



ADAPTATION FUND

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8-9 October 2025

Adaptation Fund Board
Project and Programme Review Committee
Thirty-sixth Meeting
Bonn, Germany, 8-9 October 2025

PROPOSAL FOR SINGLE COUNTRY LOCALLY LED ADAPTATION PROPOSAL FOR COSTA RICA (1)



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: LLA Single country concept note

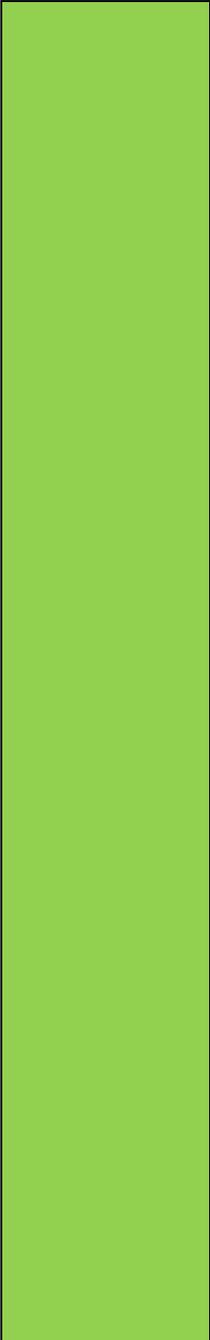
Country/Region:	Costa Rica	
Project Title:	Grass-roots of Adaptation – Strengthening community climate resilience through locally led adaptation in Costa Rica	
Thematic Focal Area:	Multi-Sector	
Implementing Entity:	Funde cooperación para el Desarrollo Sostenible	
Executing Entities:	Municipalities, local NGO and CSOs	
AF Project ID:	AF00000444	
IE Project ID:		Requested Financing from Adaptation Fund (US Dollars): 5,000,000
Reviewer and contact person:	Rywon Yang	Co-reviewer(s): Ishani Debnath
IE Contact Person:		

Technical Summary:	<p>The project "Grass-roots of Adaptation – Strengthening community climate resilience through locally led adaptation in Costa Rica" aims to implement local adaptation actions led by community organizations, in alignment with cantonal and regional adaptation plans and the National Adaptation Plan, through inclusive and decentralized processes that respond to local vulnerability, promote the use of local and indigenous knowledge, and foster the dissemination and exchange of learnings. This will be done through the four components below:</p> <p><u>Component 1:</u> Community Participation and Capacity Strengthening (USD 1,000,000);</p> <p><u>Component 2:</u> Implementation of Adaptation Projects (USD 2,800,000);</p> <p><u>Component 3:</u> Knowledge Exchange, Systematization and Replicability (USD 410,000).</p> <p><u>Requested financing overview:</u> Project/Programme Execution Cost: USD 400,000 Total Project/Programme Cost: USD 4,610,000 Implementing Fee: USD 390,000 Financing Requested: USD 5,000,000</p> <p>A Project Formulation Grant (PFG) of USD 150,000 is requested.</p> <p>The initial technical review raises several issues such as insufficient details on the target area, beneficiaries, and the adaptation interventions, locally led adaptation arrangements, cost-effectiveness and sustainability measures, compliance</p>
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	with national standards and the Fund’s Environmental and Social Policy, ESP compliance related to USPs, and enhanced stakeholder engagement among others, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.
Date:	August 4, 2025

Review Criteria	Questions	Comments 1 st Review [4, 2025]	Comments by NIE Aug 8 th , 2025
Country Eligibility	1. Is the country party to the Kyoto Protocol and/or the Paris Agreement?	Yes.	
	2. Is the country a developing country particularly vulnerable to the adverse effects of climate change?	Yes. Costa Rica is particularly vulnerable to climate change due to its geographic location, diverse topography, and economic conditions. It experiences both rapid-onset events—such as droughts, tropical storms, extreme temperatures, and flooding—and slow-onset impacts including rising temperatures, forest and land degradation, biodiversity loss, and sea level rise. Climate variability driven by the El Niño–Southern Oscillation causes contrasting effects: droughts are more common on the Pacific coast, while flooding is frequent on the Caribbean side. The Ministry of Environment and Energy (MINAE) estimated that extreme weather events have already cost the country over 1% of its GDP, with future damages projected to range from 0.68% to 2.5%, posing growing risks to lives, infrastructure, and ecosystems.	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project/program me?	Yes. As per the Endorsement letter dated July 11 th , 2025.	
	2. Does the length of the proposal amount to no more than fifty (50) pages for the Concept note project	Cleared. The proposal amounts to 48 pages, including LOE. Annex has not been attached.	

	document, including its annexes?		
	3. Does the project / programme support concrete adaptation actions to assist the country and/or the local actors in addressing adaptive capacity to the adverse effects of climate change and build in climate resilience?	<p>Needs clarification.</p> <p>The proposed project supports concrete adaptation actions that aim to enhance Costa Rica’s climate resilience through locally led initiatives grounded in cantonal and national adaptation planning instruments, including the National Adaptation Plan (NAP) and Cantonal Climate Adaptation Action Plans (PAACs). The project adopts a decentralized approach that seeks to strengthen the capacities of local organizations and promote adaptation actions that reflect local and Indigenous knowledge.</p> <p>While the overall approach is promising, several elements require further elaboration to assess how effectively the proposed actions will be translated into tangible outcomes:</p> <p><u>Adaptation interventions:</u></p> <p>The proposal states that adaptation actions will be focused on the 20 PAACs developed under the previous GCF-funded “Plan A” project. However, it does not clearly explain how specific actions from these PAACs will be selected or prioritized for implementation. The PAACs cover a wide array of sectors—such as ecosystem restoration, climate-resilient infrastructure, and water management—and many actions already identify responsible institutions and actors.</p> <p>For example, the PAAC of Puntarenas canton outlines over 25 proposed actions across five strategic axes, including urban planning, ecosystem services, public health, and sustainable livelihoods. This raises questions about how project activities will be selected in a transparent, inclusive, and locally led manner, particularly given that only one adaptation initiative per canton is expected to be financed. (page 24)</p> <p>CR1: Please clarify the scope and prioritization of PAAC actions that will be implemented through this project. Specifically:</p>	<p>CR1: (Section 2A) More info is provided on scope and prioritization of PAAC actions, including thematic areas, criteria and prioritization process.</p> <p>CR 2 (Section 2A) More info about beneficiaries is included per project component</p> <p>CR 3 (Section 2.A) Component 1 clarifies the role and responsibility of Fundecooperación, working with local NGOs, institutions, and local leaders to establish local committees, their constitution, and how they are integrated into decision-making during the project. Likewise, the criteria for defining the committee's composition are outlined, ensuring the representativeness of vulnerable groups and community stakeholders.</p> <p>In the development of Component 3, it is highlighted how indigenous knowledge will be included in</p>



- Whether specific thematic areas (e.g., ecosystem-based adaptation, water resource management, climate-resilient infrastructure) will be prioritized and on what basis;
- The criteria and rationale that will guide the selection of actions from each PAAC;
- How the prioritization process will ensure transparency, inclusivity, and responsiveness to local needs and vulnerabilities;
- Examples of the types of actions or sub-projects that are likely to be supported to help clarify the project's operational scope and intended impact.

If these details will be completely finalized at the full proposal stage, then this should be clarified in the proposal document.

Project/Programme beneficiaries:

The proposal lacks sufficient information on the project's intended direct beneficiaries and sub-project grantees. While 20 cantons have been identified based on existing PAACs, the proposal does not specify who the direct beneficiaries are (e.g., communities, households, or vulnerable groups), nor how they will be identified or prioritized.

It is also unclear how the targeting process will ensure inclusivity, especially in the context of Component 1, which involves training local organizations or groups that may later submit sub-project proposals under Component 2. In this regard, it is important to distinguish between sub-project grantees (those receiving funding) and the broader set of beneficiaries who will be impacted by the adaptation actions.

CR2: Please provide an indicative estimate of the number and/or type of direct beneficiaries expected to benefit from the adaptation actions (e.g., individuals, households, or communities), even if indicative at this stage. Please also clarify the distinction, if any, between sub-project grantees (those managing funds and implementing actions) and end beneficiaries. Please also indicate the approximate number of community groups or organizations expected to participate in the training phase.

the systematization and implementation of actions.

CR 4: the role of Fundecooperacion regarding capacity building is clarified in Section 2A.

CR 5: (Section 2A) more info is included about data collection and usage, for local decision making from local actors

		<p><i>At the fully-developed proposal stage, the project results framework should include the expected number of direct and indirect beneficiaries, disaggregated by gender, along with clearly defined targets and indicators—specified per activity—to enable effective monitoring of progress and impact.</i></p> <p><u>Indigenous Knowledge and local needs:</u> The proposal identifies Indigenous knowledge as a core component of the project. However, the plan for operationalizing this knowledge is not fully detailed. The document lacks specific details on the governance structure for local engagement.</p> <p>CR3: Please clarify the process for identifying and establishing local committees.</p> <ul style="list-style-type: none"> • Who, specifically, will be responsible for this process (e.g., Fundecooperación, local NGOs, community leaders)? • What criteria will be used to define the composition and mandate of these committees, ensuring they are inclusive of diverse community members, including women, youth, and Indigenous peoples? • How will the committees' authority and responsibilities be formally recognized and integrated into the project's decision-making framework? • Please also clarify how Indigenous knowledge will inform the mapping and systematization of adaptation actions implemented at the cantonal level in Costa Rica. <p>The proposal outlines a capacity-building model, but the specific roles of all parties—especially Fundecooperación—are not clearly defined.</p> <p>CR4: Please explain Fundecooperación's direct role in capacity building.</p> <ul style="list-style-type: none"> • Will Fundecooperación directly train or mentor local organizations such as farmers' groups, women's groups, or village councils? If so, what is the planned 	
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		<p>approach?</p> <ul style="list-style-type: none"> • How will Fundecooperación oversee and ensure the quality of capacity-building activities conducted by other partners? <p>CR5: Please provide more detail on the data collection and utilization strategy.</p> <ul style="list-style-type: none"> • How will real-time, evidence-based data be collected and analyzed to ensure it is directly informing decision-making at both the local and cantonal levels? • What tools or methods will be used to make this data accessible and actionable for local committees and municipal planners? 	
	<p>4. Does the project/program me enable devolving decision making to the lowest appropriate level? Does it give local institutions and communities more direct access to finance and decision-making power over how adaptation actions are defined, prioritized, designed, implemented; how progress is monitored and</p>	<p>Needs clarification.</p> <p>The proposal describes participatory mechanisms, such as co-creation approaches and local adaptation committees. However, the core issue is a lack of detail on how these mechanisms will translate into actual decision-making power for local communities. The current framework, anchored in national frameworks and centralized institutions, positions local actors in a consultative rather than an authoritative role.</p> <p>Planning and prioritization remain largely centralized—anchored in national frameworks such as the PNACC and pre-existing PAACs—and primarily guided by institutions such as the Climate Change Directorate, National Meteorological Institute, UNEP, and Fundecooperación. In this setup, local actors appear to play a consultative rather than decision-making role.</p> <p><u>LLA approach:</u></p> <p>Many PAAC actions already designate institutional responsibilities and actors (e.g., “responsible institutions” and “associated stakeholders”). The proposal should describe how community involvement and ownership will be meaningfully integrated during implementation to ensure the project is</p>	<p>CR 6: more info on the LLA approach has been included in Section 2A.</p> <p>CR 7: clarification on the role of the local committees is included in Section 2A</p> <p>CR 8: (Section 2A) clarification included that existing community based organisations will be actively invited to be part of the project as sub-grantees.</p> <p>CR9: more info on the grant management mechanism is provided in Section 2A, under component 2</p>

	<p>how success is evaluated.</p>	<p>consistent with LLA principles, rather than simply executing pre-defined plans without participatory revision or contextual adjustment.</p> <p>CR6: Please clarify how the LLA approach will be implemented.</p> <ul style="list-style-type: none"> • Describe the specific mechanisms by which community-level priorities will directly influence decision-making and resource allocation for adaptation actions. • Clarify whether all trained groups will be eligible to submit sub-project proposals, or if a pre-selected subset will be chosen. • Explain how the project will move beyond simply executing pre-defined plans and empower communities to meaningfully shape the project's direction and outcomes. <p><u>Local Adaptation Committees:</u> The concept note lacks sufficient information on the composition, mandate, and authority of the local adaptation committees (PAACs), which are central to participatory governance. It also remains unclear to what extent communities will be empowered to revise, reprioritize, or adapt PAACs—many of which contain pre-defined actions with designated implementing institutions—and how such revisions might influence project funding decisions.</p> <p>CR7: Please clarify the role and power of the Local Adaptation Committees.</p> <ul style="list-style-type: none"> • Explain whether and how these committees will be empowered to revise, reprioritize, or adapt the existing PAACs (Planes de Adaptación al Cambio Climático) if necessary. • Describe the mechanism by which their input will directly influence the selection and funding of adaptation actions. <p><u>Integration of Existing Community-Level Organizations :</u></p>	

		<p>While several cantonal PAACs (e.g., Puntarenas, Corredores, Nicoya) reference existing community-based organizations—such as Asociaciones de Desarrollo Integral (ADIs), Comisiones Locales, and Comités Locales de Emergencia—as integral to adaptation planning and implementation, the concept note does not specify how these entities will be incorporated into the proposed project. It is unclear whether they will act as sub-project grantees, join the newly proposed local adaptation committees, or assume other roles in governance and execution.</p> <p>Additionally, the proposal mentions establishing or supporting local adaptation committees but lacks detail on how these will relate to, differ from, or complement pre-existing mechanisms. Providing this clarification would help prevent duplication, strengthen coordination, and promote effective, context-specific implementation.</p> <p>CR8: Please elaborate on how the project will leverage existing community-level organizations from the PAACs (e.g., ADIs and local emergency committees), including their potential as sub-project grantees, and explain how the proposed local adaptation committees will build upon rather than replicate these structures.</p> <p><u>Direct Access to Finance & Grant Management:</u> The proposal mentions that community organizations can "compete" for funding under Component 2, but the decision-making authority for fund distribution appears to remain with centralized bodies. For a truly LLA approach, communities must have control over the funds.</p> <p>CR9: Please provide preliminary information on the grant management mechanism.</p> <ul style="list-style-type: none"> • Provide a clear, detailed explanation of the proposed grant management mechanism. • Specify the responsible entity for this mechanism and describe its anticipated role and composition. • Detail how oversight, transparency, and accountability will be ensured throughout the fund allocation and disbursement process. 	
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		<ul style="list-style-type: none"> • A diagram or fund flow chart would be extremely helpful to illustrate the proposed structure and demonstrate the path of funds from the project to the communities. 	
	<p>5. Does the project / programme provide economic, social and environmental benefits, particularly to vulnerable communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Fund? Does the project/programme address structural inequalities faced by women, youth, children, people with disabilities, people who are</p>	<p>Needs clarification.</p> <p>The concept note outlines the project’s intent to deliver economic, social, and environmental benefits, particularly to vulnerable groups, and refers to general principles such as community-based adaptation, social inclusion, and gender equity (pages 22-24). However, it does not yet provide concrete information on how these benefits will be delivered through specific project activities, nor does it explain how risks and structural inequalities will be identified and addressed. This lack of specificity appears to stem in part from the limited information provided on the project's intended beneficiaries (both the recipients of grants and the end beneficiaries of the sub-projects).</p> <p>The proposal references vulnerable groups but lacks a clear, evidence-based methodology for identifying those most at risk.</p> <ul style="list-style-type: none"> - The document does not outline how beneficiaries will be identified using a climate vulnerability assessment or criteria such as exposure, sensitivity, and adaptive capacity. - A demographic breakdown of intended beneficiaries (e.g., by gender, ethnicity, or income) is not provided, making it difficult to verify if the project will reach the most climate-vulnerable populations. - The project may inadvertently exclude vulnerable communities that are located in cantons without existing PAACs. <p>CR10: Please provide a clear methodology for identifying and prioritizing the most vulnerable groups. This should include the provisional criteria to be used (including environmental, social, and gender considerations), along with available socioeconomic and demographic data that will inform the selection process.</p> <p>CR11: Given that beneficiary numbers may be provisional, please explain how the project will ensure an equitable</p>	<p>CR10: Section 2B More info about methodology for identifying and prioritizing the most vulnerable groups</p> <p>CR 11: Section 2B More info on quotas and criteria to ensure an equitable participation of women and vulnerable communities.</p> <p>CR 12 (Section 2B) The explanation for the use of USP is expanded, and the importance of applying the AF guide is highlighted. Likewise, considerations are incorporated to ensure the inclusion of good practices and guidelines in the section on the benefits of applying the Environmental, Social, and Gender Policy.</p> <p>CAR 1: An initial gender assessment is included in Annex 2 and considerations are included in project design, section 2A</p>

	<p>displaced, Indigenous Peoples and marginalized ethnic groups?</p>	<p>distribution of benefits at the sub-grantee level. Detail the mechanisms for promoting inclusion, such as potential quotas for women and youth participation, and how this will be monitored.</p> <p>In addition, initial gender considerations are not clearly presented, and no preliminary gender assessment is included. A preliminary gender analysis at the project/program identification stage is required for the project/programme pre-concept/concept notes to inform the eventual design and further planning stages of the measure.</p> <p>CAR1: Please include an initial gender assessment to demonstrate how gender considerations have been incorporated into the project design. Please provide information on how the unique concerns of women and youth were incorporated into project design.</p> <p><i>At the fully developed proposal stage, please include an in-depth gender analysis and gender action plan that includes disaggregated data for women, youth, indigenous peoples, and marginalized groups, and provides specific strategies to address their unique vulnerabilities.</i></p> <p>Page 23 mentions that USPs will be required to comply with this policy before and during implementation, through appropriate evaluation mechanisms designed to identify potential adverse impacts on communities and ecosystems on time.' While the specific details on interventions may be finalized during implementation for an LLA project, the proposal should include a clear justification for the unidentified subproject approach in compliance with the AF guidance https://www.adaptationfund.org/wpcontent/uploads/2022/10/PPRC.30.54-Updatedguidance-onUSPs-with-Annex.pdf for USPs.</p> <p>CR12: Please acknowledge the use of the USP approach. Please refer to the updated guidance for use of USP:</p>	
6.	Is the project / programme	Needs clarification.	CAR 2: info included on a comparative assessment to

	<p>cost effective?</p>	<p>The concept note presents a brief internal justification of the proposed approach, including references to cost-benefit advantages for each component (page 24) and expected efficiencies from locally led implementation, capacity building, and streamlined sequencing. However, it does not provide a clear description of alternative options that could have been considered to achieve similar objectives. No comparative analysis—whether qualitative or quantitative—is presented to assess the relative cost-effectiveness of the selected design versus other feasible approaches.</p> <p>Please note that cost effectiveness analysis for AF projects needs to make a comparison of the proposed project costs to an alternative approach to LLA or activities that could achieve the same project results and that could have taken place to help adapt and build resilience in the same sector, geographic region, and/or community. At the concept stage, this can be a general description, including addressing cost effectiveness from a sustainability point of view. <i>For a fully developed proposal stage, quantitative estimates of cost-effectiveness could be provided where feasible.</i></p> <p>CAR2: Please provide a comparative assessment to substantiate the cost effectiveness, along with a clear description of alternative options to the proposed measures that would receive the same outcome, even if preliminary and general, including how proposed cost effectiveness is optimal from a sustainability point of view.</p> <p><i>At fully developed proposal stage, please provide more specific comparative analysis and, where feasible, include quantitative estimates of cost-effectiveness.</i></p>	<p>substantiate the cost effectiveness, in section 2C</p>
	<p>7. Is the project / programme consistent with national, sub-national or local sustainable development</p>	<p>Needs clarification.</p> <p>The project demonstrates strong alignment with Costa Rica’s national and sub-national policies and strategic frameworks related to climate change adaptation and sustainable development. (pages 25-26). These include the National Adaptation Policy to Climate Change (PNACC 2018–2030), the</p>	<p>CR 13, a summary of the status of the 20 PAAC is included in Annex 1, and references in Section 1.</p> <p>CR 14 (Section 2D)</p>

