



## ADAPTATION FUND

AFB/PPRC.37/12/Add.1  
16 March 2026

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Adaptation Fund Board  
Project and Programme Review Committee  
Thirty seventh Meeting  
Bonn, Germany, 7-8 April 2026

Agenda Item 5 (g)

### **PROJECT FORMULATION GRANT FOR PERU (1)**

## I. Background

1. The Board at its eleventh meeting discussed the document "Funding for Project Formulation Costs" (AFB/11/6) and agreed, in its Decision B.11/18, that:

- i. project formulation grants (PFG) should be given once a project concept has been approved
- ii. consideration should be given in terms of differentiating between NIEs and MIEs, since some NIEs might have financial difficulties in trying to formulate project or programme proposals;
- iii. a flat rate should be given for project formulation costs;
- iv. a list of eligible activities and items still needed to be prepared; v. the grant should be additional to the project cost; and
- v. the fate of funds if the final project document was rejected should be determined.

2. There was consensus that a three-tiered system should be considered for project formulation grants: endorse a project concept with a PFG amount, endorse a project concept without a PFG amount, or reject the project concept.

3. Following the discussion, the Board decided:

To request the secretariat to reformulate the document, to include a comparison of eligible activities provided by other funds for project formulation grants, to take into account guidance provided by the Board at the present meeting, and to submit the document to the Board at its twelfth meeting, through the EFC. The EFC should review and finalize the process and policy of the project formulation grant focusing, in particular, on: the issue of unspent project funds; the procedures followed by other funds in that regard; and the determination of a flat-rate.

4. A document was prepared by the secretariat in response to the above mandate and presented at the third EFC meeting, which made specific recommendations to the Board at its twelfth meeting. Having considered the recommendation of the Ethics and Finance Committee, the Board, in its Decision B.12/28, decided that:

*(a) Project Formulation Grants (PFGs) will only be made available for projects submitted through NIEs. The Board would continue reviewing the question of PFGs for projects submitted through MIEs and would solicit comments from members and alternate members by February 14, 2011; the views would be compiled by the secretariat for presentation to the Board at its March 2011 meeting;*

*(b) If a country required a project formulation grant, a request should be made at the same time as the submission of a project concept to the secretariat. The secretariat will review and forward it to the PPRC for a final recommendation to the Board. A PFG could only be awarded when a project concept was presented and endorsed;*

*(c) A PFG form, reproduced in Annex V, should be submitted;*

- (d) Only activities related to country costs would be eligible for PFG funding;*
- (e) A flat rate of up to US\$30,000 shall be provided, inclusive of the management fee, which cannot exceed 8.5 per cent of the grant amount. The flat fee would be reviewed by the Board at its thirteenth and all subsequent meetings;*
- (f) If the final project document is rejected, any unused funds shall be returned to the Adaptation Fund Trust Fund;*
- (g) Once a project/programme formulation grant is disbursed, a fully developed project document should come to the Board for approval within 12 months. No additional grants for project preparation can be received by a country until the fully developed project/programme document has been submitted to the Board; and*
- (h) The Trustee was instructed to remove the set-aside of US\$100,000 for project preparation that had been decided at the June 2010 meeting, as project preparation would be approved on a project-by-project basis.*

5. In its twenty-fourth meeting, the Board had initiated steps to launch a pilot programme on regional projects and programmes, not to exceed US\$ 30 million and had requested the secretariat to prepare for the consideration of the Board a proposal for such a pilot programme (Decision B.24/30). In its twenty-fifth meeting, the secretariat submitted such document and the Board decided to:

- (a) Approve the pilot programme on regional projects and programmes, as contained in document AFB/B.25/6/Rev.2;*
- (b) Set a cap of US\$ 30 million for the programme;*
- (c) Request the secretariat to issue a call for regional project and programme proposals for consideration by the Board in its twenty-sixth meeting; and*
- (d) Request the secretariat to continue discussions with the Climate Technology Center and Network (CTCN) towards operationalizing, during the implementation of the pilot programme on regional projects and programmes, the Synergy Option 2 on knowledge management proposed by CTCN and included in Annex III of the document AFB/B.25/6/Rev.2.*

