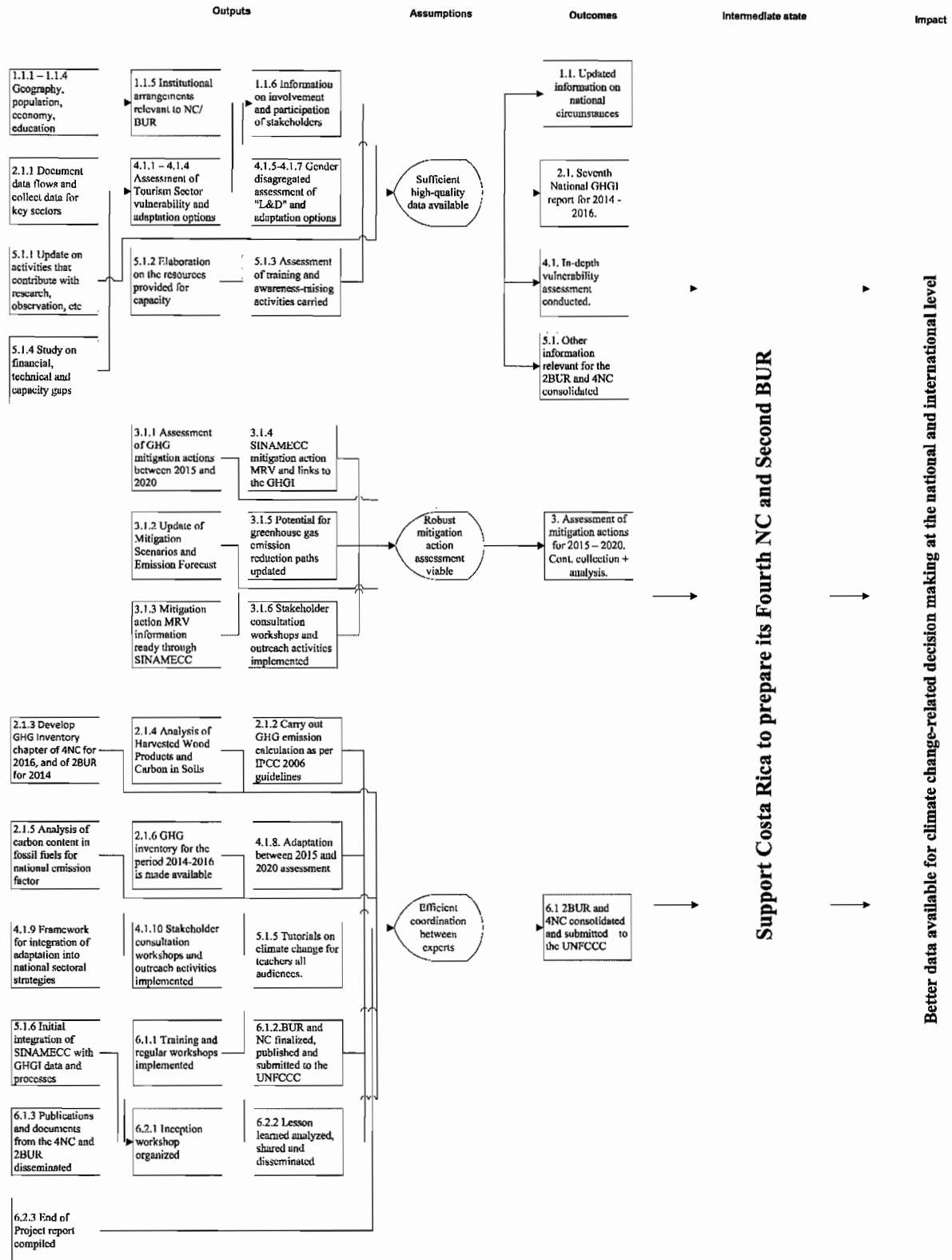
1. Climate change is broadly recognized as the key challenge which will have to be addressed in the XXI century. The disruptions caused by the accumulation of heat-trapping greenhouse gases (GHGs) are already starting to impact rainfall patterns and food production often causing instability, and/or exacerbating already precarious conditions. Global efforts to address climate change have been coordinated through the UNFCCC process, and in the run up to the COP 21 Parties were invited to submit Intended Nationally Determined Contribution (INDC) which expressed their potential contribution to what would eventually be called the Paris Agreement.
2. Costa Rica's INDC establishes a mitigation target to keep net greenhouse gas (GHG) emissions below 9.37 MtCO₂e emissions by 2030 including Land Use, Land Use Change and Forestry (LULUCF). Moreover, the INDC has included an Adaptation to Climate Change component and is committed to develop the National Adaptation Plan before 2018. Climate Change Adaptation will have as one of its components the National Disaster Risk Management Policy, through capacity building for resilience and technology transfer. Costa Rica ratified the Paris Agreement on November 3, 2016 thus converting the INDC into a Nationally Determined Contribution (NDC) and establishing the content of the Agreement and the NDC as national laws.
3. 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 axes. 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
4. Costa Rica anticipates significant impacts from climate change on its society, economy, environment and human health and for this reason the current National Development Plan sets, very clearly, climate change as cornerstone of every strategic action to be performed during the next four years. The Ministries of Environment, Agriculture and Livestock, Health and the National Emergency Commission are actively cooperating with United Nations agencies and international partners to assess the effects of Climate Change and develop appropriate plans through climate change adaptation and mitigation.
5. Costa Rica is looking to become a laboratory for the world's economy deep de-carbonization process, working with civil society, the private sector, academia, and the international community in order to accomplish it. Costa Rica has a long standing tradition of innovation on hydroelectric generation, in conservation and specially, on matters of climate change. This tradition is well evidenced in the country's commitment towards the United Nations' Framework Convention for Climate Change (UNFCCC), to avoid dangerous anthropogenic interference in the climate system and the goal of "Holding the increase in the global average temperature to well below 2 °C above pre-industrial levels and pursuing efforts to limit the temperature increase to 1.5 °C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change". To accomplish it, global emissions of Greenhouse Gases (GHG) need to stay below a total of 1000 Giga-tons of CO₂ from 2012.
6. The project is part of the National Development Plan 2015-2018 "Alberto Cañas Escalante", in the Environment, Energy, Seas and Territorial Planning sector, in its sectoral target on promoting action on global climate change, through citizen participation, technological change, innovation processes, research and knowledge to guarantee welfare, human security and competitiveness of the country. Also, to contribute to the achievement of the commitments acquired by the country, within UNFCCC, and to promote the different actions and guidelines for the tools that allow reducing the emissions of Greenhouse Gases (GEI)". The project aims also to contribute with the National Pacto for the Achievement of Sustainable Development Goals, signed

in 2016 by the Costa Rican government, private sector and civil society. In particular with regards to ODS 7a, "By 2030, enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, energy efficiency and advanced and cleaner fossil-fuel technology, and promote investment in energy infrastructure and clean energy technology; and ODS 11 b; 11.b By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels".

7. Through the National Meteorological Institute of the Ministry of the Environment and Energy, Costa Rica has developed three previous National Communications to the UNFCCC. The First NC entailed 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.
8. The Second communication included an updated version of the GHG Inventory for 2000 and 2005, a section about climate, variability, and climate change.
9. The third communication was submitted the 11th December 2014 and renewed the Costa Rican commitment to carbon neutrality, after thorough review of metrics, targets and deadlines. The first BUR was submitted on December 9th, 2015 including the Sixth Inventory of GHG, using the 2006 IPCC Guidelines and evaluating the four categories defined by the IPCC. The following gases carbon dioxide (CO₂), methane (CH₄), nitrous oxide (N₂O), halocarbons (HFCs), perfluorocarbons (PFCs) and sulfur hexafluoride (SF₆), carbon monoxide (CO), oxides, nitrogen (NO_x), methane different volatile hydrocarbons (NMVOC) and sulfur dioxide (SO₂) were evaluated.
10. Since the ratification of the UNFCCC and joining the Kyoto Protocol, Costa Rica has adopted and implemented several national strategies and sectorial policies aimed at reducing the impacts of the climate change, mitigation and adaptation strategies and emissions reduction. These strategies and policies are reflected in long-term state programmes. The most recent relevant examples are:
 - National Carbon Neutrality Program
 - Costa Rican Offset Mechanism
 - Levy on Emissions
 - National Climate Change Metrics System
 - National Climate Change Strategy
 - National REDD+ Strategy
 - National Biodiversity Strategy and Action Plan
 - NAMA – Low Carbon Coffee
 - Costa Rica Livestock NAMA
 - Adaptation Fund Project: Reducing the Vulnerability by Focusing on Critical Sectors (Agriculture, Water resources, and Coastlines) in order to Reduce the Negative Impacts of Climate Change and Improve the Resilience of These Sectors
11. Costa Rica will prepare and submit its Second BUR in Dec 2018 and its Fourth NC in Dec 2020 to the UNFCCC.
12. Costa Rica has also been working on improving GHG emissions MRV and projection capacities. To this end, the country is developing and integrated climate change metrics system dubbed the National Climate Change Metrics System (Sistema Nacional de Métrica de Cambio Climático, SINAMECC). The Second BUR and Fourth NC, with the accompanying National Greenhouse Gas Inventories (NGHGI) will be the first reports which will be developed using SINAMECC as a core reporting and processing platform.

13. Mitigation potential estimates have traditionally been done in an ad hoc basis with project developers, sectoral ministries and other stakeholders providing their inputs based on a variety of methodologies and data sources. Recognizing the importance of solid projections for long-term planning Costa Rica has started a national implementation of TIMES modelling platform. TIMES is the most widely used, least-cost optimization methodology employed to inform energy (and water) policy and strategic planning, it was developed and is maintained by IEA-ETSAP. An Analysis Team (AT) made up of experts in key sectors is being trained to use and maintain the TIMES-CR and is expected to function as core of the country's mitigation analysis capabilities and preside over the continues improvement of the model and underlying data.
14. As a party to the United Nations Framework Convention on Climate Change (UNFCCC), Costa Rica is keen to develop its 4NC and 2BUR and display commitment towards achieving the global goal towards abating climate change and associated impacts. The recently ratified Nationally Determined Contributions (INDC), Third National Communication (TNC), First BUR and some of the current initiatives such as development of Nationally Appropriate Mitigation Action (NAMA) for Livestock and Coffee are envisaged to play relevant roles in the preparation of Costa Rica's 4NC.
15. This project is in particular contributing to the Sustainable Development Goals 13 and 17. The platform will be the underlying mechanism to track progress of the Paris Agreement on Climate Change (goal 13) and at the same time provide a forum encouraging partnerships among relevant actors.

III. STRATEGY



16. The Paris Agreement requires countries to be more transparent about their climate actions than ever before, and has new provisions to hold them accountable. Countries are universally required to report their progress on reducing greenhouse gas emissions, building climate resilience, and better tracking the support they provide or receive. The Paris Agreement established a process to verify the data and information on both climate actions and ways countries provide support for a transition to a zero-carbon and climate-resilient economy.
17. Strong transparency and accountability rules under the Paris Agreement have implications for the corporate sector as well. Businesses' ability and willingness to shift finance flows to climate-compatible investments and resilience strategies depends on how confident they are that the countries they operate in are taking serious measures to achieve their climate targets. Done right, transparency and accountability rules can result in a reinforcing cycle of verified action that builds confidence among governments, investors and shareholders.
18. As seen in the previous figure, the project seeks to make better data available to Costa Rican and international stakeholders by supporting the development of the Costa Rica's Fourth National Communication and Second Biennial Update Report. The project consists of the following key elements:
 1. Review and update of the national circumstances and institutional arrangements
 2. The Seventh National Greenhouse Gases Inventory (GHGI) report for the period 2014 – 2016
 3. Assessment of sectors, actions and projects that could be included in the national emission reduction strategy
 4. Completed vulnerability study including recommended adaptation measures for identified vulnerable sectors
 5. Other information relevant for the preparation of 2BUR and 4NC
 6. Second Biennial Update Report and Fourth National Communication consolidated and submitted to the UNFCCC
19. The project will build on the capacities developed while constructing the previous three NCs and the first BUR. It will also be the first UNFCCC report to be developed making use of the SINAMECC to acquire and process data and the TIMES-CR modelling platform to analyze mitigation options and pathways. This use of recently developed and/or deployed technology is innovative, will help reduce time and cost associated with developing the NGHGI and other core elements of the BUR and NC and will enhance transparency and stakeholder engagement by allowing easier access to more methodological details and activity data than previously possible.
20. Beyond the innovation and efficiency elements of integrating UNFCCC reporting, particularly the development of the NGHGI, into the SINAMECC system the project seeks to address the key assumptions identified in the Theory of Change diagram above: the availability of sufficient data to efficiently update the NC and BUR.