	<p>strategies, national, sub-national or local development plans, poverty reduction strategies, national communications and adaptation programs of action and other relevant instruments?</p>	<p>National Adaptation Plan (2022–2026), the Nationally Determined Contribution (2020), the National Urban Development Policy (2018–2030), the National Development and Public Investment Plan (2023–2026), the State Policy for Territorial Rural Development (2015–2030), the National Plan for Territorial Rural Development (2024–2030), and the National Biodiversity Policy (2015–2030).</p> <p>The project also builds directly on sub-national and local planning instruments, particularly the Climate Adaptation Action Plans (PAACs) developed at the canton level. However, Section D does not mention the PAACs or clarify their formal status in relation to Costa Rica’s planning hierarchy.</p> <p>CR13: Please clarify the formal status of the Climate Adaptation Action Plans (PAACs) referenced in the proposal, including whether they have been officially adopted or endorsed at national, sub-national, or municipal levels. Demonstrate how the proposed project is consistent with these plans.</p> <p>Page 25 indicates that “the infrastructure-related actions implemented under Component 2 of this project directly contribute to achieving this strategic objective of the policy.” However, the detailed activities listed under Component 2, specifically the implementation of locally led adaptation actions and the integration of local knowledge has no explicit reference to infrastructure enhancement or improvement.</p> <p>CR14: Please clarify how the project aligns with the National Urban Development Policy (2018–2030).</p>	<p>It is widely explained how the components and activities proposed in the project are linked to the considerations and axes of the National Urban Development Policy (2018–2030).</p>
	<p>8. Does the project / programme meet the relevant national technical standards, where</p>	<p>Needs clarification.</p> <p>The concept note presents a list of national laws, technical regulations, and permitting requirements that the project intends to comply with, including environmental assessment, land use planning law, construction standards, and labor regulations.</p> <p>It also outlines a compliance mechanism for the sub-projects (USPs), which includes a legal review by a contracted firm during</p>	<p>CR15 (Section 2E) The proposal includes the proposed supervision for each of the standards applied to the subprojects, in order to provide support to the beneficiaries and also ensure compliance with the legal and regulatory</p>

	<p>applicable, in compliance with the Environmental and Social Policy of the Fund? Does the project provide support to local actors and build their capacities to comply with the standards?</p>	<p>both the design and implementation stages, as well as legal audits and risk assessments based on the Adaptation Fund’s Environmental and Social Policy.</p> <p>However, the section falls short in clearly explaining how these national technical standards will be applied in practice to the activities implemented under the USPs.</p> <p>CR15: Please outline how compliance with each identified national standard will be monitored throughout project implementation. Outline the steps taken to comply with the standards and the nature of the authorization/clearance granted for the project to be implemented. If further details will be included in the fully developed proposal stage following additional consultations, please clarify this in the proposal.</p> <p>It is not specified how compliance will be ensured at the local level, particularly for community-level actors and implementing entities, nor does it detail how their capacities will be built to meet these regulatory requirements. Furthermore, it is unclear whether any national sectoral standards (e.g., for water, agriculture, or infrastructure) may apply to the planned adaptation actions, especially given the absence of specific examples of the types of activities to be supported, and how such standards will be identified and enforced.</p> <p>CR16: Please explain what support and capacity-building mechanisms will be provided to ensure that local actors (e.g., municipal governments, community organizations, and civil society entities) are equipped to comply with these standards during project implementation.</p> <p>CR17: Please specify whether additional technical standards at the sectoral level (e.g., agriculture, water, infrastructure) are likely to apply to the sub-projects and how these will be addressed in the full proposal. If these cannot yet be determined, please provide an indicative process for how this will be assessed and incorporated.</p>	<p>framework. The mechanism will be developed in detail during the fully developed proposal stage.</p> <p>CR16 (Section 2E) Each of the mechanisms that will be implemented for capacity building are included, ensuring that local stakeholders and subprojects comply with the standards during their design and implementation.</p> <p>CR17 (Section 2E) Since the subprojects have not yet been defined, the mechanism to be implemented for the inclusion of other technical standards, for example, for agriculture, water, infrastructure, economic, and social projects, is indicated. This mechanism may also be expanded during the fully developed proposal stage.</p>
	<p>9. Is there</p>	<p>Needs clarification.</p>	<p>CR 18 (Section 2F)</p>

	<p>duplication of project / programme with other funding sources? Does the project enhance collaboration across sectors and enhance efficiencies and good practice?</p>	<p>The section identifies relevant past and ongoing projects in Costa Rica and highlights their contributions to environmental issues and resilience-building. (Pages 28-31)</p> <p>Page 28 mentions that the Scaling up of Adapta2+ project is focused on food systems and the value chain, while the proposed LLA project is fully focused on community engagement and inclusion of vulnerable groups, as well as their empowerment through capacity building. However, the results achieved from the Adapta2+ project are similar to the component 1 outcomes, including 'communities adapting to climate impacts with nature-based solutions that contribute to resilience, sustainable development and business continuity in the territory, with a gender perspective. Gender-sensitive knowledge is created, strengthened and disseminated along the value chain to strengthen decision making on adaptation</p> <p>Similarly, Page 30 shows the TRANSFOR MA-INNOVA project focuses on community capacity building, but it is mentioned that there is no risk of duplication. It further states that Complementarity is possible by taking advantage of the identification of vulnerable groups and taking those same groups into consideration for the proposed project activities.</p> <p>CR18: Please provide further details and clarification on non-duplication with the Scaling up of Adapta2+ and TRANSFOR MA-INNOVA project.</p> <p>Since the proposal outlines broad distinctions, the specific sectors or themes of the future USPs (sub-projects) have not yet been defined. As a result, there may be a risk of potential overlap with other adaptation projects operating in the same or similar sectors, territories, or with similar target groups. Clarifying the procedures that will be used to identify and avoid such duplication—especially during USP selection and approval—would enhance confidence in the project's coordination mechanisms.</p> <p>CR19: Please clarify whether any of the planned governance arrangements or coordination structures such as committees,</p>	<p>The Adapta2+ and TRANSFOR MA-INNOVA projects are explained in more detail, and how they will complement the proposed project is detailed.</p> <p>CR19 (Section 2F) The governance mechanisms and structures to be developed according to the project components are included to ensure non-duplication of projects. Likewise, the mechanism for integrating other USPs is described, based on the establishment of subprojects and ensuring non-duplication with other projects currently underway. This will be further developed in the full proposal stage.</p>
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		<p>stakeholder platforms, or networks—will serve as mechanisms to ensure alignment and avoid duplication with the initiatives listed in Section F. In addition, please describe how the project will screen future USPs for potential overlap with ongoing projects, and how such risks will be addressed during implementation planning.</p>	
	<p>10. Does the project / programme have a learning and knowledge management component to capture and feedback lessons, in particular managing traditional and/or indigenous knowledge, where relevant? Does it contribute to building and institutionalizing local capabilities?</p>	<p>Needs clarification.</p> <p>The proposal's knowledge and learning component (Component 3) and capacity-building (Component 1) are commendable but lack sufficient detail on how knowledge will be managed and sustained.</p> <p>The project does not clearly outline how knowledge from sub-projects (Component 2) will be systematically captured and reintegrated. The proposal is also vague on how learning exchanges will be tracked through measurable outputs, and who will be responsible for managing the proposed dissemination platforms long-term.</p> <p>On Page 32, while the creation of a web repository is positive, there is no sustainability strategy for its maintenance, financing, or updating. The project also assumes a level of digital access and literacy that may not exist in all communities and lacks complementary offline dissemination strategies. There is no mention of adapting audiovisual materials for people with disabilities to ensure true inclusivity.</p> <p>CAR3: Please include clear knowledge and learning outputs and activities in the project components that address the points raised above.</p> <p>CR20: Please consider including clear and functional feedback mechanisms that empower communities to report back on issues and success and adjust strategies accordingly.</p> <p><i>At the fully developed proposal stage, please identify the responsible entity for managing and maintaining the proposed digital dissemination platforms (e.g., web repository), and indicate how their sustainability will be ensured beyond the life of the project.</i></p>	<p>CAR 3: knowledge and learning approach and outputs are better explained in Section 2G. Also, an additional activity 3.2.5 is incorporated as suggested by CNE to improve in this corrective action.</p> <p>CR 20 info on functional feedback mechanisms, and adaptive management from communities was included in Section 2G</p>

		<p><i>At the fully developed proposal stage, please clarify measures to ensure accessibility of knowledge sharing platforms (e.g., web-based repository and audiovisual materials) to reach diverse local stakeholders.</i></p> <p><i>At the fully developed proposal stage, please include quantitative targets and indicators for key knowledge-sharing and documentation activities in the project results framework.</i></p>	
	<p>11. Has a consultative process taken place, and has it involved and encouraged all key stakeholders, and vulnerable groups, to meaningfully participate in and lead adaptation decisions? Did the consultative process consider and address gender-based, economic and other inequalities in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Needs clarification.</p> <p>The proposal leans heavily on consultations conducted during the development of the PAACs, many of which predate this specific project concept. As a result, these consultations may not fully reflect evolving community needs or recent socio-environmental dynamics. While institutional coordination with national actors such as MINAE, IMN, and Fundecooperación is emphasized (page 33), there is limited evidence of direct engagement with local communities, particularly marginalized groups, during concept formulation.</p> <p>The stakeholder list focuses primarily on government agencies and larger institutions, with little indication of meaningful participation by grassroots organizations, Indigenous groups, women’s networks, youth, persons with disabilities, or other vulnerable populations. Although the proposal expresses a commitment to gender equity and social inclusion, it does not describe how these considerations shaped the current design.</p> <p>Participatory consultations are largely deferred to the full proposal stage, which limits opportunities for communities and civil society to shape the project from the outset. Additionally, while the proposal acknowledges the value of ancestral and local knowledge, it does not explain how such knowledge will be integrated into the design and implementation of sub-projects.</p> <p>The concept note also refers to continuous consultation and inclusive engagement but lacks specifics on how the Unidentified Sub-Project (USP) approach will ensure the inclusion of</p>	<p>CR 21: summary of consultations included in section 2H and Annex 3</p> <p>CAR 4: an initial gender assessment has been included and considerations have been incorporated in project design (section 2A)</p> <p>CAR 5: Annex 3 with the summary of the consultation process has been included.</p>

		<p>vulnerable groups during sub-project design, selection, and implementation.</p> <p>CR21: Please provide a summary of the preliminary stakeholder consultations. Explain how feedback from these discussions informed the project's design. Clarify how the concerns of vulnerable and marginalized groups, including Indigenous Peoples and persons with disabilities, were specifically considered and addressed. Detail the mechanisms for ensuring their meaningful inclusion, especially within the project's USP approach.</p> <p>CAR4: Please explain how gender considerations have been addressed in project design and planning, particularly in the targeted zones.</p> <p><i>At the fully developed proposal stage, a gender-responsive framework for implementation and ongoing stakeholder input should be included.</i></p> <p>Further, page 33 states that 'the PAACs of the 20 cantons that have adopted this instrument include, in Annex 3, a summary of the participatory process carried out to validate the plan,' but the annex has not been attached.</p> <p>CAR5: Please attach the referenced Annex 3 containing summaries of the participatory processes undertaken in the 20 PAACs. Ensure the concept note, including annexes, does not exceed 50 pages.</p>	
	<p>12. Is the requested financing justified on the basis of full cost of adaptation reasoning?</p>	<p>Needs clarification.</p> <p>The proposal outlines a general adaptation rationale and links the requested funding to the implementation of priority actions in the PAACs. However, it does not clearly explain how the requested amount represents the <i>full cost of adaptation</i>, particularly in terms of the baseline or business-as-usual scenario. It remains unclear what would not happen without the requested financing, and how the proposed activities go beyond existing development efforts to directly address climate risks. There are no proposed metrics, models, or estimates to</p>	<p>CR22: clarifications are included in section</p>

		<p>demonstrate how much risk or vulnerability will be reduced through the proposed measures. Without this, it's difficult to assess whether the costs are proportional to the adaptation benefits.</p> <p>CR22: Please clarify how the requested funding corresponds to the full cost of adaptation, including what the baseline scenario would be without this funding and how the proposed activities specifically address climate risks beyond existing development measures.</p> <p><i>At the fully developed proposal stage, please provide clearer baselines, cost delineation, and adaptation effectiveness indicators to fully satisfy the adaptation reasoning criteria.</i></p>	
	<p>13. Is the project / program aligned with AF's results framework?</p>	<p>Needs clarification.</p> <p>CAR6: Please include alignment with the AF Strategic Results Framework (SRF) outcomes in the description of the components. https://www.adaptationfund.org/document/strategic-results-framework-of-theadaptation-fund-amended-in-march-2019/</p>	<p>CAR6: alignment table of AF Strategic Results is included in Section 2B</p>
	<p>14. Has the sustainability of the project/program me outcomes been taken into account when designing the project? Does the project/program me support long-term development of local governance processes, and improve the capacity of</p>	<p>Needs clarification.</p> <p>The proposal outlines strategies to sustain outcomes beyond implementation—such as empowering community actors, establishing local adaptation committees, and institutionalizing knowledge-sharing networks. However, it lacks clarity on how the sustainability of locally led adaptation sub-projects (USPs) will be ensured, including requirements for environmental, social, and financial sustainability, and arrangements for operation, maintenance, and follow-up after project closure.</p> <p>For instance, page 25 notes that infrastructure-related actions under Component 2 are aligned with the National Urban Development Policy; however, the proposal does not provide specific details on how these infrastructures will be maintained over the long term, including arrangements for funding and technical support.</p>	<p>CR23: more info on long-term sustainability is included in 2J</p>

	<p>local institutions to ensure that communities can effectively implement adaptation actions over the long term?</p>	<p>Page 32 refers to the development of a web-based repository, but it remains unclear who will be responsible for managing, funding, and updating the platform after project completion. Additionally, the proposal provides limited information on how results will be tracked post-project or how continuous learning will be institutionalized.</p> <p>In addition, although the proposal highlights capacity building and mapping of funding sources as part of the sustainability strategy, it does not provide details on how these resources will be accessed or mobilized beyond the life of the project.</p> <p>CR23: Please clarify how the long-term sustainability of outcomes, especially at the sub-project level (USPs), will be ensured. This includes:</p> <ul style="list-style-type: none"> • The sustainability criteria that will be applied to USP selection and approval; • Arrangements for the operation, maintenance, and follow-up of USP activities after project closure; and • How communities and institutions will be supported to mobilize resources or access funding after the project ends, and how the capacities of local beneficiaries will be strengthened to sustainably design and implement adaptation sub-projects over time. 	
	<p>15. Does the project / programme provide an overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Needs clarification.</p> <p>The Checklist of Environmental and Social Principles mixes the identification of potential risks with perceived positive impacts and proposed mitigation measures. A risk assessment should focus solely on identifying potential direct, indirect, transboundary, and cumulative risks associated with the project, without incorporating mitigation strategies or perceived benefits at this stage.</p> <p>CAR7: Please revise the checklist to focus solely on identifying potential risks under each principle without including positive impacts or mitigation measures.</p> <p>The proposal indicates that Unidentified Sub-Projects (USPs) will undergo a competitive selection process under Component</p>	<p>CAR 7 (Section K) The checklist is reviewed again, and the risk level for each principle is defined (low risk, moderate risk, or high risk), and the identified risks are noted. The mitigation measure to be followed is not included, as this will be addressed at fully developed proposal stage</p> <p>CAR 8 (Section K) A description of the proposed plan is included to</p>

		<p>2, with all proposals required to include a risk analysis aligned with the Adaptation Fund’s Environmental and Social Policy (ESP). While this is a positive step, the concept note does not provide sufficient detail on how environmental and social risks will be assessed, documented, and managed throughout the sub-project cycle.</p> <p>CAR8: Please state in short description a brief overview of the plan to ensure management of USPs. Follow the guidance document here: https://www.adaptation-fund.org/document/guidance-document-for-project-programme-with-unidentified-sub-projects/</p> <p>In addition, the proposal is categorized as Category B; however, the concept note should explicitly acknowledge that risk findings are preliminary and will require further elaboration during the full proposal stage. Given the nature of the USPs, a robust Environmental and Social Management Framework (ESMF) will be essential to ensure compliance and consistency across sub-projects.</p> <p><i>At the fully developed proposal stage, please include an Environmental and Social Management Plan (ESMP) that includes a detailed, budgeted process to apply the ESP and the GP to each USP as and when it is being identified and approved by Fundecoperacion.</i></p>	<p>ensure the management of USPs in the planned subprojects, in order to guarantee compliance with Adaptation Fund regulations. This proposal will be developed in detail during the fully developed proposal stage</p>
Resource Availability	1. Is the requested project / programme funding within the cap of the country?	<p>Yes.</p> <p>The requested financing is USD 5,000,000.</p>	
	2. Is the Implementing Entity Management Fee at or below 8.5% per cent of the total	<p>Yes.</p> <p>The Implementing Entity Management Fee is 8.5% of the total project budget before the fee, which is within the cap.</p> <p>The proposal requests a Project Formulation Grant (PFG) of USD 150,000, which is appropriate for a single-country project</p>	

	project/programme budget before the fee?	with a total budget exceeding USD 5 million. The associated PFG fee is 8.5%, in line with the allowable cap.	
	3. Are the Project/Programme Execution Costs at or below 9.5% per cent of the total project/programme budget (including the fee)?	Yes. The execution costs are within the cap at 8.7% of the total project/programme budget.	
Eligibility of IE	1. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?	Yes. The accreditation is to be expired by the 21 June 2026	



LOCALLY-LED ADAPTATION PROJECT/PROGRAMME PROPOSAL FOR SINGLE COUNTRY

PART I: PROJECT/PROGRAMME INFORMATION

Title of Project/Programme: Grass-roots of Adaptation – Strengthening community climate resilience through locally led adaptation in Costa Rica

Country: Costa Rica

Thematic Focal Area: Multi-Sector

Type of Implementing Entity: National Implementing Entity

Implementing Entity: Fundecooperación para el Desarrollo Sostenible

Executing Entities: municipalities, local NGO and CSOs.

Amount of Financing Requested: 5 000 000 (in U.S Dollars Equivalent)

Letter of Endorsement (LOE) signed: Yes No

NOTE: The LOE should be signed by the Designated Authority (DA). The signatory DA must be on file with the Adaptation Fund. To find the DA currently on file check this page: <https://www.adaptation-fund.org/apply-funding/designated-authorities>

Stage of Submission:

- This proposal has been submitted before including at a different stage (pre-concept, concept, fully- developed proposal)
This is the first submission ever of the proposal at any stage

In case of a resubmission, please indicate the last submission date: **July 10th, 2025**.

Project / Programme Background and Context:

Provide brief information on the problem the proposed project/programme is aiming to solve. Outline the economic social, development and environmental context in which the project would operate.

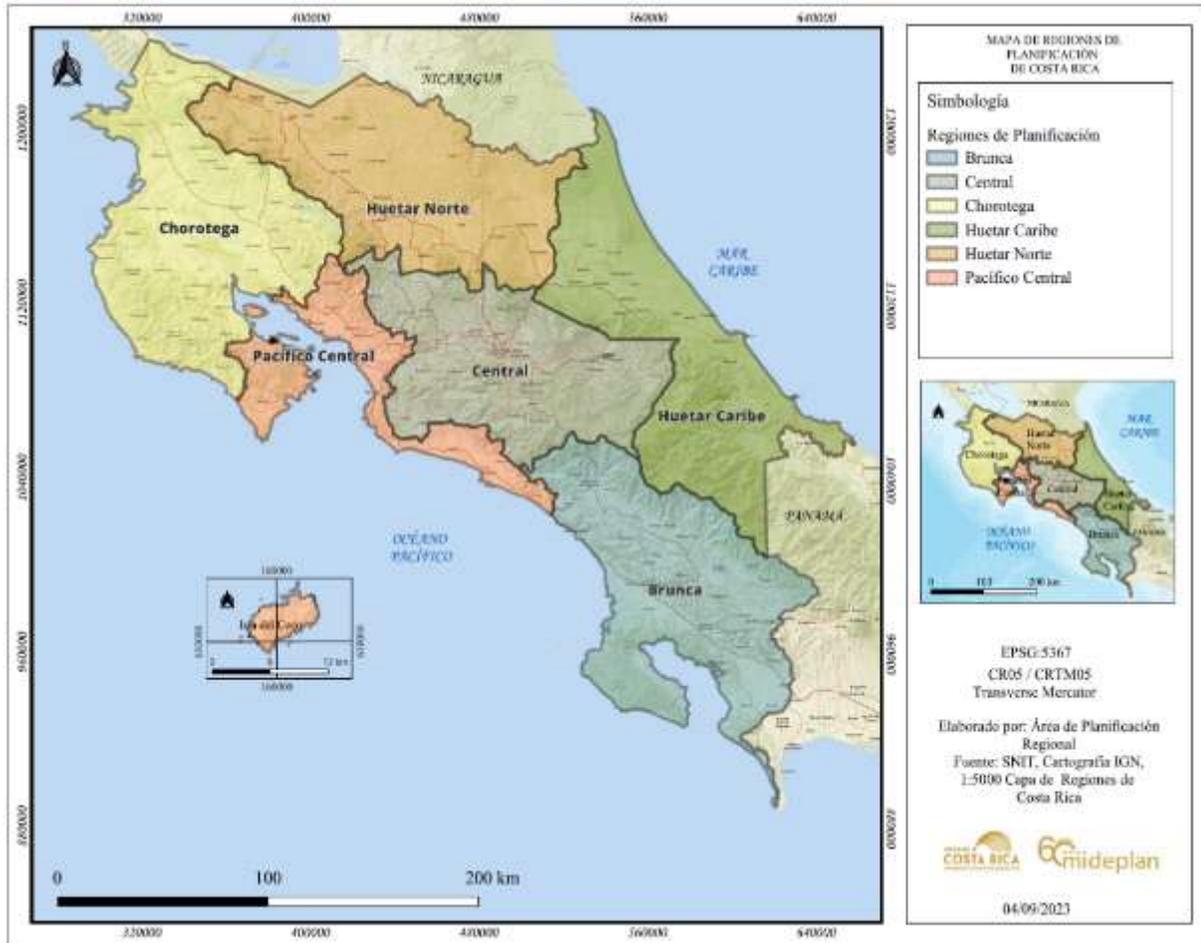
Country Summary

Costa Rica has a privileged geographic position; it is a country located between two coasts—the Pacific and Caribbean slopes. The country has a land area of 51,179.93 km² and a territorial sea of 550,000 km². Despite its relatively small size, the country harbors 6.5% of the known global biodiversity, with 26.51% designated as protected areas.

as protected terrestrial areas and 2.75% as protected marine areas (MINAE, SINAC, CONAGEBIO, 2018). Costa Rica's population exceeds 5,105,525 inhabitants, and the country has a GDP of 86.5 billion dollars (World Bank Group, 2025). The largest population concentration is in San José province, its capital, where approximately 31.7% of the population resides (INEC, 2023).