*(Decision B.25/28)*

6. The approved document AFB/B.25/6/Rev.2 contained provisions for the approval of project formulated grants for regional project and programme proposals, at different development stages, as follows:

*“It is proposed that the Board open a structured call for MIEs and RIEs to submit pre-concepts for regional projects and programmes. The optional pre-concepts would be very brief proposals of maximum 5 pages that would explain the proposed regional adaptation project/programme. The pre-concepts would be screened and technically reviewed by the*

*secretariat, and subsequently reviewed by the PPRC. Together with the pre-concept, the proponent could submit a Phase I PFG request, up to the maximum level of US\$ 20,000. While endorsing the pre-concept, the Board could also approve the Phase I PFG request. The endorsement of the pre-concept would not create an obligation for the Board for later funding. As the next step, the proponent would submit a concept, and with it the proponent could submit a Phase II PFG request. The maximum AFB/PPRC.18/25/Add.1 level of the Phase II PFG would be US\$ 80,000 for proposals that had been previously granted Phase I PFG, and US\$ 100,000 for proposals that bypassed the optional pre-concept stage. While endorsing the concept, the Board could also approve the Phase II PFG request. The endorsement of the concept would not create an obligation for the Board for later funding, as it is the case for the national projects. The final stage of the proposal process would be the submission of the fully-developed regional project document”.*

## **II. The Project Formulation Grant Request**

7. This addendum to the document AFB/PPRC.37/12 “Proposal for Peru” includes a request for a Project Formulation Grant, requesting a budget of US\$ 150,000, which was received by the secretariat along with the concept for the project AF00000451 “Climate Resilience in Andean-Amazonian Landscapes of Peru: Ecosystem-based Adaptation and Sustainable Livelihoods”. This proposal was submitted by Peruvian Trust Fund for National Parks and Protected Areas (Profonanpe), which is a National Implementing Entity of the Adaptation Fund, in time for consideration by the Adaptation Fund Board at its forty-sixth Board meeting.

8. In accordance with Decision B.12/28, paragraph (b), the secretariat carried out an initial review of the PFG request and found that the document provided detailed information on the use of the requested funds. The proposed activities were aligned with the goal of the project and would support: the preparation of the Gender and Environmental and Social risk analyses and formulation of Environmental and Social Management Plan/Gender Action Plan, local consultations, assessments and full proposal development.

9. Therefore, the PPRC may want to consider and recommend to the Board to approve the PFG Request, provided that the related concept proposal is endorsed.



ADAPTATION FUND

## ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: CONCEPT NOTE

**Country/Region:** Peru

**Project Title:** Climate Resilience in Andean-Amazonian Landscapes of Peru: Ecosystem-based Adaptation and Sustainable Livelihoods

**Thematic Focal Area:** Multisector

**Implementing Entity:** Profonanpe

**Executing Entities:** Ministry of the Environment of Peru

**AF Project ID:** AF00000451

**IE Project ID:**

**Reviewer and contact person:** Estefanía Jiménez

**IE Contact Person:**

**Requested Financing from Adaptation Fund (US Dollars):** 10,000,000

**Co-reviewer(s):** Mahamat Assouyouiti

### Technical Summary

The project “Climate Resilience in Andean-Amazonian Landscapes of Peru: Ecosystem-based Adaptation and Sustainable Livelihoods” aims to strengthen the climate resilience of populations and their livelihoods in vulnerable Andean-Amazonian landscapes in Peru through the implementation of ecosystem-based adaptation (EbA) measures to address climate-related hazards. This will be done through the four components below:

Component 1: Design and implementation of ecosystem-based adaptation measures to reduce climate risks and strengthen community resilience (USD 3,000,000);

Component 2: Diversification of local livelihoods to increase resilience, food and nutritional security, and access to financing opportunities, in harmony with ecosystem conservation (USD 3,500,000);

Component 3: Strengthening governance and public investment for climate change adaptation and the sustainability of livelihoods (USD 1,000,000).