21. RESULTS AND PARTNERSHIPS

- i. Expected Results:
22. This activity aims to assist Costa Rica in meeting reporting requirements under the UNFCCC Convention, in accordance with its commitments as a non-Annex 1 Party (as mandated by Article 4 and 12 of this Convention and COP 16 and 17 decisions), and to strengthen the technical and institutional capacity of Costa Rica to prepare and submit its 4NC and second BUR to the UNFCCC.
23. The project is prepared in line with GEF-6 strategic focal area on climate change mitigation, objective CCM3 on fostering enabling conditions to mainstream mitigation concerns into sustainable development strategies. In particular, Program 5 of this objective aims to mainstream the integration of climate considerations into the national planning process and to help countries mainstream mitigation action in support of the 2030 Agenda for Sustainable Development and SDGs.
24. The expected outcomes and associated key outputs and activities are:
1. Review and update of the national circumstances and institutional arrangements pertinent to preparation of the national communications and biennial update reports, which will include, inter alia, the analyses of national and/or regional development priorities and objectives that Costa Rica is pursuing and those that would serve as the basis for addressing climate change and water scarcity or excess issues (two most likely effects of climate change in different parts of the country). Information on national circumstances will be linked to information provided in other chapters of the national communication. The analyses of development priorities and objectives would be of interest to other national stakeholders investigating the benefits of specific activities and policies and the linkages between the activities and policies relating to climate change and those of other Conventions, such as the CBD and the UNCCD. Information will include:
 - Geographical characteristics, including climate, forests, land use and other environmental characteristics; Population: growth rates, distribution, density and other vital statistics; Economy, including energy, transport, industry, and tourism, agriculture, fisheries, waste, health and services sector; Education, including scientific and technical research institutions, Any information considered relevant by the Party, e.g., information relating to Article 4.8 and 4.9, of the Convention
 - A description of institutional arrangements relevant to the preparation of the national communications on a continuous basis including distribution of responsibilities within government departments, universities, research institutions, etc.
 - Involvement and participation of other stakeholders;
 - The Sub-Committees on GHG inventory, vulnerability and adaptation assessment, mitigation, etc.
 - The preparation of the fourth national communication and Second BUR will strengthen the linkages and facilitate better understanding of the nexus between climate change and development. This will involve analyses of policies and plans that are currently being pursued by Costa Rica and their relevance in dealing with climate change issues and concerns.
 - Coordination, cooperation and synergy between the key stakeholders in developing actions and strategies to cope with the impacts of climate change are crucial for the sustainability of project implementation. It is envisaged that the preparation of the various components of the FNC/BUR will help strengthen and where appropriate, build synergies among and between activities, especially since it will be the first NC/UR which will be co-led by the IMN and the DCC. The project management team will include a strong institutional arrangement under which many of the activities/tasks will be carried out in the preparation of the 4 NC and 2 BUR
 2. The Seventh National Greenhouse Gases Inventory (GHGI) report for the period 2014 – 2016.
 - Collection of data for the key sectors (Energy, Industrial Processes and product use, AFOLU and Waste).

The estimate of emissions from the sectors mentioned above include the following greenhouse gases (CO₂), (CH₄), (N₂O), (HFC), (PFC) and (SF₆). It also includes estimating indirect emissions of greenhouse gases (NO_x), (SO₂), (CO) and (NMVOC).

- Carry out greenhouse gas emission calculation as per IPCC 2006 guidelines for the four key areas of emissions for 2014 and 2016.
- A key source/category analysis will be carried out to determine the sectors with significant emissions where resources can be targeted.
- Documentation must be provided detailing the methodologies and algorithms used for each calculation (including calculation spreadsheets) as an input for the development of the National Climate Change Metrics System (SINAMECC).
- Quality assurance and quality control (QA/QC) procedures based on the IPCC 2006 Guidelines in National Greenhouse Gas Inventories will be applied as appropriate to ensure that the results of the inventory will be as reliable as possible.
- Tables 1 and 2, as provided by the UNFCCC guidelines (annex to decision 17/CP.8) will be used for reporting the national GHG inventory. This activity will be coordinated with any regional efforts wherever possible.
- Development of the chapter on GHG Inventory as part of the 4NC for reference year 2016, and the chapter on GHG inventory for the BUR for reference year 2014.
- Analysis of Harvested Wood Products and Carbon in Soils.
- Analysis of carbon content in fossil fuels to establish a national emission factor for the Energy Sector.
- A National Inventory Report (NIR) which includes: the procedures and arrangements undertaken to collect and achieve the data and information; anthropogenic emissions by sources (GHG Inventory); the level of uncertainty associated with inventory data, recommendations for integrating GHG activities with other sustainable development initiatives; recommendations for mainstreaming the GHG inventory process; and recommendations for addressing technological and capacity needs.
- To the extent possible, the GHG inventory for the period 2014-2016 will be constructed and made available through the National Climate Change Metrics System (SINAMECC). Many of the problems relating to the preparation of national greenhouse gas inventory may be related to inexistence of a central location with easily available data. This project will support the consolidation of the National Climate Change Metrics System (SINAMECC) by making available raw data CC data and detailed information on how the NGHGI is constructed so that it may be retrieved by decision makers and the general public through a virtual portal currently being developed.
- At the end of the proposed activities, a workshop will be held to review the results. Policy makers and other stakeholders will be invited to participate in the workshop, so as to enhance their awareness on the importance of GHG inventory and on a long-term programme for the improvement of future GHG inventories.

3. Assessment of sectors, actions and projects that could be included in the national emission reduction strategy.

- The TIMES-CR AT and other key mitigation experts will conform the Mitigation thematic group which will support the assessment of sectors, actions and projects that could be included in the national emissions reduction strategy.
- In order for Costa Rica to undertake mitigation potential assessment as part of its development strategy, the below activities will be carried out to expand upon existing TIMES-CR and AT capabilities:
 - Collection, collation, analysis and archiving of improved input data for the different energy-related demands and mitigation options in all sectors of the economy;
 - Collection, collation, analysis and archiving of improved non-energy related mitigation options to be included as exogenous abatement options in the TIMES-CR modeling
 - Update of Mitigation Scenarios and Emission Forecast based on the new data from the GHG inventory, as well as new socio-economic information and initiatives in process.

- Relevant indicators for the actions, sectors and projects identified must be developed for inclusion within SINAMECC, as per applicable DCC guidelines.
- The capacity-building for the Mitigation thematic group on the application of the above-mentioned methodologies and models, including data collection, analysis and management, will be further strengthened and enhanced. The capacity-building activities will include the participation of the selected team members in the sub-regional, regional and international training workshops on mitigation assessment, so as to share experiences and lessons learned with other countries.
- Training workshop on the application of macro-economic models and relevant energy models will be organized with the assistance of both national and, where appropriate, regional or international consultants as well as the use of expertise available from the UN agencies.
- Capacity building activities will extend to the use of scenario run result workbooks by decision makers and other key stakeholders.

4. Completed vulnerability study including recommended adaptation measures for identified vulnerable sectors.

- Where possible, integrated assessment modeling will be used to assess the impacts of climate change in Costa Rica. Based on these quantitative analyses, appropriate cost-effective adaptation options and measures will be assessed. The impacts of climate change on national development strategies; plans and programmes will be evaluated. Appropriate policy options will be identified and developed for response strategies, making especial reference to the tourism sector.
- Using the climate scenarios for Costa Rica including RCP emission scenarios
- Vulnerability assessment for tourism sub-sectors (with case studies on mountain, coastal, eco-touristic and agro-touristic, convention and medical tourism) conducted with regional/local focus where applicable
- Confirmation of identified vulnerable sectors in Costa Rica based on the latest assessment and studies.
- Description of current vulnerability and adaptation efforts; future risks including national/sectoral adaptation policies, strategies and measures.
- Identified potential adaptation actions for priority sector (Tourism) including opportunities and barriers.
- The adaptation actions that have been implemented in the country in the period 2015-2020
- Adaptation and disaster risk reduction action must be integrated into national and local development action, rather than being seen as a stand-alone activity. Adaptation is achieved through a suite of actions that can be integrated into activities across industry sectors and implementing agencies.
- Experience shows that successful adaptation action in Costa Rica requires inter-institutional and multi-stakeholder approaches. It is essential that activities are coordinated among multiple partners. These can include national government agencies, provincial governments, traditional leaders, CSOs, private sector, development partners and academic institutions.
- Gender disaggregated "Loss and Damage" analysis for human settlements in coastal areas
 - Gender disaggregated assessment of "loss and damage" associated to climate change, variability and extreme events for human settlements in coastal areas.
 - Stakeholder consultation workshops organized and outreach activities on adaptation measures for human settlements in coastal areas.
 - Development of loss and damage scenarios and adaptation measures for two most vulnerable human settlements in coastal areas
- Gender disaggregated analysis of mortality associated to climate change evidences such as extreme events, and identification of relevant indicators for gender mainstreaming of the national communications preparation process.

5. Other information relevant for the preparation of 2BUR and 4NC

- Update on activities related to strengthening of the capabilities and expertise of Costa Rica to contribute with research, systematic observation, data collection and processing, archiving, analysis, with an emphasis on data availability to the public

- Elaboration on the resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and technology transfer
- Assessment of training and awareness-raising activities carried out on climate change issues at the community and national level.
- Study on the needs and constraints relating to financial, technical and capacity gaps with the assistance of bilateral and multilateral organizations
- Tutorial on climate change to teachers and interactive module on climate change for all audiences joining the Ministry of Education in the technical group that produces it.
- National Climate Change Metric System (SINAMECC) strengthened through enhanced virtual interaction of Climate Change Relevant public sector information.
- Establishment of an open data portal for the National Greenhouse Gas Inventory to facilitate information sharing;
- Provision of a list of national experts, including their expertise, who have participated in the preparation of the NC
- Workshop to review the results and outcomes, including the draft Synthesis Report on Research and Systematic Observation, with the participation of stakeholders from the public and private sectors, including NGOs, communities and civil societies.
- Preparation of outreach materials (leaflets, booklets, calendars, posters, quarterly newsletters, videos etc.)

6. Second Biennial Update Report and Fourth National Communication consolidated and submitted to the UNFCCC

- Training and regular workshops organized to discuss progress, exchange ideas and present findings of the BUR/NC process: These will include:
 - Inception workshop organized
 - Specific reports for each activity carried out under the project, of relevance for policy makers, will be developed.
 - Lesson learned analyzed, shared and disseminated
 - BUR and NC produced, edited, reviewed and translated, published and submitted to the UNFCCC Secretariat.
 - National GHG inventories, publications and documents from the 4NC and 2 BUR have been disseminated to the IPCC and to the UNFCCC, national stakeholders, decision makers and the general public.
 - Published Fourth National Communication and the Second Biennial Update Report and presented to the UNFCCC, national stakeholders and decision makers.

25. The 4NC and 2 BUR documents, is expected to be launched in national events and disseminated in seminars and workshops.
26. The 4NC/2BUR project contributes to Costa Rica's commitments under the UNFCCC to enable the country to address climate change considerations (reductions of GHG emission, energy efficiency and reduction of vulnerability to climate change). Improved, updated, more widely accessible climate change data will provide inputs to data-driven decision making as well as empower additional research and analysis to be carried out by a variety of stakeholders including academia and civil society. Through continued integration of the development of the National GHG Inventory with the National Climate Change Metrics System (SINAMECC) the country seeks to develop system infrastructure which internalizes substantial portions of data collection and processing so that more and more resources can be allotted to data analysis and other high-value-added activities. This system infrastructure and the accompanying best practices will be part of the knowledge offering that Costa Rica seeks to put out as part of the Costa Rica Laboratory and Green Hub initiative.
27. By supporting the production and dissemination of better quality national-level GHG emission and other relevant climate change data the project also supports efforts to improve global GHG emission measuring

efforts which are fundamental to understand current emission patterns and eventually drive the necessary increases in ambition.

ii. Partnerships:

Partner	Role in the Project
DCC and IMN	Coordinate existing and upcoming support and lead project 4NC/2BUR development
TIMES-CR Analysis Team	Provide information on mitigation action potential and decarbonization trajectory
Data-source organizations	Provide activity data for the development of the 4NC/2BUR

iii. Stakeholder engagement:

28. Costa Rica expects the process of formulating the 4NC and 2BUR can help continue to integrate climate change into existing planning processes as well as to strengthen institutional cooperation on climate change in a useful way during implementation of the project. National Meteorological Institute (IMN) and Direction of Climate Change (DCC) will explore and use the existing institutional and stakeholder consultations mechanisms.
29. The preparation of the 4FNC/2BUR will entail collaborative action by IMN and DCC with other ministries and institutions, private sector and CSOs responsible for providing information and technical expertise for the process. The approach used in the previous NC formulation is similar to what is being proposed for the 4NC/2BUR preparation, in that the primary technical partner will continue to be, as before, the IMN. However, joint IMN-DCC ownership of this process means more direct collaboration and coordination between these two MINAE dependencies will be required throughout the process.
30. The stakeholder engagement strategy of this project will entail liaison with the cluster of experts and institutions working on disaster planning, emergency response and recovery, as the dialogue of the 4NC-2BUR must entail disaster risk reduction knowledge and initiatives.
31. Extensive consultations during the 4NC/2BUR project implementation will be carried out with relevant stakeholders in Costa Rica. It is understood that some of the relevant actors include but are not limited to:

Government Ministries/Institutions:

- Ministry of Environment: Direction of Climate Change (DCC), Direction of Energy (DSE), Direction of Environment (DIGECA); Technical Secretariat for Environment (SETENA), National System of Conservation Areas (SINAC)
- National Commission for Risk Management and Emergency Response
- Ministry of Planning and Economic Policy (MIDEPLAN)
- Ministry of Agriculture and Livestock (MAG)
- Ministry of Finance
- Ministry of Foreign Affairs
- National Institute of Women-INAMU

- Scientific Council on Climate Change (4C)
- Consultative Citizens Council for Climate Change (5C)

Local, Regional and International Non-Government Organizations (NGO)

- *Conservation International*
- *IUCN*
- *Costa Rica Limpia*
- *Fundecooperación*
- *Fundación CR-USA*
- *Consejo Ciudadano Consultivo Cambio Climático*

Academic Institutions

- *CONARE (National Council of State University Rectors)*
- *UCR*
- *UNA*
- *UTN*
- *CATIE*

Regional Institutions

- *CEPRENAC*
- *UNDP*

Private Sector Entities

- *UCCAEP (Union of Chambers of Industry and Business)*
- *Chamber of Agriculture, and other sectors*

iv. Mainstreaming gender:

32. The 4NC project management team will ensure the full representation of women in the process of hiring, and technical input for the 4NC and 2BUR. The report development process includes a gender disaggregated data analysis that will allow for target setting that explicitly monitors progress in gender equality in Climate Change Planning.
33. The guidance on gender integration through the NCs and BURs developed by the Global Support Programme through UNDP and in collaboration with UNEP and GEF will be applied. Importantly, one of the countries surveyed to develop the guide was Costa Rica and that the voice and role of women in project management is assured because it has extensive participation of researchers in the project management group.
34. As previously mentioned, the following products will be developed as part of the vulnerability report:
 - Gender disaggregated "Loss and Damage" analysis for human settlements in coastal areas
 - Gender disaggregated assessment of "loss and damage" associated to climate change, variability and extreme events for human settlements in coastal areas.
 - Stakeholder consultation workshops organized and outreach activities on adaptation measures for human settlements in coastal areas.
 - Development of loss and damage scenarios and adaptation measures for two most vulnerable human settlements in coastal areas
 - Gender disaggregated analysis of mortality associated to climate change evidences such as extreme events, and identification of relevant indicators for gender mainstreaming of the national communications preparation process.
35. The interests of other social groups and particularly vulnerable community members would also be represented in 4NC project implementation activities. Especial consideration will be paid to people living in human settlements of coastal areas highly vulnerable to climate change impacts (Parrita, Puntarenas, Cahuita). People with disabilities, the elderly, youth, those in remote locations and from diverse cultural groups would be able to participate, as well as services being provided to meet their needs.

v. South-South and Triangular Cooperation (SSTrC):

36. The project will support the strengthening and expansion of SINAMECC, which will be made available as a free to use, an open source MRV platform for any country to use.

IV. FEASIBILITY

i. Cost efficiency and effectiveness:

37. The total project enabling cost is estimated to be about US\$ 1,498,000. When all components of the project are implemented, Costa Rica’s capacity to meet its obligations under the UNFCCC will be strengthened significantly and on a sustainable level. In addition, the 4NC and BUR Reports will be produced, the vulnerability and adaptation measures will be updated, the GHG emission estimates over a longer period will be modeled, and appropriate mitigation measures will be offered. The project will also ensure socio-economic benefits through integrating gender, social and health considerations into biodiversity interventions. The project will liaise with other UNDP projects on biodiversity conservation, land degradation, gender equality, civil society, and climate risk and water resources management.
38. Additionally, stocktaking exercise and national multi-sectoral stakeholder’s consultations involving civil society, national counterparts, local authorities, local communities, and other related partners will be further strengthened given the good relations built up and enhanced through the 4NC/BUR project, which in turns creates broader national ownership of the enabling activities on the climate change project’s results.
39. Although, the TNC/BUR projects have implemented some initial climate change vulnerability assessment for agriculture, forestry, coastal areas, water, health, transport, tourism, there are still a lot to be assessed under the 4NC/BUR project, for example tourism sector, which still plays an important role in Costa Rica’s economy.
40. The project will also carry out vulnerability and adaptation studies on new sectors including gender disaggregated loss and damage studies for coastal areas, which have not been yet assessed by the previous national communications. Communication and consultations with FAO, UNEP, UNICEF, UNFPA, OPS, and other agencies including UNDP related projects will be carried out to explore opportunities for synergy with respect to climate-induced risks under changing climate.
41. Finally, by providing inputs to support the strengthening of the National Climate Change Metrics System (SINAMECC) mitigation module and its link to the National GHG Inventory the project will support the continued improvement of the nascent IT infrastructure which Costa Rica is developing to meet its transparency and reporting requirements both at the national and international level. Over time, SINAMECC seeks to continue to improve the quality and resolution of the inventory data, reduce the overall time and cost associated with climate change reporting (particularly as it relates to data gathering and initial processing) and increase the proportion of funds assigned to high-value activities such as data analysis and modeling.

ii. Risk Management:

42. As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Delay in activity data	Operational	Enter probability on a scale from 1 (low) to 5 (high)	(l) the significant	JCU	No change

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
collection		P = 3 Enter impact on a scale from 1 (low) to 5 (high) I = 3	network established by the implementing agencies through work on previous NC and BUR and (II) develop detail data flow maps to reduce risk for future NC and BUR		
Delays due to presidential elections and change of government due to occur during project lifetime	Political	Enter probability on a scale from 1 (low) to 5 (high) P = 3 Enter impact on a scale from 1 (low) to 5 (high) I = 3	(I) ensuring buy-in from career civil servants who can provide continuity and (II) automating and systematizing as much of the process as possible	JCU	No change
Delay in the implementation of SINAMECC	Operational	Enter probability on a scale from 1 (low) to 5 (high) P = 2 Enter impact on a scale from 1 (low) to 5 (high) I = 3	(I) designing all activities so they can be carried out outside SINAMECC if the system is not operational and (II) ensuring work done outside SINAMECC (if any) delivers the necessary information (algorithms, methodology, etc.) to incorporate it into future iterations of SINAMECC	JCU	No change
Delay in the	Operational	Enter probability on a scale	(I) maximizing	JCU	No change

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
assessment of mitigation measures		from 1 (low) to 5 (high) P = 1 Enter impact on a scale from 1 (low) to 5 (high) I = 3	the usage of existing capacities such as the TIMES-CR Analysis Team (II) direct coordination with the Climate Change Directorate, the key organization in mitigation measure planning and coordination		
Coordination with the several researchers involved in the various components may be complex and cause delays	Organizational	Enter probability on a scale from 1 (low) to 5 (high) P = 1 Enter impact on a scale from 1 (low) to 5 (high) I = 2	(I) maximize the use of lessons learned from previous BUR/NC processes and (II) proactively maintain close coordination with all researchers from the beginning of the process through to the very end.	JCU	No change

iii. Social and environmental safeguards:

43. Low as per the UNDP Social and Environmental Screening Procedure (Annex M)

iv. Sustainability and Scaling Up:

44. Sustainability

Costa Rica is investing heavily in the development of SINAMECC, which is being supported by over half a dozen initiatives and which is an integral part of the National Environmental Information System (Sistema Nacional de Información Ambiental). Deep integration of the National GHG Inventory within SINAMECC strengthens both the system and the report itself, maximizing synergies to promote long-term sustainability and improvement.

45. Potential for scaling up

Deploying IT infrastructure such as SINAMECC to facilitate a substantial amount of the data gathering and initial data processing required to construct the National GHG Inventory would allow for an increasing amount of time

and resources to be devoted to higher value activities like data analysis or the development of more local emission factors. Because SINAMECC is slated to be developed as a freely available, open source-platform it could be adapted and deployed by other countries to facilitate the construction of bottom-up National GHG Inventories.

v. Economic and/or financial analysis:

46. The project does not generate income; therefore it is not subject to a financial analysis.

V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): *Goal 13 – Climate Action*

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: **Outcome 4.2. The public and private sectors and civil society have advanced in mainstreaming and the implementation of national policies and strategies that consider environmental quality management and integrated natural resources management, the valuation of environmental goods and services, and the protection, conservation and sustainable use of biodiversity**

This project will be linked to the following output of the UNDP Strategic Plan:

Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
<p>Project Objective: Support the Government of Costa Rica to prepare its Fourth National Communication (FNC) and Second Biennial Report under the UNFCCC (BUR)</p>	<p>Number of countries with clearly defined institutional responsibilities and multi-stakeholder coordination mechanisms for disaster and climate risk management at national and sub-national levels</p> <p># direct project beneficiaries.</p>	<p>Information for the generation of National Communications is centered on few institutions (IMN, DCC)</p> <p>0</p>	<p>New institutions actively generate and share information in a timely manner to produce National Communications and BURS</p> <p>Staff responsible for Climate Change reporting from INM, DCC and MINAE all have improved skills and coordination</p>	<p>The project will generate an enabling environment for institutions to share and generate quality information to supports the transparency framework of the UNFCCC</p> <p>The conflict will support the skills of staff from IMN, DCC and MINAE to generate Climate Change data and National Communications.</p>
<p>Component/Outcome³ 1 Updated information on national circumstances concerning the physical (geography, topography and climate) and socio-economic (economy, education,</p>	<p>Indicator 4: Updated national circumstances information</p>	<p>3NC</p>	<p>Description of Geographical characteristics, including climate, forests, land use and other environmental</p>	<p>The funds are timely disbursed.</p>

¹ Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and need to be quantified. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.

² Risks must be outlined in the Feasibility section of this project document.

³ Outcomes are short to medium term results that the project makes a contribution towards, and that are designed to help achieve the longer term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.

Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
<p>population, health, livelihoods) characteristics of the country and how these might affect the way in which Costa Rica deals with climate change and sustainable development issues in the long term</p>		<p>characteristics Population: growth rates, distribution, density and other vital statistics; Economy, including energy, transport, industry, and tourism, agriculture, fisheries, waste, health and services sector; Education, including scientific and technical research institutions; Description of institutional arrangements relevant to the preparation of the national communications on a continuous basis including distribution of responsibilities within government departments, universities, research institutions, etc. Information on involvement and participation of stakeholders</p>	
<p>Component/ Outcome 2 Seventh National Greenhouse Gases inventory (GHGI) report for the period 2014 - 2016</p>	<p>National GHGI for periods 2000, 2005, 2010, 2012</p>	<p>NGHGI for 2014-2016 Collection of data for the key thematic</p>	<p>1. Project can draw on a pool of experts; 2. New inventory will benefit from experience gained in the</p>

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
			<p>sectors (Energy, Industrial Processes and product use, AFOLU and Waste). Greenhouse gas emission calculation as per IPCC 2006 guidelines for the four key thematic areas of emissions for period 2014 to 2016. Development of the chapter on GHG Inventory as part of the 4NC for reference year 2016, and the chapter on GHG inventory for the BUR for reference year 2014. Analysis of Harvested Wood Products and Carbon in Soils. Analysis of carbon content in fossil fuels to establish a national emission factor for the CO₂ in the Energy Sector. GHG inventory for the period 2014-2016 is made available through the National Environmental Information System.</p>	<p>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>
Component/ Outcome 3	Indicator 8: Report assessing GHG mitigation	FBUR and 3NC	Mitigation policies	1.Fourth NC will benefit from

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
Assessment of policies and measures to mitigate the climate change for the period 2015 - 2020 is published and the capacity to collect and analyze this information on an ongoing basis for the future biennial update reports and national communications is strengthened.	policies and measures implemented between 2015 and 2020 at National and local levels and progress in compliance with INDC targets		and actions report for 2015 and 2020 at National and local levels and progress in compliance with INDC targets. Potential for greenhouse gas emission reduction paths updated, mapped out and set of policy framework and recommendations proposed in accordance to INDC. Stakeholder consultation workshops organized and outreach activities on policies and measures for the climate change mitigation implemented.	experience gained in the preparation of previous NCS 2. Project will draw on a pool of experts 3. Second BUR will draw on FBUR experiences
	Indicator 9: Mitigation Scenarios and Emission Forecast updated	FBUR and 3NC	Updated mitigation scenarios and emission forecast	
	Indicator 10: Proposal for strengthening the SINAMECC mitigation action MRV and its links to the National GHG inventory completed	SINAMECC work plan	Updated SINAMECC work plan and capacities for its application strengthened	
Component/ Outcome 4 in-depth vulnerability assessment, including recommended adaptation measures for priority sectors of socio-economic development	Indicator 11: Updated vulnerability and adaptation options	3 NC	4NC Report assessing adaptation policies and measures implemented between 2015 and	1. Third NC will benefit from experience gained in the preparation of the 3NC, SNC and FNC as well as the FBUR and the coordination mechanisms already in place.

