

# Project Performance Report

## Overview

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| Period of Report (Dates)                                            | 10/10/2022 - 12/31/2023                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Project Title                                                       | 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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Project Summary                                                     | Costa Rica is experiencing the effects of increasing temperatures and intensity of extreme rainfall. These effects, due to climate change, are increasing the vulnerability of the water resources of the country, threatening the sustainable production of agricultural resources that promote food security and livelihoods, as well as negatively affecting mangroves and coral reefs, which serve as protective barriers to coastal communities. Objectives: The objective of this programme is to reduce climate vulnerability by focusing on critical sectors (agriculture, water resources, and coastal zones) in order to reduce the negative impacts of climate change, and improve the resilience of those populations. This program will seek to increase climate resilience by working directly with local stakeholders and anticipated beneficiaries through the implementation of adaptation projects in each of the geographical areas selected. Projects submitted by local organizations have been screened and the preselected proposals went through an in-depth assessment of their potential for the enhancement of climate resilience, which involves an analysis of the actions' appropriateness, based on the local biophysical and socioeconomic context. The support will consist of investment in interventions, technical assistance, and training related to this plan. |
| Database Number                                                     | 060NCRM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Implementing Entity (IE)                                            | Fundecooperacion Para el Desarrollo Sostenible                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Type of IE                                                          | National Implementing Entity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Country(ies)                                                        | Costa Rica                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Relevant Geographic Points (i.e. cities, villages, bodies of water) | Communities                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Name of Implementing Entity Focal Point                             | Fundecooperación para el Desarrollo Sostenible                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

## Project Milestones

|                                                                             |            |
|-----------------------------------------------------------------------------|------------|
| AFB Approval Date                                                           | 10/10/2014 |
| IE-AFB Agreement Signature Date                                             | 12/10/2014 |
| Start of Project/Programme                                                  | 10/7/2015  |
| Actual Mid-term Review Date (if applicable)                                 | 4/7/2018   |
| Original Completion Date                                                    | 10/7/2020  |
| Revised Completion Date after approval of extension request (if applicable) | 12/7/2023  |

### Were there any approval condition for this Project?

No

### List each approval condition, if any, and report on the status of meeting them

|                                                     |  |
|-----------------------------------------------------|--|
| Category of condition                               |  |
| Condition or Requirement                            |  |
| Current Status                                      |  |
| Planned actions, including a detailed time schedule |  |

### List (only) inception report/ extension request(s)/ MTR that have been prepared for the project and provide date(s) of submission for each

\* Inception Report - October 2015 \* MTR-30-Nov-2018

### List the Website address (URL) of project

<https://fundecooperacion.org/es/conozca-los-proyectos/>

### Project Contacts

| National/Regional Project Manager/Coordinator | Name             | Email                          | Date       |
|-----------------------------------------------|------------------|--------------------------------|------------|
| Implementing Entity                           | Marianella Feoli | gerencia@fundecooperacion.org  | 10/10/2023 |
| Coordinator                                   | Jorge Carranza   | jcarranza@fundecooperacion.org | 10/10/2023 |
| National Project Manager                      | Angela Gonzalez  | agonzalez@fundecooperacion.org | 10/11/2023 |

## Financial Data

### Disbursement of AF grant funds

|                                                                        |                                                                               |
|------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| Cumulative total disbursement from Trustee to IE as of date (\$)       | \$9,970,000.00                                                                |
| Estimated cumulative total disbursement from IE to EEs as of date (\$) | \$8,398,828.00                                                                |
| Project disbursement rate (%)                                          | 100                                                                           |
| Project execution rate (%)                                             | 91.13                                                                         |
| Add any comments on AF Grant Funds                                     | It is important to notice that for every disbursement a bank fee is deducted. |
| Investment Income (\$)                                                 | \$0.00                                                                        |
| Cumulative Investment Income since inception (\$)                      | \$0.00                                                                        |

### Expenditure Data

| Output              | Amount (\$)  |
|---------------------|--------------|
| 1.1                 | \$228,306.36 |
| 1.2                 | \$167,457.73 |
| 2.1                 | \$170,552.78 |
| 2.2                 | \$229,585.97 |
| 2.3                 | \$6,705.08   |
| 3.1                 | \$10,641.00  |
| 3.2                 | \$185,256.27 |
| 3.3                 | \$153,426.75 |
| EE Fee              | \$431,241.50 |
| NIE Fee             | \$29,433.69  |
|                     |              |
| IE fee (\$)         | \$29,433.69  |
| Execution cost (\$) | \$431,240.50 |

### Planned Expenditure Schedule

| Output              | Projected Cost (\$) | Estimated Completion Date |
|---------------------|---------------------|---------------------------|
| 1.1                 | \$0.00              | 12/31/2023                |
| 1.2                 | \$0.00              | 12/31/2023                |
| 2.1                 | \$0.00              | 12/31/2023                |
| 2.2                 | \$0.00              | 12/31/2023                |
| 2.3                 | \$0.00              | 12/31/2023                |
| 3.1                 | \$0.00              | 12/31/2023                |
| 3.2                 | \$0.00              | 12/31/2023                |
| 3.3                 | \$0.00              | 12/31/2023                |
| EE Fee              | \$0.00              | 12/31/2023                |
| NIE Fee             | \$0.00              | 12/31/2023                |
|                     |                     |                           |
| IE fee (\$)         |                     | \$0.00                    |
| Execution cost (\$) |                     | \$0.00                    |

### Actual co-financing (if the MTR or TE have not been undertaken this reporting period, do not report on actual co-financing)

|                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
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| Does this Project have Co-Financing ?                                                                                                                                                         | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| How much of the total co-financing as committed in the Project Document has actually been realized? (\$)                                                                                      | \$7,507,164.15                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Estimated cumulative actual co-financing as verified during Mid-term Review (MTR) or Terminal Evaluation (TE). (\$)                                                                           | \$3,317,341.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Add any comments on actual co-financing in particular any issues related to the realization of in-kind, grant, credits, loans, equity, non-grant instruments and other types of co-financing. | The program was able to expand its impact through key strategic partnerships with multiple stakeholders who joined the integrated financing model. In total, the program mobilized more than US\$6.5 million in additional resources, contributed by beneficiaries, national organizations, and international partners. This collaboration was enabled through different types of co-financing, including financial contributions, technical assistance and capacity building. The sources of this integrated financing |

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|  | <p>model included international cooperation agencies, local organizations, public and private institutions, academic institutions, and NGOs (for example, GIZ, AECID, UNDP, UNEP, Fundación CRUSA, Fundación Omalley, and Amigos of Costa Rica). This inter-institutional collaboration has proven to be an effective approach to expanding the reach of the initiatives.</p> |
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## Risk Assessment

| Identified Risks                                                                                                                                                            |                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| List all Risks identified in project preparation phase and what steps are being taken to mitigate them                                                                      |                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Identified Risk                                                                                                                                                             | Current Status | Steps taken to mitigate risk                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Extreme weather events or geophysical events diminish programme benefits or cause major disturbances resulting in delays due to needed emergency and recovery processes.    | Low            | The extreme weather events that occurred in the last period did not affect the project areas. Furthermore, the actors involved were better prepared thanks to the program's actions, so the effects were less severe. However, in 2016 and 2017, Hurricane Otto and Tropical Storm Nate affected different areas where the program was being implemented, causing delays in the execution of activities, although the recovery process was launched a few days later and lasted several months. It is important to note that additional time must always be allowed for the project, as well as technical assistance for the EE and communities, in cases of external impacts. |
| Programme beneficiaries resistant to change or weak cooperation at the proposed sites.                                                                                      | Low            | The development of the project considers the involvement of the consultation of different stakeholders such as organizations, public and private institutions, that are implementing projects related to climate change. The processes facilitate an active participation of the beneficiaries in order to reinforce the beneficiaries' ownership of the project, supporting proactive and community-led initiatives.                                                                                                                                                                                                                                                          |
| Project beneficiaries are unable to properly manage the technologies or measures being promoted, and/or the technologies or measures do not improve operational efficiency. | Low            | Knowledge transfer and awareness building through capacity building activities are contemplated throughout the programme. Promotes a capacity development approach which is based on participatory assessments. These assessments will contribute to building the beneficiaries' ownership and enable the analysis of autonomous adaptation approaches.                                                                                                                                                                                                                                                                                                                        |
| Stakeholders are not able to perceive reductions in vulnerability over the time-scale determined by programme duration.                                                     | Low            | Maintain proactive outreach communications strategy throughout the programme. Also, the programme is strengthening local capacity to monitor project indicators through the support of the Executing Entities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Insufficient collaboration/coordination between participating partners and stakeholders.                                                                                    | Low            | Establishment of agreements with detailed roles and responsibilities, work plans and team building activities throughout the programme implementation. Up to now has been important the participation of NGO's, public organization, academia and other organizations and has been                                                                                                                                                                                                                                                                                                                                                                                             |

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|                                                                         |     | possible to create alliances among organizations. Up to today, the projects selected include letters of commitment among the EE and partners/stakeholders. Also we had made meetings with each organization to confirm their participation.                                                                                                                                                                                                                        |
| Delays in programme implementation.                                     | Low | Although the results are on track, a delay in the implementation has been an issue to attend by the EIN. A request for extension was approved by the adaptation fund, for 18 months, however, COVID 19 has impacted the implementation during 2020 and delayed continue during 2021. Although restrictions were less that in 2020, the vaccination process in the country was slow and this make still harder to implement activities on the field.                |
| Limited human resources in Government ministries to support activities. | Low | Promotion of early and consistent engagement of senior government decision makers on programme progress and monitoring. Fundecooperación, as NIE, has signed cooperation agreements with the government ministries (that are related to the components) in order to received technical assistance in the field.                                                                                                                                                    |
| Mismanagement of Resources.                                             | Low | Each of the project Executing Entities reports each semester at the financial and technical level. A project financial evaluation each semester is made by the NIE to each of the project. Disbursements are to be done depending on the results of the evaluation of the EE and if there are not improvements to be done by the EE. Both the internal and external audits review and verify the sound management of resources of the project by Fundecooperación. |
| Fluctuations in exchange rate.                                          | Low | Financial Coordinator monitor exchange rate (USD to Colones) in order to communicate any implication to the PC. It is important to mention the exchange rate has during the last months have been beneficial to the project.                                                                                                                                                                                                                                       |
| Delays in disbursements affects project progress.                       | Low | In order to avoid delays has been important to anticipate as much as possible and to promote constant coordination among National Implementing Entity, Executing Entities and the Adaptation Fund. However, delays can happen and some of the delays respond to the importance of responding 100% to the requirements at the financial and administrative level.                                                                                                   |

### Critical Risks Affecting Progress (Not identified at project design)

Are there any critical risks with a 50% or > likelihood of affecting progress of project? Yes

Identify Risks with a 50% or > likelihood of affecting progress of project

| Identified Risk                      | Current Status | Steps taken to mitigate risk                                                                                                                                                                                                                                                                                                                          |
|--------------------------------------|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Bank scams accounts of the projects. | Moderate       | The risk of banking fraud affecting project accounts was consistently considered throughout the program. As a result, no changes were made to the mitigation measures in place, and efforts continued to raise awareness among Executing Entities (EE) about the risks of banking scams, while also strengthening financial procedures within the EE. |
| Impact of COVID-19                   | Low            | Although almost everything had return to normal, the delay in the implementation of actions still evident. The project needed additional time to step up and finalize some of the pending actions so an addendum was signed to modify the program's closing date from April 2023 to December                                                          |

|                       |      |                                                                                                                                                                                                                                                                                            |
|-----------------------|------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                       |      | 2023.                                                                                                                                                                                                                                                                                      |
| Change of Government. | High | A new political group has assume the government, this has brought stepbacks due the time needed for new authorities to adapt to the political roles. Also, in the case of the Ministry of Agriculture, the Minister and Vice Ministers had already change once during this new government. |

## Risk Measures

Were there any risk mitigation measures employed during the current reporting period? If so, were risks reduced? If not, why were these risks not reduced?