Costa Rica is divided into seven provinces and subdivided into 84 cantons, which are further divided into districts. For planning and development purposes, the country is divided into six regions: Central, Central Pacific, Chorotega, Huetar Norte, Huetar Caribe, and Brunca, as illustrated in the following figure.

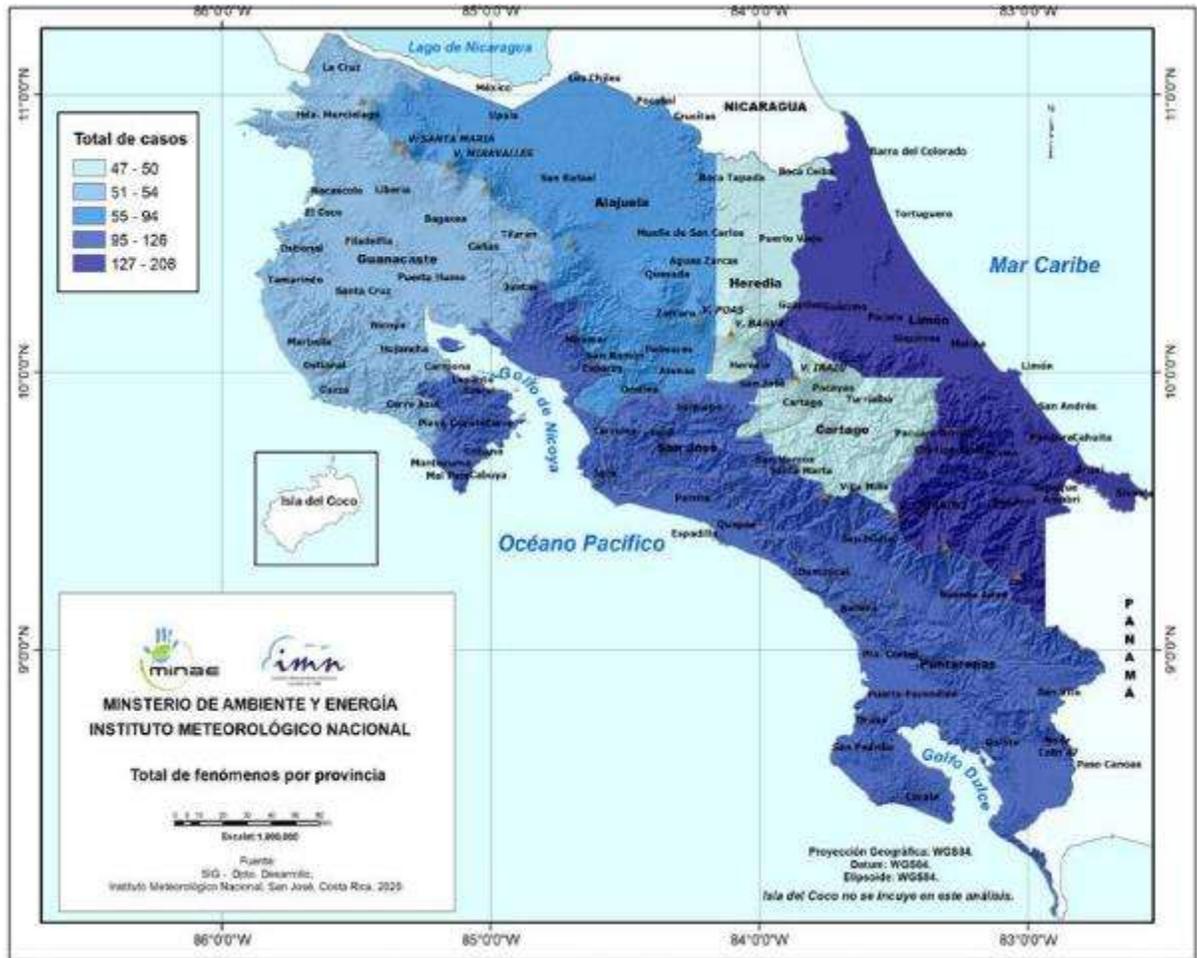
Figure 1. Map of Costa Rica's Planning Regions. Source: Ministry of National Planning and Economic Policy, 2023.



Meteorological Phenomena and Events

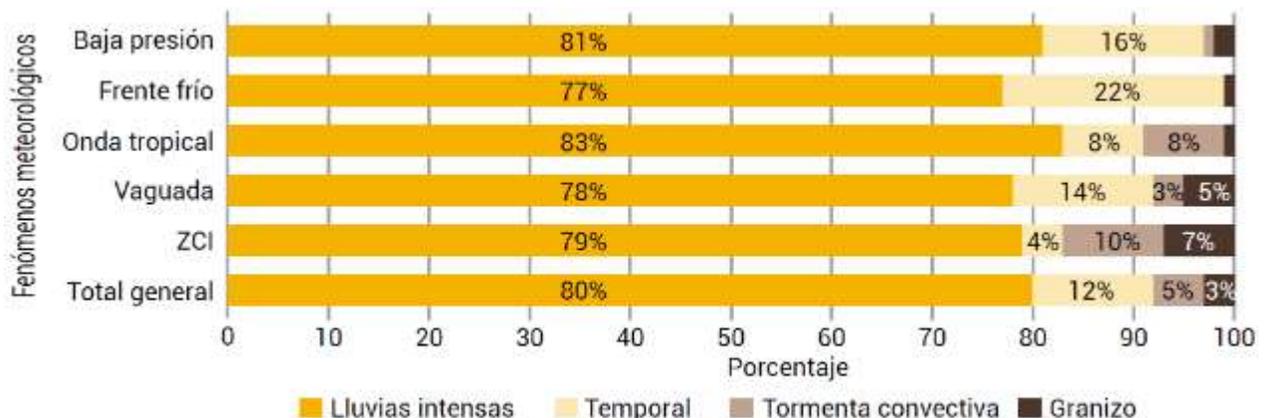
Between the years 1980 and 2017, records identified 14 types of phenomena occurring in the country. These include: cold front, cold surge, polar air mass, frontal shear line, tropical depression, tropical storm, hurricane, high pressure, low pressure, El Niño, La Niña, tropical wave, trough, and the Intertropical Convergence Zone (ITCZ). The most common phenomena in Costa Rica's historical data are: tropical waves, low-pressure systems, cold fronts, the ITCZ, and troughs (MINAE, 2021). Historically, meteorological events have occurred most frequently in the provinces of Limón, Puntarenas, and Alajuela, as illustrated in the following figure (Figure 2).

Figure 2. Distribution of Meteorological Phenomena Recorded in Costa Rica (1980–2017). Source: IMN, 2021a.



Between 1980 and 2017, a total of 1,264 meteorological events were recorded, 72% of which corresponded to heavy rains, storms, convective storms, and hail, making these four the most frequent in the country and closely associated with the presence of meteorological phenomena, as shown in Figure 3. The impacts of these events are diverse and depend on their intensity; they may cause displacement, loss of human life, crop damage, and disruption to communication routes. In particular, heavy rains are the leading event with the potential to generate losses or disasters across the country and during any month of the year (MINAE, 2021). Each meteorological phenomenon may involve one or several meteorological events; however, heavy rain remains the most predominant, as illustrated in the following figure (Figure 3).

Figure 3. Percentage Distribution of Event Types by Meteorological Phenomenon in Costa Rica. Source: IMN, 2021a. IMN, 2021a.



Historically, meteorological events have occurred most frequently in the provinces of Limón, Puntarenas, and

Alajuela, as illustrated in the following figure.

Figure 4. Distribution of Meteorological Events Recorded in Costa Rica (1980–2017). Source: IMN, 2021a.



In the context of Costa Rica, meteorological events are analyzed by considering their increasing frequency and intensity, as well as their short-term effects, such as floods, droughts, extreme temperatures, hurricanes, tropical storms, and heavy rains. External meteorological events are regarded as part of the natural variability of the climate; however, it is recognized that due to the effects of climate change, their frequency and intensity may increase. An event becomes extreme depending on its magnitude, strength, or the impacts it causes on social, productive, and natural sectors. These events can lead to disasters when their effects are severe on vulnerable systems, resulting in significant damage (MINAE, 2021).

Costa Rica's Vulnerability to Climate Change

Costa Rica is among the countries most vulnerable to the impacts of climate change, particularly extreme hydrometeorological events. This is due to a combination of its geographic location, economic factors, and topographic conditions, which result in the unequal distribution of climate effects across the territory. The country faces short-term phenomena such as droughts, extreme temperatures, hurricanes, tropical storms, and heavy rains, as well as slow-onset events like gradual temperature rise, biodiversity loss, land and forest degradation, ocean acidification, saltwater intrusion, and sea level rise. Historical records from the IMN and climate variability-related events, such as the El Niño–Southern Oscillation (ENSO), show that the country's coasts experience opposite impacts: while droughts are predominant on the Pacific side, floods are more frequent on the Caribbean side. Future climate conditions are expected to resemble those observed during El Niño episodes (IMN, 2019).

From an economic standpoint, MINAE estimated in 2010 that the costs of repairing and reconstructing infrastructure damaged by extreme events amounted to 1.01% of the GDP. Under current trends, these costs

are projected to rise, ranging between 0.68% and 1.05% in conservative scenarios, and between 1.64% and 2.5% in alternative scenarios. Beyond economic losses, these phenomena pose serious risks to people and have led to a growing number of human fatalities (MINAE, 2021).

Vulnerability by región

The National Climate Change Adaptation Policy explicitly acknowledges the need to create conditions that foster resilience in both human and natural systems, particularly through territorial planning processes. This approach is especially relevant when considering that various factors that hinder socioeconomic development—such as poverty, unemployment, limited access to education, inadequate housing, and gender inequality—directly influence the vulnerability of human systems. It is therefore essential to manage these factors while taking into account the specific limitations and opportunities of each region (DCC, 2022a).

Below is information characterizing the context and climate change-related risks faced by each region:

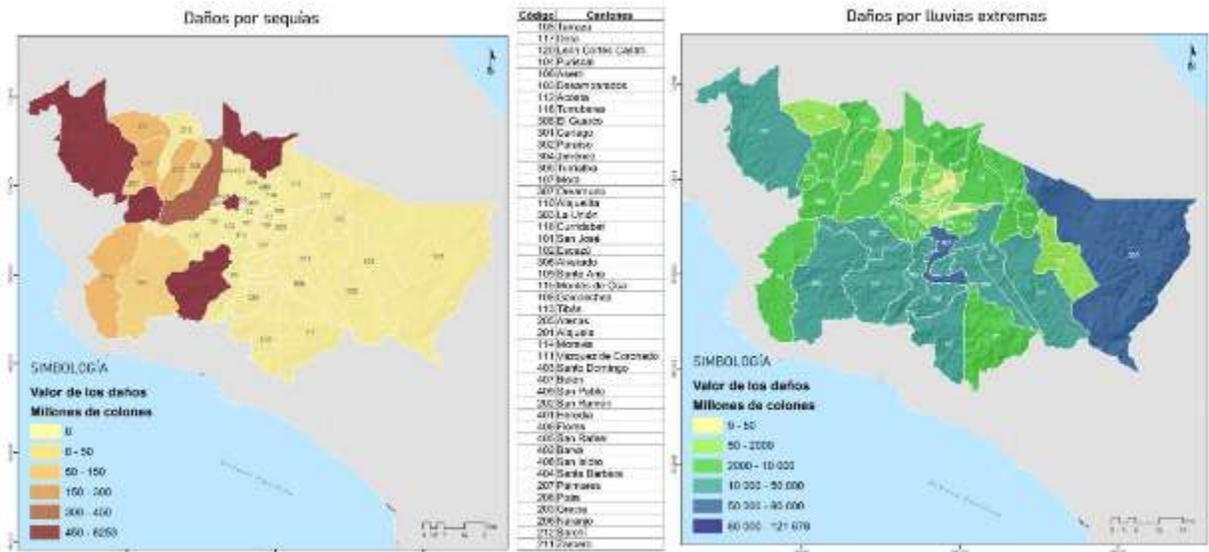
Central Region. The region covers an area of 8,525 km², representing 16% of Costa Rica’s territory and is home to approximately 70% of the population. It is predominantly urban, although it also includes surrounding areas considered rural. Agricultural and industrial activities are developed here, focused on coffee, sugarcane, vegetables, legumes, tubers, and dairy cattle farming. The region also contains aquifer recharge zones where several of the country’s most important rivers originate (DCC, 2022a; MINAE, 2021).

The Central Region may experience the following climate-related risks that affect its environmental, social, and economic context:

- Loss of competitiveness due to declining quality and availability of public services and infrastructure resulting from the adverse effects of climate variability and climate change.
- Decreased quality of experience, reduced tourist demand, and loss of tourism-related livelihoods due to impacts caused by rising temperatures and changing precipitation patterns, including biodiversity loss.
- Decline in productivity and loss of competitiveness in the industrialization of raw materials and the marketing of agricultural and agro-industrial goods and services due to impacts resulting from rising temperatures and fluctuations in precipitation.

There is available information regarding the economic valuation of damages caused by hydrometeorological events in the region:

Figure 5. Economic Value of Damages from Hydrometeorological Events Declared National Emergencies in the Central Region (1988–2018). Source: MINAE, MIDEPLAN & UNEP, 2020.



In this region, droughts have primarily affected the agricultural sector, while extreme rainfall has mostly impacted road infrastructure, housing, and agriculture (DCC, 2022a).

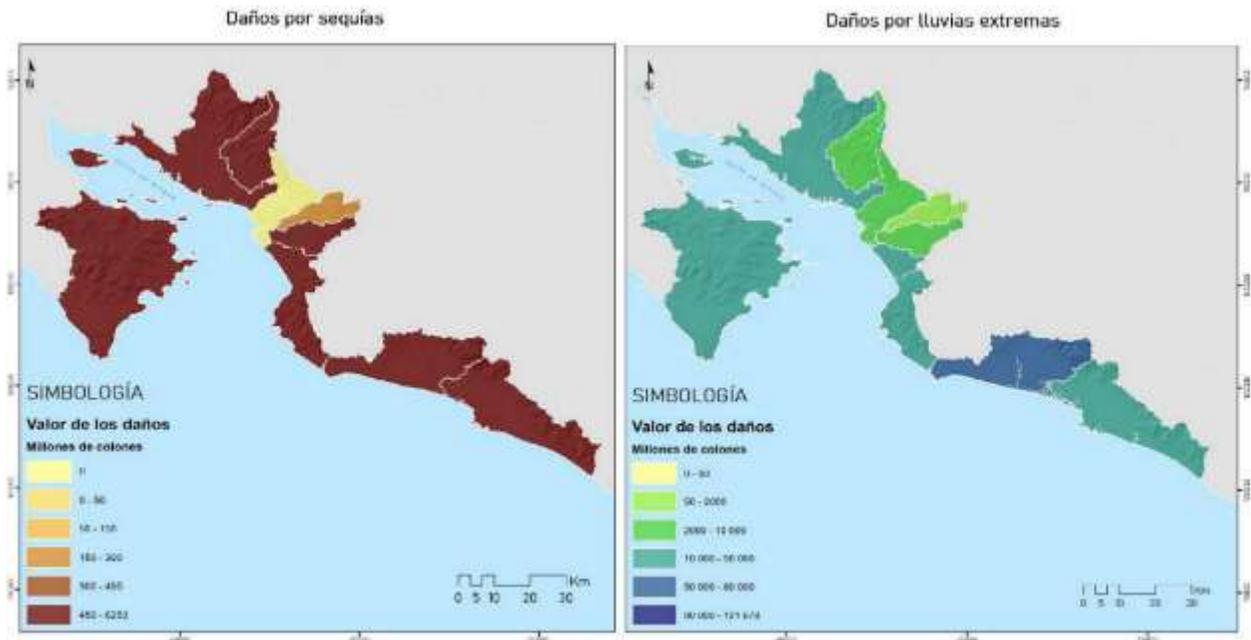
Central Pacific Region. The region spans 3,910 km², representing 7.6% of Costa Rica’s territory and is home to approximately 6% of the population. It encompasses lowland areas, ranging from sea level up to 200 meters above sea level, and features three distinct climates: dry, rainy, and cool in the higher elevations. Economic activities are centered around tourism, maritime and land freight transport—thanks to its proximity to ports such as Caldera and Puntarenas—as well as agriculture (rice, watermelon, oil palm), livestock, and fishing (DCC, 2022b; MINAE, 2021).

The Central Pacific Region may face the following climate-related risks, impacting its environmental, social, and economic contexts:

- Risk of declining tourist demand due to changes in sea level, temperature, and precipitation patterns.
- Risk of reduced agricultural yields and food security due to changes in temperature, precipitation patterns, and rising sea levels.
- Risk of decreased business competitiveness due to changes in temperature, precipitation patterns, and sea level.

Economic data is available on damages caused by hydrometeorological events in the region:

Figure 6. Economic Value of Damages from Hydrometeorological Events Declared National Emergencies in the Central Pacific Region (1988–2018). Source: MINAE, MIDEPLAN & UNEP, 2020.



In this region, droughts have primarily impacted the agricultural sector, while extreme rainfall has mostly affected road infrastructure, aqueducts and sewer systems, rivers and streams, as well as the agricultural sector (DCC, 2022b).

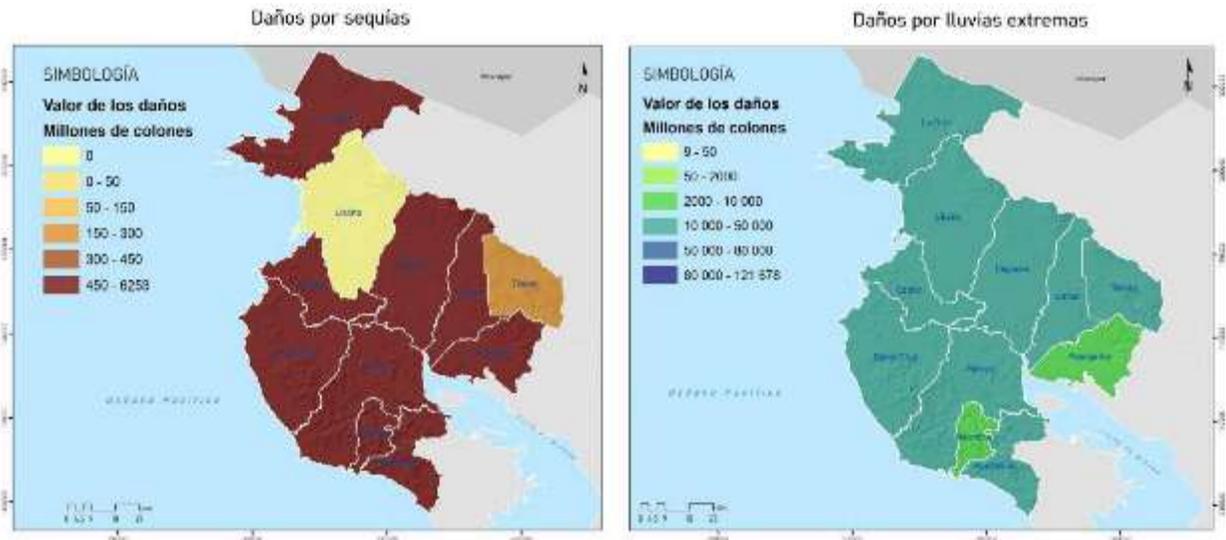
Chorotega Region. The region spans 10,141 km², representing 19.8% of Costa Rica's territory and is home to over 393,788 inhabitants. Approximately 15% of the region consists of protected wilderness areas, mainly designated as national parks. It has a dry climate influenced by the Guanacaste and Tilarán mountain ranges, which border it to the east, and features two distinct seasons: dry and rainy. Economic activities include agriculture—producing sugarcane, melon, watermelon, rice, and beef—and tourism, which benefits from the presence of the Daniel Oduber International Airport. This region generates 40% of the country's clean energy (DCC, 2022c; MINAE, 2021).