Component 4: Strengthening knowledge management and adaptation monitoring to support continuous improvement and informed decision-making for adaptation in vulnerable Andean-Amazonian landscapes (USD 916,977).

	<p><u>Requested financing overview:</u>  Project/Programme Execution Cost: USD 799,613  Total Project/Programme Cost: USD 9,216,590  Implementing Fee: USD 783,410  Financing Requested: USD 10,000,000</p> <p>The proposal includes a request for a project formulation grant and/or project formulation assistance grant of USD 150,000.</p> <p>The initial technical review raises several issues, such as the need for strengthening the adaptation rationale of the various components, the identification of potential risks and impacts of the project, consistency between the tables which identify the risks, the links between the risks, activities and outcomes in the Theory of Change; the lack of information about potential overlapping projects, the project's cost-effectiveness, and the stated Execution Cost, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p> <p>This second technical review has addressed some of the earlier CRs and CARs, however a number of amendments are required concerning Gender assessment, project implementation through USP, identification of beneficiaries, alignment table etc. as raised in the number of CRs and CARs raised in the review.</p> <p>The third review have addressed almost all CRs and CARs raised earlier. A final amendment is required concerning the estimated number of beneficiaries and updated results framework alignment table.</p> <p>The fourth review have addressed all CRs and CARs raised earlier.</p>
Date:	December 12, 2025

Review Criteria	Questions	First Technical Review Comments August 5, 2025	Second Technical Review Comments August 26, 2025	Third Technical Review Comments November 10, 2025	Fourth Technical Review Comments December 12, 2025
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Country Eligibility	1. Is the country party to the Kyoto Protocol, and/or the Paris Agreement?	<b>Yes.</b>	-	-	-
	2. Is the country a developing country particularly vulnerable to the adverse effects of climate change?	<b>Yes.</b> Peru is particularly vulnerable to phenomena such as frosts, droughts, and floods, which affect both the economy and social well-being. Historical data show that these extreme climate events have had a direct impact on productive sectors, as well as on the country's natural and social infrastructure, generating significant economic losses.	-	-	-
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project/programme ?	<b>Yes.</b> As per the Endorsement letter dated July 17 <sup>th</sup> , 2025.	-	-	-
	2. Does the length of the proposal amount to no more than Fifty pages for the project/programme concept, including its annexes?	<b>No</b> The concept note exceeds 50 pages including its annexes.  <b>CR1:</b> Please reduce the total pages within the required 50 pages	<b>CR1: Cleared.</b> As per revised CN up to 50 pages, including annexes.	-	-
	3. Does the project / programme support concrete adaptation actions to assist the country in	<b>Yes.</b> <b>However additional information is required.</b> The concept note provides overall information about the components			

	<p>addressing adaptive capacity to the adverse effects of climate change and build in climate resilience?</p>	<p>and activities and is aimed at strengthening the climate resilience of populations and their livelihoods in vulnerable Andean-Amazonian landscapes in Peru through the implementation of ecosystem-based adaptation (EbA) measures to address climate-related hazards. However, there are few elements to be addressed:</p> <p><b>CR2:</b> Although the EbA has been implemented in Peru for many years including through AF funded project, the project concept note aims to pilot adaptation measures through EbA solutions. Although the context might be different from other EbA experiences in the country, it would be useful to take stock of EbA solutions that have been implemented in Peru and replicate and/or scale up. Please document and strengthen the link of the proposed activities to design and pilot EbA with existing solutions in the country and specifically the selected areas of intervention.</p> <p><b>CR3:</b> The entity has developed a similar project in the past for AF funding titled “Building a program for adaptation and resilience to climate change of Andean local communities and ecosystems in Peru”. Please clarify how this new</p>	<p><b>CR2: Cleared.</b> As per revised CN page 18 that strengthen the rationale for the proposed EBA measures under outcome</p> <p><b>CR3: Not Cleared.</b> Thank you for the clarification and additional information.</p>	<p>-</p> <p><b>CR3: Cleared.</b> As per revised Section F and Table 9 (previously Table 6).</p>	<p>-</p> <p>-</p>
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		<p>project builds or complements the above-mentioned project since both projects are in the same area.</p> <p><b>CAR1:</b> The CN doesn't provide an indicative number of beneficiaries. Please indicate the estimated number of beneficiaries (direct and indirect) which will be supported.</p> <p><b>CR4:</b> Please confirm if the project includes USP and refer to AF policy of USP for compliance. Please refer to <a href="#">Guidance Document for Project/Programme with Unidentified Sub-Projects</a></p> <p><b>CR5:</b> Kindly provide more details for each project activity, for example: clarify stakeholders to be involved), and which specific actions will be taken to ensure successful implementation of livelihood activities, and the locations where</p>	<p>Please update the concept note with the explanation provided in the review sheet. In addition, please update the Table 6 (page 34) accordingly with the proposed synergies and complementarity between the 2 projects. The table 6 has been updated but it does not include the information provided in the review sheet.</p> <p><b>CAR 1: Not Cleared.</b> We do recognize the difficulty to provide an exact number of beneficiaries at this stage of the CN. However, it is important to</p>	<p><b>CAR 1: Not cleared.</b> Thank you for the revised text with indicative number of beneficiaries on page 11. However, there is small mistake about the</p>	<p><b>CAR 1: Cleared</b> as per revised text and Table 4 on page 10.</p>