## ESP Compliance

### Section 1: Identified ESP Risk Management

Was the ESP risks identification complete at the time of funding approval? No

#### 1.Compliance with the law

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| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *For the agricultural initiatives related to fertilization or waste management practices a risk of water contamination exists. *There is a risk that the properties (land) where the initiatives will be developed may present legal issues. *For the initiatives related to construction a risk of noncompliance with the necessary permits requested by the municipality, CFIA, SETENA and others (according to the dimensions of the construction). |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request executing organizations respective permits or legal justification of its omission for all proposed infrastructure. Request executing organizations cadastral plans, land use permits and other legal documents that demonstrate the legality of the properties and implemented activities. Request the respective applicable permits or the legal justification of its waiver for all proposed infrastructure.                                 |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Executing entities completed the permits and legal justification of its omission for all proposed infrastructure.                                                                                                                                                                                                                                                                                                                                     |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | All Executing Entities presented the legal requirements to implement the projects.                                                                                                                                                                                                                                                                                                                                                                     |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 years total) Also a analysis of the ESP was                                                                                                                                                                                                                                                                                             |

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|                                                                                                                                                                                                                                              | made by each EE.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>2.Access and equity</b>                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *All initiatives are focused on areas vulnerable to the climate change, including beneficiaries with vulnerable socioeconomic conditions; however there exists a risk that some of the initiatives, as for instance capacity building, would not be oriented towards all existing vulnerable groups. Similarly, all groups are not necessarily willing to receive capacity building. *There exists a risk to maximize existing inequities. For example there exist socioeconomic vulnerable groups that due to their location are more vulnerable to climate change and have not been identified as beneficiaries within the initiative. Similarly, identified beneficiaries are not necessarily the most vulnerable ones.                                                                                                 |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | *Request that the activities that will be executed to build capacity must be published in local media. In the process, priority must be targeted to women and most vulnerable local populations and/or groups.<br>*Include contractual clauses to executing agencies, requiring equitable access to basic benefits and specifying that none of the initiatives is going to inhibit or interfere in the access to basic benefits. Include contractual clauses to executing agencies that no initiative is going to maximize existing inequity. Request previous evidence of the condition of vulnerability of the identified beneficiaries. Ensure continuous monitoring of the selected priority region at the country level in order to ensure that the most vulnerable beneficiaries are selected on a continuous basis. |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Contractual clauses included. *Activities posted and promoted.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | Projects implemented in vulnerable areas pre-evaluated and approved.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

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| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>3.Marginalized and vulnerable Groups</b>                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *No initiatives are identified with orientation or execution that could generate a negative impact on marginalized and/or vulnerable groups. On the contrary the initiatives are oriented to generate benefits for the groups most vulnerable to climate change and socioeconomic conditions. However, there is the risk represented that during the development of the initiative, marginalized and/or vulnerable groups that could be affected during the development of the initiative are not identified yet. For example, indigenous groups that could be affected by the development of agricultural activities. |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | *Request executing agencies the identification of vulnerable or marginalized groups that could be directly or indirectly impacted during the development of the initiative, or even after its implementation. In the case they do exist, request mitigation plans to eliminate or solve the adverse impacts. Include clauses that the development of the initiatives will not generate adverse impacts on marginalized groups.                                                                                                                                                                                         |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Identification of vulnerable beneficiaries along with Executing Entities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | Projects implemented in vulnerable areas pre-evaluated and approved.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total) Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>4.Human rights</b>                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the identified impacts for which safeguard                                                                                                                                                                                              | *No initiatives are identified whose orientation or                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

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| measures are required (as per II.K/II.L)                                                                                                                                                                                                     | execution is misaligned with the established international human rights. On the contrary the objective is to promote basic human rights such as drinking water, sanitation and education. However, there does exist the possibility that for the implementation of some initiatives human rights may be disrespected, for example civil rights, quality of life, social justice, children rights, discrimination, etc. |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Include contractual clauses to executing agencies so that the development of the initiatives will be in compliance with human rights and that during their development no deviation or disrespect of human rights will be tolerated.                                                                                                                                                                                   |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Contractual clauses included.                                                                                                                                                                                                                                                                                                                                                                                         |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | Contracts signed between EIN and EE. Follow up implemented every 6 months.                                                                                                                                                                                                                                                                                                                                             |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                            |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                        |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>5. Gender equality and women's empowerment</b>                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                    |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *The initiatives are oriented to promote a fair and equal development between men and women. Some initiatives are also oriented to promote the active involvement of women groups in order to achieve enhanced empowerment. However, during the execution of the initiatives a risk exists of not promoting gender equity.                                                                                             |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Include contractual clauses to executing agencies that for all initiatives, a crosscutting component of gender equity has to exist and be maintained.                                                                                                                                                                                                                                                                  |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Contractual clauses included.                                                                                                                                                                                                                                                                                                                                                                                         |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | Contracts signed between EIN and EE. Follow up implemented every 6 months.                                                                                                                                                                                                                                                                                                                                             |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                            |

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| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                |
| <b>6.Core labour rights</b>                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                            |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                            |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *The risk has been identified that the people working for the beneficiaries or the executing organization of the initiatives could be outside the national or international legislation (for example minimum salary, vacations, insurance, etc.)                                                                                                               |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request executing agencies a legal declaration that shows compliance with labor rights identified by the International Organization for Work. Request confirmation from the CCSS (Social Security System) that the executing agency is in due compliance.                                                                                                      |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Confirmation from the CCSS that the executing entity is in compliance.                                                                                                                                                                                                                                                                                        |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | *Documentation sent to EIN.                                                                                                                                                                                                                                                                                                                                    |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                    |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                |
| <b>7.Indigenous people</b>                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                            |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                            |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *No initiatives are identified whose orientation or execution disrespects the rights and responsibilities of indigenous groups. However, there does exist a risk that during the development of these initiatives, the rights of indigenous groups could be disrespected in a direct or collateral way, for example because of territorial or cultural issues. |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact                                                                                                                                       | Request identification of indigenous groups that could be directly or indirectly impacted during and                                                                                                                                                                                                                                                           |

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| that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.                                                                                                        | after the development of the initiatives and in case they exist, request concrete mitigation plans to eliminate or solve the adverse impacts. Include contractual clauses to executing agencies that the development of the initiatives will not generate adverse direct or indirect impacts on indigenous groups. |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Notes from the indigenous groups that could be directly or indirectly impacted that confirms their participation approval.                                                                                                                                                                                        |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | *Approval from the indigenous groups along with the proposal.                                                                                                                                                                                                                                                      |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                        |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                    |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                    |
| <b>8.Involuntary resettlement</b>                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                    |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *No initiative has been identified with orientation or execution requiring involuntary resettlement. However there exists a risk that this may occur, for example if it is necessary to modify the design to an aqueduct for an ASADA.                                                                             |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Include a contractual clause for the necessity to communicate to the implementing agency and formulate a remedial plan in case the involuntary resettlement of part of the population is necessary to develop the initiative.                                                                                      |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Contractual clauses included.                                                                                                                                                                                                                                                                                     |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | Contracts signed between EIN and EE. Follow up implemented every 6 months                                                                                                                                                                                                                                          |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total) Also a analysis of the ESP was made by each EE.                                                                                                                                         |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified                                                                                                                                                                                                                                                                                     |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified                                                                                                                                                                                                                                                                                     |
| <b>9.Protection of natural habitats</b>                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                    |
| Are environmental or social risks present as per table                                                                                                                                                                                       | Yes                                                                                                                                                                                                                                                                                                                |

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| II.K (II.L for REG) of the proposal?                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                        |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *There is a risk that some agricultural activities are developed nearby protected areas or surrounding areas.                                                                                                                                                                                                                                                                                                          |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request cadastral plans or land use permits to verify the existence or proximity to protected areas.                                                                                                                                                                                                                                                                                                                   |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Cadastral plans approval.                                                                                                                                                                                                                                                                                                                                                                                             |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | All beneficiaries have land use permits.                                                                                                                                                                                                                                                                                                                                                                               |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                            |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                        |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>10.Conservation of biological diversity</b>                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                    |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *The activities are focusing on Ecosystems based Adaptation as proposed, including recovery of biodiversity and agro ecological practices at the farm level. However, a minor risk of unjustified reduction of biodiversity during the development of agricultural activities does exist. *A risk of introduction of non indigenous species and possible invaders have been identified in the reforestation processes. |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request executing agencies to identify and prevent risks of biodiversity loss and to avoid introduction of alien species. Request the technical study for the proposed reforestation processes.                                                                                                                                                                                                                        |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Reforestation process implemented along with national authorities.                                                                                                                                                                                                                                                                                                                                                    |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | Projects that included reforestation efforts are implemented along with authorities that already know the areas and species to use.                                                                                                                                                                                                                                                                                    |

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| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                     |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>11.Climate change</b>                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *No initiative has been identified with an orientation or execution that could generate unjustified greenhouse gases. On the contrary there are initiatives, as the implementation of biodigesters, low carbon technologies and improved pasture that will lead to greenhouse gases reduction. There are transport processes for the initiatives but these are considered unavoidable. In Costa Rica there are established maximum emission parameters controlled by RTV. (National evaluation) |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request RTV for the involved vehicles for the development of the initiative.                                                                                                                                                                                                                                                                                                                                                                                                                    |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Vehicles included in the projects have RTV.                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | No penalties have been received regarding RTV issues.                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                     |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>12.Pollution prevention and resource efficiency</b>                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| List the identified impacts for which safeguard                                                                                                                                                                                              | *No initiative has been identified as a big consumer                                                                                                                                                                                                                                                                                                                                                                                                                                            |

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| measures are required (as per II.K/II.L)                                                                                                                                                                                                     | of energy, however there exists the risk that during the implementation of some initiatives, the use of energy or fuel would not be efficient. No initiatives have been identified as big consumers of natural resources and therefore would require measures for their efficient use. On the contrary, some initiatives are oriented towards the better use of available resources, however, in some initiatives there may exist the risk that the resources may not be used in an efficient way, for example in constructions or transportation. There is a risk that the generated waste in some initiatives, mainly in remote rural areas, will not be adequately disposed of. However, no initiative has been identified that generates solid waste that requires any treatment. |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request an identification of environmental aspects and impacts for each initiative and measures to control and mitigate the energy efficiency risks.<br>Request an identification of environmental aspects and impacts for each initiative and measures to control or mitigate those environmental aspects.<br>Request a waste management plan for those initiative that require one.                                                                                                                                                                                                                                                                                                                                                                                                 |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Each project made a identification of possible energy efficiency risks and environmental aspects.<br>*Waste management plans in case needed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | *Waste management plans for some beneficiaries have been implemented.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>13.Public health</b>                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *The risk has been identified that some of the agricultural initiatives could generate health or odor problems, mainly those related to waste management.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request a technical study for the activities of waste management including occupational health measures.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| List the monitoring indicator(s) for each impact                                                                                                                                                                                             | *Waste management plans in case needed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

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| identified.                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | *Waste management plans for some beneficiaries have been implemented along with the Ministry of Agriculture.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total). Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>14. Physical and cultural heritage</b>                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *Since some of the activities involve indigenous population, there is a risk during the development of some of the initiatives that there will be alteration or damage to sites or cultural resources with natural or scenic value.                                                                                                                                                                                                                                                                                                                                                                                   |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request compliance with Law of Cultural Heritage and Patrimony regarding identification and protection of cultural and archeological, nearby the location where the initiatives. Request the identification of preventive measures if necessary in order to avoid direct or indirect damage. Include contractual clauses that if during the development of the initiative damages to cultural, archeological or sites accepted as natural or scenic are identified, they must be communicated to the implementing entity and if necessary, actions must be suspended until finding and implementing a valid solution. |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Plans of intervention are approved by the indigenous population. *Notes from the indigenous groups that could be directly or indirectly impacted that confirms their participation approval.                                                                                                                                                                                                                                                                                                                                                                                                                         |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | *Indigenous approved the interventions. *Approval from the indigenous groups along with the proposal.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total) Also a analysis of the ESP was made by each EE.                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>15. Lands and soil conservation</b>                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