The Chorotega Region may face the following climate-related risks, impacting its environmental, social, and economic context:

- Risk of declining tourism competitiveness and associated livelihoods.
- Risk of reduced agricultural yields and food security.
- Risk of discouraging business and technological development in the region.

Information is available regarding the economic value of damages caused by hydrometeorological events in the region:

Figure 7. Economic Value of Damages from Hydrometeorological Events Declared National Emergencies in the Chorotega Region (1988–2018). Source: MINAE, MIDEPLAN & UNEP, 2020.



In this region, droughts have primarily impacted the agricultural sector, while extreme rainfall has mostly affected road infrastructure, the agricultural sector, and housing (DCC, 2022c).

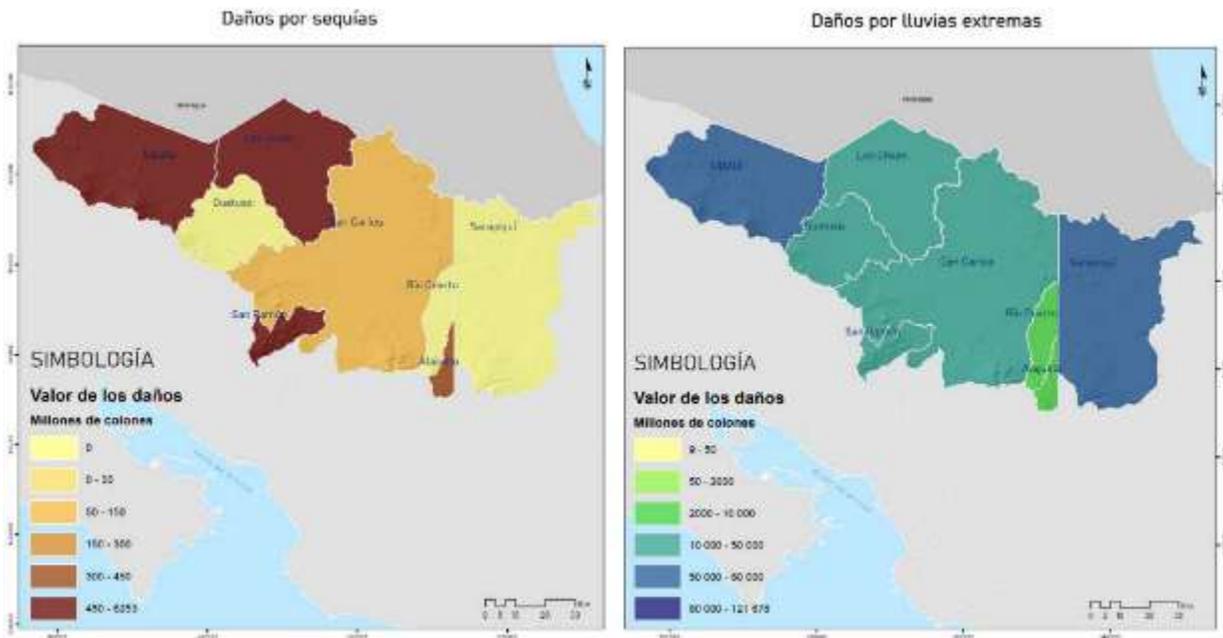
Huetar Norte Region. The region covers 9,803 km², representing 19% of Costa Rica's territory and is home to 8% of the population. It features a very humid, highly rainy climate, with a complex hydrological network and ecologically significant protected areas. Economic activities include agriculture, livestock, forestry, and fishing, as well as commerce and manufacturing (DCC, 2022d; MINAE, 2021).

The Huetar Norte Region may face the following climate-related risks, impacting its environmental, social, and economic context:

- Risk of declining tourism experience quality, reduced tourist demand, and loss of tourism-related livelihoods due to rising temperatures and changing precipitation patterns.
- Risk of reduced quality and productivity in agricultural activities due to variations in temperature and precipitation.
- Risk of decreased productivity and loss of business competitiveness in the region due to rising temperatures and precipitation variability.

Information is available regarding the economic value of damages caused by hydrometeorological events in the region:

Figure 8. Economic Value of Damages from Hydrometeorological Events Declared National Emergencies in the Huetar Norte Region (1988–2018). Source: MINAE, MIDEPLAN & UNEP, 2020.



In this region, droughts have primarily impacted the agricultural sector, while extreme rainfall has mostly affected road infrastructure, the agricultural sector, and rivers and streams (DCC, 2022d).

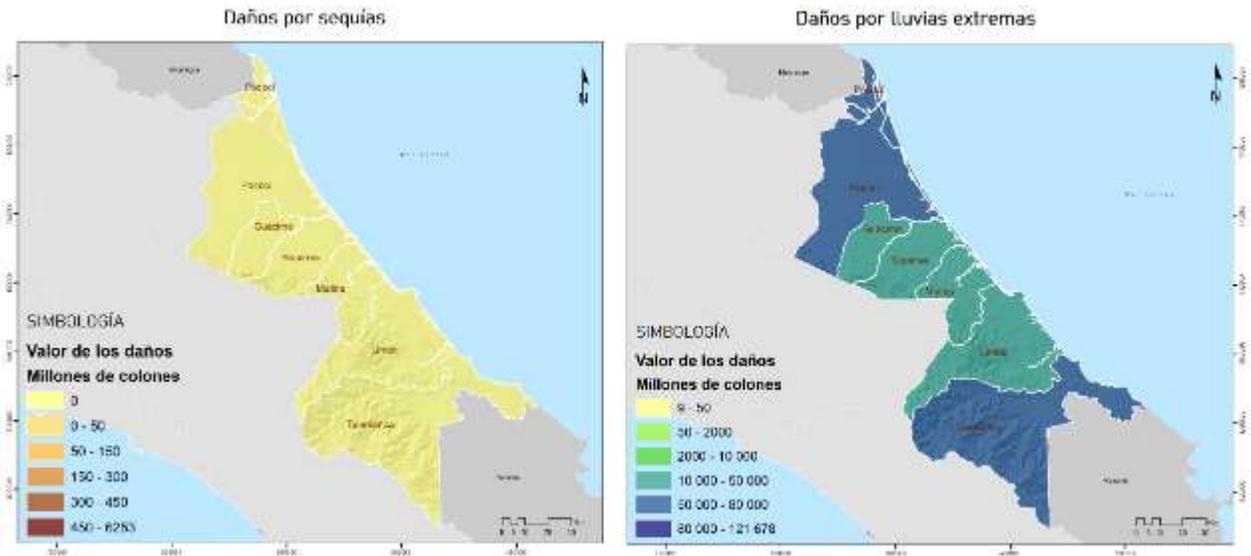
Huetar Caribe Region. The region spans 9,188 km², representing 18% of Costa Rica's territory and is home to over 460,168 inhabitants. Approximately 38% of the region is under protection by the National System of Conservation Areas (SINAC). It has a very humid climate, with high temperatures ranging between 27°C and 30°C. Its terrain includes alluvial plains, is traversed by numerous rivers, and contains highly important aquifers that supply potable water to the region. Economic activities include agriculture—primarily the production of bananas, pineapples, and ornamental plants—as well as port and transportation services. Tourism is concentrated in specific beach areas of the region (DCC, 2022e; MINAE, 2021).

The Huetar Caribe Region may face the following climate-related risks, impacting its environmental, social, and economic context:

- Risk of reduced productivity and loss of competitiveness in the marketing of agricultural and agro-industrial goods and services due to impacts caused by rising temperatures and changes in precipitation.
- Risk of declining tourism experience quality, reduced tourist demand, and loss of tourism-related livelihoods due to impacts caused by rising temperatures and changes in precipitation.
- Risk of reduced quality and yields in agricultural and fishing activities, as well as loss of food and nutritional security, due to variations in temperature and precipitation.

Information is available regarding the economic value of damages caused by hydrometeorological events in the region:

Figure 9. Economic Value of Damages from Hydrometeorological Events Declared National Emergencies in the Huetar Caribe Region (1988–2018). Source: MINAE, MIDEPLAN & UNEP, 2020.



In this region, extreme rainfall has primarily affected road infrastructure, the agricultural sector, and rivers and streams (DCC, 2022e).

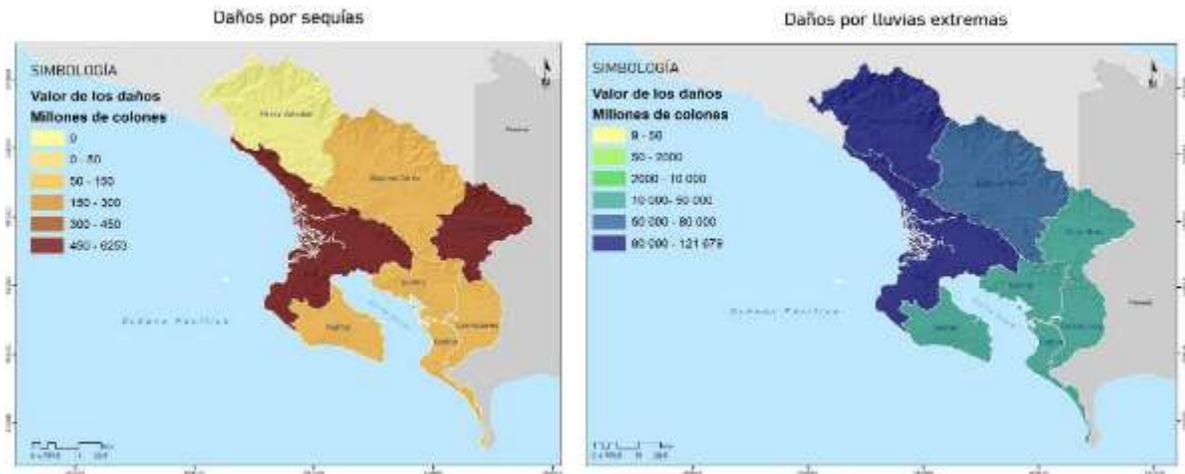
Brunca Region. The region spans 9,528 km², representing 19% of Costa Rica’s territory and is home to 8% of the population. It has a very rainy tropical humid climate and features a mountainous system with significant hydrological potential and aquifer recharge areas. The region contains 12 Indigenous territories, making it the area with the highest Indigenous population in the country. It is also distinguished by having the most biodiverse ecosystems in Costa Rica, protecting conservation areas such as La Amistad Pacific (ACLAP) and Osa (ACOSA). Economic activities include agriculture, with crops such as coffee, grains, tubers, vegetables, fruits, pineapple, oil palm, sugarcane, and livestock. Agroindustry focuses on coffee, sugarcane, pineapple, rice, corn, beans, and forest products. Tourism is practiced mainly due to the presence of the Corcovado National Park, Marino Ballena National Park, Chirripó National Park, La Amistad National Park, and the Golfito Duty-Free Zone (DCC, 2022f; MINAE, 2021).

The Brunca Region may experience the following climate-related risks, impacting its environmental, social, and economic context:

- Risk of declining tourism experience quality, reduced tourist demand, and loss of tourism-related livelihoods due to impacts caused by rising temperatures and changes in precipitation, including biodiversity loss.
- Risk of disruption to critical services and productive activities in the region due to damage to tourism, road, and port infrastructure caused by variations in temperature and precipitation.
- Risk of reduced productivity and loss of competitiveness in the marketing of agricultural and agro-industrial goods and services in the region due to impacts caused by rising temperatures and changes in precipitation.

Information is available regarding the economic value of damages caused by hydrometeorological events in the region:

Figure 10. Economic Value of Damages from Hydrometeorological Events Declared National Emergencies in the Brunca Region (1988–2018). Source: MINAE, MIDEPLAN & UNEP, 2020.



In this region, droughts have primarily impacted the agricultural sector, while extreme rainfall has mostly affected road infrastructure, the agricultural sector, and housing (DCC, 2022f).

Climate Adaptation in Costa Rica

Communities and Vulnerable Groups in Adaptation

Costa Rica's Nationally Determined Contribution (NDC) states that the most vulnerable groups are not only the poorest. Vulnerable populations also include persons with disabilities, older adults, transgender individuals, indigenous peoples, afro-descendant communities, and women. These groups are considered vulnerable because they lack the economic resources needed to adapt, as well as the knowledge required to confront risks stemming from extreme hydrometeorological events exacerbated by climate change (MINA, 2021). Regarding indigenous peoples, it is considered that their historical memory should be recovered, interpreted, and analyzed as a valuable input for developing community adaptation strategies in response to climate variability and change (IMN, 2021a).

The National Adaptation Plan identifies several factors that contribute to the vulnerability of these groups in the face of climate change:

- High levels of informal employment among women, especially in rural and coastal areas
- Greater difficulty for women and Indigenous peoples in accessing opportunities
- Domestic violence against women
- Limited access for women to housing, potable water, and healthcare
- Indigenous communities with scarce resources and opportunities
- Indigenous communities with deficient services (potable water, electricity, internet)

Some of the needs for implementing adaptation actions related to Indigenous peoples and communities, as identified in the Fourth National Communication, include:

- Coordination of community efforts in both urban and rural areas
- Development of an integration agenda for vulnerable or historically excluded community and population groups
- Creation of a climate-smart mindset and culture among new generations
- Strengthening coordination between institutions and other sectors during the design and financing phases of adaptation actions
- Reinforcement of local and Indigenous community knowledge in the fight against climate change
- Recovery of the historical memory of Indigenous peoples and older adults

In Costa Rica, a key strength is the growing interest of communities, local stakeholders, NGOs, the private productive sector, SMEs, and others in the formulation and implementation of climate change adaptation initiatives.

Capacity Building for Adaptation

Capacity building is a key element in adaptation processes in Costa Rica, as it serves as a mechanism to modify attitudes and behaviors, impart knowledge, and develop new skills in the field. Education and training are considered essential components of capacity building, and this can be achieved through various means such as education, training, networking, targeted workshops, technical assistance, and support for at-risk groups. In the national context, the most vulnerable groups do not always have the necessary knowledge to adequately adapt to climate change (MINAE, 2021).

In Costa Rica, it is necessary to work on identifying needs and priorities for capacity building through a participatory approach that ensures the enhancement of social capital and facilitates community ownership, thereby guaranteeing local acceptance and long-term sustainability of the actions to be implemented. Additionally, intergenerational knowledge transfer is a fundamental factor in climate change adaptation, as success is only achieved when knowledge is effectively passed on (IMN, 2021a).

In the area of capacity building, the following national-level weaknesses have been identified:

- Capacity building alone is insufficient and is sometimes not adequately linked to other adaptation processes.
- Capacity strengthening efforts are often short-term, limiting their impact on cultural change.
- The historical memory of communities is underutilized in understanding the implications of climate change.
- Climate-related capacity building and information within the formal education system still need to be strengthened.

Regarding capacity building, the following support needs have been identified:

- Integrate climate adaptation into capacity development processes across different productive sectors.
- Strengthen institutional capacities to offer services and products that support climate adaptation from the public sector.
- Include climate change topics in formal education spaces.
- Recover the historical memory of older adults to better understand climate change through their experiences.
- Strengthen institutional capacities to develop climate-smart projects and initiatives that can be eligible for funding.

Project / Programme Objectives:

List the main objectives of the project/programme.

This proposal is based on the recognition that local communities face significant challenges due to the impacts of climate change, while also possessing valuable knowledge (ancestral, traditional, and territorial) that must be considered in adaptive responses. It proposes a decentralized and inclusive approach that promotes community leadership as a central axis, aligning actions with existing planning instruments at the cantonal, regional, and national levels—especially the National Adaptation Plan.

To translate this approach into concrete actions, three strategic lines are established: Strengthening technical capacities and local governance for more effective decision-making; Implementing adaptation measures that leverage territory-specific knowledge to increase resilience; and Developing exchange spaces that promote the visibility of successful initiatives, facilitating their scalability and replicability in other communities.

The **main objective** of the project is to implement local adaptation actions led by community organizations, in alignment with cantonal and regional adaptation plans and the National Adaptation Plan, through inclusive and decentralized processes that respond to local vulnerability, promote the use of local and Indigenous knowledge, and foster the dissemination and exchange of learnings.

The specific objectives are:

- a. Strengthen the technical capacities of local organizations and institutions through training and participation spaces that promote community leadership and facilitate strategic decision-making in climate change adaptation.
- b. Promote the implementation of adaptation actions based on local, traditional, and Indigenous knowledge as a key tool to enhance community resilience to climate change impacts.
- c. Facilitate spaces for the exchange of experiences and learnings, fostering the visibility, replicability, and scalability of successful climate change adaptation initiatives.

Project / Programme Components and Financing¹:

Fill in the table presenting the relationships among project components, activities, expected concrete outputs, and the corresponding budgets. If necessary, please refer to the attached instructions for a detailed description of each term.

For the case of a programme, individual components are likely to refer to specific sub-sets of stakeholders, regions and/or sectors that can be addressed through a set of well-defined interventions / projects.

This project is grounded in a transformative approach that drives climate adaptation from the local level, recognizing communities as key actors in decision-making, action implementation, and knowledge generation. The proposal is structured around three interrelated components that, through a logic of inclusion, shared responsibility, and sustainability, promote context-specific solutions to current climate challenges.

Component 1 focuses on active participation and the strengthening of community capacities through training processes and dialogue spaces that integrate traditional knowledge, gender perspectives, and local leadership. This component emphasizes that adaptation should be built from territorial realities, enhancing resilience through the co-creation of projects led by communities and their diverse stakeholder groups. These proposals directly feed into **Component 2**, which enables their implementation through transparent mechanisms for calls and financing, framed within the Climate Adaptation Action Plans (PAAC) of at least 20 cantons across the country.

Finally, **Component 3** ensures the sustainability of learnings and their scalability through knowledge exchange, systematization of successful experiences, and the formation of territorial collaboration

¹ IE and EE fees calculator: <https://www.adaptation-fund.org/document/ie-and-ee-fees-calculator/>

networks. Through dissemination mechanisms, open-access repositories, interactive fairs, and technical tours, the project fosters strong knowledge sharing that enhances the replicability of adaptation actions and the integration of ancestral knowledge as a tool for adaptation. The project not only carries out specific actions, it promotes a shift in how Costa Rica builds climate resilience from its territories.

Project/Programme Components	Expected Concrete Outputs	Expected Outcomes	Amount (US\$)
1. Community Participation and Capacity Strengthening	1.1 Community participation spaces are established, ensuring inclusion (of women, youth, Indigenous peoples, and marginalized groups) in decision-making, fostering transparent and equitable processes. 1.2 Training and co-creation sessions are developed for communities, local actors, the private sector, and municipal sector to promote leadership and skills in structuring climate adaptation projects. 1.3 Accessible financing mechanisms are identified for community-led adaptation actions.	1. Community organizations are engaged and equipped with knowledge for decision-making and implementation of local adaptation actions.	1 000 000
2. Implementation of Adaptation Projects	2.1 Locally led adaptation actions are implemented, prioritized in the Climate Adaptation Action Plans (PAAC) of cantons that have these instruments.	2. Local knowledge has been integrated into the implemented actions, and the planned actions in cantonal adaptation plans have been executed. At least 20 communities are more resilient.	2 800 000
3. Knowledge Exchange, Systematization, and Replicability	3.1 Inter-community knowledge exchange spaces are established, and a network of communities for adaptation is created. 3.2 Dissemination mechanisms are created for implemented actions and for the local and ancestral knowledge applied to adaptation.	3. Learning and collaboration networks between localities are consolidated, promoting the dissemination and scalability of successful adaptation initiatives.	410 000
6. Project/Programme Execution cost			400 000
7. Total Project/Programme Cost			4 610 000
8. Project/Programme Cycle Management Fee charged by the Implementing Entity (if applicable)			390 000
Amount of Financing Requested			5 000 000

Projected Calendar:

Indicate the dates of the following milestones for the proposed project/programme

Milestones	Expected Dates
Start of Project/Programme Implementation	01/07/2026
Mid-term Review (if planned)	01/02/2029
Project/Programme Closing	30/06/2031
Terminal Evaluation	30/01/2032

PART II: PROJECT / PROGRAMME JUSTIFICATION

- A. Describe the project / programme components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience. For the case of a programme, show how the combination of individual projects will contribute to the overall increase in resilience. Specify how the project/programme enables devolving decision making to the lowest appropriate level and gives local institutions and communities more direct access to finance and decision-making power over how adaptation actions are defined, prioritized, designed, implemented; how progress is monitored and how success is evaluated.