and natural environment conducted	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
			<p>2020 at National and local levels and progress in compliance with INDC targets</p> <p>Policy frameworks for effective integration of adaptation measures into national sectoral strategies identified;</p> <p>Stakeholder consultation workshops organized and outreach activities on policies and measures for the climate change adaptation implemented.</p>	<p>2. Project will draw on a pool of experts</p>
	<p>Indicator 12: Special report on the Tourism Sector completed</p>	<p>Existing academic studies</p>	<p>Special report on V&A in the Tourism Sector</p> <p>Assessment of vulnerability and adaptation options to address climate change, variability and extreme events for the Tourism Sector.</p> <p>Vulnerability assessment for tourism sub-sectors (with case studies on mountain, coastal, eco-touristic and agro-touristic,</p>	

Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
		<p>convention and medical tourism) conducted with regional/local focus where applicable;</p> <p>Description of adaptation efforts for the Tourism sector; future risks including national/sectoral adaptation policies, strategies and measures.</p>	
Indicator 13: Gender-disaggregated reports on vulnerability and adaptation	Existing academic studies	<p>Gender-disaggregated reports on V&A</p> <p>Gender disaggregated assessment of "loss and damage" associated to climate change, variability and extreme events for human settlements in coastal areas.</p> <p>Development of loss and damage scenarios and adaptation measures for two most vulnerable human settlements in coastal areas.</p> <p>Gender disaggregated analysis of mortality associated to climate</p>	

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
Component/ Outcome 5 Other information relevant for the preparation of BUR and 4NC consolidated	Indicator 14: Updated information on activities related to strengthening capabilities and expertise to contribute with systemic observation, research, data collection and processing, archiving, and analysis; including needs and constraints	3NC and 2BUR	change evidences such as extreme events, and identification of relevant indicators for gender mainstreaming of the national communications preparation process.	
			4NC and 2BUR Update on activities related to strengthening of the capabilities and expertise of Costa Rica to contribute with research, systematic observation, data collection and processing, archiving, analysis. Elaboration on the resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and technology transfer Assessment of training and awareness-raising activities carried out	The Government maintains its support to implement the UNFCCC.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
<p>Component/ Outcome 6 Second Biennial Update Report and Fourth National Communication consolidated and submitted to the UNFCCC</p>	<p>Indicator 15: 4NC and 2BUR consolidated and submitted to UNFCCC</p>	<p>3NC and FBUR</p>	<p>on climate change issues at the community and national level. Study on the needs and constraints relating to financial, technical and capacity gaps with the assistance of bilateral and multilateral organizations. Tutorial on climate change to teachers and interactive module on climate change for all audiences. National Environmental Information System strengthened through enhanced virtual interaction of Climate Change Relevant public sector information.</p>	<p>The Government maintains its support to implement the UNFCCC.</p>
			<p>4NC and 2BUR Training and regular workshops organized to discuss progress, exchange ideas and present findings of the BUR/NC process BUR and NC produced, edited,</p>	

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline ¹	End of Project Target	Assumptions ²
			<p>reviewed and translated, published and submitted to the UNFCCC Secretariat.</p> <p>National GHG inventories, publications and documents from the 4NC and 2 BUR have been disseminated to the IPCC and to the UNFCCC, national stakeholders, decision makers and the general public.</p> <p>The Fourth National Communication and the Second Biennial Update Report have been published and presented to the UNFCCC, national stakeholders and decision makers.</p> <p>Inception workshop organized</p> <p>Lesson learned analyzed, shared and disseminated</p> <p>End of Project report compiled</p>	

VI. MONITORING AND EVALUATION (M&E) PLAN

47. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. *Supported by Component/Outcome six: Knowledge Management and M&E, the project monitoring and evaluation plan will also facilitate learning and ensure knowledge is shared and widely disseminated to support the scaling up and replication of project results.*
48. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies⁴.
49. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements across all GEF-financed projects in the country.
- 50. M&E Oversight and monitoring responsibilities:**
51. Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.
52. The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually, and provided to the UNDP Country Office for recording in the UNDP web-based monitoring tools, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis.
53. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project Terminal Report.
54. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure

⁴ See https://www.thegef.org/gef/policies_guidelines

project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

55. **UNDP Country Office:** The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.
56. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.
57. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).
58. **UNDP-GEF Unit:** Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.
59. **Audit:** The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.⁵
- 60. Additional GEF monitoring and reporting requirements:**
61. **Inception Workshop and Report:** A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:
 - a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
 - b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
 - c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
 - d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
 - e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
 - f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
 - g) Plan and schedule Project Board meetings and finalize the first year annual work plan.
62. The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be prepared in one of the official UN languages, duly signed by designated person, cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

⁵ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

63. **Bi-annual progress:** Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year, in line with GEF and UNFCCC reporting requirements for NCs and BURs.
64. **Lessons learned and knowledge generation:** Results from the project will be disseminated within and beyond the project intervention area 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 the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.
65. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.
66. **End of Project:** During the last three months, the project team will prepare the Project Terminal Report (Annex H). This comprehensive 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. The project Terminal report shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

67. Mandatory GEF M&E Requirements and M&E Budget:

Note to project developers: Delete rows with italic text as appropriate (e.g. if the project is medium-sized).

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁶ (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 5,000	None	Within two months of project document signature
Inception Report	Project Manager	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	USD 4,000	None	Annually
GEF Project Implementation Report (PIR)	n/a	None	None	Not applicable for EA projects
NIM Audit as per UNDP audit policies	UNDP Country Office	USD 5,000	None	Annually or other

⁶ Excluding project team staff time and UNDP staff time and travel expenses.

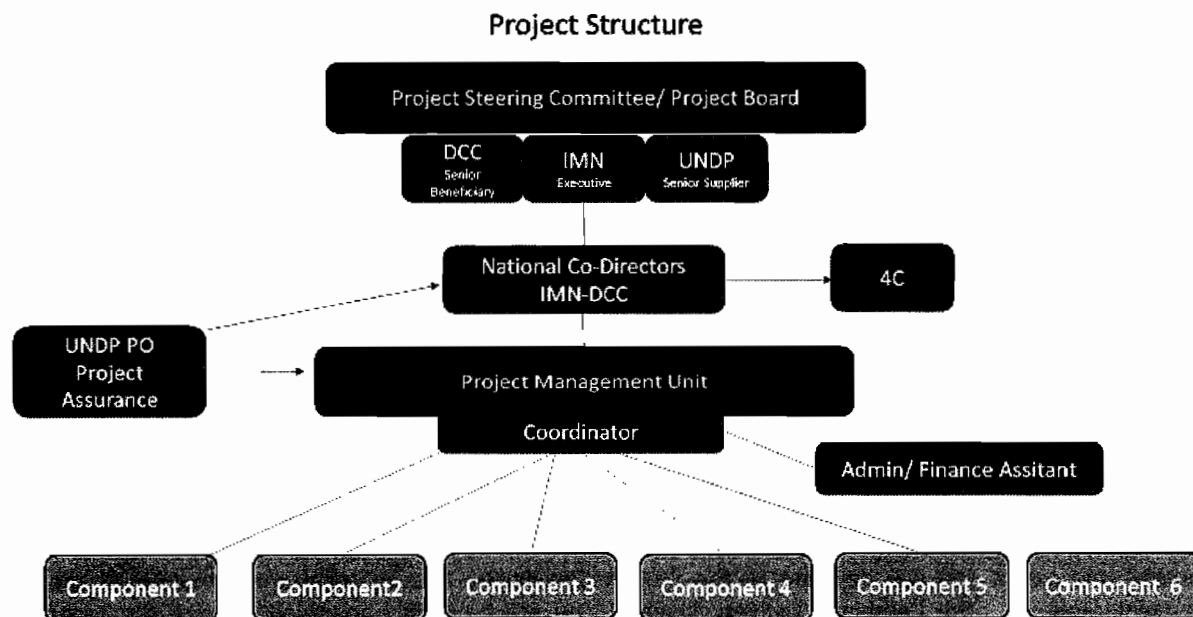
GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁶ (US\$)		Time frame
		GEF grant	Co-financing	
				frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Manager	None	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	None	None	On-going
Addressing environmental and social grievances	Project Manager UNDP Country Office BPPS as needed	None for time of project manager, and UNDP CO	None	Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.
Project Board meetings	Project Board UNDP Country Office Project Manager	USD 4,000	None	At minimum annually
Supervision missions	UNDP Country Office	None ⁷	None	Annually
Oversight missions	UNDP-GEF team	None ⁷	None	Troubleshooting as needed
Knowledge management as outlined in Outcome 6	Project Manager	USD 2,000	None	On-going
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	None	None	To be determined.
The Project Terminal Report	Project Manager and Team and UNDP Country Office	None	None	At least three months before operational closure
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		USD 20,000	None	

⁷ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

68. Roles and responsibilities of the project's governance mechanism: The project will be carried out under the national implementation modality (NIM) following the UNDP established guidelines.
69. The **Implementing Partner** for this project is **National Meteorological Institute (IMN)**. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The project organisation structure is as follows:



70. The **Project Board** (PB, also called Project Steering Committee) is the highest level of analysis and decision making in regards to programming and achievement of results; and is responsible for making management decisions by consensus when guidance is required by the Project Coordinator, including recommendations for UNDP and/or Implementing Partner approval of annual project plans, budgets and revisions. The PB will be established upon project inception. In its first meeting the Project Board will prepare and adopt detailed terms of reference for its functioning.
71. The Project Board is comprised of the following individuals: i) Delegate of the IMN Director; ii) Delegate of the DCC Director; and iii) Delegate of the UNDP Resident Representative. The PB will meet twice a year to review project progress and take project-related strategic and critical decisions. IMN and DCC as Implementing Partners will designate a National Project Co-Directors who will be responsible for approving and signing the bi-monthly plans prepared by the Technical Committee (4C). The Project Coordinator will be selected by the Project Board through a competitive selection process and will be a member of the PB, without vote and will be assisted by the Administrative-Financial Assistant to provide information as may be requested.
72. The PB will be responsible for making executive decisions for the project, in particular when guidance is required by the Project Coordinator. The Project Board will play a critical role in facilitating inter-ministerial

coordination, project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It will ensure that required resources are committed and will arbitrate on any conflicts within the project or negotiate a solution to any problems with external bodies. In addition, it will approve the appointment and responsibilities of the Project Coordinator and any delegation of its Project Assurance responsibilities. Specifically, the PB will be responsible for: (i) approving the annual work plan and budget;(ii) achieving coordination among the various government agencies and key stakeholders; (iii) guiding project implementation to ensure alignment with national and local planning processes; (iv) ensuring the participation of key stakeholders in consensus building processes; (v) overseeing the work being carried out by the Project National co-Directors, the Project Coordinator, 4C technical working groups; (vi) reviewing key reports; (vii) approve Reviews and Evaluations and follow up on the managerial responses, and (viii) monitoring progress and the effectiveness of project implementation.