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| Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?                                                                                                                                                  | Yes                                                                                                                                                                                                                                                                                                                                                             |
| During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)                        | Yes                                                                                                                                                                                                                                                                                                                                                             |
| List the identified impacts for which safeguard measures are required (as per II.K/II.L)                                                                                                                                                     | *No initiatives have been identified with orientation or execution that could degrade soil or productive land. On the contrary some of the initiatives are oriented towards the conservation and use of soil however there exists a risk that during the application of good practices technical errors might incur that generate degradation of land and soil. |
| List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. | Request compliance with Law of Soil Use and Conservation and monitoring with technical endorsement, to verify that there is no risk of degradation of land and soil.                                                                                                                                                                                            |
| List the monitoring indicator(s) for each impact identified.                                                                                                                                                                                 | *Plans of intervention are proposed and approved by national authorities.                                                                                                                                                                                                                                                                                       |
| State the baseline condition for each monitoring indicator                                                                                                                                                                                   | *MAG was part of the creation of the plans of intervention.                                                                                                                                                                                                                                                                                                     |
| Describe each safeguard measure that has been implemented during the reporting period                                                                                                                                                        | All the safeguards were implemented during the first year of implementation and were followed up every year (8 year total) Also a analysis of the ESP was made by each EE.                                                                                                                                                                                      |
| Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)                                                                                                                                         | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                 |
| Describe remedial action for residual impacts that will be taken                                                                                                                                                                             | No residual impacts identified.                                                                                                                                                                                                                                                                                                                                 |

## Section 2: Monitoring for unanticipated impacts / corrective actions required

|                                                                                                                                                             |     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| Has monitoring for unanticipated ESP risks been carried out?                                                                                                | Yes |
| Have unanticipated ESP risks been identified during the reporting period?                                                                                   | No  |
| If unanticipated ESP risks have been identified, describe the safeguard measures that have been taken in response and how an ESMP has been prepared/updated |     |

## Section 3: Categorisation

|                                                                                                                                                      |     |
|------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| Is the categorisation according to ESP standards still relevant?                                                                                     | Yes |
| If No, please describe the changes made at activity, output or outcome level, approved by the Board, that resulted in this change of categorization. |     |

## Section 4: Implementation arrangements

|                                                                                                    |                                                                                                  |
|----------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| What arrangements have been put in place by the Implementing Entity during the reporting period to | In general, Fundecooperación established an ESP (plus gender) guideline to analyze the potential |
|----------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|

|                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                           |
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| implement the required ESP safeguard measures?                                                                                                  | environmental, social, and gender impact of projects (PSAyG Analysis, for its acronym in Spanish). It is a requirement that each EE make use of this tool. In fact, this guideline was completed together with the executing entity during various workshop sessions. The application of all safeguards is monitored every six months.    |
| Have the implementation arrangements been effective during the reporting period?                                                                | Yes                                                                                                                                                                                                                                                                                                                                       |
| What arrangements have been put in place by each Executing Entity during the reporting period to implement the required ESP safeguard measures? | *EE made a proper analysis with different stakeholders in order to warranty all the safeguards were in place. *Among the measures adopted by the executing entities during the reporting period to implement the required ESP safeguard measures was to act in accordance with and respect the framework provided by this PSAyG analysis. |
| Have the implementation arrangements at the EEs been effective during the reporting period?                                                     | Yes                                                                                                                                                                                                                                                                                                                                       |

**Section 5: Projects/programmes with unidentified sub-projects (USPs). This section needs to be completed only if the project/proramme includes USPs.**

|                                                                                                                           |     |
|---------------------------------------------------------------------------------------------------------------------------|-----|
| Have the arrangements for the process described in the ESMP for ESP compliance for USPs been put in place?                | Yes |
| Is the required capacity for ESMP implementation present and effective with the IE and the EE(s)? Please provide details. | Yes |
| Have all roles and responsibilities adequately been assigned and positions filled?                                        | Yes |
| Has the overall ESMP been updated with the findings of the USPs that have been identified in this reporting period?       | Yes |

| Identified USPs in the reporting period | Application of ESMP to the USP | ESP risks identified for the USP       | Has an impact assessment been carried out? | Consultation held for risks and impacts identification for USP | Gender disaggregation to identify risks and impacts | Safeguard measures identified for the USP                                                                                 | Monitoring indicator(s) for each impact                                                                        |
|-----------------------------------------|--------------------------------|----------------------------------------|--------------------------------------------|----------------------------------------------------------------|-----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| CEDARENA                                | Yes                            | *Labor rights.<br>*Access and equity.  | Yes                                        | Yes                                                            | Yes                                                 | *Beneficiary entities must ensure compliance with labor legislation.<br>*Project actions must be equitable and inclusive. | *Verification with Aresep and operating entities.<br>*Review of the activities carried out within the project. |
| CBTC                                    | Yes                            | *Conservation of biological diversity. | Yes                                        | Yes                                                            | Yes                                                 | *Reforestation along with national                                                                                        | *Reforestation implemented with the                                                                            |

|                |             |                                                                       |     |     |     |                                                                                                                                                                                                                                                                                    |                                                                                                                      |
|----------------|-------------|-----------------------------------------------------------------------|-----|-----|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|
|                |             |                                                                       |     |     |     | authorities, experts in the topic.<br>*An analysis was made in the area by the national authority.                                                                                                                                                                                 | approval of authorities.                                                                                             |
| ALIARSE        | Yes         | *Core labor rights.                                                   | Yes | Yes | Yes | *Warranty compliance with the law.                                                                                                                                                                                                                                                 | *Contracts.                                                                                                          |
| COOPEPUR R,L   | SCAL<br>Yes | *Compliance with the law.<br>*Core labor rights.                      | Yes | Yes | Yes | *Organizations legally constituted.                                                                                                                                                                                                                                                | *Organizations involve comply with legal requirements                                                                |
| ACEPESA        | Yes         | *Access and equity.<br>*Pollution prevention and resource efficiency. | Yes | Yes | Yes | *Ensure that the content of Water Safety Plans (PSA) guarantees equity in access to water and sanitation.<br>*Minimum purchases of disposable plastic accessories. Reuse of food accessories, purchase of durable construction materials in quantities that do not generate waste. | *Photos, interviews.<br>*List of materials purchased.                                                                |
| INTA/FITTACORI | CORI        | *Gender equality and women's empowerment<br>*Climate change           | Yes | Yes | Yes | *Promote the participation of 35% women and young people in calls for proposals. Involve them as trainers in                                                                                                                                                                       | *Calls for proposals. Lists of participants. Photo library.<br>*Report on the technologies applied in the showcases. |

|                                                      |     |                                                  |     |     |     |                                                                                                                                                                       |                                                                                                                           |
|------------------------------------------------------|-----|--------------------------------------------------|-----|-----|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
|                                                      |     |                                                  |     |     |     | climate change.<br>*Reduction of carbon footprint, BPA technologies for CC, and activities that lead to lower use of nitrogen fertilizers.                            |                                                                                                                           |
| CREMA                                                | Yes | *Compliance with the law.                        | Yes | Yes | Yes | *Legal compliance by the organizations involved.                                                                                                                      | *Legal papers approved.                                                                                                   |
| MAG/FITTACORI                                        |     | *Compliance with the law.<br>*Core labor rights. | Yes | Yes | Yes | *Plan of implementation.<br>*Analysis of legal requirements of beneficiaries.                                                                                         | *Plans for implementation ready.<br>*Analysis of beneficiaries.                                                           |
| CLADACATIE                                           | Yes | *Access and equity.                              | Yes | Yes | Yes | *Dissemination of knowledge, translated specifically for different types of actors, so that they can access scientific information in an equitable and timely manner. | *Systematization of technical and scientific information written in language adapted to different groups of local actors. |
| Centro Agrícola Cantonal de Puntarenas, sede Jicaral | Yes | *Compliance with the law<br>*Core labor rights   | Yes | Yes | Yes | *Plan of implementation.<br>*Analysis of legal requirements of beneficiaries.                                                                                         | *Plans for implementation ready.<br>*Analysis of beneficiaries.                                                           |
| UNAFOR                                               | Yes | *Compliance with the law                         | Yes | Yes | Yes | *Plan of implementation                                                                                                                                               | *Plans for implementation                                                                                                 |

|           |     |                                                                                          |     |     |     |                                                                                                                                                                                                                          |                                                            |
|-----------|-----|------------------------------------------------------------------------------------------|-----|-----|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|
|           |     | *Core labor rights                                                                       |     |     |     | ion.<br>*Analysis of legal requirements of beneficiaries.                                                                                                                                                                | ready.<br>*Analysis of beneficiaries.                      |
| MARVIVA   | Yes | *Protection of natural habitats                                                          | Yes | Yes | Yes | *Building local capacity so that productive activity can be carried out effectively and in compliance with regulations promoting the sustainability of marine resources.                                                 | *Technical support in the field.                           |
| KETO      | Yes | *Compliance with the law<br>*Core labor rights<br>*Conservation of biological diversity. | Yes | Yes | Yes | *Request of approvals from the authority for implementation of actions<br>*Verify the insurance require from the touristic sector. *The actions are implemented along with the National Park in order to avoid any risk. | *Approvals requested and received.<br>*Insurance verified. |
| IMN/FUNDE | Yes | *Compliance with the law.                                                                | Yes | Yes | Yes | *The laws applicable to the project did not require obtaining permits, licenses, or assessments, nor did they require                                                                                                    | *Agreements with weather station hosts.                    |

|                                           |     |                                                |     |     |     |                                                                                                                                                                                                                                                                                        |                                                                                                            |
|-------------------------------------------|-----|------------------------------------------------|-----|-----|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|
|                                           |     |                                                |     |     |     | sectoral agreements or requirements . However, applications for permits to install weather stations were processed through agreements with weather station hosts.                                                                                                                      |                                                                                                            |
| FUNDACION CORCOVADO LON WILLING RAMSEY JR | Yes | *Conservation of Biological Diversity          | Yes | Yes | Yes | *Restore ecosystems and ecological systems that represent and sustain the biological diversity of the AMPR. Similarly, generate productive alternatives to those based on the extraction and degradation of diversity and educate communities on the importance of conserving species. | *Technical reports on assessments carried out on reef systems present in the AMPR and mangrove ecosystems. |
| COOCAFE R.L                               | Yes | *Compliance with the law<br>*Core labor rights | Yes | Yes | Yes | *Plan of implementation<br>*Analysis of legal requirements of beneficiaries                                                                                                                                                                                                            | *Plans for implementation ready<br>*Analysis of beneficiaries                                              |
| CNPL                                      | Yes | *Compliance with the law<br>*Core labor rights | Yes | Yes | Yes | *Plan of implementation<br>*Analysis of                                                                                                                                                                                                                                                | *Plans for implementation ready<br>*Analysis of                                                            |