This project proposal is aligned with Costa Rica’s National Adaptation Plan to Climate Change (PNACC) (2022–2026). It aims to promote the participation of local communities in decision-making processes for the implementation of adaptation measures; additionally, it seeks to execute actions that enhance the resilience of various localities and facilitate knowledge dissemination and exchange. Due to its geographic location and socioeconomic conditions, Costa Rica faces high risks from the adverse effects of climate change and climate variability. The country’s cantons and regions face significant challenges in light of these effects, which notably impact economic systems, infrastructure, and healthcare in different localities, thereby increasing their vulnerability.

Currently, 20 cantons in Costa Rica have Climate Adaptation Action Plans (PAACs), which are aligned with the PNACC. It is important to note that the PAACs were developed within the framework of the project “Plan A – Resilient Territories to Climate Change,” which was financed by the Green Climate Fund (GCF) and implemented by the United Nations Environment Programme (UNEP), with support from Fundecooperación para el Desarrollo Sostenible. The strategic oversight was provided by the Climate Change Directorate and the National Meteorological Institute of Costa Rica. The development of the PAACs involved public consultation and validation processes, which have served as a foundation for the design of this proposal. A summary of current status of these 20 PAAC is included in Annex 1

The guiding approaches within the PAACs, which structure the definition of proposed adaptation measures, include the following components:

- **Gender Equity and Social Inclusion:** This approach seeks to build equitable and just gender relations. It influences the formulation and management of public policies by integrating the specific needs of women and men into each phase of the public policy cycle. This results in effective and efficient governance aimed at achieving social and gender equality.
- **Citizen Participation:** This approach underscores every individual’s right and responsibility to engage in decision-making processes related to territorial management and climate change adaptation. Participation spaces allow for the identification of community opinions, needs, experiences, and solutions, thereby supporting the development of robust and comprehensive climate strategies. These dialogues also facilitate the identification of social vulnerabilities and guide the development of solutions that empower

women and promote the inclusion of populations in vulnerable conditions.

- **Community-Based Adaptation:** This approach acknowledges and incorporates traditional knowledge from Indigenous peoples and local communities in the design of climate adaptation measures. It ensures that the benefits derived from these actions are fairly and equitably distributed. It recognizes, promotes, supports, and incentivizes Indigenous and local knowledge, as well as traditional techniques that enhance territorial adaptation.

A steering committee will include DCC/Minae, Fundecooperacion, CNE and IFAM, and will serve as support to local committees in each municipality, in facilitating capacity building processes and to oversee project implementation.

This project prioritizes actions from Climate Adaptation Action Plans (PAACs) focused on sustainable agriculture, ecosystem based adaptation, water resource management, and disaster risk reduction, selecting actions that directly benefit vulnerable populations, enhance climate-sensitive livelihoods, and offer potential for scalability. The selection criteria emphasize alignment with project objectives, community ownership, scientific soundness, cost-effectiveness, and contribution to national goals.

The prioritization process is designed to be highly transparent and inclusive. This will entail consultations and participatory assessments to identify and address local needs and vulnerabilities. Community-based monitoring and accessible feedback mechanisms will ensure that project implementation remains responsive and accountable to local communities.

The selected actions, implemented as sub-projects, may include promoting drought-resistant crops and efficient irrigation, soil conservation in community areas, establishing community-based water systems and improved local water governance, restoring ecosystems and promoting sustainable forestry, developing early warning systems, community-based flood reduction measures, and constructing climate-resilient infrastructure, and creating community-led innovation centers. These actions clarify the project's scope and aim to enhance climate resilience while promoting sustainable development in vulnerable communities.

This project addresses these guiding approaches and priority actions, by deepening the focus on locally-led adaptation, structured into the following three components:

Component 1: Community Participation and Capacity Strengthening.

This component outlines actions to strengthen participatory spaces, which are essential for identifying and prioritizing local-level climate adaptation measures. Building participatory processes that involve various community actors ensures that the adaptation actions to be implemented respond to the specific needs of each locality, enabling an effective and sustainable process.

A local committee will be established, with the participation of the municipality, local risk committee, community representatives and the technical support from Fundecooperacion and DCC/MINAE. Responsibility for leading this process will lie initially with Fundecooperación, in coordination with local NGOs, community-based organizations, and recognized community leaders. These actors will facilitate the creation and strengthening of participatory spaces, ensuring inclusive representation and effective engagement. Gender balance within this local committees will be a requirement. Once the committee is operational, the leading role will be transferred to it, and it will then coordinate the local process, with support from Fundecooperacion and the Steering committee as needed. This local committee will be officialized and empowered by the steering committee and the local municipality, and it will be in charge of the project selection and monitoring.

To define the composition and mandate of local adaptation committees, a set of inclusive criteria will be applied. These include gender balance, representation of youth and Indigenous peoples, and the inclusion of individuals with ancestral knowledge and historical memory. The selection process will prioritize diversity, local legitimacy, and the capacity to contribute meaningfully to adaptation planning and implementation. Capacity building tools and activities will also be provided to this committee.

Fundecooperacion will form a technical team, including representatives from various institutions with relevant

capacity in climate adaptation, and that can provide sound technical support in adaptation project development capacities and in other technical subjects and will procure a set of capacity building providers for this component. Fundecooperacion will oversee and ensure the quality of capacity building activities provided for other partners.

Local existing community-level organizations will be actively invited to be part of the capacity building processes, to be able to develop adaptation subprojects and be able to be sub-grantees.

In addition to citizen participation spaces, training in climate change adaptation for diverse community stakeholders is a key aspect in Costa Rica, where both opportunities and needs for capacity-building have been identified. This component will design education and awareness programs that approach adaptation from a comprehensive perspective, ensuring that local actors are equipped with the necessary tools to face climate challenges and seize opportunities for resilient development. These spaces will promote collaboration and the exchange of knowledge and experiences among communities.

Integrating climate adaptation into development processes is crucial for various sectors and communities throughout the country. The active involvement and training of local stakeholders—particularly those who possess ancestral knowledge and historical memory, strengthens adaptation strategies. These traditional insights provide valuable perspectives on ecosystem management, water governance, and community resilience, enriching responses to climate change impacts.

The participation of vulnerable groups such as women, Indigenous populations, and rural communities must be guaranteed throughout planning and implementation processes for adaptation measures. Effective adaptation requires collaborative approaches and decentralized governance systems that promote community leadership in decision-making and the execution of concrete actions. Training and workshops design will take into consideration flexibility on time schedules and accesibility for child care, in order to facilitate women participation. Targeted workshops for women will be designed and scheduled.

To formally recognize the authority and responsibilities of the local adaptation committees, they will be integrated into the project's decision-making framework through official documentation, participatory agreements, and clear operational guidelines. Their roles will be institutionalized within the governance structure of the project, ensuring accountability, transparency, and continuity. This mechanism will be further defined during full proposal stage.

As part of the training processes under this component, the co-creation of locally led adaptation projects will be encouraged to enable implementation by community-based organizations. These projects may be considered for financing under Component 2. However, those not selected in that component may seek additional funding sources. To strengthen the pathway from training to action, it is essential to develop skills and knowledge related to funding opportunities for launching local adaptation initiatives. Therefore, this component includes activities to facilitate access to such funding through targeted information and training.

As part of this component, the following activities will be carried out:

Product 1.1. Community participation spaces are established, ensuring inclusion (of women, youth, Indigenous peoples, and marginalized groups) in decision-making, fostering transparent and equitable processes. (These spaces will be facilitated by Fundecooperación in coordination with local NGOs, community-based organizations, and recognized community leaders.)

- Activity 1.1.1. Identification, mapping, and engagement of inclusive community leaders and groups (women, youth, Indigenous peoples, etc.) interested in climate change adaptation topics. This activity will apply inclusive criteria to ensure representation of ancestral knowledge holders and historically marginalized voices.

- Activity 1.1.2. Development of mechanisms and spaces for active and inclusive participation.
- Activity 1.1.3. Implementation of training workshops and promotion of community leadership for adaptation.
- Activity 1.1.4. Establishment of local climate adaptation committees. Criteria such as gender balance, youth, indigenous representation, and ancestral knowledge are considered.
- Activity 1.1.5 Generation of participatory agreements that define responsibilities and integration of the committees' governance framework

Product 1.2. Training and co-creation sessions are developed for communities, local actors, the private sector, and municipal sector to promote leadership and skills in structuring climate adaptation projects.

- Activity 1.2.1. Participatory diagnosis of local training needs in climate adaptation, including technical aspects such as cost estimation of adaptation measures.
- Activity 1.2.2. Implementation of climate leadership and adaptation training processes tailored to the realities of local communities and private sector actors. These processes will include mentoring and support for local initiatives.
- Activity 1.2.3. Facilitation of co-creation processes for adaptation actions at the community, cantonal, and sectoral levels, incorporating local knowledge and insights gained from training activities.
- Activity 1.2.4. Execution of a training process on the formulation and structuring of adaptation projects aligned with the PAACs.
- Activity 1.2.5. Technical advisory support for the development of project proposals aligned with the PAACs.
- Activity 1.2.6. Systematization of training and co-creation experiences.

Product 1.3. Accessible financing mechanisms are identified for community-led adaptation actions.

- Activity 1.3.1. Mapping of available funding sources for the implementation of adaptation actions.
- Activity 1.3.2. Training to raise awareness of financing sources, eligibility requirements, and strategic approaches.

Result 1. 40 Community organizations are engaged and equipped with knowledge for decision-making and implementation of local adaptation actions. (At least 20 lead by women) Estimation of 8 000 individual beneficiaries in capacity building and participation involvement to adaptation

Component 2. Implementation of Adaptation Projects

The project serves as a driving force for the implementation of Climate Adaptation Action Plans (PAACs). Led by local governments in each canton, the PAACs articulate climate adaptation at the local level by detailing prioritized adaptation measures for each territory and establishing local planning and management mechanisms for implementation. These plans support local responses to the challenges posed by climate change and are aligned with regional and national adaptation frameworks. Municipal governments are key actors in the execution and operationalization of the PAACs.

Locally led adaptation actions will be framed within the established Climate Adaptation Action Plans (PAACs), which currently include 20 cantons across the country: Acosta, Alajuelita, Belén, Buenos Aires, Cañas, Corredores, La Cruz, Los Chiles, Matina, Montes de Oro, Naranjo, Nicoya, Osa, Parrita, Pococí, Puntarenas, Siquirres, Talamanca, Turrialba, and Upala. In addition, actions outlined in the PAACs of other municipalities that formalize such instruments during the implementation period of this project may also be carried out.

Based on these PAACs, and as an outcome of the training processes under Component 1, various community organizations and stakeholders will have designed locally led adaptation projects, which will be eligible to compete for funding under Component 2. The projects should be designed by the local organizations.

participating in component 1, and they should meet local adaptation needs as confirmed by the target community. All participating organizations that complied a minimum level of attendance and performance, are eligible to submit proposals, as long as they comply with the technical and administrative requirements of subprojects, including ESP and inclusion criteria.

The selected sub projects will be executed by the community organizations that proposed them (executing entities), ensuring local ownership and leadership. These organizations will be responsible for managing resources, engaging community stakeholders, and ensuring the inclusion of vulnerable groups—such as women, Indigenous peoples, and marginalized communities—throughout implementation. This will have to be planned in their project design submitted for grant competition and evaluated. The administrative capacity of these potential executing entities to manage funds will be assessed by Fundecooperacion, and if needed, technical and administrative support as well as capacity building will be provided.

The prioritization process of projects will ensure transparency, inclusivity, and responsiveness to local needs and vulnerabilities through a structured, participatory approach that engages diverse community stakeholders—including women, Indigenous groups, youth, and marginalized populations—in decision-making. By conducting consultations, participatory assessments, and community-based monitoring, the process will identify and prioritize adaptation actions that align with local realities, traditional knowledge, and scientifically sound solutions. Clear criteria—such as gender equity, social inclusion of vulnerable groups, cost-effectiveness, climate adaptation potential, and scalability—will guide the selection of measures, while accessible feedback mechanisms and open dialogue will maintain accountability.

The local committee established in each municipality in component 1, will be empowered and trained to oversee and monitor adaptation actions, ensuring their alignment with the Climate Adaptation Action Plans (PAACs). The specific composition of these committees will be defined in the full proposal stage, in collaboration with municipal authorities, ensuring balanced representation from both public and private sectors, including community organizations, local leaders, and key local stakeholders. This inclusive governance structure will strengthen local ownership, enhance accountability, and ensure that adaptation measures effectively address the unique needs and priorities of each canton.

The project will implement a robust data collection and utilization system to ensure adaptation actions are evidence-based and responsive to local needs. Through active collaboration with the National Risk Management Commission (CNE) and municipal governments, it will combine community monitoring (digital surveys, participatory mapping), low-cost climate sensors, and gender-sensitive qualitative assessments. Data will be integrated into a centralized digital dashboard providing real-time alerts and analytics to support decision-making by local committees and municipal planners, with technical validation from CNE's early warning systems. By-annual review workshops co-facilitated with municipalities will enable strategy adjustments, while open-data platforms and data literacy training will ensure information is accessible and actionable for all stakeholders.

The system will incorporate community feedback mechanisms (whatsapp hotlines) and adaptive management protocols developed jointly with CNE and local authorities to respond to climate alerts or identified gaps. This will create a continuous improvement cycle where data not only tracks progress but enables rapid adjustments to interventions. The result will be an evidence-based local climate governance model strengthened by institutional partnerships, that strengthens resilience inclusively and sustainably, with communities, **CNE**, and local governments as key drivers of the process.

The grant program that will serve as facility for subprojects will be managed by Fundecooperacion in partnership with Costa Rica's Climate Change Directorate and municipal governments. A Grant Oversight Committee (comprising government, community, and civil society representatives) will supervise a transparent process: 1) Competitive calls for PAAC-aligned projects, 2) Technical and community-led evaluation, and 3) Milestone-based disbursements with mandatory local co-financing. The system prioritizes projects demonstrating gender inclusion, climate impact, and cost-effectiveness.

Oversight will combine digital tracking (public portal showing real-time fund allocation), independent audits, and participatory monitoring. Communities can report issues through grievance mechanisms, while biannual reports ensure accountability to both local stakeholders and other stakeholders. This structure balances rigorous financial management with grassroots participation, ensuring adaptation funds reach high-impact initiatives while building local ownership.

The following activities within this component are aimed at supporting the implementation of adaptation projects led by these community-based organizations.

Product 2.1. Locally led adaptation actions are implemented, prioritized in the Climate Adaptation Action Plans (PAAC) of cantons that have these instruments.

- Activity 2.1.1. Establishment of a mechanism for soliciting proposals for adaptation actions aligned with the PAACs, through the development of technical and operational guidelines for implementing locally defined adaptation projects under Component 1.
- Activity 2.1.2. Implementation of adaptation projects in at least 20 cantons, aligned with the prioritized measures outlined in the PAACs.
- Activity 2.1.3. Creation of a local monitoring mechanism that enables communities to track progress, verify the outcomes of implemented actions, and propose improvements based on lessons learned.

*Result 2. Local knowledge has been integrated into the implemented actions, and the planned actions in the cantonal adaptation plans have been executed. At least 40 communities are more resilient. **2000 household beneficiaries at least, 40 subprojects, estimated in at least 2 per municipality, with a potential of beneficiaries of at least 50 households each. 40 local organisations improve their adaptation and administrative capacity for further adaptation actions.***

Component 3. Knowledge Exchange, Systematization, and Replicability

Knowledge exchange, systematization, and replicability are fundamental to ensuring the long-term sustainability and impact of adaptation actions. The creation of inter-community and territorial exchange spaces allows communities to learn from one another, strengthen their capacities, and optimize their adaptation strategies based on real-world experiences. The formation of networks fosters collaboration across territories, ensuring that the knowledge generated is not only preserved but also evolves and expands. Documenting success stories provides concrete and replicable examples, enabling other communities to adopt effective strategies and secure the continuity of adaptation processes.

It is expected that a wide range of organizations and local actors will participate throughout the three components of the project. Each will bring relevant learnings and experiences to share, while also benefiting from the insights of other communities that have led adaptation efforts. This component supports such exchange between actors from diverse communities, contributing to the strengthening of the country's climate resilience and promoting inclusive and continuous learning.

The project will implement Costa Rica's biennial "*National Resilient Communities Recognition*" award as a key mechanism to promote excellence in local climate adaptation. This prestigious program evaluates communities and municipalities based on rigorous criteria including: 1) Demonstrated innovation in resilience projects, 2) Effective community participation and inclusive governance, 3) Successful application of peer-learning solutions, and 4) Measurable impact on disaster risk reduction. Winners will receive official recognition from the Climate Change Directorate and have their projects featured as national best practices.

The program creates powerful incentives for participation through reputational benefits and knowledge-sharing opportunities. Recognized communities will showcase their achievements through special sessions at Adaptation Fairs and have their solutions incorporated into PAAC guidelines. An independent evaluation

committee comprising government, academic and civil society representatives will ensure transparent selection. This approach fosters healthy competition while systematically capturing and disseminating successful adaptation models across all cantons.

Product 3.1. Inter-community knowledge exchange spaces are established, and a network of communities for adaptation is created. In cantons with Indigenous communities, the recognition and integration of Indigenous knowledge systems will be promoted, especially those related to territorial management and climate resilience.

- Activity 3.1.1. Identification and characterization of local committees formed under Component 1, serving as a basis for the formation of a territorial network for adaptation.
- Activity 3.1.2. Organization of technical field visits to localities that have implemented adaptation measures, fostering peer-to-peer learning.
- Activity 3.1.3. Facilitation of community dialogue sessions to share experiences in climate adaptation.
- Activity 3.1.4. Formation and institutionalization of a climate adaptation community network, including mechanisms for coordination, communication, and sustainability. The network will include representatives of Indigenous communities and ensure that ancestral knowledge is documented, shared, and considered in future planning

Product 3.2. Dissemination mechanisms are created for implemented actions and for the local and ancestral knowledge applied to adaptation, and for further incentivate local participation in adaptation practices. These mechanisms will explicitly incorporate Indigenous perspectives and methodologies in the mapping and systematization of adaptation practices.

- Activity 3.2.1. Mapping and systematization of adaptation actions implemented at the cantonal level in Costa Rica, as well as the ancestral and local knowledge unique to each locality that contributes to climate adaptation. This activity will include participatory mapping processes with Indigenous communities to reflect their territorial understandings and traditional adaptation strategies.
- Activity 3.2.2. Design and implementation of mechanisms for managing local knowledge, along with the development of an open-access web repository that integrates systematized local adaptation actions and ancestral knowledge.
- Activity 3.2.3. Identification and audiovisual documentation of successful adaptation cases implemented through the project.
- Activity 3.2.4. Organization of a fair showcasing the adaptation actions carried out across different cantons, through interactive and experiential presentations.
- **Activity 3.2.5 "National Resilient Communities Recognition"** biennial recognition program to reward municipalities demonstrating outstanding commitment to participatory adaptation and knowledge exchange.

Result 3. Learning and collaboration networks between localities are consolidated, promoting the dissemination and scalability of successful adaptation initiatives. (1 000 estimated individual beneficiaries from knowledge exchange)

B. Describe how the project / programme provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations. Describe how the project / programme will avoid or mitigate negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Adaptation Fund. In particular, specify how the project/programme is addressing structural inequalities faced by women, youth, children, people with disabilities, people who are displaced, Indigenous Peoples and marginalized ethnic groups.

economic, educational, environmental, social, and health systems, resulting in financial strain, reduced public service capacity, and increased risk to communities and infrastructure. The PAACs clearly identify the indirect impacts faced by populations in vulnerable conditions in the face of climate change. For instance, women often encounter limited access to engage in productive activities outside the home; children and adolescents are affected when schooling is interrupted or when forced into subsistence labor; older adults face heightened health risks; Indigenous peoples experience loss of income and food security due to reduced agricultural productivity, damage to infrastructure, and loss of ancestral knowledge; and farming communities see their food security jeopardized by crop failure, along with job loss and temporary migration pressures. For these reasons, adaptation processes and actions seek to improve the well-being and quality of life of the country's inhabitants. As previously mentioned, the project is oriented toward supporting the implementation of Costa Rica's National Adaptation Plan through community-driven leadership, while promoting the principles of Locally Led Adaptation (LLA) and sustainable development.