73. The PB will be convened by the Project Coordinator in advance to give the members sufficient time to schedule the meeting and agree on the agenda. The Project Coordinator will prepare a minute of each meeting. Extraordinary meetings of the PB will be convened when deemed necessary and by request of one of its members. Representatives of other UNDP/GEF RCU offices may participate in PB meetings (without vote). When necessary the PB will invite key stakeholders to support specific themes.
74. In order to ensure UNDP's ultimate accountability for the project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with the UNDP Programme Manager.
75. Project management: The **National Project Co-Directors (NPDs)** will be appointed by IMN and DCC. The NPDs will be responsible for orienting and advising the National Project Coordinator on Government policy and priorities. The NPDs will be supported by the Technical Committee (see below) and will meet with the Technical Committee on a bi-monthly basis to review coherence of the intervention, including results, risks, planning and procurement processes on a bi-monthly basis. The NPDs will sign and approve procurement of services and goods and will delegate to the Project Coordinator the approval and signature of specific payment requests. The Combined Delivery Report (CDR) will be jointly approved through the Technical Committee (4Cs) in each bi-monthly meeting and signed by the NPDs.
76. The **Project Management Unit (PMU)** will consist of a Project Coordinator and an Administrative-Financial Assistant. The Project Coordinator responds to the NPDs and the PB, and the UNDP Programme Officer. The Project Coordinator shall run the project on a day-to-day basis and his/her prime responsibility shall be to ensure that the project produces the results specified in the project document, to the required standards of quality and within the specified constraints of time and cost. The Project Coordinator will be a person with significant technical experience related to the scope of the project in addition to strong project management skills. S(he) will provide overall technical direction for delivery of key outcomes as part of the functions. In addition, S(he) will provide the managerial leadership for the project, working closely with institutions represented in the PB, the Technical Committee and Working Groups. S(he) will be recruited following UNDP procedures and the successful candidate's time will be partly dedicated to project management functions and partly to technical advice on project outcomes. S/he will be the main project contact person for external communications and will act as Secretary to the PB meetings, as well as other meetings between IMN, DCC, and UNDP. Upon project inception s/he will prepare a Project Management and Operations Manual, including responsibilities, procedures and details for a smooth and effective implementation, which will be approved by the PB. The Administrative-Financial Assistant will report to the Project Coordinator and provide support in management and administration of the project as well as provide logistical support to technical components of the project.
77. The PMU will be responsible for: (i) ensuring professional and timely implementation of the activities and delivery of the reports and other outputs identified in the project document; (ii) coordination and supervision

of the activities outlined in the project document; (iii) undertaking necessary organizational arrangements for all project meetings; (iv) contracting of and contract administration for qualified local and international experts who meet the formal requirements of the UNDP/GEF; (v) manage and be responsible of all financial transactions to realize the targets envisioned in consultation with the Implementing Partner and the other members of the PB; (vi) establishing an effective networking between project stakeholders, specialized international organizations and the donor community; ensure networking among the key stakeholders; (vii) review and make recommendations for reports produced under the project; and (viii) establish and endorse the thematic areas, with a view to ensuring linkages to national policy goals, relevance, effectiveness and impartiality of the decision making process; (ix) bi-monthly follow-up of the Annual Work Plan with the NPD. Upon project inception, IMN, DCC, UNDP and the PMU will sign formal agreements establishing rights and obligations with the purpose of ensuring a smooth implementation of project processes. In addition, the signatures required for legalizing project procedures, procurement actions and transactions will be agreed and approved.

78. Scientific Council on Climate Change (Consejo Científico de Cambio Climático, 4C)-Technical Committee

The 4C was created to provide objective, non-partisan scientific advice to the Minister of Environment and Energy on key climate change-related policies and actions. The 4C will serve as a peer review panel for the 2BUR and 4NC. The Technical Committee (4C) will meet bi-monthly to review risk, priorities, compliance of social and environmental safeguards, prepare annual and multi-annual work plans and budgets, and the annual and bi-monthly procurement contracts. In general, it will undertake monitoring and evaluation of the annual and bi-monthly planning maintaining an integrated approach as a single project co-implemented by IMN, DCC and UNDP.

79. Implementing Agency

UNDP is the GEF implementing agency for the project. UNDP will provide administrative support and budgetary and financial monitoring for the execution of project activities. Direct Project Services (DPCs) will be provided on the Government request, based on signed Letter of Agreement between UNDP and the Government (Annex F). The support 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 Implementing Partner.

80. UNDP Direct Project Services as requested by Government: The UNDP, as International Agency for this project, will provide project management cycle services for the project as defined by the GEF Council. In addition, the Government of Costa Rica may request UNDP direct services for specific projects, according to its policies and convenience. The UNDP and Government of Costa Rica acknowledge and agree that those services are not mandatory, and will be provided only upon Government request. If requested the services would follow the UNDP policies on the recovery of direct costs. These services (and their costs) are specified in the Agreement (Annex F). As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, identified in the project budget.

81. In addition, UNDP Costa Rica will perform the following project oversight 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 consistent 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.

82. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁸ and the GEF policy on public involvement⁹.

83. Project Location:

The project will be operationalized at the IMN offices located in San José with the possibility of additional meeting space being made available at the DCC offices, which are located nearby. Basic operational support will be provided where appropriate, especially as it relates to convening relevant stakeholders. The National GHG Inventory is at the core of climate change mitigation MRV efforts, including tracking compliance with Costa Rica's NDC. These efforts are being instrumentalized primarily via the design and implementation of the National Climate Change Metrics System (SINAMECC) which is being implemented by the DCC, in close coordination with the IMN and other key stakeholders. This coordination is reflected in the activities of the project, many of which will either be carried out via SINAMECC, or will produce inputs for future iterations of the System.

84. The **Project Assurance** role will be provided by the UNDP Country Office, specifically by the unit responsible for the Sustainable Development and Resilience. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed and in accordance with the project cycle management services provided by the UNDP.

85. As implementing agency, UNDP is ultimately accountable and responsible for the delivery of results, subject also to their certification by MINAE (IMN, DCC), as Implementing Partner. UNDP shall provide project cycle management services that will include the following:

- 1) Providing financial and audit services to the project,
- 2) Overseeing financial expenditures against project budgets,
- 3) Ensuring that activities including procurement and financial services are carried out in strict compliance with UNDP procedures,
- 4) Ensuring that the reporting is undertaken in line with the UNDP requirements and procedures,
- 5) Facilitate project learning, exchange and outreach within partners,
- 6) Contract the project mid-term and final evaluations and trigger additional reviews and/or evaluations as necessary and in consultation with the project counterparts.

⁸ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁹ See https://www.thegef.org/gef/policies_guidelines

VIII. FINANCIAL PLANNING AND MANAGEMENT

86. The total cost of the project is USD 1,498,000. This is financed through a GEF grant of USD 852,000, and USD 646,000 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.
87. Parallel co-financing: The actual realization of project co-financing will be monitored and reported by annual mandatory reporting via UNDP web-based tracking tools. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Ministry of Energy and Environment-National Meteorological Institute (IMN)	In kind	USD 596 000	Office space, technical support	No risk identified	N/A
Ministry of Energy and Environment-Direction for Climate Change (DCC)	Grant	USD 50 000	Technical support	No risk identified	N/A

88. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.
89. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).
90. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.
91. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.¹⁰ On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.
92. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

¹⁰ see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

93. Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

94. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan		Atlas Primary Output Project ID:	00098756
Atlas ¹¹ Proposal or Award ID:	00094666	Atlas Primary Output Project ID:	00098756
Atlas Proposal or Award Title	Development of Costa Rica's Fourth National Communication and Second Biennial Update Report to the UNFCCC (4TA COMUNICACION Y 2DO BUR)		
Atlas Business Unit	CRI10		
Atlas Primary Output Project Title	Development of Costa Rica's Fourth National Communication and Second Biennial Update Report to the UNFCCC		
UNDP-GEF PIMS No.	6013		
Implementing Partner	National Meteorological Institute (IMN)		

GEF Component/Atlas Activity	Responsible Party/ILI (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
COMPONENT/ OUTCOME 1: Review and update of the national circumstances and institutional arrangements pertinent to preparation of the national communications and biennial update reports.	IMN	62000	GEF	71300	Local Consultants	\$3,750	\$3,750	\$3,750	\$3,750	\$15,000	a
				72100	Contractual Services - Companies	\$2,000				\$2,000	b
					Total Outcome 1	\$5,750	\$3,750	\$3,750	\$3,750	\$17,000	
COMPONENT/ OUTCOME 2: Seventh National Greenhouse Gases Inventory (GHGI) report for the period 2014 - 2016	IMN	62000	GEF	71400	Contractual Services - Individual	\$9,500	\$9,500	\$9,500	\$9,500	\$38,000	c
				71300	Local Consultants	\$67,500	\$84,500	\$56,000	\$26,000	\$234,000	d
				72100	Contractual Services - Companies	\$2,500	\$2,500	\$2,500	\$2,500	\$10,000	e
				74200	Audio Visual&Print Prod Costs	\$1,250	\$1,250	\$1,250	\$1,250	\$5,000	f
					Total Outcome 2	\$80,750	\$97,750	\$69,250	\$39,250	\$287,000	
COMPONENT/ OUTCOME 3: Climate Change	IMN	62000	GEF	71300	Local Consultants	\$54,100	\$31,100	\$31,100	\$31,100	\$147,400	g
				71600	Travel	\$3,150	\$3,150	\$3,150	\$3,150	\$12,600	h
				72100	Contractual Services - Companies	\$5,000	\$5,000	\$5,000	\$5,000	\$20,000	i

¹¹ See separate guidance on how to enter the TBWP into Atlas

GEF Component/Atlas Activity	Responsible Party/II (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
Mitigation and MRV					Total Outcome 3	\$62,250	\$39,250	\$39,250	\$39,250	\$180,000	
COMPONENT/ OUTCOME 4: Completed vulnerability studies including recommended adaptation measures for identified sectors	IMN	62000	GEF	71300	Local Consultants	\$5,000	\$5,000	\$5,000	\$5,000	\$20,000	m
				71600	Travel		\$15,000	\$15,000		\$30,000	k
				72100	Contractual Services - Companies		\$15,000	\$15,000		\$30,000	l
					Total Outcome 4	\$-	\$95,000	\$95,000	\$-	\$190,000	
COMPONENT/ OUTCOME 5: Other information	IMN	62000	GEF	71300	Local Consultants	\$5,000	\$5,000	\$5,000	\$5,000	\$20,000	
				74200	Audio Visual&Print Prod Cost		\$10,000		\$10,000		\$20,000
					Total Outcome 5	\$5,000	\$15,000	\$5,000	\$15,000	\$40,000	
COMPONENT/ OUTCOME 6: Production of the Biennial Updated Report and Fourth National Communication; and Monitoring and Evaluation	IMN	62000	GEF	71300	Local Consultants	\$4,000	\$4,000	\$4,000	\$4,000	\$16,000	o
				72100	Contractual Services - Companies	\$4,000	\$4,000	\$4,000	\$4,546	\$16,546	p
				74200	Audio Visual&Print Prod Cost	\$4,000	\$4,000	\$4,000	\$2,000	\$14,000	q
				75700	Trainings, Workshops and Conferences	\$2,000	\$2,000	\$2,000	\$3,000	\$9,000	r
				74100	Professional Services				\$5,000	\$5,000	s
					Total Outcome 6	\$14,000	\$14,000	\$14,000	\$18,546	\$60,546	
<u>Project management</u> unit[3]	IMN	62000	GEF	72100	Contractual Services - Individ	\$16,704	\$15,250	\$15,250	\$15,250	\$62,454	t
				74596	Services to projects - GOE for CO	\$3,750	\$3,750	\$3,750	\$3,750	15,000	u
					Total Management	\$20,454	\$19,000	\$19,000	\$19,000	\$77,454	
					PROJECT TOTAL	\$188,204	\$283,750	\$245,250	\$134,796	\$852,000	

Summary of Funds:¹²

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
GEF	\$188,204	\$283,750	\$245,250	\$134,796	\$852,000
Government in-kind	\$161,500	\$161,500	\$161,500	\$161,500	\$646,000
TOTAL	\$349,704	\$445,250	\$406,750	\$296,296	\$1,498,000

Budget notes:

- a. National consultant to review and update the national circumstances and institutional arrangements for the NC and BUR.
- b. Operational budget for data gathering and related activities to update the national circumstances and institutional arrangements for the NC and BUR.
- c. Project Technical Advisor for this specific component activities.
- d. Three National GHGI Experts, a Harvested wood product Expert and Carbon in soils Expert to produce data and calculations for the GHGI and a Graphic Designer and Web/application developer to develop material based on the GHGI
- e. Operational budget for data gathering and related activities for the calculation of the 7th GHGI.
- f. Printed and other promotional material for the 7th GHGI.
- g. Two MRV/Mitigation Experts and a REDD+ Technical Expert to develop the technical inputs for the GHGI and the NC regarding mitigation measures.
- h. Data gathering and related activities to develop the technical inputs for the GHGI and the NC regarding mitigation measures.
- i. Operational budget for stakeholder consultation and other engagement events related with the development of the technical inputs for the GHGI and the NC regarding mitigation measures.
- j. Two Vulnerability and Adaptation Experts, a Tourism Sector Expert, a Gender Issues Expert and a Capacity Building and Training Expert to develop the materials and activities related with the vulnerability and adaptation analysis.
- k. Data gathering and related activities to develop the materials and activities related with the vulnerability and adaptation analysis.
- l. Operational budget for stakeholder consultation and other engagement events related with the development of to develop the materials and activities related with the vulnerability and adaptation analysis.
- m. National consultant to review and update the “Other information” section of the NC and BUR.
- n. Printed and other promotional material related with “Other information”.
- o. National consultant to produce the “Monitoring and Evaluation” section of the NC and BUR.
- p. Operational budget for stakeholder consultation and other engagement events related with the development of the technical inputs for “Monitoring and Evaluation”.