|                   |       |                                                       |     |     |     |                                                                                                                                                                                                                                                                                                                              |                                                                                                                                            |
|-------------------|-------|-------------------------------------------------------|-----|-----|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|
|                   |       |                                                       |     |     |     | legal requirements of beneficiaries                                                                                                                                                                                                                                                                                          | beneficiaries                                                                                                                              |
| INDER/FUNDEC      | YES/I | *Physical and cultural heritage<br>*Indigenous People | Yes | Yes | Yes | *Notification letters of project approval<br>*Plan of implementation                                                                                                                                                                                                                                                         | *Letters of approval<br>*Plans for implementation ready                                                                                    |
| CFIA              | Yes   | *Human rights                                         | Yes | Yes | Yes | *Verify before implementing adaptation measures that services will be maintained to guarantee the right to drinking water.                                                                                                                                                                                                   | *Integrate measures to ensure the maintenance of services into the intervention plan developed as a result of applying the PIEVC protocol. |
| SETENA/COMUNICADO | YES   | *Labor rights.<br>*Physical and cultural heritage.    | Yes | Yes | Yes | *As a requirement for signing the “contract for professional services,” the professional or individual must be affiliated with the CCSS and have an occupational risk insurance policy in their name.<br>*The sociodemographic factor assesses the existence of heritage elements with cultural and/or historical value that | *Proof of CCSS membership and occupational risk insurance policy.<br>*Protocol for the sociodemographic factor.                            |

|                                                 |     |                                                |     |     |     |                                                                                                                                                                                               |                                                                           |
|-------------------------------------------------|-----|------------------------------------------------|-----|-----|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|
|                                                 |     |                                                |     |     |     | are present in the area where the land use planning process is being carried out. This ensures that they are protected and incorporated into actions to recover and strengthen the territory. |                                                                           |
| FEDERACIÓN DE CAMARA DE GANADEROS DE GUANACASTE | Yes | *Compliance with the law<br>*Core labor rights | Yes | Yes | Yes | *Plan of implementation<br>*Analysis of legal requirements of beneficiaries                                                                                                                   | *Plans for implementation ready<br>*Analysis of beneficiaries             |
| CATIE                                           | Yes | *Compliance with the law<br>*Core labor rights | Yes | Yes | Yes | *Plan of implementation<br>*Analysis of legal requirements of beneficiaries                                                                                                                   | *Plans for implementation ready<br>*Analysis of beneficiaries             |
| ICICOR                                          | Yes | *Indigenous Peoples                            | Yes | Yes | Yes | *Indigenous location in the area (inhabitants and size) and include municipal training on the use of SARACC for members of the ADI in Quitirrisí.                                             | *Training workshops for new users and users who have already been trained |
| PRODUS                                          | Yes | *Access and Equity                             | Yes | Yes | Yes | *Efforts were made to involve all ASADAS equally and to provide greater                                                                                                                       | *In ASADAS with low micro-measurement coverage, the                       |

|            |     |                                                                                     |     |     |     |                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                           |
|------------|-----|-------------------------------------------------------------------------------------|-----|-----|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|            |     |                                                                                     |     |     |     | support to those with fewer resources. All had access to the benefits of the project. Greater support was sought for those with limited resources.                                                                                                                                       | percentage is increased by at least 20% compared to the baseline condition, and in ASADAS with high micro-measurement coverage, the goal is to achieve 90% coverage.                                                      |
| UNA        | Yes | *Acces and equity.                                                                  | Yes | Yes | Yes | *The beneficiaries of this project were guaranteed fair and impartial access. The process included ASADAS located in watersheds vulnerable to extreme drought events, whose technical, financial, and operational capacity is limited for carrying out a process similar to the project. | *In ASADAS with low micro-measurement coverage, the percentage is increased by at least 20% compared to the baseline condition, and in ASADAS with high micro-measurement coverage, the goal is to achieve 100% coverage. |
| UCR-CIEDES | Yes | *Gender Equity<br>*Conservation of biological diversity.<br>*Soil conservation risk | Yes | Yes | Yes | *Participatio n of women and men as beneficiaries and as part of the team of the EE. * Soil Management Plan created, that includes best                                                                                                                                                  | *# Participants<br>*Soil Management Plan                                                                                                                                                                                  |

|                  |     |                                        |     |     |     |                                                                                                                                                                                                                              |                                                                     |
|------------------|-----|----------------------------------------|-----|-----|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
|                  |     |                                        |     |     |     | agriculture practices.                                                                                                                                                                                                       |                                                                     |
| SIREFOR-SINAC    | Yes | *Protection of natural habitats        | Yes | Yes | Yes | *The website promotes the conservation and protection of natural habitats and the prevention of negative impacts on them.                                                                                                    | *The risk prevention system is operating correctly 99% of the time. |
| RAISING CORALS I | Yes | *Conservation of biological diversity. | Yes | Yes | Yes | *Reforestation along with national authorities, experts in the topic and experts from universities.                                                                                                                          | *Reforestation implemented with the approval of authorities.        |
| PRO-CLIMA        | Yes | *Compliance with the law.              | Yes | Yes | Yes | *Continue analysis of money laundry and fraud for financial mechanism.                                                                                                                                                       | *Consulting services for tool validation in accordance with the law |
| MAG-ECAS         | Yes | *Protection of natural habitats        | Yes | Yes | Yes | *Only one farm borders a national park, but there are no negative impacts, Irazú Park. By implementing Rational Grazing, livestock activity is concentrated in more suitable areas and reforestation of the farm is allowed. | *Number of sections per farm.                                       |
| AED II           | Yes | *Pollution prevention and resource     | Yes | Yes | Yes | *Propose making products                                                                                                                                                                                                     | *Contract clause stating that                                       |

|            |     |                                 |     |     |     |                                                                                                                                                                                     |                                                                           |
|------------|-----|---------------------------------|-----|-----|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|
|            |     | efficiency                      |     |     |     | available only in digital format for consultation on websites or similar platforms.                                                                                                 | the product must be digital.                                              |
| ICICOR II  | Yes | *Indigenous peoples             | Yes | Yes | Yes | *Indigenous location in the area (inhabitants and size) and include municipal training on the use of SARACC for members of the ADI in Quitirrisí.                                   | *Training workshops for new users and users who have already been trained |
| CFIA II    | Yes | *Protection of natural habitats | Yes | Yes | Yes | *The project was developed near protected areas. The adaptation measures to be implemented consider reforestation with native species rather than intervention in natural habitats. | *Number of adaptation measures implemented                                |
| ALIARSE II | Yes | *Access and equity              | Yes | Yes | Yes | *More personalized advice was provided to ASADA Río Blanco, working sessions were held with ARESEP to inform them about the complexity of the process for                           | *1 case study prepared *1 work guide prepared                             |

|                                  |     |                                                         |     |     |     |                                                                                                                             |                                                                 |
|----------------------------------|-----|---------------------------------------------------------|-----|-----|-----|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
|                                  |     |                                                         |     |     |     | ASADAS, and a basic guide was produced with the critical path for applying for the Water Resource Protection Tariff (TPRH). |                                                                 |
| INTA-<br>Pequeños<br>productores | Yes | *Access and equity                                      | Yes | Yes | Yes | *Offer equal access and training opportunities to men and women.                                                            | *Number of participants in the activities carried out.          |
| INTA<br>GENETICA                 | Yes | *Access and equity                                      | Yes | Yes | Yes | *Offer equal access and training opportunities to men and women.                                                            | *Number of participants in the activities carried out.          |
| ONS -II                          | Yes | *Physical and cultural heritage.<br>*Indigenous People. | Yes | Yes | Yes | *Notification letters of project approval.<br>*Plan of implementation.                                                      | *Letters of approval.<br>*Plans for implementation ready        |
| Fortalecimiento<br>MAG           | Yes | *Waste management                                       | Yes | Yes | Yes | *Implement good practices for proper waste management                                                                       | *Waste management plan                                          |
| DIWO                             | Yes | *Indigenous People.<br>*Gender Equity                   | Yes | Yes | Yes | *Implement good practices for proper waste management                                                                       | *Plans for implementation ready.<br>*Analysis of beneficiaries. |

## Section 6: Grievances

|                                                                                                                                                                    |     |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to environmental and social risks and impacts? | Yes |
| Were grievances received during the reporting period?                                                                                                              | No  |

| List all grievances received during the reporting period regarding environmental and social impacts; gender | For each grievance, provide information on | Provide the status/outcome |
|-------------------------------------------------------------------------------------------------------------|--------------------------------------------|----------------------------|
|-------------------------------------------------------------------------------------------------------------|--------------------------------------------|----------------------------|

|                                                                      |                               |  |
|----------------------------------------------------------------------|-------------------------------|--|
| related matters; or any other matter of project/programme activities | the grievance redress process |  |
|----------------------------------------------------------------------|-------------------------------|--|

Comments

## GP Compliance

### Section 1: Quality at entry

Was an initial gender assessment conducted during the preparation of the project/programme's first submission as a full proposal? No

Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)? Yes

### List the gender-responsive elements that were incorporated in the project/programme results framework

| Gender-responsive element    | Level  | Indicator                                                                                                                               | Baseline | Target | Rated result for the reporting period |
|------------------------------|--------|-----------------------------------------------------------------------------------------------------------------------------------------|----------|--------|---------------------------------------|
| Gender-responsive indicators | Output | Percentage of beneficiaries (men and women)                                                                                             | 0        | 49%    | Satisfactory                          |
| Gender-responsive indicators | Output | Percentage of beneficiaries trained (technicians) by gender on technical options and methods resilient to the effects of Climate Change | 0        | 32,71% | Satisfactory                          |
| Gender-responsive indicators | Output | Percentage of beneficiaries from the refundable funds (gender-disaggregated)                                                            | 0        | 36%    | Satisfactory                          |
| Gender-responsive indicators | Output | Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses                | 0        | 29,63% | Satisfactory                          |

|                              |        |                                                                                                              |   |        |              |
|------------------------------|--------|--------------------------------------------------------------------------------------------------------------|---|--------|--------------|
|                              |        | (gender-disaggregated)                                                                                       |   |        |              |
| Gender-responsive indicators | Output | Percentage of beneficiaries trained on adaptation measures (gender-disaggregated)                            | 0 | 23,74% | Satisfactory |
| Gender-responsive indicators | Output | Percentage of beneficiaries (men and women) implementing climate resilient agricultural/livestock practices. | 0 | 24,02% | Satisfactory |

## Section 2: Quality during implementation and at exit

List gender equality and women's empowerment issues encountered during implementation of the project/programme. For each gender equality and women's empowerment issue describe the progress that was made as well as the results.

| Gender equality and women's empowerment issues             | Rated result for the reporting period | Provide justification of the rating provided                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|------------------------------------------------------------|---------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Increase the number of women beneficiaries in the projects | Satisfactory                          | This issue has been specially difficult to fulfill in agriculture and livestock related projects because most of the land owners are men, but there has been a good progress because EE's try to look for and prioritize women as beneficiaries to increase the representation. The "Más mujeres más Natura" credit line was used to try to reach a larger number of women beneficiaries. In addition, training was not only provided to producers, but also included their families, with the aim of recognizing, valuing, and empowering women (especially producers's wives and daughters) on farms. |

## Section 3: Implementation arrangements

|                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-----------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| What arrangements have been put in place by the Implementing Entity during the reporting period to comply with the GP | <p>*A Gender Policy and Plan has been approved</p> <p>*Along with the plan and policy, workshops were made with the NIE staff. *Regarding the indicator "% of beneficiaries from the refundable funds (gender disaggregated)", even though the women could be involved in the activity, usually the agricultural activities are led by men, many of the applications that we receive from women are more in the commercial sector. Also in some cases the women prefer their partner to ask for the credit instead of them; with this in mind we have launched "Más mujeres, mas natura" as a credit option direct for women.</p> |
| Have the implementation arrangements at the IE been effective during the reporting period?                            | Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |

|                                                                                                                                         |                                                                                                                                                                                                           |
|-----------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| What arrangements have been put in place by each Executing Entity during the reporting period to comply with the GP?                    | *Identification of possible risks for gender equity in the project. *Include women in decision making processes *Include gender equity as a main aspect to consider for including possible beneficiaries. |
| Have the implementation arrangements at the EE(s) been effective during the reporting period?                                           | Yes                                                                                                                                                                                                       |
| Have any capacity gaps affecting GP compliance been identified during the reporting period and if so, what remediation was implemented? | No                                                                                                                                                                                                        |