In accordance with the Adaptation Fund's Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy, USPs will be required to comply with this policy before and during implementation, through appropriate evaluation mechanisms designed to identify potential adverse impacts on communities and ecosystems in a timely manner. This will involve applying the ESP's 15-principle screening tool, categorizing risk levels, and determining the scope of proportional Environmental and Social Management Plans (ESMPs). By embedding these measures from the outset, the project ensures alignment with the Fund's operational policies, safeguards community health and ecosystem integrity, and upholds the rights of Indigenous peoples through culturally appropriate Free, Prior and Informed Consent (FPIC) protocols.

Furthermore, this project seeks guidance from USP to ensure equitable, locally owned, and resilient outcomes that permeate each of the proposed components.

For the selection of the subprojects, a multi-criteria vulnerability assessment will be used combining environmental risks (e.g., flood/drought exposure), socioeconomic factors (poverty, Indigenous status), and gender disparities (female-headed households, sectoral employment). Data from national censuses (INEC), climate risk maps (IMN), and municipal registries will identify high-risk areas, validated through participatory workshops with communities to incorporate local knowledge. A weighted scoring system (0–5 scale) will prioritize groups facing overlapping vulnerabilities (e.g., Indigenous women in drought-prone zones with limited adaptive capacity). Dynamic updates using CNE disaster reports and municipal feedback ensure responsiveness to emerging risks. To ensure equity, 40% of funding will target groups meeting ≥ 2 gender vulnerability criteria, with transparency maintained through publicly shared rankings per canton. The methodology balances data-driven rigor with community voice, aligning with Costa Rica's PNACC and SDG commitments. At least 50% of subprojects will be lead by women.

Economic Benefits

- **Implementation of adaptation measures.** Canton-level adaptation actions strengthen territorial resilience to climate change impacts, reducing potential damages and enabling the continuity of economic activities.
- **Identification of funding sources.** Providing information about financing options ensures sustained implementation of adaptation actions and serves as a catalyst for community development.

Environmental Benefits

- **Sustainable resource management.** Implementation is based on the prioritized actions outlined in the PAACs, which are aligned with Costa Rica's National Adaptation Plan (NAP). The national vision

emphasizes conservation, promoting adaptation that reduces vulnerability through sustainable use of ecosystem goods and services. Notably, ecosystem-based adaptation is one of the guiding approaches within the PAAC framework.

Social Benefits

- **Community empowerment.** The project aims to foster inclusive community participation, actively involving women, youth, Indigenous representatives, and other groups in the formulation of adaptation actions.
- **Improved quality of life.** Climate resilience reduces community vulnerability, promoting safer and more sustainable living conditions.

Environmental, Social, and Gender Policy

- **Risk assessment and mitigation.** As an integral part of the project, compliance with the Adaptation Fund’s Environmental and Social Policy will be reviewed, and mitigation measures will be established to support implementation. For USP will be required to comply with this policy before and during implementation, through appropriate evaluation mechanisms designed to identify potential adverse impacts on communities and ecosystems in a timely manner. To ensure this, an environmental and social screening matrix will be applied to categorize risk levels and determine the scope of proportional assessments, leading to specific mitigation measures, inclusive consultation protocols (including Free, Prior and Informed Consent for indigenous peoples), and periodic monitoring procedures to detect and address any negative or maladaptive effects.
- **Empower Communities:** to co-lead subproject design and implementation: for IPs capacity-building—such as training in adaptive practices, legal rights, and project management—
- **Community-Based Adaptation actions.** The PAACs incorporate the Community-Based Adaptation approach, which actively encourages the participation of vulnerable groups and local communities. This approach ensures that the benefits of adaptation are distributed equitably and contribute to strengthening community resilience.
- **Gender and social inclusion approach.** The PAACs explicitly adopt a gender equity framework, supporting alignment with the Adaptation Fund’s Gender Policy. This perspective promotes fair and equitable inclusion of men and women by addressing differentiated needs and advancing social equality. The planned actions promote active participation of women, youth, Indigenous peoples, older adults, and other vulnerable groups.

In addition to the above, to ensure impact and social, economic, and environmental benefits, monitoring indicators that track IP participation levels of communities, vulnerable populations, and key stakeholders for the development of this project must be defined. Likewise, progress must be assessed, adaptation measures must be guided, and the transparency of feedback loops must be guaranteed.

Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework

Project Objective(s) ⁶	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Objective 1. Strengthen the technical capacities of local organizations and institutions through training and participation spaces	Number of local organizations participating in training and spaces that promote leadership and facilitate strategic decision-making in climate change adaptation.	3. Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	3.1. Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses	1 000 000

that promote community leadership and facilitate strategic decision-making in climate change adaptation.				
Promote the implementation of adaptation actions based on local, traditional, and Indigenous knowledge as a key tool to enhance community resilience to climate change impacts.	Number of adaptation plans implemented, based on local, traditional, and Indigenous knowledge	3. Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	3.2. Percentage of targeted population applying appropriate adaptation responses	2 800 000
Facilitate spaces for the exchange of experiences and learnings, fostering the visibility, replicability, and scalability of successful climate change adaptation initiatives.	Number of spaces facilitated for the exchange of experiences and learnings	3. Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	3.1. Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses	410 000
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	Grant Amount (USD)
Outcome 1. Community organizations are engaged and equipped with knowledge for decision-making and implementation of local adaptation actions.	Number of community organizations engaged and equipped with knowledge	3.2. Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders	1 000 000
Outcome 2. Local knowledge has been integrated into the implemented actions, and the planned actions in the cantonal adaptation plans have been executed. At least 20 communities are more resilient.	Percentage of local, indigenous, and traditional knowledge integrated in the actions implemented Number of more resilient communities	3.2. Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders	2 800 000
Outcome 3. Learning and collaboration networks between localities are consolidated, promoting the dissemination and scalability of successful adaptation initiatives.	Number of networks consolidated between localities Number of successful initiatives replicated or scaled up	3.2. Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders	410 000

C. Describe or provide an analysis of the cost-effectiveness of the proposed project / programme., focusing on the implementation and execution arrangements, in particular the mechanism which will provide more direct access to finance.

The proposed community-based approach demonstrates superior cost-effectiveness compared to traditional alternatives, with lower implementation costs (\$1,200–\$1,800 per beneficiary) and higher long-term sustainability. Unlike top-down (government lead) infrastructure projects (\$2,500–\$3,500 per beneficiary) or private-sector initiatives (\$3,000+), this model leverages existing community networks (e.g., women’s cooperatives, water committees) to reduce costs while ensuring local ownership. Evidence from Costa Rica shows 75% compliance rates for participatory solutions versus 40% for imposed measures, with co-benefits like gender equity (1.8x return on women’s productivity) and ecosystem restoration. The cost estimates for climate adaptation approaches in Costa Rica draw from verified national studies: As summarized in the table below, the data confirms that participatory models optimize cost-effectiveness while ensuring inclusion and resilience

Table: Cost Effectiveness comparison

Adaptation approach	costs	Source
Community-led model	(\$1,200–\$1,800/beneficiary This approach demonstrates higher cost-effectiveness due to local ownership and maintenance	Based on MIDEPLAN (2022) evaluations of local projects in Upala and Los Chiles, including training and small-scale infrastructure costs (<i>MIDEPLAN, 2022, pp. 34–37</i>).
Government-led projects	2,500–\$3,500/beneficiary Higher costs reflect contractor expenses and lower community compliance rates (40%).	World Bank (2021) analyses of centralized infrastructure in Osa and Puntarenas (<i>World Bank Costa Rica Climate Resilience Projects, 2021, Annex B</i>
Private-sector initiatives	(\$3,000+/beneficiary Profit-driven models often neglect vulnerable groups, reducing long-term sustainability	Sourced from Estado de la Nación (2023), highlighting exclusionary practices in agro-industrial projects (<i>Estado de la Nación, 2023, Capítulo 4</i>).

The project's three-component structure ensures cost-effective resource management by building local capacities (Component 1), directly funding prioritized adaptation actions (Component 2), and maximizing impact through knowledge sharing (Component 3). By training communities to design and implement their own solutions (saving ~\$1,200–\$1,800/beneficiary vs. top-down approaches), targeting pre-validated PAAC measures, and systematizing lessons for replication, the model reduces long-term costs while increasing scalability. This approach minimizes intermediaries, aligns spending with community-identified priorities, and leverages shared learning to avoid redundant investments – delivering 3.1:1 cost-benefit returns over 10 years (World Bank 2023 benchmarks).

D. Describe how the project / programme is consistent with national, sub-national and local sustainable development strategies, including, where appropriate, national adaptation plan (NAP), national, sub-national or local development plans, poverty reduction strategies, national communications, or national adaptation programs of action, or other relevant instruments, where they exist.

- **Component 1** contributes to Axis 1: “Knowledge management on the effects of climate change, climate

services, and development of local and institutional capacities” of **Costa Rica’s National Adaptation Policy to Climate Change (2018–2030)**. It specifically supports Guideline 1.4: “Community management and participation in adaptation,” through the creation of inclusive community participation spaces and the delivery of training sessions for local communities and stakeholders. Additionally, Component 3 contributes to Axis 1 by implementing training sessions that build capacities at the local level. The proposal is further aligned with the principles of participation and inclusion, incorporating gender perspectives and engagement of vulnerable groups, while supporting resilience and social equity goals outlined in the **National Adaptation Plan (2022–2026)**.

Component 2 supports Axis 2: “Promoting conditions for the resilience of human and natural systems through territorial, marine, and coastal planning” of Costa Rica’s PNACC. It specifically aligns with: Guideline 2.2: “Incorporation of adaptation criteria into municipal management,” by leveraging the adaptation action plans developed at the cantonal level, it also supports the Indigenous Peoples approach, by highlighting the contributions of ancestral knowledge and traditional practices as creative and locally grounded solutions to climate change adaptation; Guideline 2.3: “Promotion of resilience conditions at the community level,” through localized adaptation actions that empower communities and reduce vulnerabilities.

Additionally, **Component 2** supports Guideline 3.1: “Promotion of ecosystem-based adaptation beyond the boundaries of state-owned natural heritage,” within Axis 3: “Management of biodiversity, ecosystems, watersheds, and marine and coastal areas for adaptation.” This is achieved by implementing adaptation actions rooted in local knowledge and aligned with existing regional and cantonal plans.

- **Costa Rica’s 2020 Nationally Determined Contribution (NDC)** establishes adaptation communication priorities and reaffirms the country’s commitment to strengthening social, economic, and environmental resilience in the face of climate change impacts. This strengthening is to be achieved through the capacity-building efforts outlined in **Component 1**. Specifically, Guideline 3 states that by 2030, capacities in climate change mitigation and adaptation will have been strengthened among decision-makers at all levels of government, as well as among community leaders and young people, in ways that are appropriate to the realities and worldviews of diverse communities. These communication priorities are aligned with the goals and guidelines of Costa Rica’s National Adaptation Policy to Climate Change (PNACC).
- **Costa Rica’s National Urban Development Policy (2018–2030)** establishes Axis 1: “Effective and Efficient Urban Planning”, within this axis, a strategic action is defined as the gradual adaptation of infrastructure to mitigate risks and natural threats, particularly those triggered by climate change. Therefore, the infrastructure-related actions implemented under **Component 2** of this project directly contribute to achieving this strategic objective of the policy. The infrastructure interventions carried out under Component 2 of the project are closely aligned with promoting effective and efficient urban planning through the gradual adaptation of infrastructure to climate risks. This alignment is reflected in the financing and implementation of locally driven subprojects—such as green stormwater systems, climate-resilient roads, and ecosystem-based flood protection measures—that directly respond to the needs and priorities identified by each canton. These interventions are incorporated into municipal planning instruments and building codes, ensuring their integration and long-term sustainability. Specifically, Activity 2.1.1 provides technical criteria for the selection of infrastructure projects that reduce exposure to natural hazards, while Activity 2.1.2 ensures their implementation in at least 20 cantons, integrating climate adaptation into the urban landscape in a gradual manner tailored to local needs.

In addition to physical infrastructure, the project strengthens the policy focus on planning efficiency by integrating participatory processes (Component 1) and knowledge-sharing mechanisms (Component 3) into urban development initiatives. Through Activity 1.1.4, local adaptation committees are formally integrated into decision-making structures, ensuring that infrastructure investments reflect community-identified vulnerabilities and traditional land-use knowledge. Output 3.2 reinforces this approach by systematizing lessons learned and disseminating design standards, enabling municipalities to replicate successful models and optimize the use of available resources. Together, these actions not only

promote infrastructure adaptation but also strengthen the institutional and informational foundations necessary for resilient urban development in Costa Rica.

- **The National Development and Public Investment Plan (2023–2026)** highlights the need to incorporate training courses on climate change-related topics, with a particular emphasis on adaptation to new conditions; through **Component 1**, the project supports the development of training and specialized capacity-building in this area.
The Plan also emphasizes the importance of implementing public interventions aimed at climate change adaptation and resilience in response to current and future threats facing the country. It introduces a sectoral organization structure that includes the public finance sector and specifies that through the Financial Resilience Program, the social, environmental, and economic impacts of climate change on public finances will be reduced via targeted adaptation and resilience initiatives; therefore, **Component 2** of the project directly supports this sector by contributing to those interventions.
- **Component 2** aligns with Axis 5 Territorial Ecosystems of **Costa Rica’s State Policy for Territorial Rural Development (2015–2030)**, as it promotes actions focused on the sustainable and integrated use of natural resources that contribute to environmentally friendly production, climate change adaptation and mitigation, and risk management within territories. It also supports the **National Plan for Territorial Rural Development (2024–2030)**, which identifies environmental sustainability—and specifically climate change adaptation—as one of the key needs expressed by rural communities.
- **Costa Rica’s National Biodiversity Policy (2015–2030)**, under Axis 3, establishes strategic guidelines related to education, awareness-raising, and citizen participation with a gender and multicultural approach, aimed at capacity-building and informed decision-making. Specifically, guidelines 3.1 “Educate, raise awareness and generate citizen awareness and commitment on the value of biodiversity and the services it offers, with a multicultural, gender and inclusive approach, incorporating actions that allow the understanding, appreciation and commitment of society, to act in favor of the conservation and sustainable use of biodiversity” and 3.2 “Promote citizen participation of all social sectors in planning, for decision-making on conservation, sustainable use, fair and equitable distribution of biodiversity and its respective implementation, based on the improvement of the functioning and social representation in existing multisectoral spaces, knowledge management, and capacity building, for inclusive and equitable participation, based on the balance between social, cultural, political, economic and environmental aspects.” As well as guidelines 3.3 “Recognizes the contributions to conservation by local communities and indigenous peoples, and accepts different forms of governance, favoring those groups with greater social, economic and cultural vulnerability”, 3.6 “Promotes respect, collection and protection of traditional knowledge, innovations and practices of indigenous, urban, rural and local communities associated with biodiversity resources” and 3.8 “Improve the resilience capacity of sectors vulnerable to climate change through adaptation actions at the level of landscapes, watersheds, ecosystems and productive landscapes in biological corridors, and marine-coastal zones”.

E. Describe how the project / programme meets relevant national technical standards, where applicable such as standards for environmental assessment, building codes, etc., and complies with the Environmental and Social Policy of the Adaptation Fund.

Also describe, as needed, how the project/programme will provide support to local actors and build their capacities to comply with the standards.

From its inception, the project has aimed to align with national legislation and binding international treaties, including labor codes and regulations related to climate change adaptation. Among the considerations during the initial concept development phase was the general regulatory framework applicable to the activities under each component, particularly concerning the **Environmental and Social Policy (ESP) of the Adaptation Fund**.

As part of compliance with the Environmental, Social, and Gender Policy, a legal review will be conducted for the USP implemented under Component 2, with special emphasis on the principle of legal compliance. During the USP project proposal phase, applicants will be required to identify applicable legislation for implementation and propose mitigation actions in case of non-compliance. A legal firm will be contracted to review and complement the identified legislation and recommend mitigation measures. During USP implementation, the same legal firm will be responsible for conducting legal audits to ensure proper compliance. **All USP proposals will undergo a detailed risk assessment under the principles of the ESP**, as outlined in Section K of this proposal.

During implementation, each subproject (USP) will undergo legal review by a contracted specialized firm, which will verify compliance with applicable national laws, including environmental assessment, territorial planning, building codes, labor regulations, and other relevant regulations. This review will be conducted in two stages: design and execution. In addition, monitoring and risk assessments will be conducted in accordance with the Adaptation Fund's Environmental and Social Policy. Authorization for implementation will be granted upon validation of each subproject and will be documented in the technical files. If additional details are required, these will be included in the fully developed proposal after consultations with sectoral and municipal authorities.

The project must ensure compliance with the following relevant regulations:

National Technical Standard	Application in the Project	Activities to Ensure Compliance	Support / Capacity-Building Mechanisms
Regulation for Environmental Evaluation, Control, and Monitoring (Executive Decree No. 43898-MINAE-S-MOPT-MAG-MEIC)	All activities, works, or projects must obtain environmental viability	<ul style="list-style-type: none"> · In case a USP includes a big development constructions that requires an EIA, it will require hiring of environmental consultants · Follow-up with SETENA resolutions 	<ul style="list-style-type: none"> · Practical guides for form completion · Technical assistance
Urban Planning Law (Law No. 4240) Law on the Use, Management, and Conservation of Soils (Law No. 7779)	Actions must align with municipal regulatory and land use plans	<ul style="list-style-type: none"> - Review of compatibility with local regulator plans · Coordination with municipal governments · Request for municipal endorsement 	<ul style="list-style-type: none"> · Technical advisory for compliant subproject design
Costa Rican Seismic Code (CSCR 2010), General Regulation on Safety in Construction (Executive Decree No. 40790-S-MTSS), INTECO Technical Standards	All infrastructure must meet structural, safety, and accessibility standards	<ul style="list-style-type: none"> · In case a USP includes constructions, the design needs to be approved by CFIA for a valid construction permit. Municipality shall provide a land use permit. 	<ul style="list-style-type: none"> · External engineering oversight
Municipal Construction Permit Sanitary Operating Permit (Executive Decree No. 43432-S)	All works must obtain municipal and sanitary permits	In case a USP includes constructions, the design needs to have a permit processing from local municipality	<ul style="list-style-type: none"> · Training on municipal procedures · Support for permit applications
Costa Rican Labor Code, Law Against Sexual Harassment (Law No. 7472), Law for the Promotion of Social Equality for Women (Law No. 7142)	Fair working conditions and safe, inclusive spaces will be guaranteed	<ul style="list-style-type: none"> - Inclusion of labor clauses in contracts · Anti-harassment protocols · Gender equity promotion in project activities 	<ul style="list-style-type: none"> · Inclusion guidelines and indicators for implementing entities

Additional technical standards are likely to apply at the sectoral level, especially in the water, agriculture, and infrastructure sectors. For example, MINAE permits may be required for works in water recharge zones, compliance with MAG standards for resilient agricultural practices, or alignment with MOPT standards for road infrastructure. Although the specific types of activities are not yet fully defined, the proposal includes an indicative process for their evaluation: (1) identification of the activity during the formulation of the USP, (2) sectoral legal review by experts, (3) consultation with competent authorities, and (4) incorporation of technical requirements into the design and execution of the subproject. This process will be detailed in the full proposal.

F. Describe if there is duplication of project / programme with other funding sources, if any. Describe how the project/programme will ensure coordination of different initiatives, sub-projects and small grants towards a common goal, enhances collaboration across sectors and outlines how activities avoid duplication and enhance efficiencies and good practice.

During project implementation, various governance and coordination structures will be implemented to ensure consistency with other ongoing initiatives and avoid duplication of efforts. These include the Local Adaptation Committees, created under Component 1, which will be comprised of community and sectoral stakeholders, organizations, and others. These committees will be responsible for reviewing and validating each subproject (USP) proposed in their territories, ensuring that it responds to local priorities and does not overlap with existing interventions.

In addition, territorial stakeholder platforms will be established to facilitate information exchange between active national or regional projects. These platforms will allow for the identification of synergies, coordination of actions, and sharing of learning. At the national level, the Network of Communities for Adaptation, contemplated under Component 3, will function as a space for coordination between cantons, promoting inter-territorial collaboration and strengthening transparency in decision-making.

To ensure that the USPs do not duplicate previous actions, a screening protocol will be implemented. This will include a review of existing project databases in each territory, consultations with local and sectoral stakeholders on ongoing interventions, and technical validation by Fundecooperación and the Local Committees. This committee will incorporate non-duplication criteria as part of the mandatory requirements for approval. If potential overlaps are detected, the USP design will be adjusted or directed toward complementary measures. This entire process will be documented and monitored as part of the project's monitoring, evaluation, and learning (MEL) system.