¹² Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

- q. Printed and other promotional material related with “Monitoring and Evaluation”.
- r. Inception workshop, Project Board meetings
- s. Audit cost
- t. Project Manager and Assistant salary
- u. Direct project costs will be charged according to GEF rules on DPCs. Direct Project Costs are the costs of administrative services (such as those related to human resources, procurement, finance, and other functions) provided by UNDP in relation to the project. Direct project costs will be charged based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost, in line with GEF rules on DPCs. The amounts indicated here are estimations, however as part of annual project operational planning the Direct Project Costs would be defined and the amount included in the yearly budgets. The DPC accounts can only be used for operational cost per transaction; it is not a flat fee.

X. LEGAL CONTEXT

95. Consistent with the Article III of the Standard Basic Assistance Agreement (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. To this end, 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.
96. 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 the Implementing Partner's obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]¹³.
97. 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/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document".
98. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

¹³ Use bracketed text only when IP is an NGO/IGO

XI. MANDATORY ANNEXES

- A. Multi year Workplan (see template below)
- B. Monitoring Plan (see template below)
- C. Terms of Reference for Project Board, Project Manager, Chief Technical Advisor and other positions as appropriate
- D. UNDP Project Quality Assurance Report (Presented as separate File in Spanish)
- E. UNDP Risk Log
- F. Results of the capacity assessment of the project implementing partner (Attached as separate file in Spanish No HACT applicable for Costa Rica)
- G. Standard Letter of Agreement between UNDP and the Government for the Provision of Support Services.
- H. Final Report of Costa Rica National Communion's/Bienninal Update Report's Project
- I. Social and Environmental Screening Template

Annex A. Multi Year Work Plan:

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4				
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Description of Geographical characteristics, including climate, forests, land use and other environmental characteristics	IMN						X										X	
Population: growth rates, distribution, density and other vital statistics;	IMN						X										X	
Economy, including energy, transport, industry, and tourism, agriculture, fisheries, waste, health and services sector;	IMN						X										X	
Education, including scientific and technical research institutions;	IMN																X	
Description of institutional arrangements relevant to the preparation of the national communications on a continuous basis including distribution of responsibilities within government	IMN																X	

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
departments, universities, research institutions, etc.																	
Information on involvement and participation of stakeholders	IMN					x										X	
Update and complement SINAMECC documentation of data sources and flows and collection and of data for the key thematic sectors (Energy, Industrial Processes and product use, AFOLU and Waste).	IMN	x	x	x	x					x	x	x	x				
Carry out greenhouse gas emission calculation as per IPCC 2006 guidelines for the four key thematic areas of emissions for period 2014 to 2016.	IMN	x	x	x	x					x	x	x	x				x
Development of the chapter on GHG Inventory as part of the 4NC for reference year 2016, and the chapter on GHG inventory for the BUR for reference year 2014.	IMN																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Analysis of Harvested Wood Products and Carbon in Soils.	IMN	x	x	x	x	x	x		x								
Analysis of carbon content in fossil fuels to establish a national emission factor for the CO2 in the Energy Sector.	IMN	x	x	x	x												
GHG inventory for the period 2014-2016 is made available through the SINAMECC	IMN								x								x
Report assessing GHG mitigation policies and measures implemented between 2015 and 2020 at National and local levels and progress in compliance with INDC targets. This report must consider the scenarios developed using the TIMES-CR model, and, where appropriate, provide feedback to improve said model.	IMN								x								x
Update of Mitigation	IMN			x	x	x	x										

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Scenarios and Emission Forecast based on the available data developed using the TIMES-CR model among others, and, where appropriate, provide feedback to improve said model.																	
Necessary data and relevant information to monitor and report mitigation actions through SINAMECC collected, documented and analyzed.	IMN					x											
Detailed proposal for strengthening the SINAMECC mitigation action MRV and its links to the National GHG Inventory	IMN			x		x											
Potential for greenhouse gas emission reduction paths updated, mapped out and set of policy framework and recommendations proposed in accordance to INDC incorporating the insights gleaned	IMN																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
from the TIMES-CR scenarios																	
Stakeholder consultation workshops and organized outreach activities on policies and measures for the climate change mitigation implemented.	IMN						X										X
Drafting of the technical annex on the REDD+ Strategy and review of the reference scenario on Emissions Reduction due to avoided Deforestation and Degradation based on emerging data.	IMN	X	X	X	X												
Assessment of vulnerability and adaptation options to address climate change, variability and extreme events for the Tourism Sector.	IMN					X	X	X	X	X	X	X	X				
Vulnerability assessment for tourism sub-sectors (with case studies on mountain, coastal, eco-touristic and agro-touristic,	IMN					X	X	X	X	X	X	X	X				

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
convention and medical tourism) conducted with regional/local focus where applicable;																	
Description of adaptation efforts for the Tourism sector; future risks including national/sectoral adaptation policies, strategies and measures.	IMN					x	x	x	x								
Identified potential adaptation actions for the priority sector including opportunities and barriers	IMN																
Gender disaggregated assessment of "loss and damage" to associated climate change, variability and extreme events for human settlements in coastal areas.	IMN					x	x	x	x								
Development of loss and damage scenarios and adaptation measures for two most vulnerable human settlements in coastal areas.	IMN					x	x	x	x								

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
measures for the climate change adaptation implemented.																	
Update on activities related to strengthening of the capabilities and the expertise of Costa Rica to contribute with research, systematic observation, data collection and processing, archiving, analysis.	IMN									x							
Elaboration on the resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and technology transfer	IMN																
Assessment of training and awareness-raising activities carried out on climate change issues at the community and national level.	IMN	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Study on the needs and constraints relating to financial,	IMN																

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
technical and capacity gaps with the assistance of bilateral and multilateral organizations.																	
Tutorial on climate change to teachers and interactive module on climate change for all audiences.	IMN	x				X											
National Environmental Information System strengthened through enhanced virtual interaction of Climate Change Relevant public sector information.	IMN	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Training and regular workshops organized to discuss progress, exchange ideas and present findings of the BUR/NC process	IMN					x								x			
BUR and NC produced, edited, reviewed and translated, and published and submitted to the UNFCCC Secretariat.	IMN																x
National GHG inventories, and publications and documents from	IMN																x

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
the 4NC and 2 BUR have been disseminated to the IPCC and to the UNFCCC, national stakeholders, decision makers and the general public.																	
The Fourth National Communication and the Second Biennial Update Report have been published and presented to the UNFCCC, national stakeholders and decision makers.	IMN								x								x
Inception workshop organized	IMN																x
Lesson learned analyzed, shared and disseminated	IMN																x
End of Project report compiled	IMN																

Annex B. Monitoring Plan: The Project Manager will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<p>Project objective from the results framework Support the Government of Costa Rica to prepare its Fourth National Communication (FNC) and Second Biennial Report under the UNFCCC (BUR)</p>	<p>Indicator 1 Costa Rica with clearly defined institutional responsibilities and multi-stakeholder coordination mechanisms for disaster and climate risk management at national and sub-national levels</p>	<p>Describe the indicator National agreement for how to gather, keep and update the information relevant for National Communications and BURS</p>	<p>List the source of the data or explain how the data will be collected and which methodology will be used (e.g. GEF GHG measurement methodology). Ministerial decree / directive formalizing the agreement</p>	End of project	DCC	Official Gazette	<p>New administration starting in 2018 is in agreement with making a formal commitment to the way national communications are constructed.</p>
	<p>Indicator 2 # direct project beneficiaries</p>	<p>Number of Staff from IMN, DCC and MINAE working together to generate Climate Change data and National Communications.</p>	<p>DCC and IMN reports</p>	End of project	DCC and IMN	DCC and IMN internal reports	<p>The project will support the skills of staff from IMN, DCC and MINAE to generate Climate Change data and National Communications.</p>
<p>Project Outcome 1 Updated information on national circumstances concerning the physical</p>	<p>Indicator 1 Updated national circumstances information</p>	<p>Description of Geographical characteristics, including climate, forests, land use and other environmental characteristics Population: growth rates, distribution,</p>	<p>National Statistics from MINAE MAG</p>	Annually	DCC and IMN	DCC and IMN annual reports	<p>The funds are timely disbursed.</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
(geography, topography and climate) and socio-economic (economy, education, population, health, livelihoods) characteristics of the country and how these might affect the way in which Costa Rica deals with climate change and sustainable development issues in the long term	Indicator 5: Updated NGHGI for 2014-2016	density and other vital statistics; Economy, including energy, transport, industry, and tourism, agriculture, fisheries, waste, health and services sector; Education, including scientific and technical research institutions; Description of institutional arrangements relevant to the preparation of the national communications on a continuous basis including distribution of responsibilities within government departments, universities, research institutions, etc. Information on involvement and participation of stakeholders		<i>Annually</i>	GHG inventory for the period 2014-2016 is available through the National	GHG inventory for the period 2014-2016 is available through the National	1. Project can draw on a pool of experts; 2. New inventory will benefit from experience gained in the
Project Outcome 2			<i>Consultancy</i>		GHG inventory for the period 2014-2016 is available through the National		

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Seventh National Greenhouse Gases Inventory (GHGI) report for the period 2014 - 2016		sectors (Energy, Industrial Processes and product use, AFOLU and Waste). Greenhouse gas emission calculation as per IPCC 2006 guidelines for the four key thematic areas of emissions for period 2014 to 2016. Development of the chapter on GHG Inventory as part of the 4NC for reference year 2016, and the chapter on GHG inventory for the BUR for reference year 2014. Analysis of Harvested Wood Products and Carbon in Soils. Analysis of carbon content in fossil fuels to establish a national emission factor for the CO ₂ in the Energy Sector.			Environmental Information System	Environmental Information System	preparation of previous GHG inventories 3. Assumes that enterprises will be willing and able to share data on their emissions with the project team.
Project Outcome	Indicator 1 Report assessing GHG	Summary of Mitigation policies and actions for 2015	Consultancy workshops	Annually	DCC and IMN reports	National Environmental Information System	Fourth NC will benefit from experience gained in the preparation of previous NCs

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<p>3 Assessment of policies and measures to mitigate the climate change for the period 2015 - 2020 is published and the capacity to collect and analyze this information on an ongoing basis for the future biennial update reports and national communications is strengthened.</p>	mitigation policies and measures implemented between 2015 and 2020 at National and local levels and progress in compliance with INDC targets	and 2020 at National and local levels. Updated potential for greenhouse gas emission reduction paths					
	<p>Indicator 2 Mitigation Scenarios and Emission Forecast updated</p>	Updated mitigation scenarios and emission forecast	Consultancy workshops	Annually	DCC and IMN reports	National Environmental Information System	Project will draw on a pool of experts
<p>Project Outcome 4 In-depth vulnerability assessment, including recommended</p>	<p>Indicator 3 Proposal for strengthening the SINAMECC mitigation action MRV and its links to the National GHG Inventory completed</p>	Updated SINAMECC work plan and capacities for its application strengthened	Consultancy workshops	Annually	DCC and IMN reports	National Environmental Information System	Second BUR will draw on FBUR experiences
	<p>Indicator 1 Updated vulnerability and adaptation options</p>	4NC Report assessing adaptation policies and measures implemented between 2015 and 2020 at National and local levels and progress in	Consultancy workshops	Annually	DCC and IMN reports	National Environmental Information System	<p>1. Third NC will benefit from experience gained in the preparation of the 3NC, SNC and FNC as well as the FBUR and the coordination mechanisms already in place.</p> <p>2. Project will draw on a pool of experts</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
adaptation measures for priority sectors of socio-economic development and natural environment conducted	<p>compliance with INDC targets</p> <p>Policy frameworks for effective integration of adaptation measures into national sectoral strategies identified;</p> <p>Stakeholder consultation workshops organized and outreach activities on policies and measures for the climate change adaptation implemented.</p> <p>Indicator 2 Special report on the Tourism Sector completed</p>	<p>compliance with INDC targets</p> <p>Policy frameworks for effective integration of adaptation measures into national sectoral strategies identified;</p> <p>Stakeholder consultation workshops organized and outreach activities on policies and measures for the climate change adaptation implemented.</p> <p>Special report on V&A in the Tourism Sector</p> <p>Assessment of vulnerability and adaptation options to address climate change, variability and extreme events for the Tourism Sector.</p> <p>Vulnerability assessment for tourism sub-sectors (with case studies on mountain, coastal, eco-touristic and</p>	<p>Consultancy workshops</p> <p>and</p>	<p>Annually</p>	<p>DCC and IMN reports</p>	<p>National Environmental Information System</p>	<p>1. Third NC will benefit from experience gained in the preparation of the 3NC, SNC and FNC as well as the FBUR and the coordination mechanisms already in place.</p> <p>2. Project will draw on a pool of experts</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		<p>agro-touristic, convention and medical tourism) conducted with regional/local focus where applicable;</p> <p>Description of adaptation efforts for the Tourism sector; future risks including national/sectoral adaptation policies, strategies and measures.</p>					
	<p>Indicator 3 Gender-disaggregated reports on vulnerability and adaptation</p>	<p>Gender-disaggregated reports on V&A</p> <p>Gender disaggregated assessment of "loss and damage" associated to climate change, variability and extreme events for human settlements in coastal areas.</p> <p>Development of loss and damage scenarios and adaptation measures for two most vulnerable human settlements in coastal areas.</p> <p>Gender disaggregated</p>	<p>Consultancy workshops</p> <p>and</p>	<p>Annually</p>	<p>DCC and IMN reports</p>	<p>National Environmental Information System</p>	<p>1. Third NC will benefit from experience gained in the preparation of the 3NC, SNC and FNC as well as the FBUR and the coordination mechanisms already in place.</p> <p>2. Project will draw on a pool of experts</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<p>Project Outcome 5</p> <p>Other information relevant for the preparation of BUR and 4NC consolidated</p>	<p>Updated information on activities related to strengthening capabilities and expertise to contribute with research, systemic observation, data collection and processing, archiving, and analysis; including needs and constraints</p>	<p>analysis of mortality associated to climate change evidences such as extreme events, and identification of relevant indicators for gender mainstreaming of the national communications preparation process</p> <p>4NC and 2BUR</p> <p>Update on activities related to strengthening of the capabilities and expertise of Costa Rica to contribute with research, systemic observation, data collection and processing, archiving, analysis.</p> <p>Elaboration on the resources provided for capacity building including details on collaboration and synergy existing between the various Convention processes as they relate to capacity building and</p>	<p>Consultancy and workshops</p>	<p>Annually</p>	<p>DCC and IMN reports</p>	<p>National Environmental Information System</p>	<p>The Government maintains its support to implement the UNFCCC</p>