#### Section 4: Grievances

|                                                                                                                                                                 |     |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to gender equality and women's empowerment? | Yes |
| Were grievances received during the reporting period?                                                                                                           | No  |

| List all grievances received through the grievance mechanism during the reporting period regarding gender-related matters of project/programme activities [6] | For each grievance, provide information on the grievance redress process used | Provide the status/outcome |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|----------------------------|
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|----------------------------|

#### Comments

Overall, gender-related risks and challenges throughout the program were addressed through the application of the Adaptation Fund's Gender Policy (GP). A gender policy and action plan were approved, and awareness-raising workshops were conducted with various key stakeholders. More specifically, a valuable tool used was the Social, Environmental, and Gender Policy Analysis (PSAyG, by its Spanish acronym). This document is used to identify risks across the 15 principles, including Principle 5: Gender Equality. In addition to identifying risks and potential negative impacts, it requires an explanation of how the proposed mitigation measures—developed by each Executing Entity (EE) within their projects—will be implemented. Finally, each EE must submit mid-term and final reports, while the NIE's project manager is responsible for verifying compliance with the tool and overseeing the risk identification process. The following are two examples of how projects applied the PSayG tool in practice: -The project "Sustainable Technologies to Address the Effects of Climate Change and Increase Adaptation in Livestock Systems in the Central Pacific Region of Costa Rica", implemented by MAG, addresses Principle #5 on Gender Equity by ensuring the active participation of entire families in the development of diagnostics and farm plans, as well as in training activities. It also promotes the inclusion of women as project beneficiaries, acknowledging the historically lower proportion of women farm owners in the region. -The project "Water Guardians: Promoters of Community Adaptation to Change", implemented by ALIARSE, addresses Principle #5 on Gender Equity by fostering equitable participation in consultation and knowledge-building processes. To this end, two concrete actions are implemented: integrating gender roles as a topic within training sessions, and developing women's empowerment processes to support their participation in decision-making. Lessons Learned from the completion of specific gender interventions: Adapta2+ supported initiatives such as the Rural Women's Network of San Carlos, which works on the conservation of native seeds through a food sovereignty and sustainability approach. This organization has developed a "seed sanctuary" to preserve traditional varieties and promote their use in agroecological production. Through the program, participants received training in drying and storage techniques, strengthening their knowledge and ensuring the quality of the genetic material. This initiative highlights the historical link between women and agriculture, underscoring their key role in protecting biodiversity and ensuring food security within their communities. On the other hand, the challenges posed by the gender gap in the agricultural sector could perhaps have been anticipated earlier. This might have allowed for more proactive responses, such as the development of targeted initiatives like "More Women, More Nature," which was designed to facilitate women's direct

access to financing.

## Rating

### Implementing Entity

| Project components/outcomes                 | Alignment with AF outcomes | Expected Progress                    | Progress to date | Comments | Rating                  |
|---------------------------------------------|----------------------------|--------------------------------------|------------------|----------|-------------------------|
| Programme Implementation Oversight Reunions | Outcome 8                  | Framework functioning effectively    | Ontrack          |          | Marginally Satisfactory |
| Promotion and Awareness                     | Outcome 3                  | Implementation Communication actions | Ontrack          |          | Highly Satisfactory     |
| Monitoring and field visits                 | Outcome 8                  | Monitoring visits facilitation       | Ontrack          |          | Satisfactory            |

**Please provide the Name and Contact information of the person(s) responsible for completing the Rating section**

| Name           | Email                          |
|----------------|--------------------------------|
| Jorge Carranza | jcarranza@fundecooperacion.org |

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

The delay because of COVID-19 had an impact in the implementation expected for 2020, 2021 and even 2022, and therefore we still consider 2022 as S. As it was mentioned in a previous report (#6); even though there was an extension of time approved prior to COVID-19, the effect of this situation will most probably require additional time, for this an extension was requested until december 2023. Additionally to COVID, the change of government had also an impact in implementation.

### Executing Entity / Project Coordinator

| Project components/outcomes | Alignment with AF outcomes | Expected Progress                                                                                                                                                                                                                                    | Progress to date | Rating |                     |
|-----------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|--------|---------------------|
| Component 1                 | Outcome 3                  | Increasing the adaptation capacity to climate change in the agricultural sector Some expected results: -At least 16 agricultural and livestock units has identified technological options -At least 16 plans for adaptation at farm level            | Ontrack          |        | Highly Satisfactory |
| Component 2                 | Outcome 3                  | Improving water resources management in order to increase resilience in coastal communities that are more vulnerable to climate change. Some expected results: -10 Operadores have implemented a Water Safety Plan or Watershed Management Plans -At | Ontrack          |        | Highly Satisfactory |

|             |           |                                                                                                                                                                                                                                                |         |  |                     |
|-------------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|--|---------------------|
|             |           | least 3 ASADAS have undertaken a vulnerability assessment -10 hectares of aquifer recharge areas reforested                                                                                                                                    |         |  |                     |
| Component 3 | Outcome 7 | 1. Implementation of different projects at the local level that respond to the adaptation needs of each community. 2. Improving the capacity of communities, producers, institutions, and stakeholders regarding adaptation to Climate Change. | Ontrack |  | Highly Satisfactory |

**Please provide the Name and Contact information of the person(s) responsible for completing the Rating section**

| Name                                | Email                         | Institution      |
|-------------------------------------|-------------------------------|------------------|
| Marianella Feoli as PCU coordinator | gerencia@fundecooperacion.org | Fundecooperacion |

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

Until today, the program has achieved very good results, confirming the good job we have been doing. Fundecooperacion during 2023 has continue implementation of some interesting projects with new executing entities in areas such as: protection of seeds, management of cattle genetics, support of scaling up adaptation actions in ASADAS, among others. However, it is important to mention that the implementation has been delayed because of COVID-19 sanitary limitations.

## Other

| Project components/outcomes | Alignment with AF outcomes | Expected Progress                                                                                                                                                                                                                                                 | Progress to date | Rating |                     |
|-----------------------------|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|--------|---------------------|
| Component 1                 | Outcome 6                  | 90 Discrete agricultural adaptation practices are demonstrated on-farm. Adaptation practices include: enhanced water management techniques, enhanced soil management practices, planting techniques, post-harvest processing and diversified livestock practices. | Ontrack          |        | Highly Satisfactory |
| Component 2                 | Outcome 4                  | Some expected results: -10 Operadores have implemented a Water Safety Plan or Watershed Management Plans -At least 3 ASADAS have undertaken a vulnerability assessment -10 hectares of aquifer recharge areas reforested                                          | Ontrack          |        | Highly Satisfactory |
| Component 3                 | Outcome 8                  | 1. Implementation of different projects at the local level that respond to the adaptation needs of each community. 2. Improving the capacity of communities, producers, institutions, and stakeholders regarding adaptation to Climate Change.                    | Ontrack          |        | Satisfactory        |

|                                              |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |           |  |                         |
|----------------------------------------------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|-------------------------|
| Integrated view of EEs<br>Main achievements: | Outcome 3 | The relevance of the program in addressing the real needs of communities through its projects. Empowerment and the strengthening of capacities were crucial elements throughout the process.                                                                                                                                                                                                                                                                                                       | Completed |  | Highly Satisfactory     |
| Integrated view of EEs<br>Main challenges:   | Outcome 3 | A common challenge expressed by several EEs was achieving the expected percentage of youth participation set at the beginning of the project. Administrative complexity, particularly in reporting and monitoring projects (both technical and financial) by some EEs. The linkage between projects and inter-institutional coordination is recognized as highly important, though identified as an area for improvement.                                                                          | Completed |  | Marginally Satisfactory |
| Integrated view of EEs<br>Lessons Learned:   | Outcome 3 | The importance of empowering community leaders to ensure knowledge transfer within the impacted communities. For example, in the agricultural sector, one EE noted: “the producer is the best evangelist”, meaning that knowledge is often more effectively shared among peers, while external sources may face resistance. Several EEs in the agricultural sector agree that the program demonstrated a paradigm shift, showing that this sector is indeed capable of transitioning and adapting. | Completed |  | Highly Satisfactory     |

**Please provide the Name and Contact information of the person(s) responsible for completing the Rating section**

| Name        | Email                |
|-------------|----------------------|
| Tania Lopez | tlopez@ofinase.go.cr |

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

Critical risk: delay in implementation due COVID-19 and restrictions during 2020 and 2021. The programme needed the 18 months extension (that was approved prior to COVID-19) but with the COVID-19 affecting all the 18 months requested and even part of the 12 extra months allowed by the fund due COVID-19, we are afraid it will no be enough for project implementation. Additionally during 2022 a change of government impacted most of the activities.

## Overall Rating

**Overall rating**

Satisfactory

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

The delay because of COVID-19 had an impact in the implementation expected for 2020, 2021 and even 2022, and therefore we consider 2023 Rating as Satisfactory. Additionally to COVID, the change of government had also an impact in implementation. However, progress in the implementation of the projects continues to advance obtaining good results.

## Project Indicators

### List of indicators

| Type of Indicator (indicators towards Objectives, Outcomes, etc...) | Indicator                                                                                                                                        | Baseline                                       | Progress Since Inception | Target for Project End |
|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|--------------------------|------------------------|
| Outputs                                                             | ZAE maps for selected crops of the Central Region                                                                                                | Last ZAE maps of the country were made in 1980 | 13                       | 13                     |
| Outputs                                                             | Technological showcases implemented and applying technology options for the adaptation to climate change in Naranjo, Puriscal, Dota and Pacayas. | 0 technological showcases implemented          | 8                        | 4                      |
| Outputs                                                             | Online platform with updated information on adaptation technologies and zoning scenarios                                                         | 0                                              | 2                        | 1                      |
| Outputs                                                             | Beneficiaries (50% women and 50% men)                                                                                                            | 0                                              | 2718                     | 1000                   |
| Outputs                                                             | Agricultural and livestock units has identified technological options                                                                            | 0 units has identified technological options   | 1753                     | 90                     |
| Outputs                                                             | Plans for adaptation at farm level                                                                                                               | 0 Plans for adaptation at farm level           | 917                      | 90                     |
| Outputs                                                             | Beneficiaries (50% women and 50% men)                                                                                                            | 0                                              | 6037                     | 1000                   |
| Outputs                                                             | Discrete agricultural adaptation practices are demonstrated on-farm. Adaptation                                                                  | 0                                              | 2180                     | 90                     |

|         |                                                                                                                                                                                                               |   |       |      |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-------|------|
|         | practices include:<br>enhanced water<br>management<br>techniques,<br>enhanced soil<br>management<br>practices, planting<br>techniques, post-<br>harvest processing<br>and diversified<br>livestock practices. |   |       |      |
| Outputs | Number of farms<br>implementing<br>actions                                                                                                                                                                    | 0 | 1753  | 90   |
| Outputs | Ha on indigenous<br>territories<br>implementing<br>technical options and<br>methods that<br>enhance their<br>resilience to the<br>effects of climate<br>change                                                | 0 | 841,4 | 1000 |
| Outputs | At least 50<br>initiatives have<br>access to credit<br>schemes for the<br>implementation of<br>adaptation activities                                                                                          | 0 | 14    | 10   |
| Outputs | At least 5<br>microfinancing<br>institutions include<br>credit products<br>available to local<br>small producers for<br>adaptation to climate<br>change                                                       | 0 | 4     | 5    |
| Outputs | At least 50<br>ASADAS and 2<br>municipalities have<br>implemented<br>adaptation actions to<br>improve the access<br>to water of their<br>communities                                                          | 0 | 155   | 52   |
| Outputs | At least 12<br>ASADAS have<br>undertaken a<br>vulnerability<br>assessment                                                                                                                                     | 0 | 54    | 12   |
| Outputs | At least 3<br>committees formed<br>by various social<br>actors                                                                                                                                                | 0 | 12    | 3    |