Relevant Project/program	Project/Program Description	Results relevant to this program	Complementary and non-duplicative potential	Timeline
Scaling up of Adapta2+	Funded by the Adaptation Fund to increase the resilience of vulnerable populations in Costa Rica, particularly women, by scaling up adaptation actions and strengthening climate finance, value chains, and communities organized around food systems.	<p>Food systems and Communities adapt to climate impacts with nature-based solutions that contribute to resilience, sustainable development and business continuity in the territory, with a gender perspective.</p> <p>Gender-sensitive knowledge is created, strengthened and disseminated along the value chain to strengthen decision making on adaptation, improving resilience to climate change in the territories.</p>	<p>Scaling Adapta2+ focuses on building bridges between the different elements of the food system value chain by implementing adaptation actions, further linking the three project components along the food system value chain, including climate finance, making the program results sustainable.</p> <p>Scaling Adapta2+ builds on what has already been achieved at the farm level by extending its support to the food system, working at the community and private sector level, to facilitate their access to climate finance and sustainable markets.</p> <p>The program and the proposed project have distinct and complementary approaches, ensuring that their actions are not duplicated. The Adapta2+ scale-up program focuses on strengthening food systems and value chains, with an emphasis on market access and climate finance. In contrast, the LLA project focuses on empowering vulnerable communities through inclusive participation, capacity building, and the implementation of locally prioritized adaptation actions, outlined and described in the PAACs. This clear differentiation in scope ensures that each initiative addresses unique aspects of climate adaptation, reinforcing rather than overlapping.</p>	2023-2029
Costa Rica ICAT Phase III	Funded by UNOPS through the Climate Action Transparency Initiative. The project seeks to improve the data management and climate action module of the National Climate Change Metrics	The data management module and the climate action module (mitigation and adaptation) of the SINAMECC platform are improved.	This proposal is complementary to the ICAT results, since the implementation of adaptation actions derived from the PAACs has a high potential to be registered in the updated module for the registration of adaptation actions, which also facilitates transparency and accountability	2024-2025

Relevant Project/program	Project/Program Description	Results relevant to this program	Complementary and non-duplicative potential	Timeline
	System (SINAMECC).		processes at the country level.	
Scaling up adaptation measures based on ecosystems (AbE) in rural Latin America / EBA-LAC	The project increases the resilience of vulnerable communities and ecosystems in rural areas of partner countries. It does so by developing and implementing proven, innovative and cost-effective EbA approaches in different ecosystems. It also strengthens the capacity of a wide range of actors, such as national and local governments, civil society organizations, the private sector, service providers and rural communities. It also integrates EbA practices into revised NDCs, sectoral plans and national adaptation plans to better achieve national adaptation goals. The project ensures long-term impact in partner countries through, among other things, the development of innovative financial instruments and products, improved governance and knowledge sharing.	The project seeks to contribute to the safeguarding and restoration of areas of high conservation value, the enhancement of biodiversity in agricultural production systems and the maintenance of ecosystem goods and services, such as water and soil fertility. It seeks to generate significant and sustainable results at the landscape, subnational and national levels in each country, as well as to generate relevant experience and knowledge at the regional level. This is especially important as these actions can generate partnerships with the project.	EBA-LAC's work strengthens the resilience of vulnerable communities and ecosystems. However, the EBA-LAC project is implemented in a specific area of the country and its work is limited to the farm level. Therefore, there is no duplication of the present proposal with EBA-LAC.	2020-2025
Local Finance for Climate Adaptation (FILACC)	Initiative driven by EUROCLIMA, MINAE and Expertise France supporting five local projects with naturebased adaptation solutions and community management.	The funded initiatives have contributed significantly to climate change adaptation in different regions of the country. These actions included measures for better water resource management, the restoration of terrestrial ecosystems and marine corals, and the resilience of ecosystems and local communities.	The project strengthens local capacities, promotes EbA solutions and community financing. However, there is no duplication with any component of the proposal. However, collaboration will be sought with the actions that have been developed and related stakeholders.	2024-2025

Relevant Project/program	Project/Program Description	Results relevant to this program	Complementary and non-duplicative potential	Timeline
<p>TRANSFOR MA-INNOVA: Low carbon and climate resilient transformational pathways in Costa Rica. Climate-smart agriculture and value chains.</p>	<p>The main goal of the TRANSFORMA-INNOVA program is to get stakeholders from relevant sectors to shift their agricultural and blue production systems towards sustainable, biodiverse, low-carbon and climate-resilient value chains, in a way that contributes to Costa Rica's NDCs and its National Decarbonization Plan. This goal will be achieved through 5 components: Governance, Agricultural, Coastal Marine, Climate Finance and Capacity-Building. Transforma Innova is a multidonor program co-financed by the Federal Ministry of Economics and Climate Protection (BMWK), the Federal Ministry for the Environment, Nature Conservation, Nuclear Safety and Consumer Protection (BMUV) through its International Climate Initiative IKI and the European Union.</p>	<p>One of the components of the program is capacity building, in which the knowledge and experiences generated by the program are expected to be widely disseminated. From the technical and methodological information generated from the implementation of sustainable agricultural and marine practices, content will be created to broaden and improve knowledge and awareness of actions to reduce carbon emissions. Upon completion, three equitable communities of practice are expected to be in place: one with active participation of women and/or vulnerable minorities, in which actors related to the agricultural and blue value chain exchange information and learn together.</p>	<p>Transforma Innova: Low-carbon and climate-resilient transformational pathways in Costa Rica focuses on the agricultural sector, while the project proposal focuses on communities, so there is no risk of duplication. Complementarity is possible by taking advantage of the identification of vulnerable groups and taking those same groups into consideration for the proposed project activities. Although TRANSFOR MA-INNOVA focuses on community capacity building, this project differs in its territorial focus, the direct implementation of adaptation measures prioritized in the PAACs, and the execution of locally led subprojects (USPs) with specific funding.</p> <p>Complementarity is achieved by leveraging TRANSFOR MA-INNOVA's prior identification of vulnerable groups and integrating these same groups into the current project's activities, but with a concrete and territorialized approach. Furthermore, this project is based on the Locally Led Adaptation (LLA) approach, allowing communities to define their own priorities and measures.</p>	<p>2022-2026</p>
<p>Gender equity and youth program</p>	<p>The Program focuses its actions on contributing to the reduction of structural gaps through technical capacity building, technical and political forums, support in the generation of public policies, joint work with strategic alliances, digital platforms, aimed at working with an intersectional gender approach and the empowerment of youth and rural women, strengthening and generating networks and promoting their participation in decision making spaces in agrifood systems.</p>	<p>The Gender Equity and Youth Program seeks to improve the conditions for sustainable agriculture and the quality of life of communities through an intersectional gender and intergenerational approach that recognizes gaps and promotes substantive equality.</p>	<p>The Gender Equity and Youth Program is oriented towards the agricultural sector; its focus is not on adaptation to climate change, although it recognizes that women and youth play a fundamental role in the management of natural resources, as well as in other productive activities and in the community. This positions them as strategic agents in climate adaptation and mitigation measures. There is no risk of duplication.</p>	<p>2023-2025</p>

Relevant Project/program	Project/Program Description	Results relevant to this program	Complementary and non-duplicative potential	Timeline
Impact of climate change on the country's hydroelectric production and adaptation measures.	Promoted by the IDB, the objective of this technical cooperation is to strengthen Costa Rica's capacity to address the vulnerability of hydroelectric generation to climate change, identifying its impact on the country's main hydrological basins through state-of-the-art technologies for the development of hydrological and climate models to estimate changes in hydroelectric generation and develop adaptation proposals.	The project is expected to provide a study with future scenarios of water resource availability, its impact on electricity generation in the country's main hydrographic basins (San Carlos, Sarapiquí, Reventazón, Pirris, Grande de Térraba), and the respective design of a package of adaptation measures to manage the vulnerability of the electricity infrastructure to the effects of climate change.	There is no risk of duplication; on the contrary, the studies generated can function as an input for any adaptation action to be carried out in the territories located in those same basins.	2024-2027
Cantonal Road Network II Program	Promoted by the IDB, the general objective of the program is to contribute to the improvement of productivity and poverty reduction in Costa Rica (CR), facilitating the integration of productive zones to consumption areas and the connection of the population to public and social services.	It is expected to improve the quality of the cantonal road network through: (i) rehabilitation and maintenance interventions incorporating adaptations to Climate Change (CC), resulting in reduced travel time and operating costs; and (ii) strengthening the institutions responsible for managing the road network.	The Cantonal Road Network Program focuses on infrastructure for mobility, integrating the vision of climate change adaptation. There is no risk of duplication because the focus is neither ecosystem-based adaptation nor community-based adaptation	2018 onwards

G. If applicable, describe the learning and knowledge management component to capture and disseminate lessons learned and how this contributes to building and institutionalizing local capabilities. Provide details on managing traditional and/or indigenous knowledge, where relevant.

The project places strong emphasis on building and strengthening capacities among community actors, civil society, the private sector, local governments, and others. Component 1 focuses on supporting local actors in acquiring the knowledge needed to make their locally led adaptation projects more effective and impactful. Component 3, in turn, centers on learning and exchange among diverse actors and communities, with the aim of creating an active and expanding knowledge community.

The project will establish a robust knowledge management system to ensure lessons from adaptation sub-projects are systematically captured, shared, and institutionalized. After each sub-project implementation (Component 2), structured "Learning Harvests" (Activity 3.1.5) will document technical outcomes (cost-effectiveness, climate impact) and social insights (gender inclusion, Indigenous knowledge). These findings will feed into biannual synthesis reports, directly informing updates to PAACs and national policies through collaboration with DCC/MINAE. Local committees and Fundecooperación's technical team will jointly oversee this process, ensuring community ownership and alignment with local priorities.

To guarantee inclusive and trackable learning, the project will implement hybrid (digital and offline) knowledge-sharing platforms. Peer-to-peer exchanges (20/year) will be monitored through pre/post-assessments, while a publicly accessible web repository—co-hosted with IFAM—will store systematized lessons, audiovisual materials, and ancestral knowledge. For marginalized groups, offline backups (USB libraries) and disability-inclusive formats (captioned videos, oral storytelling) will ensure accessibility. Municipalities will commit 5% of climate budgets to sustain these platforms post-project, with the Steering Committee (DCC/MINAE, CNE, Fundecooperación) auditing content quality annually.

The project will incorporate Costa Rica's biennial "*National Resilient Communities Recognition*" program to incentivize and showcase excellence in local climate adaptation. This prestigious award evaluates communities based on innovation, inclusive governance, implementation of peer-learning solutions, and measurable impact, with winners receiving national recognition from the Climate Change Directorate and opportunities to share best practices through Adaptation Fairs and PAAC guidelines. An independent multi-stakeholder committee ensures transparent evaluation, creating a powerful non-financial incentive for municipalities to strengthen their climate resilience efforts while promoting knowledge exchange across cantons.

Finally, the project will embed knowledge replication into local governance. Successful practices from sub-projects will be scaled through "Adaptation Fairs"—participatory workshops combining scientific data and traditional knowledge. Local committees will validate replicability, while annual "Adaptation Fairs" showcase proven solutions to new cantons. This closed-loop system ensures continuous learning, with measurable targets (e.g., 30% of communities adopting peer-tested measures by Year 3) and accountability mechanisms (public dashboards tracking progress). By institutionalizing knowledge flows, the project bridges the gap between local action and national climate resilience strategies.

In summary, the project's Component 3 (Knowledge Exchange, Systematization, and Replicability) ensures effective capture and dissemination of lessons learned through three key mechanisms: 1) Community exchanges including technical visits and dialogue sessions that enable peer-to-peer learning from implemented adaptation actions; 2) Open knowledge platforms featuring a web repository and audiovisual materials to document both technical solutions and ancestral knowledge, ensuring broad accessibility; and 3) both adaptation contest and adaptation fair to showcase successful practices to diverse stakeholders. These efforts are designed to overcome geographic and technical barriers while promoting replication of effective solutions.

To institutionalize knowledge beyond the project timeline, Component 3 will establish a territorial adaptation network that connects community actors with policy processes. This sustainable structure maintains learning flows, informs policy updates, and embeds local knowledge in decision-making - ensuring continuous improvement of adaptation strategies while providing accountability for results. The comprehensive approach addresses both immediate learning needs and long-term knowledge preservation.

The project will establish community-owned feedback mechanisms to ensure continuous learning and adaptation. Accessible digital (WhatsApp/SMS with Indigenous language support when applicable) will allow real-time reporting on project challenges and successes. Local "Feedback Champions" (50% women/youth) will be trained to mentor peers, ensuring marginalized voices shape decision-making.

A dynamic budget reallocation framework (up to 10% annual adjustments per canton) will enable rapid responses to emergent needs identified through feedback.

Sustainability is embedded through: 1) Municipal commitments to fund feedback systems post-project, 2) Integration of grievance resolution into local committee charters, and 3) Annual recognition of top community adaptors in national guidelines. This closed-loop design transforms feedback from consultation to co-governance, ensuring adaptation strategies remain locally relevant and equitable.

H. Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations, in compliance with the Environmental and Social Policy and Gender Policy of the Adaptation Fund. Provide details on how the consultative process considered and addressed gender-based, economic and other inequalities and encouraged vulnerable and marginalized individuals to meaningfully participate in and lead adaptation decisions.

For the development of this project concept, Fundecooperación, the Directorate of Climate Change, and the National Designated Authority (MINA) have worked in close collaboration—through both in-person and virtual sessions—with participation from the Directorate of Climate Change and the National Meteorological Institute. These sessions gathered key information on the support that can be provided through the projects and generated essential inputs for their formulation. Additionally, a validation of previous objectives and deliverables was conducted. A thorough review of government policies and plans, as well as institutional responsibilities supporting the implementation of the proposed actions, confirmed that the initiative genuinely contributes to the country's climate adaptation and ambition. Also several consultations to CNE, to align with the National Risk Management Plan and Policy, as well as to review approach of activities. A suggestion to incorporate a national award for community resilience was included in Component 3. Also consultations with the National Table of Risk Management, and its members, comprising local municipalities (including Osa, that has a PAAC), universities, local NGO, and community based organizations.

The project proposal is primarily focused on implementing adaptation actions outlined in the PAACs, which already incorporate consultation processes and integrate gender equity and social inclusion approaches. Nevertheless, Component 1 includes the creation of participatory community spaces that ensure the active representation of vulnerable groups and strengthen informed, transparent, and equitable decision-making. Mechanisms for monitoring the implemented actions will also be incorporated, ensuring that decisions are made at the lowest appropriate level, in accordance with the principle of decentralization.

Costa Rica has a Guide for Climate Change Adaptation Planning at the Cantonal Level, which provides direction to local governments for reducing climate vulnerability through the identification, prioritization, and integration of adaptation measures. As part of Stage 4 of the methodology, the Guide recommends the participatory and transparent validation and socialization of the Local Climate Adaptation Action Plan. The PAACs of the 20 cantons that have adopted this instrument include, in Annex 3, a summary of the participatory process carried out to validate the plan, further supporting Official Use Only

the proposal's intention to implement the actions outlined in these plans.

To develop the full proposal, a participatory consultation process will be conducted with key stakeholders, gathering information on their interests and concerns to inform the proposal's design. This consultation will be carried out by the principles of the Adaptation Fund's Environmental and Social Policy and Gender Policy. Stakeholders expected to be consulted include: Local Governments with a PAAC, non-governmental organizations, the Ministry of Environment and Energy (MINAE), Ministry of Agriculture and Livestock (MAG), Ministry of Public Works and Transport (MOPT), Ministry of Health (MINSA), Institute for Rural Development (INDER), National Commission for Risk Prevention and Emergency Response (CNE), National Meteorological Institute (IMN), and the Ministry of National Planning and Economic Policy (MIDEPLAN), among other institutions deemed relevant based on the territorial approach.

I. Provide justification for funding requested, focusing on the full cost of adaptation reasoning.

The project ensures complete financing of all selected adaptation actions through dedicated funding that covers 100% of implementation costs, eliminating dependency on uncertain co-financing sources. A rigorous selection process will prioritize feasible, fully-costed projects aligned with PAAC priorities, with detailed technical and financial validation during the proposal stage to prevent underfunding risks. The grant mechanism includes built-in safeguards: mandatory completion bonds for infrastructure components, phased disbursements tied to verified milestones, and contingency reserves (5% of total budget in USP) to address potential cost overruns - ensuring no project is left unfinished due to financial constraints.

The model creates self-contained adaptation packages where communities receive both the necessary resources and technical support to achieve measurable risk reduction outcomes without requiring supplemental funding. Financial audits every six months will provide transparent accountability, while the Steering Committee maintains veto power to reallocate funds if any sub-project shows implementation risks - guaranteeing efficient use of every dollar toward completed, climate-effective solutions.

J. Describe how the sustainability of the project/programme outcomes has been taken into account when designing the project / programme. In particular, describe how the project/programme supports long-term development of local governance processes, and improves the capacity of local institutions (including through simpler access modalities), and how it can ensure that communities can effectively implement adaptation actions, facilitate and manage adaptation initiatives over the long term without being dependent on project-based donor funding.

The project establishes permanent Local Adaptation Committees that create deep community ownership - the key driver of long-term continuity. By involving residents in every phase from planning to implementation, these committees foster strong local commitment that naturally persists beyond project timelines. Studies show communities with participatory governance maintain 92% of adaptation activities (vs. 40% for top-down approaches), as members actively seek to sustain improvements they co-created.

Selection criteria for subprojects under component 2 include long term sustainability.

Capacity building is designed for exponential impact, training community members as certified Adaptation Technicians who then mentor others - creating a self-replenishing skills base. The project complements this with municipal budget mandates (5-7% for adaptation) and Canton Trust Funds seeded with project resources, ensuring financial sustainability.

Knowledge and tools transition to local control: IMN or IFAM permanently hosts the adaptation portal, INA institutionalizes training curricula, each municipality's PAAC updates codify successful methods

This creates an autonomous ecosystem where empowered communities drive continuous adaptation.

through: i) Local committees maintaining momentum; ii) Certified trainers multiplying skills; iii) Embedded municipal funding lines; iv) Policy-anchored methodologies

Performance tracking confirms sustainability, with targets for 80% of communities sustaining activities and 3+ new projects per canton annually without external funding

K. Provide an overview of the environmental and social impacts and risks identified as being relevant to the project / programme.

The proposed project is designed to comply with the Adaptation Fund’s Environmental and Social Policy (ESP) and Gender Policy, incorporating the evaluation and monitoring of potential risks to ensure full compliance. In Costa Rica, national social and environmental legislation already addresses environmental protection, human rights, gender equality, and equitable access to resources. Nevertheless, potential risks will be monitored to guarantee alignment with these policies.

During the full proposal development phase, a deeper analysis will be conducted to ensure that no significant risks exist—or that, if they do, they are properly mitigated. As a first step, a methodology developed by Fundecooperación will be applied to verify the presence of risks. This methodology will provide a preliminary assessment of environmental and social impacts and help identify any potential effects of project activities on people and the environment.

As part of project implementation, USP will be established under Component 2, which includes a competitive process to receive project proposals from local organizations or groups. These groups will first participate in a preparatory training process (Component 1) to support the formulation of locally led adaptation projects. As a requirement for participation, proposals must include a risk analysis aligned with the ESP. Monitoring will also be conducted throughout the implementation of these actions.

The project is classified as Category B, as it involves small-scale USPs that will undergo the described risk analysis methodology under the ESP+Gender framework. These subprojects will include preventive and mitigation measures in their planning and are expected to have minor, reversible, and easily mitigated impacts. The following table outlines the areas that will require deeper evaluation during the full proposal development.

Management of Unidentified Sub-Projects (USPs)

In accordance with the Guidance Document for Projects/Programmes with Unidentified Sub-Projects (USPs) of the Adaptation Fund, the project will implement a structured and multi-layered approach to ensure the proper environmental and social management of USPs. A comprehensive Environmental and Social Management Framework (ESMF) will be developed to guide screening, risk categorization, targeted assessments, proportional mitigation measures, and inclusive public consultations. A transparent grievance mechanism will also be established to allow affected communities to raise concerns throughout the sub-project cycle.

USPs will be identified through a competitive selection process under Component 2, where local organizations and groups will submit proposals. Prior to this, participants will receive training under Component 1 to support the formulation of locally led adaptation initiatives. All proposals must include a risk analysis aligned with the Adaptation Fund’s Environmental and Social Policy (ESP). Fundecooperación will apply its own methodology to assess potential risks, ensuring that environmental and social impacts are properly identified and documented. Importantly, the risk screening checklist will be revised to focus solely on identifying potential risks under each ESP principle, without including positive impacts or mitigation measures, as per technical guidance.