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		<p>technology transfer</p> <p>Assessment of training and awareness-raising activities carried out on climate change issues at the community and national level.</p> <p>Study on the needs and constraints relating to financial, technical and capacity gaps with the assistance of bilateral and multilateral organizations.</p> <p>Tutorial on climate change to teachers and interactive module on climate change for all audiences.</p> <p>National Environmental Information System strengthened through enhanced virtual interaction of Climate Change Relevant public sector information.</p>					

Monitoring	Indicators	Description	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Second Biennial Update Report and Fourth National Communication consolidated and submitted to the UNFCCC	4NC and 2BUR consolidated and submitted to UNFCCC	<p>4NC and 2BUR Training and regular workshops organized to discuss progress, exchange ideas and present findings of the BUR/NC process</p> <p>BUR and NC produced, edited, reviewed and translated, published and submitted to the UNFCCC Secretariat.</p> <p>National GHG inventories, publications and documents from the 4NC and 2 BUR have been disseminated to the IPCC and to the UNFCCC, national stakeholders, decision makers and the general public.</p> <p>The Fourth National Communication and the Second Biennial Update Report have been published and presented to the UNFCCC, national stakeholders and decision makers.</p>	Consultancy and workshops	Annually	DCC and IMN reports	National Environmental Information System	The Government maintains its support to implement the UNFCCC.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Terminal GEF Tracking Tool	N/A	Inception workshop organized Lesson learned analyzed, shared and disseminated N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After final PIR submitted to GEF	For example, national university; project consultant but not evaluator	Completed GEF Tracking Tool	List assumptions and risks to collecting the GEF TT data
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	Project Manager UNDP CO	Updated SESP	

Annex C. Terms of Reference for Key Project Staff

The following are the indicative ToRs for the project management staff. The PMU will be staffed by a full-time Project Coordinator and a full-time Project Administrator/Finance Assistant, both of which will be nationally-recruited positions. ToRs for these positions will be further discussed with UNDP's CO and will be fine-tuned during the IW so that roles and responsibilities and UNDP reporting procedures are clearly defined and understood. Also, during the IW the ToRs for specific consultants and sub-contractors will be fully discussed and, for those consultancies to be undertaken during the first six months of the project, full ToRs will be drafted and selection and hiring procedures will be defined.

Project Coordinator

The project executing agency, IMN, in coordination with the UNDP CO and DCC, will hire the Project Coordinator to carry out the duties specified below, and to provide further technical assistance as required by the project team to fulfill the objectives of the project. He/she will be responsible for ensuring that the project meets its obligations to UNDP, with particular regard to the management aspects of the project, including supervision of staff, serving as stakeholder liaison, implementation of activities, and reporting. The Project Coordinator will be responsible for the day-to-day management of project activities and the delivery of its outputs, including the implementation of IMN and DCC management system and planning process. The Project Coordinator will support and coordinate the activities of all partners, staff, and consultants as they relate to the execution of the project. The Project Coordinator will report to the Project Director and will be responsible for the following tasks:

Tasks:

- Prepare detailed work plan and budget under the guidance of the IMN and DCC.
- Make recommendations for modifications to the project budget and, where relevant, submit proposals for budget revisions to the SC, IMN, DCC, and UNDP.
- Facilitate project planning and decision-making sessions.
- Organize the contracting of consultants and experts for the project, including preparing ToRs for all technical assistance required, preparation of an action plan for each consultant and expert, supervising their work, and reporting to the Project Director at IMN and DCC.
- Provide technical guidance and oversight for all project activities.
- Oversee the progress of the project components conducted by local and international experts, consultants, and cooperating partners.
- Coordinate and oversee the preparation of all outputs of the project.
- Coordinate the preparation and implementation of the Project Inception Workshop and prepare the Project Inception Report.
- Foster, establish, and maintain links with other related national and international programs and national projects, including information dissemination through media such as web page actualization, etc.
- Organize SC meetings at least once every semester as well as annual and final review meetings as required by IMN, DCC and UNDP, and act as the secretary of the SC.
- Organize required consultations or meetings with the technical group at IMN, DCC, MINAE, NGOs, local communities, and other entities, in accordance with the requirements of each project component.
- Organize meetings and convene the Advisory Committees created and prepare the reports of these meetings and follow up on the recommendations.
- Coordinate and report the work of all stakeholders under the guidance of IMN and DCC.
- Prepare monitoring documents in the language required by the UNDP's CO and attend annual review meetings.
- Ensure that all relevant information is made available in a timely fashion to IMN and DCC regarding activities carried out nationally, including private and public sector activities, which impact the project.
- Prepare and submit quarterly progress and financial reports to IMN, DCC and UNDP as required, following the quality management system and internal administrative process at IMN and DCC.
- Assist in the development of educational and promotional materials regarding the conservation and sustainable use of internationally important protected wetlands, their biodiversity, and stakeholder communities, the achievements of the project, and other topics relevant to the project.

- Coordinate and participate in M&E exercises to appraise project success and make recommendations for modifications to the project.
- Coordinate the mid-term and final project evaluations in consultation with UNDP, IMN and DCC.
- Prepare and submit technical concepts and requirements about the project requested by IMN and DCC, the GoCR, or other external entities.
- Perform other duties related to the project in order to achieve its strategic objectives.
- Ensure the project utilizes best practices and experiences from similar projects.
- Ensure the project utilizes the available financial resources in an efficient and transparent manner.
- Ensure that all project activities are carried out on schedule and within budget to achieve the project outputs.
- Solve all technical and administrative issues that might arise during the project.

Outputs:

- Detailed work plans indicating dates for deliverables and budget.
- Documents required by the control management system of IMN and DCC.
- ToRs and action plan of the staff and monitoring reports.
- List of names of potential advisors and collaborators and potential institutional links with other related national and international programs and national projects.
- Quarterly reports and financial reports on the consultant’s activities, all stakeholders’ work, and progress of the project to be presented to IMN, DCC and UNDP (in the format specified by UNDP).
- A final report that summarizes the work carried out by consultants and stakeholders during the period of the project, as well as the status of the project outputs at the end of the project.
- Minutes of meetings and/or consultation processes.
- Yearly reports
- Adaptive management of project.

All documents are to be submitted to the Project Director and UNDP CO in MS Word and in hard copy.

Qualifications (indicative):

- A graduate academic degree in areas relevant to the project (e.g., Climate Change, Meteorology).
- Minimum 5 years of experience in project management with at least 3 years of experience in National Communications.
- Experience facilitating consultative processes, preferably in the field of National Communications or BURs.
- Working knowledge of National Communications or BURs
- Proven ability to promote cooperation between and negotiate with a range of stakeholders, and to organize and coordinate multi-disciplinary teams.
- Strong leadership and team-building skills.
- Self-motivated and ability to work under the pressure.
- Demonstrable ability to organize, facilitate, and mediate technical teams to achieve stated project objectives.
- Familiarity with logical frameworks and strategic planning.
- Strong computer skills.
- Flexible and willing to travel as required.
- Excellent communication and writing skills in Spanish and English.
- Previous experience working with a National Communications or BURs is considered an asset.

Project Administrator/Finance Assistant

The Project Administrator/Finance Assistant is responsible for the financial and administrative management of the project activities and assists in the preparation of quarterly and annual work plans and progress reports for review and monitoring by IMN and DCC. This position also provides support to the Project Coordinator for the day-to-day management of the project and secretarial or assistance functions. The Project Administrator/Finance Assistant will have the following responsibilities:

Financial management:

- Responsible for providing general financial and administrative support to the project.
- Take own initiative and perform daily work in compliance with annual work schedules.

- Assist project management in performing budget cycle: planning, preparation, revisions, and budget execution.
- Assist the Project Coordinator in all project implementation activities.
- Provide assistance to partner agencies involved in project activities, performing and monitoring general administrative and financial aspects to ensure compliance with budgeted costs in line with UNDP, IMN and DCC policies and procedures.
- Monitor project expenditures, ensuring that no expenditure is incurred before it has been authorized.
- Assist project team in drafting quarterly project progress reports concerning financial issues.
- Ensure that UNDP procurement rules are followed during procurement activities that are carried out by the project and maintain responsibility for the inventory of the project assets.
- Perform preparatory work for mandatory and general budget revisions, annual physical inventory and auditing, and assist external evaluators in fulfilling their mission.
- Provide assistance in all logistical arrangements concerning project implementation.
- Prepare all outputs in accordance with the IMN and DCC administrative and financial office guidance.

Administrative management:

- Make logistical arrangements for the organization of meetings, consultation processes, and media.
- Provide secretarial support for the project staff.
- Draft contracts for international/local consultants and all project staff, in accordance with instructions by the Contracts Office at IMN.
- Draft agreements for entities related to the project, in accordance with instructions by the Contracts Office at IMN and DCC.
- Draft correspondence related to assigned project areas; provide clarification, follow up, and responses to requests for information.
- Assume overall responsibility for administrative matters of a more general nature, such as registry and maintenance of project files.
- Perform all other administrative and financial related duties, upon request.
- Provide support to the Project Coordinator and project staff in the coordination and organization of planned activities and their timely implementation.
- Assist the Project Coordinator in liaising with key stakeholders from the GoCR counterpart, co-financing agencies, civil society, and NGOs, as required.
- Ensure the proper use and care of the materials and equipment used on the project.
- Ensure the project utilizes the available financial resources in an efficient and transparent manner.
- Ensure that all project financial and administrative activities are carried out on schedule and within budget to achieve the project outputs.
- Resolve all administrative, financial, and support issues that might arise during the project.

Qualifications and skills:

- At least an Associate's Degree in finance, business sciences, or related fields.
- Experience in administrative work, preferably in an international organization or related to project execution.
- A demonstrated ability in the financial management of development projects and in liaising and cooperating with government officials, NGOs, etc.
- Self-motivated and ability to work under the pressure.
- Team-oriented, possesses a positive attitude, and works well with others.
- Flexible and willing to travel as required.
- Excellent interpersonal skills.
- Excellent verbal and writing communication skills in Spanish and English.
- Good knowledge of Word, Outlook, Excel, and Internet browsers is required.
- Previous experience working with a National Communications or BUR project is considered an asset.

Terms of Reference Project Board/ Steering Committee (SC)

Project Board: The Project Board is responsible for making by consensus, management decisions when guidance is required by the Project Coordinator, including recommendation for UNDP and/or the implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

The Project Board will meet at least once a year. It will provide overall guidance for the project throughout its implementation; specifically, the PB/SC will be responsible for: (i) approving the annual work plan and budget; (ii) achieving coordination among the various government agencies and key stakeholders; (iii) guiding project implementation to ensure alignment with national and local planning processes and sustainable resource use and conservation policies, plans and conservation strategies; (iv) ensuring the participation of key stakeholders in consensus building processes; (v) overseeing the work being carried out by the implementation units and local committees; (vi) reviewing key reports; and (viii) monitoring progress and the effectiveness of project implementation

The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

During its first meeting, the Project Board members will prepare and adopt detailed Terms of Reference for its functioning.