|         |                                                                                                                                                                               |   |       |       |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-------|-------|
| Outputs | At least 25,000 water users benefited                                                                                                                                         | 0 | 50856 | 25000 |
| Outputs | 50 communities have their water supply and associated infrastructure improved                                                                                                 | 0 | 88    | 50    |
| Outputs | At least 10 initiatives                                                                                                                                                       | 0 | 80    | 10    |
| Outputs | At least 2 credit products available for implementation of adaptation measures to climate change (of local water management associations (ASADAS) and national water systems) | 0 | 2     | 2     |
| Outputs | At least 500 citizens in coastal zones are prepared and trained to deal with the impacts of climate change                                                                    | 0 | 3184  | 500   |
| Outputs | At least 10 coastal communities have implemented at least one adaptation measure                                                                                              | 0 | 68    | 10    |
| Outputs | 8 km of coastline and beaches in protected areas, redesigned and reforested                                                                                                   | 0 | 38,9  | 8     |
| Outputs | At least 1 Community Coastal Reforestation Program                                                                                                                            | 0 | 7     | 1     |
| Outputs | 25 ha of mangrove reforested in Gandoca (including areas within the National Wildfire Refuge Gandoca Manzanillo)                                                              | 0 | 25    | 25    |
| Outputs | At least one coastal community implement a mangrove nursery effective to combat                                                                                               | 0 | 2     | 1     |

|         |                                                                                                                                                                                                                                  |   |       |      |
|---------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-------|------|
|         | coastal erosion                                                                                                                                                                                                                  |   |       |      |
| Outputs | At least one Early Warning System and Emergency Protocol implemented                                                                                                                                                             | 0 | 2     | 1    |
| Outputs | One management system and incident management for Forest Fires                                                                                                                                                                   | 0 | 1     | 1    |
| Outputs | At least 5 communities trained, involving traditional leaders, women and youth groups                                                                                                                                            | 0 | 65    | 5    |
| Outputs | At least 3,000 beneficiaries trained                                                                                                                                                                                             | 0 | 12227 | 3000 |
| Outputs | At least than 50 stakeholders participating in awareness raising events                                                                                                                                                          | 0 | 620   | 50   |
| Outputs | At least 1000 policymakers and technical officers exhibit improved levels of understanding of climate risk assessment and planning processes for climate change adaptation.                                                      | 0 | 1121  | 1000 |
| Outputs | At least 10 knowledge materials (experience notes, case studies, photo stories, videos, etc.) are generated per year starting from year 2 of the programme                                                                       | 0 | 781   | 10   |
| Outputs | A completed and operationally tested "Handbook on Coastal Adaptation", "Technical Guide for Adaptation to Climate Change for the artisanal fishing sector" and "Handbook on Water Supply Systems Adaptation" is developed by the | 0 | 9     | 1    |

|         |                                                                                                                                                                 |   |          |       |
|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|---|----------|-------|
|         | end of the project                                                                                                                                              |   |          |       |
| Outputs | Internalization of environmental costs of the water suppliers to facilitate their adaptation to climate change in vulnerable areas                              | 0 | 3        | 1     |
| Outputs | 1 online training course                                                                                                                                        | 0 | 12       | 1     |
| Outputs | 70% of programme beneficiaries make use of improved climate risk information                                                                                    | 0 | 4000     | 2100  |
| Outputs | At least 10 properly installed and functioning new meteorological stations and information platforms                                                            | 0 | 25       | 10    |
| Outputs | At least 5 measures implemented for integrated watershed protection                                                                                             | 0 | 6        | 5     |
| Outputs | 5000 hectares of the watershed improved directly or indirectly by the implementation of management practices                                                    | 0 | 30281,87 | 5000  |
| Outputs | Protection of aquifers                                                                                                                                          | 0 | 264      | 1     |
| Outputs | At least 25,000 inhabitants in 50 communities have their water supply and associated infrastructure, improved to manage climate-induced impacts on water supply | 0 | 50757    | 25000 |
| Outputs | At least 50 hectares of aquifer recharge areas reforested-                                                                                                      | 0 | 1169,29  | 50    |

## Comments

# Lessons Learned

| Implementation and Adaptive Management                                                                                                                                                                                                                                                                                                                                                                |                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Describe any changes undertaken to improve results on the ground or any changes made to project outputs (i.e. changes to project design)                                                                                                                                                                                                                                                              | Challenges & Opportunities | *Our role had a strong focus on follow up of challenges and opportunities of continuing implementation with the EE during the pandemic. *Final activities to escalate results has been identified which implies new EE and new projects to support some of the pending indicators. *We have seen that in order to accelerate implementation, the direct execution services (DES) have been required.                                                                                                                                                             |
| Have the environmental and social safeguard measures that were taken been effective in avoiding unwanted negative impacts?                                                                                                                                                                                                                                                                            | Challenges & Opportunities | The environmental and social safeguard measures implemented were indeed effective; this can be confirmed by the fact that no unintended negative impacts occurred. The identified environmental and social risks include the proximity of agricultural activities to protected areas, the introduction of invasive species during reforestation efforts, pollution resulting from improper waste management, the risk of exacerbating inequalities among vulnerable groups, human rights violations, and the lack of promotion of gender equality, among others. |
| How have gender considerations been taken into consideration during the reporting period? What have been the lessons learned as a consequence of inclusion of such considerations on project performance or impacts? List lessons learned specific to gender, detailing measures and project/programme-specific indicators highlighting the role of women as key actors in climate change adaptation. | Challenges & Opportunities | There have been no changes in how gender considerations have been taken into account during the reporting period. However, among the lessons learned, it is noteworthy that having a gender focus within projects improves the effectiveness of the implementation of adaptation measures thanks to the power of advocacy, perseverance, patience, and the ability of women to convey technical messages. Also, there is a high relevance to involve                                                                                                             |

|                                                                                                                               |                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                               |                            | the family as a unit when working with farms, in this way women involved in the activity have an open and stronger space for participation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Were there any delays in implementation? If so, include any causes of delays. What measures have been taken to reduce delays? | Challenges & Opportunities | <p>*The first year, many of the Executing Entities were not ready for complying with the different standards needed for the implementation of the project. *The impact of natural disasters had delayed some of the actions, specially 2017-2018. *During 2020 we had a relevant slow down on execution of activities, because of COVID-19. Eventhou it was expected that 2021 were better than 2020, because of the vaccins, the pace has improve but not 100% as expected.</p> <p>*During 2022 Costa Rica had a change of government which has impacted the implementation due that during the entire year the government representatives from the Ministers had changed several times. Fundecooperación has tried to have meeting with new authorities however due agendas it has been difficult with some of the Ministers that are important for Adapta2+.</p> <p>*The most common causes identified through the interviews and site visits were: (i) the readiness processes that took longer than initially expected; (ii) the legal or contractual processes before being able to start implementing; (iii) the negotiation process between the EE and the beneficiaries, in order to match ADAPTA2+ requirements with the EE and the beneficiaries requirements; and (iv) the planning of some projects that need less funds at the beginning and more funds during the second half. It is worth mentioning that the NIE has provided continuous support to the executing entities</p> |

|                                                                                     |                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|-------------------------------------------------------------------------------------|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                     |                            | in order to mitigate those causes of delay                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| What implementation issues/lessons, either positive or negative, affected progress? | Challenges & Opportunities | <p>*The changes experienced during 2020-2021 allow us to confirm that virtuality is a way of doing things if needed, however at the end setback many of the actions that were needed at the local level. Adjustments were made but by today is needed more time to complete in the best way the project. *Additionally to COVID, in 2022 the change of government has impacted and delayed the implementation. *In general terms, the implementation have been delayed because of COVID19 and government adjustments. - As it was mentioned in the Mid-term Evaluation: 1- the programme has demonstrated a highly satisfactory efficiency in managing the programme and progressing through the expected outputs. Given the variety of executing entities, project types and regions, this achievement is outstanding. However, as we have mentioned achievement of outputs varies per component and per outputs, some being well ahead of schedule and some facing more delay. Especificadly, the implementation has been delayed because local implementation capacities are generally lower with regards some outputd, notably for projects involving coastal communities. With this in mind, Fundecooperacion needs to work more close with some EE to support the actions at local level, especially the ones that lack experience in climate change but have great experience in working with the communities. 2-The programme's component 3 is dedicated to capacity building, which is transversal and</p> |

|  |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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|  |  | <p>facilitates the empowerment of the beneficiaries, and ultimately the sustainability of the implemented actions. 3-The MTE has allowed identifying the main factors that have impacted (positively and negatively) the programme's performance. Among those factors, Fundecooperación's programmatic or ecosystemic approach and convening capacity has resulted with a highly positive impact so far on the effectiveness, the efficiency and the sustainability of the adaptation actions. Acting far beyond the administrative role (facilitating the projects' access to the funds), Fundecooperación has demonstrated its strong capacity to identify and stimulate collaboration among the different stakeholders needing to be coordinated through a given adaptation action: agricultural producers, local authorities, communities-based water management entities (ASADAS), technology providers, technical advisors, etc. *Another lesson learned: Among the highlighted best practices is the importance of ongoing coordination between the EE and the NIE, which not only promoted effective governance but also enhanced transparency in the process. Similarly, the biannual financial monitoring was key to ensuring responsible management and the proper use of resources. Another best practice of Adapta2+ was integrating its actions with existing programs and networks, rather than developing isolated projects, which ensured that climate change adaptation was incorporated into initiatives with established recognition and a proven track record. On</p> |
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|  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
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|  | <p>the other hand, while the strategy of involving numerous implementing entities broadened the program's impact, it also presented challenges. Not all projects were successful, and some faced administrative or financial difficulties that hindered their implementation. The program's efficiency was compromised by some implementing organizations with limited operational capacity, which was one of the main causes of delays in the program's early years of implementation. This also required the allocation of additional resources by the implementing agency to support capacity-building efforts for some implementing entities. This highlighted the importance of better assessing organizations' operational capacity before allocating resources to them, first strengthening those with weaker structures to ensure effective implementation. During a scaling-up phase, the solution to this problem is not to exclude these organizations from the program, but rather to incorporate them as partners under the coordination of a better-performing implementing entity and allocate resources for the development of their organizational capacities.</p> |
|--|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**Has the project already reached mid term or project completion?(yes/no).**

Yes

| Climate Resilience Measures                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| What have been the lessons learned, both positive and negative, in implementing climate adaptation measures that would be relevant to the design and | *Many of the adaptation measures should lead also to economic and social development accepted by the beneficiaries and to be able to replicate them in other possible beneficiaries to support the inclusion of adaptation and resilience language in public policies in order to country in general and to ensure sustainability. *The program did not have a strong focus on participation by young people in projects was detected. Recognizing the importance of climate action, it is recommended that specific considerations and mechanisms be included |

|                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                           |
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| implementation of future projects/programmes for enhanced resilience to climate change?                                                                                | population into projects, similar to the gender considerations that are currently taken into account in the case for young people. However, it should be noted that from the second part of the project, the inclusion of this population as a target was encouraged and achieved in some projects. It is recommended that these considerations be integrated from the start of programs. |
| What is the potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area? |                                                                                                                                                                                                                                                                                                                                                                                           |

### **Readiness Interventions (Applicable only to NIEs that received one or more readiness grants)**

|                                                                                                                                                                                                                                                                                                                                                                |     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| What have been the lessons learned, both positive and negative, in accessing and implementing climate finance readiness support that would be relevant to the preparation, design and implementation of future concrete adaptation projects/programmes?                                                                                                        | N/A |
| How have the outputs (such as manuals, guidelines, procedures or the experience from providing peer support, etc) from employing readiness grants been used to inform institutional capacity needs, gender issues, and environmental and social aspects in developing and implementing concrete projects/programmes for enhanced resilience to climate change? | N/A |