Fundecooperación will review and screen each USP, verifying alignment with project objectives, climate rationale, and compliance with the Fund's safeguard policies. The screening process will include eligibility criteria, an exclusion list, legal review, and community validation. Although the project is preliminarily classified as Category B, this classification is acknowledged as initial. Risks will be further assessed during the full proposal stage. The ESMF will serve as a key instrument to ensure regulatory coherence, social equity, and environmental sustainability across all interventions. Monitoring, Evaluation, and Learning (MEL) indicators will track impacts and lessons learned, while capacity-building efforts will strengthen stakeholder ability to apply the ESMF effectively.

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
<i>Compliance with the Law</i>		Very low. Project design ensure all activities comply with Costa Rican laws; USP will be evaluated and technical assistance will be provided to meet all relevant national and international legislation
<i>Access and Equity</i>		Low risk: The design of this proposal has been planned with a focus on gender equity and accessibility, seeking the participation and inclusion of vulnerable groups but there is a possibility of exclusion of vulnerable groups if the participation mechanisms are not inclusive. The financed subprojects will be screened to ensure that in no way compromise the communities' access to basic health, drinking water and sanitation, energy, education, housing, safe and decent working conditions, and land rights. During full project development, the project must ensure that all community members, regardless of socio-economic status, gender, or location, have fair access to the project's resources and opportunities.
<i>Marginalized and Vulnerable Groups</i>		Low risk: The project is designed to encourage and ensure the active and effective participation of different vulnerable groups in community led projects. But there is a risk in excluding people from indigenous communities, youth or other vulnerable populations in the construction of workspaces, as well as in decision making if no appropriate measures are taken and if selection criteria doesn't prevent it.
<i>Human Rights</i>		Low risk: Project aligns with national and international human rights frameworks.certain activities—such as land use changes or community interventions—could potentially lead to some rights violations if not carefully managed.
<i>Gender Equity and Women's Empowerment</i>		Low risk: The project is gender-sensitive, thus ensuring the active and effective participation of women and other vulnerable groups and gender equity is a cross-cutting theme in all components. However, there is a moderate risk of gender differences in involvement, leadership or access to resources due to structural gender bias and gap. A more detailed assessment is necessary to ensure that the project actively promotes gender equity and women's empowerment, and that women are given leadership roles in community-based ecosystem adaptation activities.
<i>Core Labour Rights</i>		Very Low risk: The project will ensure full compliance with current labor regulations, both nationally and internationally, in accordance with the principles established by the International Labor Organization (ILO) and in strict compliance with Costa Rica's Labor Law. There is a possibility that purchases may be made from suppliers that are not in compliance with current labor rights legislation. Purchase process and contracts will include clauses, i.e. for fair wages and safe working conditions, among other labour rights
<i>Indigenous Peoples</i>		Low risk: , there is a risk that the proposed community led adaptation measures that may be related to indigenous communities may not adequately reflect their worldviews, traditional practices or community priorities, which could limit the effectiveness and inclusiveness of the project. There is also a low risk that the efforts to integrate traditional knowledge with new practices could be misunderstood as cultural appropriation or misappropriation of local and indigenous know-how. While this is not the intention of the project, care will be taken to ensure that all knowledge transfer occurs through respectful, participatory processes that recognize and value the ownership of local

		communities.
Involuntary Resettlement	x	Very low Risk: The risk of involuntary resettlement is considered very low, as the project does not involve and will avoid any forced displacement of communities or individuals.
Protection of Natural Habitats		Low Risk: During the implementation of community led projects, there is a potential for negative impacts on local biodiversity and natural habitats, especially if activities modify land use, water resources, introduce uncontrolled agrochemicals, or affect previously undisturbed areas. This could lead to species loss, ecosystem degradation, or fragmentation of critical habitats, thereby threatening biodiversity and essential ecosystem services for local communities. USP will be required to assess this risk
Conservation of Biological Diversity		Low risk: The interventions of the subprojects would promote eba practices that imply the conservation of biological diversity and natural habitats, however, the project carries potential risks of disturbing natural habitats, particularly during the implementation of USP activities in communities, therefore the risk is considered low, and assessment will be carried out.
Climate Change		Very low risk: The project is based on capacity building for youth and women and the implementation of interventions aimed at promoting effective climate change adaptation processes, with a participatory and inclusive approach. No negative emission outcomes expected. However, this will be verified at USP development.
Pollution Prevention and Resource Efficiency		Low Risk: During project activities and USPs, there is a risk of pollution from improper disposal of waste or excessive use of water and materials, which could harm local ecosystems and reduce resource efficiency. Assessment and technical assistant will be carried out at implementation stage
Public Health		Very low risk. The project does not pose significant public health risks, but further assessment is needed to ensure that ecosystem changes do not negatively impact local health conditions, such as water quality. Anticipatory measures would include monitoring water quality near interventions; conduct health-oriented educational campaigns on safe water and sanitation.
Physical and Cultural Heritage		Very low risk: there is a risk that proposed community led adaptation measures that may be related to indigenous communities may not adequately reflect their worldviews and cultural heritage. ESP screening of USP will be done.
Lands and Soil Conservation		Low Risk: Soil and land conservation is an adaptation measure in this project. However, activities such as land clearing may lead to soil erosion and degradation, harming land productivity and ecosystem health if practices are not adapted properly to local conditions. Trainings and technical assistance will be included.

PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. Record of endorsement on behalf of the government²

Provide the name and position of the government official and indicate date of endorsement. If this is a regional project/programme, list the endorsing officials all the participating countries. The endorsement letter(s) should be attached as an annex to the project/programme proposal. Please attach the endorsement letter(s) with this template; add as many participating governments if a regional project/programme:

<p><i>Carlos Isaac Perez Mejia</i></p> <p><i>ViceMinister of Strategic Management</i></p> <p><i>Ministry of Environment and Energy, MINAE</i></p>	<p>Date: (Month, day, year)</p> <p>July 11th, 2025</p>
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B. Implementing Entity certification

Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project/programme contact person's name, telephone number and email address.

<p>I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans and subject to the approval by the Adaptation Fund Board, <u>commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund</u> and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.</p>	
<p><i>Marianella Feoli Peña</i></p> <p>Name & Signature</p> <p>Implementing Entity Coordinator</p>	
<p>Date: July 10th, 2025</p>	<p>Tel. and email: +506 2225 4507</p>
<p>Project Contact Person: Marianella Feoli Peña</p>	
<p>Tel. And Email: +506 2225 4507, mfeoli@fundecooperacion.org</p>	

² Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.



MINISTERIO DE
AMBIENTE Y ENERGÍA

GOBIERNO
DE COSTA RICA

VICEMINISTERIO DE
GESTIÓN ESTRATÉGICA

July 11th, 2025
DVGE-075-2025

Letter of Endorsement by Government
Ministry of Environment and Energy

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for the project "Grass-roots of Adaptation - Strengthening community climate resilience through locally led adaptation in Costa Rica"

In my capacity as designated authority for the Adaptation Fund in Costa Rica, I confirm that the above national grant proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in local communities in Costa Rica.

Accordingly, I am pleased to endorse the above grant proposal with support from the Adaptation Fund and its Project Formulation Grant. If approved, the project will be implemented by Fundecooperación para el Desarrollo Sostenible and executed by several executing entities.

Sincerely,

Carlos Isaac Pérez Mejía
Viceministro de Gestión Estratégica

cc: Archivo / Consecutiva

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ANNEXES

ANNEX 1: Summary of status analysis of 20 PAAC, conducted by CNE and DCC (C. Picado and A. Bonilla)

During 2024 the CNE, in collaboration with DCC-MINAE, conducted a survey on the 20 municipalities with PAAC and the results show that only 65% indicate a good knowledge of the Plan. However, 83% of municipalities have formalized the plan (approved and officialised), and from those formalized, 64% has some level of implementation and/or follow up. This endorses the need to strengthen local capacity building processes within the municipalities and in the communities, and the opportunity to follow up on implementation of the Plans.



ANNEX 2: Initial Gender Assessment for Locally-Led Community Adaptation in Costa Rica

This gender analysis examines inequalities in locally-led climate adaptation across Costa Rican communities, recognizing that community-based resilience-building extends beyond sectoral silos, in a multisectoral approach, considering agriculture, tourism, artisanal production, microenterprises, forestry, urban-rural linkages, water access, flood risks, and community resilience activities. While women and youth drive community-based solutions, they face systemic barriers: limited access to resources, decision-making spaces, and economic opportunities. Indigenous, Afro-descendant, and disabled women experience compounded marginalization. Effective locally-led adaptation must address these gaps while valuing traditional knowledge and fostering intergenerational collaboration.

Key Gender Gaps in Community Adaptation

1. **Economic Exclusion:** Women dominate informal sectors (tourism, crafts) but face pay gaps and unstable incomes.
2. **Water Access & Management:** Only 32% of water board members in rural communities are women (AyA, 2022). Indigenous women face additional barriers in securing water rights.
3. **Flood Risks & Disaster Response:** 78% of flood victims are women (CNE, 2021), due to caregiving roles and mobility constraints. Early warning systems often fail to reach women, who have less access to phones and radios. Post-disaster recovery programs rarely consider women's economic losses in informal sectors.

4. **Leadership and Community Participation Barriers:** Women make up 70% of local emergency committees but hold only 20% of leadership roles. Women hold fewer than 30% of decision-making roles in community development associations. Youth (especially young women) are excluded from community decision-making on infrastructure.
5. **Resource Inequality:** Limited access to credit, technology, and training restricts women's and youth's adaptive capacity.
6. **Time Poverty:** Unpaid care work limits women's participation in adaptation planning and flood preparedness training.
7. **Intersectional Challenges:** Indigenous women, LGBTQ+ individuals, and people with disabilities face additional exclusion.

Opportunities for Multi-Sectoral, Locally-Led Strategies

- **Community-Based Enterprises:** Support women's collectives in eco-tourism, agroforestry, and handicrafts to diversify livelihoods.
- **Inclusive Governance:** Strengthen women's and youth leadership in local adaptation committees and water management boards.
- **Community Water Governance:** Train women in rainwater harvesting and low-cost filtration systems. Establish women-led water monitoring teams to track shortages and contamination.
- **Inclusive Flood Preparedness:** Develop gender-sensitive flood risk maps through participatory workshops. Create women-managed early warning networks using community radios and WhatsApp groups. Design evacuation plans that account for mobility challenges (elderly, disabled, pregnant women).
- **Digital & Financial Inclusion:** Expand access to mobile banking, green microcredit, and digital tools for non-agricultural businesses.
- **Urban-Rural Linkages:** Promote women-led circular economy initiatives (e.g., upcycling, farmer's markets).
- **Care Infrastructure:** Invest in community childcare and labor-saving technologies to free women's time for adaptation activities.

Recommendations

1. **Participatory Gender Assessments:** Engage women, youth, and marginalized groups in identifying sector-specific adaptation needs.
2. **Intersectional Adaptation Funds:** Fund Women-Led Solutions, such as community water banks and flood early warning systems. Direct resources to Indigenous women's cooperatives, youth-led green enterprises, and disability-inclusive projects.
3. **Policy Alignment:** Link local efforts to national frameworks like Costa Rica's *Gender-Sensitive Climate Adaptation Plan*.
4. **Track Intersectional Data** on water access, flood impacts, and leadership roles (disaggregated by gender, age, ethnicity).
5. **Quotas:** Reserve 50% of seats in local adaptation committees for women.
6. **Gender-responsive funding:** Prioritize grants for collectives addressing care infrastructure.
7. **Targeted training:** Climate-smart agriculture programs designed around women's time constraints

Key Data Sources:

- CNE (National Risk Management Commission): Disasters impact reports

- INEC: Labor force surveys, poverty maps.
- IMAS: Social protection program data.
- Local Governments: Community resilience plans.
- AyA (Water Institute): Community water governance statistics.
- IMN (Meteorological Institute): Climate risk projections.

Conclusion: Locally-led adaptation must transcend sectoral silos, empowering women and youth as innovators across all community economies. During full proposal development, a complete gender assessment will serve as a useful input to improve the project to ensure inclusive, climate-resilient communities.

Annex 3, summary of participatory process for PAAC

The adaptation planning processes in each canton comprised the analysis of existing information as well as the systematization of local stakeholders' perceptions on the needs and opportunities for climate change adaptation. These analyses were developed through the continuous knowledge exchange and conversation between municipal technical teams and local stakeholders, including locally represented government institutions, social organizations, private sector, and academia.

A series of technical meetings and workshops were held with municipal staff and local stakeholders to:

- Introduce the technical assistance process and agree on the necessary steps.
- Gather information to supplement cantonal diagnosis and identify relevant actors and institutional arrangements necessary for the planning process.
- Validate the results of the cantonal diagnosis, identify adaptation needs and opportunities and define a cantonal vision and main objectives for adaptation.
- Identify and prioritize adaptation measures.
- Identify monitoring and evaluation indicators as well as the necessary institutional arrangements for the implementation of adaptation measures.
- Identify opportunities for adaptation measures' mainstreaming in local planning and management instruments and processes.
- Validate action plans.
- Specifically, the identification of adaptation measures responded to the results of the diagnostics developed in initial phases, the existing projects and initiatives which could be leveraged for adaptation objectives, and the participatory identification of needs and opportunities in each canton. A set of adaptation measures was proposed in each canton, where local stakeholders had the opportunity to discuss, modify, add, and prioritize. The prioritization was conducted through the application of a multi-criteria analysis methodology; afterwards, the measures were adjusted and narrowed down to specific results in participatory sessions and bilateral meetings with technical teams and stakeholders, considering local and institutional conditions for their implementation and monitoring.
- The participatory process was adjusted in each canton according to the local conditions and needs; this resulted in a combination of virtual and in-person meetings, workshops and working sessions held with municipal technical teams, and local groups and stakeholders.
- The following chart highlights specific sessions and workshops out of a more complex participatory process where adaptation measures were identified, prioritized, and narrowed down for each canton.

Canton	Date of consultation	Modality of consultation	Results included in Adaptation Action Plan
Alajuelita	July 1, 2021	Virtual workshop with local stakeholders and municipal technical team	17 adaptation measures were prioritized in the plan, integrated in 6 strategic lines of action: resilient human settlements, resilient infrastructure and public services, resilient cantonal economy, nature-based solutions, climate governance, and climate education and empowerment.
Puntarenas	October 26-29, 2021 November 3-4, 2021	District level, in – person workshops with local stakeholders and municipal technical team	31 adaptation measures were prioritized in the plan, integrated in 5 strategic lines of action: territorial planning and risk management, ecosystem services, infrastructure and social development, public services, and economic development.

Cañas	March 01, 2022 June 08, 2022	In-person workshops with municipal team and local key stakeholders	12 adaptation measures were identified in the plan, integrated in 7 strategic lines of action including education and access to information, risk management, territorial planning, infrastructure and public services, climate governance and investment, ecosystem services and productive systems.
La Cruz	March 08, 2022 June 14, 2022	In-person workshops with municipal technical team and local key stakeholders	14 adaptation measures were identified in the plan, integrated in 7 strategic lines of action including education and access to information, risk management, territorial participation, infrastructure and public services, climate governance and investment, ecosystem services and productive systems.
Upala	March 04, 2022 June 21, 2022	In-person workshop with municipal technical team and local stakeholders Virtual working session with municipal technical team and local stakeholders to finalize the prioritization of adaptation measures.	13 adaptation measures were identified in the plan, integrated in 7 strategic lines of action including education and access to information, territorial planning, infrastructure and public services, climate governance, cooperation and investment, social policy, ecosystem services (with a focus on water) and productive systems.
Los Chiles	March 02, 2022 June 03, 2022	In-person workshop with municipal technical team and local stakeholders Virtual working session with municipal technical team and local stakeholders to finalize the prioritization of adaptation measures.	11 adaptation measures were identified in the plan, integrated in 6 strategic lines of action including education and access to information, territorial planning, infrastructure and public services, climate governance and investment, ecosystem services and local economy.
Belén	March 11, 2022 June 10, 2022	In-person workshops with municipal technical team and local stakeholders	12 adaptation measures were identified in the plan, integrated in 6 strategic lines of action including education and access to information, territorial planning, ecosystem services, infrastructure and public services, local economy, and climate governance and investment.
Turrialba	March 10, 2022 June 02, 2022	In-person workshops with municipal technical team and local stakeholders	12 adaptation measures were identified in the plan, integrated in 6 strategic lines of action including education and access to information, territorial planning, ecosystem services, infrastructure and public services, local economy, and climate leadership and investment.
Matina	December 11, 2021 April 08, 2022	In-person (1) and virtual (2) district workshops with local institutional and civil society stakeholders, including members of the Land Use Regulatory Plan Commission In-person workshop with local institutional and civil society stakeholders, Land Use Regulatory Plan Commission	16 adaptation measures were preliminary identified , integrated in 5 strategic lines of action: human settlements, nature-based solutions, infrastructure and public services, climatic education and empowerment, and cantonal resilient economy.
Pococí	February 04, 2022 February 12, 2022 February 18, 2022 April 09, 2022	Virtual workshop with ASADAS Bimodal in-person/virtual workshop with local development associations Virtual workshop with stakeholders in Tortuguero Virtual workshop with local stakeholders	15 adaptation measures were preliminary identified , integrated in 5 strategic lines of action: human settlements, nature-based solutions, infrastructure and public services, climatic education and empowerment, and cantonal resilient economy.
Nicoya	Nov. 16-22, 2021 March 14, 2022	District, in-person workshops with local stakeholders In-person workshop with municipal technical team and local stakeholders	13 adaptation measures were identified in the draft version of the plan, integrated in 6 strategic lines of action including education and access to information, territorial planning, infrastructure and public services, governance, ecosystem services and local economy.
Acosta	March 09, 2022	In-person workshop with municipal technical team	11 adaptation measures were identified in the plan, integrated in 6 strategic

	June 07, 2022	and local stakeholders Virtual working session with municipal technical team and local stakeholders to finalize the prioritization of adaptation measures.	lines of action including education and access to information, territorial planning, natural resources planning, infrastructure and public services, local economy, and governance.
Naranjo	March 15, 2022	In-person workshop with municipal technical team and local stakeholders	12 adaptation measures were identified in the draft version of the plan, integrated in 6 strategic lines of action including education and access to information, territorial planning, natural resources planning, infrastructure and public services, local economy, and governance.
Osa	October 18-21, 26-27, 2021	6 in-person, district workshops with municipal collaborators and local stakeholders	A total of 29 adaptation projects were identified in the plan, integrated in 7 programs including territorial planning, ecosystem services management, public infrastructure, agriculture, cattle farming, and forest management.
Montes de Oro	November 22-24, 2021	3 in-person workshop with municipal collaborators and local stakeholders	A total of 28 adaptation projects were identified in the plan, integrated in 7 programs including territorial planning, ecosystem services management, public infrastructure, agriculture, cattle farming, and forest management.
Parrita	October 27, 2021	In-person workshop with municipal collaborators and local stakeholders	A total of 29 adaptation projects were identified in the plan, integrated in 7 programs including territorial planning, ecosystem services management, public infrastructure, agriculture, cattle farming, and forest management.
Buenos Aires	Oct. 5-6, 2021 Nov. 1- 2, 2021	7 in-person workshop with municipal collaborators and local stakeholders	A total of 30 adaptation projects were identified in the plan, integrated in 7 programs including territorial planning, ecosystem services management, public infrastructure, agriculture, cattle farming, and forest management.
Corredores	March 18, 2022 April 29, 2022	In-person workshop with municipal technical team and local stakeholders to work on the identification and prioritization of adaptation measures Virtual working session (RT4) with municipal technical team and local stakeholders to finalize the prioritization of adaptation measures	A total of 12 adaptation measures were identified in the plan, integrated in 6 strategic lines of action including education and access to information, territorial planning, infrastructure and public services, governance and public finance, ecosystem services management, local economy, and climate risk management.
Talamanca	March 10, 2022 April 04, 2022 June 01, 2022 August 09, 2022	Virtual working session with municipal technical team and local stakeholders to identify adaptation measures In-person workshop with municipal technical team and local stakeholders to work on the identification and prioritization of adaptation measures)	A total of 14 adaptation measures were identified in the plan, integrated in 6 strategic lines of action including education and access to information, governance and public investment, territorial planning, infrastructure and public services, ecosystem services management, and local economy.
Siquirres	Dec. 06, 2021 April 07, 2022 April 25, 2022	Working sessions with municipal technical team and Local Emergency Response Committee	8 adaptation measures were identified in the plan, integrated in 4 strategic lines of action including education for climate action, territorial planning, infrastructure and public services, and finance for climate action.