Annex D: UNDP Project Quality Assurance Report (Attached separately)

Annex E: UNDP Risk Log

#	Description	Date Identified	Type	Probability and Impact	Countermeasures/ Management Response	Owner	Submitted, Updated By	Last Update	Status
1	New administration to be elected in 2018 no longer prioritizes Climate Change and multilateral environmental agreements reporting.	May 20, 2017	Political	Probability on a scale from 1 (low) to 5 (high) P = 1 Enter impact on a scale from 1 (low) to 5 (high) I = 4	The project team will fully socialize the project with the newly elected administration to ensure that the latter understands the longstanding commitments of Costa Rica to report National Communications and BURs in accordance to the ratification of the Paris Agreement.	IMN	UNDP	May 2017	The risk persists
2	Insufficient commitment of key institutions to share information relevant for the BUR and 4 th National Communications.	May 20, 2017	Institutional	Probability on a scale from 1 (low) to 5 (high) P = 3 Impact on a scale from 1 (low) to 5 (high) I = 3	The project includes a significant emphasis on increasing the level of awareness and understanding among key stakeholders about the value of sharing information to produce a robust report (such as departments from the Ministry of Agriculture and Costa Rican Institute of Tourism, and departments of the Ministry of Environment). The project team will be instructed to develop during the first semester of the project a communications strategy to foster collaboration among institutional partners.	IMN	UNDP	May 2017	The risk persists

Annex E: Results of the capacity assessment of the project implementing partner:
Attached as separate file in Spanish No HACT applicable for Costa Rica)

Annex G: Standard Letter of Agreement between UNDP and the Government for the Provision of Support Services.

Dear Mr. Gutierrez, Minister of Environment and Energy,

1. Reference is made to consultations between officials of the Government of *Costa Rica* (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.

2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:

- (a) Identification and/or recruitment of project and programme personnel;
- (b) Identification and facilitation of training activities;
- (c) Procurement of goods and services;

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the 7th August 1973 *UNDP standard basic assistance agreement with the Government of Costa Rica* (the “SBAA”), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

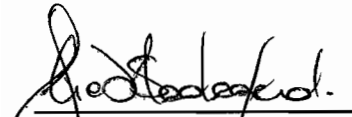
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required

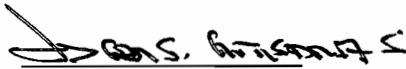
9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,


Signed on behalf of UNDP

Alice H. Shackelford
Resident Representative UNDP



For the Government
Edgar Gutierrez Espeleta
[Date]



Attachment : DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Ministry of Environment and Energy, the institution designated by the Government of Costa Rica and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed programme or project Development of Costa Rica's Fourth National Communication and Second Biennial Update Report to the UNFCCC, "the Project".

2. In accordance with the provisions of the letter of agreement signed on July 2017 and the project document, the UNDP country office shall provide support services for the *Project* as described below.

3. Support services to be provided:

Support services (insert description)	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
Payments, disbursements and other financial transactions	During the Project implementation	Universal Price List	\$2,000
Staff, technical team and consultant recruitment.	During the Project implementation	Universal Price List	\$2,000
Equipment and services recruitment, and inventory discharge.	During the Project implementation	Universal Price List	\$2,000
Training activities, workshops and conference organization.	During the Project implementation	Universal Price List	\$5,000
Trip authorization, security clearance, tickets and travel arrangements.	During the Project implementation	Universal Price List	\$2,000
Delivery, sending, custom clearance, vehicles registry and accreditation.	During the Project implementation	Universal Price List	\$2,000
		Total	\$15,000

*The UNDP support services must be defined annually. The direct costs incurred by implementing support services will be charged at the end of each year based on the Universal Price List or on the real cost of the associated service. The total amount will not exceed the DPC amount approved by GEF SEC at EA approval stage.

Annex G: Format for Final Report of Costa Rica National Communication's/Biennial Update Report's Project

FINAL REPORT OF Costa Rica's NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change and/or Biennial Update Reports do not require the production and publication of Terminal Evaluation Reports. Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

- The promotion of accountability and transparency, and the assessment and disclosure of the extent of the project accomplishments;
- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;
- The provision of feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues; and
- The contribution to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

The intent of this Final Report is not to propose an abridged alternative to the Terminal Evaluation Report. Instead, its purpose is to gather some insightful details about the process of preparing the mandatory report under the UNFCCC that can be of use to both the UNDP support teams, and the current and future national project teams. Its focus is therefore on providing:

- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; and
- Feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues.

National project teams in charge of the future enabling activity for the preparation of the National Communication or Biennial Update Report can therefore rely on a valuable source of information from inception to closure of the project, and UNDP support teams can further disseminate lessons across borders, fully up-taking its guiding role as implementing agency and partner within the Global Support Programme (GSP, previously known as National Communications Support Programme).

The template has been designed with the purpose of collecting relevant information, without representing a time-intensive and human resource-intensive burden to the current national project team. It is therefore divided into three core sections – project identification phase, project implementation phase and project follow-up –with for each section a limited number of open questions.

The intention is to have the team leader, project manager or equivalent figure completing the template, in close collaboration with other team members within the last two months of project implementation. It is furthermore the intention of the completion of this Final Report to trigger the discussions of the upcoming National Communication and/or Biennial Update Report, taking advantage of the momentum created by the ongoing project, the presence of the core of the current national project team, and the renewed interest of national counterparts with the perspectives of an eminent or recent submission to the UNFCCC.

The completion of this template has been made mandatory and has been budgeted for in all projects that received approval post 2013 (3 working days equivalent of project manager's time). You are kindly invited to send the completed template to Damiano Borgogno, damiano.borgogno@undp.org and to Eva Huttova, eva.huttova@undp.org.

A. Details of the project

Project's title	
PIMS number	
Overall budget including GEF grant including co-financing	
Duration of implementation	
Planned duration of project	
Implementing partner	
Team Leader's name and contact details	
Link to final report	

B. Project identification phase

Duration of preparatory phase (expressed in months) _____

Was the project document developed by a national/international consultant? (Please, provide name if yes and expand on the satisfaction of this collaboration.)

Please, shortly describe the milestones of this initial preparatory phase (e.g. consultation workshops held, telephone interviews with key stakeholders, among others)

Where consultations made with one or more of the following stakeholder groups?

Ministry of Finance (or equivalent)	Women's associations
Other Ministries (not being the Ministry in charge of climate change)	Youth movements
Local Governments	Indigenous peoples' representatives
National universities	Environment or climate related NGOs
Domestic Research Centers	Other NGOs/CSOs
Media	Others (specify)

What were the main objectives for the project identified as a result of this preparatory phase?

What were the major challenges faced during this phase?

Looking back, what issues that were identified and/or overlooked during this preparatory phase had an impact on the successive implementation phase?

C. Project implementation phase

Technical components

1. GHG inventory

Base year of the GHG inventory:

Base years used in previous GHG inventories:

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the GHG inventory component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

2. Mitigation actions

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

3. Vulnerability & Adaptation for NC or MRV for BUR

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

4. Constraints and Gaps/Support needed

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the Constraints and gaps, and related financial, technical and capacity needs component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

Capacities and use of capacities

Do you believe the project has built - in a durable and cost-effective way - human and institutional capacities? Please, elaborate.

Please, estimate the amount of work done by national consultants versus international consultants:

_____ % national consultants. _____ % international consultants and _____ % national staff.

What work was entrusted to international consultants and for what reasons?

What would you have done differently, or do you advise the next project team to consider in this context?

Additional remarks

Institutional arrangements

Please, summarize an overview of the institutional arrangements for the project implementation.

Please, describe the composition of the project team.

Will the team remain in place, even after the project has fully closed?

Were gender considerations taken into account during the project design and implementation? If so, how?

Which were the strengths and weaknesses of the institutional arrangements used?

.....

What suggestions have you to make regarding the institutional arrangements for future NC/BUR work?

Additional remarks

Technical support from GSP, CGE, or other bodies

Has the project team, or members of the project team, participated in national, regional or global training events organized by a center of excellence or above mentioned body during the course of the project? If yes, please, specify the training event(s).

What has been the contribution of this participation to the project results?

What identified knowledge gaps holding back the proper implementation of the NC project could not be addressed by any of the above mentioned bodies?

In addition to capacity building support, what other assistance did the project team receive during project implementation? (E.g. review of draft report, technical backstopping of international expert)

Has UNDP provided timely and valuable support during project design and implementation? Please explain.

D. Next steps

How will findings of the project be further disseminated, if at all?

Are balance funds available under the NC/BUR project going to be used to identify the strategy of the next report?

At full project closure, is there a person or institute to whom one can turn in case there are follow-up questions to the NC/BUR?

Has the Government expressed interest to further work with UNDP on the next coming report? If no, please explain.

E. Additional information

Date	
Name and e-mail address of person who completed this template	
Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	

Project Information

Project Information	
1. Project Title	Development of Costa Rica's Fourth National Communication and Second Biennial Update Report to the UNFCCC
2. Project Number	Atlas Project ID/Award ID number: 00094666 Atlas Output ID/Project ID number: 00098756
3. Location (Global/Region/Country)	Costa Rica

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The human rights based approach aims to empower people to know and claim their rights and increase the ability and accountability of individuals and institutions who are responsible for respecting, protecting and fulfilling rights. The Costa Rican constitution protects the right to a clean and healthy environment and this project aims for state institutions, private sector and community organizations to provide relevant information to the UNFCCC in order to comply with commitments taken by the country under this convention.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The Project will help improve gender equality and women's empowerment by making sure it engages women organizations and NGOs and CBOs lead by women to provide information and inputs for the development of the BUR and 4th National Communication. These entities will be stimulated to appoint a representative to form part of the technical committees to be created to develop these reports. The project will aim to gender disaggregate the statistics being used in the reports so that the impacts of climate change and the role of women in finding solutions to the Climate Change impacts are not made invisible.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project helps with mainstreaming environmental sustainability into national policies because it will develop the most up to date and accurate information about Climate Change impacts and Climate Change actions in the country. All the investments aim to improve the National environmental information system (SINIA) and National Climate Change Information System (SINAMECC) by making generating data that helps public and private sector take action to combat threats posed by Climate Change. All government institutions dealing with the environment will use and need to use the information that will be generated with the BUR and 4th National Communications.




Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>	
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	
<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>	<p>Comments</p>	
<p>Risk 1: Institutions with relevant information about climate change do not share data with IMN, the project team or the DCC.</p>	<p>I = 1 P = 2</p>	<p>Low</p>	<p>The project aims to generate data and information in compliance with the transparency framework of the UNFCCC.</p> <p>The work in environmentally sensitive areas entails choosing a project unit team with significant previous training on climate change metrics and also inter-institutional management facilitation. The Costa Rican system of Climate Change information has been generated by different institutions. It is therefore important to facilitate greater inter-institutional coordination.</p> <p>The project team will make sure all relevant institutions are consulted and participate in the process of generating Climate Change relevant information. The specific provision to minimize risk will be to ensure the Terms of Reference of these staff have incorporate inter-institutional coordination competences and to Keep the steering committee informed of any potential conflicts between institutions.</p>
<p>Risk 2:</p>	<p>I = P =</p>		
<p>Risk 3:</p>	<p>I = P =</p>		
<p>Risk 4:</p>	<p>I =</p>		

	P =				
[add additional rows as needed]					
QUESTION 4: What is the overall Project risk categorization?					
Low Risk					
		Select one (see SESP for guidance)			Comments
		<i>Low Risk</i>	<input checked="" type="checkbox"/>	No social or environmental risks identified	
		<i>Moderate Risk</i>	<input type="checkbox"/>		
		<i>High Risk</i>	<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?					
Check all that apply					
		<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>		
		<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>		
		<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>		
		<i>2. Climate Change Mitigation and Adaptation</i>	<input checked="" type="checkbox"/>		
		<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>		
		<i>4. Cultural Heritage</i>	<input type="checkbox"/>		
		<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>		
		<i>6. Indigenous Peoples</i>	<input type="checkbox"/>		
		<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>		

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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QA Assessor	18 May 2017	<p>Kifah Sasa, UNDP Program Officer</p> 
QA Approver	18 May 2017	<p>Kryssia Brade, UNDP ARR</p> 
PAC Chair	18 May 2017	<p>Kryssia Brade, UNDP ARR</p> 

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	N
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁴	N
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	N
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	N
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	N
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	N
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	N
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	N
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	N
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	N
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	N
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	N
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical	N

¹⁴ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	N
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	N
1.4	Would Project activities pose risks to endangered species?	N
1.5	Would the Project pose a risk of introducing invasive alien species?	N
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	N
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	N
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	N
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	N
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	N
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	N
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁵ greenhouse gas emissions or may exacerbate climate change?	N
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	N
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	N
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	N
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	N

¹⁵ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	N
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	N
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	N
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	N
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	N
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	N
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	N
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	N
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	N
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	N
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	N
5.3	Is there a risk that the Project would lead to forced evictions? ¹⁶	N
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	N
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	N
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	N
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	N

¹⁶ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	N
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	N
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	N
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	N
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	N
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	N
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	N
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	N