### **Concrete Adaptation Interventions**

|                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| What have been the lessons learned, both positive and negative, in implementing concrete adaptation interventions that would be relevant to the design and implementation of future projects/programmes implementing concrete adaptation interventions? | *Some of the technologies implemented could be expensive or there are not many suppliers in rural areas, which makes difficult the implementation in several areas of the country. For example, to want to work in this issue in the implementation of future projects/programs, for example, it is necessary to have possible local providers or generating local capacity. *The support of the actions, by including them in public policies, strategies or other, makes possible to authorities to be involved in the implementation of the year work-plan. *Adaptation to Climate Change sometimes is confused with mitigation. It is an important task for the EIN, to identify EEs that have several experience in the topic or generate capacity on this topic during the implementation of the EE. |
| What is the potential for the concrete adaptation interventions undertaken by the project/programme to be replicated and scaled up both within and outside the project area?                                                                            | *The creation of an insurance for the Livestock sector have been a key result for the implementation of adaptation measures by other farmers, due it allows access to financial options. *Many ASADAS have implemented a new water fee to support the implementation of adaptation measures. *Also as it was mentioned, the management of a comprehensive and sustainable management of available resources (biodiversity of soil, water, etc) in agriculture areas) is promoted within an adaptation approach that looks, among others, at promoting intelligent agriculture, improvements in the use of water services, resilience of coastal areas, etc.                                                                                                                                                |

|                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| project area?                                                                                                                                                                                                                                | of promoting innovation and knowledge management, learning from experience, exchange and guiding the transformation and replicable process. *We have been working in capacity building activities that focus on strategic local needs in order to build resilience to climate change through adaptation measures and best practices, management, organization capacity, and innovation. *We communicate and address climate hazards; this allows to other communities or possible replicates to replicate the lessons learned and to know of the positive impact of adapting to climate change. *Credit have been developed mid-term: "Ganadería Pro-Clima" and "Progreso Ganadero" which will finance more adaptation actions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Knowledge Management</b>                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| How has existing information/data/knowledge been used to inform project development and implementation? What kinds of information/data/knowledge were used?                                                                                  | It is important to remember that the programme's 3 component is dedicated to capacity building transversal and allows the Executing Entities to implement activities that promote the replication of the lessons learned of the projects. Also, this allows the empowerment of the beneficiaries, and ultimately the sustainability of the implemented actions. Also, the NIE communicate on a continuous basis. At each of the project, this communication allows mobilizing more actors and progressively more actors will very likely emerge. Some other communication efforts are: *Case Studies *Videos *App *Social Media * Various regional and national medias In the case of social media, a communication strategy to promote in different social media, the results of the projects has allowed to promote replication of activities and is a good tool to demonstrate results from the beneficiaries and Executing Entities. Workshops have been implemented by the NIE, and directed to executing entities and financial institutions. *Also, there have been frequent meetings and communications between the NIE and the DCC, as well as with the DCC (delegated by MINAE) and finally SEPLASA as regulating entity because some of the results obtained can be promoted at the national level. |
| Has the existing information/data/knowledge been made available to relevant stakeholder? If so, what channels of dissemination have been used?                                                                                               | Existing information is available for all relevant stakeholders in the projects. There are various channels of dissemination, such as Groups in Whatsapp, Webinars and videos in youtube, Virtual information in the government for example "Platicar" <a href="https://platicar.go.cr/">https://platicar.go.cr/</a> , and others.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Please list any knowledge products generated and include hyperlinks whenever possible (e.g. project videos, project stories, studies and technical reports, case studies, training manuals, handbooks, strategies and plans developed, etc.) | Programa Adapta2+ Youtube videos: <a href="https://www.youtube.com/watch?v=1PYcdomA1W0&amp;list=PLoHNclM1NDh9CLUgHA">https://www.youtube.com/watch?v=1PYcdomA1W0&amp;list=PLoHNclM1NDh9CLUgHA</a><br>Fundecooperacion web page: <a href="https://fundecooperacion.org/conozca-los-proyectos/">https://fundecooperacion.org/conozca-los-proyectos/</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| If learning objectives have been established, have they been met? Please describe.                                                                                                                                                           | *Learning tools have been generated and implemented locally with students, producers, and decision makers. The training of trainers has been one of the most effective ways to promote the sustainability of the actions. It is important to mention that component 3, has allowed to promote impact actions by raising awareness of the importance of including the adaptation issues in the actions, laws, strategies, development plans and others.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Describe any difficulties there have been in accessing or retrieving existing information (data or knowledge) that is relevant to the project. Please provide suggestions for improving access to the relevant data.                         | * Climate information is difficult to access, due to the policies of the country's meteorological institution. These policies have complicated the implementation of some projects that require it in order to obtain results. Finally, negotiations between the institutions involved has allowed the implementation of the projects, however it took time and delayed the implementation and results.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Has the identification of                                                                                                                                                                                                                    | The learning objectives have contributed to generate a greater impact of Adapta2+, by a                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

|                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| learning objectives contributed to the outcomes of the project? In what ways have they contributed? | of knowledge at the local level and replication of this impact at other levels. At the end, of the programme, and the learning objectives, were conceptualized in a bottom-up and for this reason, the 3 component "Creation of Capacities" have been able to promote ini strengthening national organizations in the inclusion of the adaptation issue in their dail of financial mechanisms for the replication of adaptation actions, creation of necessary documents. |
|-----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## Innovation

|                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                   |
|---------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Describe any innovative practices or technologies that figured prominently in this project. | Innovative practices in livestock, as rational grazing, than enhance the NAMA Ganader specif measure is one of the most important in adaption as it helps capture CO2 from th helps conserve the soil and to have constant available food (pasture) for animals, so it i Other innovative practices was the creation of public policy for the protection of water implementation of concrete adaptation measures. |
|---------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## Complementarity/ Coherence with other climate finance sources

|                                                                                                                                    |    |
|------------------------------------------------------------------------------------------------------------------------------------|----|
| Has the project been scaled-up from any other climate finance? Or has the project build upon any other climate finance initiative? | No |
| If you answered yes, kindly specify the name of the Fund/Organization.                                                             |    |

# Results Tracker

**Goal:** Assist developing-country Parties to the Kyoto Protocol and the Paris Agreement that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures.

**Impact:** Increased resiliency at the community, national, and regional levels to climate variability and change.

Is this the mid-term or terminal project performance report? Terminal

## Impact: Increased resiliency at the community, national, and regional levels to climate variability and change

### Core Indicator: No. of beneficiaries

|                                  |                                                 | Total | % of female beneficiaries | % of Youth beneficiaries |
|----------------------------------|-------------------------------------------------|-------|---------------------------|--------------------------|
| Baseline information             | Direct beneficiaries supported by the project   | 0     | 0                         | 0                        |
| Baseline information             | Indirect beneficiaries supported by the project | 0     | 0                         | 0                        |
| Baseline information             | Total (direct + indirect beneficiaries)         | 0     | 0                         | 0                        |
| Target performance at completion | Direct beneficiaries supported by the project   | 3292  | 36                        | 23                       |

|                                  |                                                 |         |                    |      |
|----------------------------------|-------------------------------------------------|---------|--------------------|------|
| Target performance at completion | Indirect beneficiaries supported by the project | 40515   | 49.99              | 0    |
| Target performance at completion | Total (direct + indirect beneficiaries)         | 43807   | 42.995000000000005 | 11.5 |
| Performance at mid-term          | Direct beneficiaries supported by the project   | 3892    | 29.5               | 12.6 |
| Performance at mid-term          | Indirect beneficiaries supported by the project | 56413   | 47                 | 10   |
| Performance at mid-term          | Total (direct + indirect beneficiaries)         | 60305   | 38.25              | 11.3 |
| Performance at completion        | Direct beneficiaries supported by the project   | 79370   | 25.56              | 9.2  |
| Performance at completion        | Indirect beneficiaries supported by the project | 1244365 | 49                 | 22   |
| Performance at completion        | Total (direct + indirect beneficiaries)         | 1323735 | 37.28              | 15.6 |

## Outcome 1: Reduced exposure to climate-related hazards and threats

### Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis

|                                  | Number of targeted stakeholders - Total | Number of targeted stakeholders - % of female targeted | Hazards information generated and disseminated | Overall effectiveness  |
|----------------------------------|-----------------------------------------|--------------------------------------------------------|------------------------------------------------|------------------------|
| Baseline information             | 0                                       | 0                                                      | Other                                          | 1: Ineffective         |
| Target performance at completion | 0                                       | 22                                                     | Drought                                        | 2: Partially effective |
| Performance at mid-term          | 227                                     | 42                                                     | Coastal flooding                               | 2: Partially effective |
| Performance at completion        | 227                                     | 42.73                                                  | Coastal flooding                               | 2: Partially effective |

### Output 1.1 Risk and vulnerability assessments conducted and updated

Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments

|                      | No. of projects/programme that conduct and update risk and vulnerability assessments | Sector           | Scale | Status                   |
|----------------------|--------------------------------------------------------------------------------------|------------------|-------|--------------------------|
| Baseline information | 0                                                                                    | Water management | Local | 1: No plans conducted or |

|                                  |   |                  |       |                                                            |
|----------------------------------|---|------------------|-------|------------------------------------------------------------|
|                                  |   |                  |       | updated                                                    |
| Target performance at completion | 1 | Water management | Local | 3: Risk and vulnerability assessments completed or updated |
| Performance at mid-term          | 1 | Water management | Local | 3: Risk and vulnerability assessments completed or updated |
| Performance at completion        | 1 | Water management | Local | 3: Risk and vulnerability assessments completed or updated |

## Output 1.2 Targeted population groups covered by adequate risk reduction systems

Core Indicator 1.2: No. of Early Warning Systems

|                                  | No. of adopted Early Warning Systems | Category targeted | Hazard  | Geographical coverage | Number of municipalities |
|----------------------------------|--------------------------------------|-------------------|---------|-----------------------|--------------------------|
| Baseline information             | 0                                    | 1: Risk knowledge |         |                       | 0                        |
| Target performance at completion | 1                                    | 1: Risk knowledge | Drought | Local                 | 1                        |
| Performance at mid-term          | 1                                    | 1: Risk knowledge | Other   | Local                 | 1                        |
| Performance at completion        | 2                                    | 1: Risk knowledge | Other   | Local                 | 1                        |

## Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses

Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased

|                                  | Number of staff targeted - Total | Number of staff targeted - % of female targeted | Sector      | Capacity level     |
|----------------------------------|----------------------------------|-------------------------------------------------|-------------|--------------------|
| Baseline information             | 0                                | 0                                               | Agriculture | 2: Low capacity    |
| Target performance at completion | 88                               | 13                                              | Agriculture | 3: Medium capacity |
| Performance at mid-term          | 211                              | 21.3                                            | Agriculture | 3: Medium capacity |
| Performance at completion        | 2718                             | 32.71                                           | Agriculture | 3: Medium capacity |

## Output 2.1 Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events

Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events

|                                  | Total staff trained | % of female staff trained | Type   |
|----------------------------------|---------------------|---------------------------|--------|
| Baseline information             | 0                   | 0                         | Public |
| Target performance at completion | 88                  | 13                        | Public |
| Performance at mid-term          | 211                 | 21.3                      | Public |
| Performance at completion        | 2718                | 32.71                     | Public |

Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks

|                                  | Type | Scale | Sector | Capacity Level |
|----------------------------------|------|-------|--------|----------------|
| Baseline information             |      |       |        |                |
| Target performance at completion |      |       |        |                |
| Performance at mid-term          |      |       |        |                |
| Performance at completion        |      |       |        |                |

## Output 2.2. Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance

Indicator 2.2.1: No. of targeted institutions benefitting from the direct access and enhanced direct access modality

|                                  | Number of beneficiaries | Scale | Sector | Capacity Level |
|----------------------------------|-------------------------|-------|--------|----------------|
| Baseline information             |                         |       |        |                |
| Target performance at completion |                         |       |        |                |
| Performance at mid-term          |                         |       |        |                |
| Performance at completion        |                         |       |        |                |

## Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes

Indicator 3.1: Increase in application of appropriate adaptation responses

|                                  | Percentage of targeted population applying adaptation measures | Sector      |
|----------------------------------|----------------------------------------------------------------|-------------|
| Baseline information             | 0                                                              | Agriculture |
| Target performance at completion | 100                                                            | Agriculture |
| Performance at mid-term          | 100                                                            | Agriculture |
| Performance at completion        | 100                                                            | Agriculture |

### **Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities**

Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses

|                                  | No. of targeted beneficiaries | % of female participants targeted | Level of awareness  |
|----------------------------------|-------------------------------|-----------------------------------|---------------------|
| Baseline information             | 0                             | 0                                 | 1: Aware of neither |
| Target performance at completion | 204                           | 20                                | 3: Partially aware  |
| Performance at mid-term          | 377                           | 41                                | 3: Partially aware  |
| Performance at completion        | 24409                         | 37                                | 3: Partially aware  |

### **Output 3.2: Stenghtened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning**

Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge

|                                  | No. of technical committees/associations | % of women represented in committes/associations | Level of awareness |
|----------------------------------|------------------------------------------|--------------------------------------------------|--------------------|
| Baseline information             |                                          |                                                  |                    |
| Target performance at completion |                                          |                                                  |                    |
| Performance at mid-term          |                                          |                                                  |                    |
| Performance at completion        |                                          |                                                  |                    |

Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders

|                                  | No. of tools and guidelines | Type | Scale |
|----------------------------------|-----------------------------|------|-------|
| Baseline information             |                             |      |       |
| Target performance at completion |                             |      |       |
| Performance at mid-term          |                             |      |       |
| Performance at completion        |                             |      |       |

### **Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets**

Indicator 4.1: Increased responsiveness of development sector services to evolving needs from changing and variable climate

|                      | Project/programme sector | Geographical scale | Response level           |
|----------------------|--------------------------|--------------------|--------------------------|
| Baseline information | Agriculture              | Local              | 1: Non responsive (Lacks |

|                                  |             |       |                                                  |
|----------------------------------|-------------|-------|--------------------------------------------------|
|                                  |             |       | all elements)                                    |
| Target performance at completion | Agriculture | Local | 3: Moderately responsive (Some defined elements) |
| Performance at mid-term          | Agriculture | Local | 3: Moderately responsive (Some defined elements) |
| Performance at completion        | Agriculture | Local | 3: Moderately responsive (Some defined elements) |

#### Core Indicator 4.2: Assets produced, developed, improved or strengthened

|                                  | Sector             | Targeted asset                                      | Changes in asset (quantitative or qualitative) |
|----------------------------------|--------------------|-----------------------------------------------------|------------------------------------------------|
| Baseline information             | Agriculture        | 2: Physical asset (produced/improved/strengthened)) | 1: Not improved                                |
| Baseline information             | Coastal management | 2: Physical asset (produced/improved/strengthened)) | 1: Not improved                                |
| Baseline information             | Water management   | 2: Physical asset (produced/improved/strengthened)) | 1: Not improved                                |
| Target performance at completion | Agriculture        | 2: Physical asset (produced/improved/strengthened)) | 3: Moderately improved                         |
| Target performance at completion | Coastal management | 2: Physical asset (produced/improved/strengthened)) | 2: Somewhat improved                           |
| Target performance at completion | Water management   | 2: Physical asset (produced/improved/strengthened)) | 2: Somewhat improved                           |
| Performance at mid-term          | Agriculture        | 2: Physical asset (produced/improved/strengthened)) | 3: Moderately improved                         |
| Performance at mid-term          | Coastal management | 2: Physical asset (produced/improved/strengthened)) | 2: Somewhat improved                           |
| Performance at mid-term          | Water management   | 2: Physical asset (produced/improved/strengthened)) | 2: Somewhat improved                           |
| Performance at completion        | Agriculture        | 2: Physical asset (produced/improved/strengthened)) | 4: Mostly Improved                             |
| Performance at completion        | Coastal management | 2: Physical asset (produced/improved/strengthened)) | 3: Moderately improved                         |
| Performance at completion        | Water management   | 2: Physical asset (produced/improved/strengthened)) | 4: Mostly Improved                             |

#### Indicator 4.1.1: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability

Indicator 4.1.1: No. and type of development sector services to respond to new conditions resulting from climate variability and change

|                                  | Number of services | Type | Sector           |
|----------------------------------|--------------------|------|------------------|
| Baseline information             | 0                  |      | Water management |
| Target performance at completion | 1                  |      | Water management |
| Performance at mid-term          | 1                  |      | Water management |
| Performance at mid-term          | 1                  |      | Agriculture      |
| Performance at completion        | 1                  |      | Water management |

|                           |   |  |                  |
|---------------------------|---|--|------------------|
| Performance at completion | 1 |  | Agriculture      |
| Performance at completion | 1 |  | Water management |
|                           |   |  |                  |

## Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress

### Indicator 5: Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress

|                                  | Natural resource improvement level | Sector | Type |
|----------------------------------|------------------------------------|--------|------|
| Baseline information             |                                    |        |      |
| Target performance at completion |                                    |        |      |
| Performance at mid-term          |                                    |        |      |
| Performance at completion        |                                    |        |      |

### Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability

Core Indicator 5.1: Natural Assets protected or rehabilitated

|                                  | Natural asset or Ecosystem (type) | Total number of natural assets or ecosystems protected/rehabilitated | Unit             | Effectiveness of protection/rehabilitation |
|----------------------------------|-----------------------------------|----------------------------------------------------------------------|------------------|--------------------------------------------|
| Baseline information             | Protected areas/National parks    | 23993                                                                | ha protected     | 4: Effective                               |
| Baseline information             | Coasts                            | 100                                                                  | km protected     | 2: Partially effective                     |
| Baseline information             | Catchment area/Watershed/Aquifer  | 1                                                                    | ha protected     | 1: Ineffective                             |
| Baseline information             | Cultivated land/Agricultural land | 1                                                                    | ha rehabilitated | 1: Ineffective                             |
| Target performance at completion | Mangroves                         | 25                                                                   | ha rehabilitated | 4: Effective                               |
| Target performance at completion | Coasts                            | 8                                                                    | km protected     | 3: Moderately effective                    |
| Target performance at completion | Catchment area/Watershed/Aquifer  | 108                                                                  | ha protected     | 3: Moderately effective                    |
| Target performance at completion | Cultivated land/Agricultural land | 343                                                                  | ha rehabilitated | 3: Moderately effective                    |
| Performance at mid-term          | Mangroves                         | 25                                                                   | ha rehabilitated | 2: Partially effective                     |
| Performance at mid-term          | Forests                           | 55                                                                   | ha protected     | 4: Effective                               |
| Performance at mid-term          | Catchment area/Watershed/Aquifer  | 127                                                                  | ha protected     | 3: Moderately effective                    |

|                           |                                   |       |                  |                         |
|---------------------------|-----------------------------------|-------|------------------|-------------------------|
| Performance at mid-term   | Cultivated land/Agricultural land | 379   | ha rehabilitated | 3: Moderately effective |
| Performance at completion | Mangroves                         | 25    | ha rehabilitated | 2: Partially effective  |
| Performance at completion | Forests                           | 55    | ha protected     | 4: Effective            |
| Performance at completion | Catchment area/Watershed/Aquifer  | 30281 | ha rehabilitated | 3: Moderately effective |
| Performance at completion | Cultivated land/Agricultural land | 1210  | ha rehabilitated | 3: Moderately effective |
| Performance at completion | Coasts                            | 39    | km protected     | 3: Moderately effective |

## Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas

### Indicator 6.1: Increase in households and communities having more secure access to livelihood assets

|                                  | No. of targeted households | % of female headed households | Improvement level |
|----------------------------------|----------------------------|-------------------------------|-------------------|
| Baseline information             |                            |                               |                   |
| Target performance at completion |                            |                               |                   |
| Performance at mid-term          |                            |                               |                   |
| Performance at completion        |                            |                               |                   |

### Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods

|                                  | No. of targeted households | % of female headed households | % increase in income level vis-à-vis baseline | Alternate Source |
|----------------------------------|----------------------------|-------------------------------|-----------------------------------------------|------------------|
| Baseline information             |                            |                               |                                               |                  |
| Target performance at completion |                            |                               |                                               |                  |
| Performance at mid-term          |                            |                               |                                               |                  |
| Performance at completion        |                            |                               |                                               |                  |

## Output 6 Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability

Indicator 6.1.1: No. and type of adaptation assets created or strengthened in support of individual or community livelihood strategies

|                                  | Number of Assets | Type of Assets | Sector | Adaptation strategy |
|----------------------------------|------------------|----------------|--------|---------------------|
| Baseline information             |                  |                |        |                     |
| Target performance at completion |                  |                |        |                     |

|                           |  |  |  |  |
|---------------------------|--|--|--|--|
| Performance at mid-term   |  |  |  |  |
| Performance at completion |  |  |  |  |

**Core Indicator 6.1.2: Increased income, or avoided decrease in income**

|                                  | Number of households<br>(total number in the project area) | Income source | Income level (USD) |
|----------------------------------|------------------------------------------------------------|---------------|--------------------|
| Baseline information             |                                                            |               |                    |
| Target performance at completion |                                                            |               |                    |
| Performance at mid-term          |                                                            |               |                    |
| Performance at completion        |                                                            |               |                    |

**Outcome 7: Improved policies and regulations that promote and enforce resilience measures**

**Indicator 7: Climate change priorities are integrated into national development strategy**

|                                  | Integration level |
|----------------------------------|-------------------|
| Baseline information             | 1: None           |
| Target performance at completion | 3: Some           |
| Performance at mid-term          | 3: Some           |
| Performance at completion        | 3: Some           |

**Output 7: Improved integration of climate-resilience strategies into country development plans**

Indicator 7.1: No. of policies introduced or adjusted to address climate change risks

|                                  | No. of Policies introduced or adjusted | Sector           | Scale    | Type          |
|----------------------------------|----------------------------------------|------------------|----------|---------------|
| Baseline information             | 0                                      | Water management | National | Public policy |
| Target performance at completion | 1                                      | Water management | National | Public policy |
| Performance at mid-term          | 1                                      | Water management | National | Public policy |
| Performance at completion        | 1                                      | Water management | National | Public policy |

**Indicator 7.2: No. of targeted development strategies with incorporated climate change priorities enforced**

|                                  | No. of Development strategies | Regulation | Effectiveness |
|----------------------------------|-------------------------------|------------|---------------|
| Baseline information             |                               |            |               |
| Target performance at completion |                               |            |               |
| Performance at mid-term          |                               |            |               |
| Performance at                   |                               |            |               |

|            |  |  |  |
|------------|--|--|--|
| completion |  |  |  |
|            |  |  |  |

## Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies

**Indicator 8: Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level**

|                                  | Sector of innovative practice | Geographic Scale | Type |
|----------------------------------|-------------------------------|------------------|------|
| Baseline information             |                               |                  |      |
| Target performance at completion |                               |                  |      |
| Performance at mid-term          |                               |                  |      |
| Performance at completion        |                               |                  |      |

**Output 8: Viable innovations are rolled out, scaled up, encourages and/or accelerated**

Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated

|                                  | No. of innovative practices/ tools technologies | Sector | Status | Effectiveness |
|----------------------------------|-------------------------------------------------|--------|--------|---------------|
| Baseline information             |                                                 |        |        |               |
| Target performance at completion |                                                 |        |        |               |
| Performance at mid-term          |                                                 |        |        |               |
| Performance at completion        |                                                 |        |        |               |

**Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated**

|                                  | No. of key findings generated | Type | Effectiveness |
|----------------------------------|-------------------------------|------|---------------|
| Baseline information             |                               |      |               |
| Target performance at completion |                               |      |               |
| Performance at mid-term          |                               |      |               |
| Performance at completion        |                               |      |               |