		<p>the activities will be placed if already known at this stage.</p> <p><b>CR6:</b> Under Component 1, among the EbA measures listed under Table 3, 4 and 5, please clarify how the proposed newly designed EbA will be based on national documents, i.e. “Catalog of NDC Adaptation Measures (MINAM, 2024)” and how these activities will not be creating maladaptation if different from NDC measures.</p> <p><b>CAR2:</b> Under Component 2, there seems to be a complete misalignment between the livelihood activities and the EbA measures to be implemented under Component 1. Since the project will be implemented as a whole, please clarify the link between EbA measures under Component 1 and the livelihood activities under Component 2.</p> <p><b>CAR3:</b> Under Component 2, although presented as activities aiming for “Diversification of local livelihoods to increase their resilience, food and nutritional security, and access to financing opportunities, in harmony with ecosystem conservation”, there is very little information on the exact</p>	<p>indicate a rough estimate of beneficiaries (direct and indirect) which can be further defined during full proposal stage.</p> <p><b>CR4: Not Cleared.</b> Thank you for the confirmation that there is no USP under the project. However, the response to CR5 indicates that locations of the activities are yet to be identified. Please clarify and update the CN accordingly.</p>	<p>indirect beneficiaries. The sentence seems incomplete as it is stated “<i>The direct beneficiaries are estimated in 69,023 people and 75,925 people</i>”. In addition, please provide a gender disaggregated data of the estimated beneficiaries if the information is available. There is a gender disaggregated data under social benefit (page 28) which you can user under this section as well.</p> <p><b>CR4: Cleared.</b> As per the clarification provided that the project does</p>	<p>-</p>

		<p>nature of these activities nor their ability to increase resilience through income generating activities, except for activity 2.1.2 which lists “agroecology, aquaculture, sustainable management of non-timber forest products, and other initiatives tailored to each territory’s socio-environmental conditions”. Please provide more information of the exact nature of the proposed livelihood activities and how they increase local resilience.</p> <p><b>CAR4:</b> Under Component 2, for activity 2.1.3 Capacity-building, market access and brand development for enterprises, it is unclear how the proposed capacity building is linked and aligned with Component 3 that also aims at building capacity. Please clarify.</p> <p><b>CR7:</b> Under Component 2, also under Activity 2.1.3, please clarify who are the targeted entities to be supported and described as “commercial, and organizational capacities of sustainable local enterprise”.</p> <p><b>CAR5:</b> Under Component 3, please clarify if the proposed approach is aligned with the country NDC, in particular in relation to the “Micro-</p>		<p>not fall under the USP category, as both activities and intervention areas are already defined. Further identification will be conducted during full development stage. The text has been revised with merged Activities 2.1.1 pages 23-25.</p> <p><b>CR5: Not cleared.</b> Please refer to CR4 and revised accordingly.</p> <p><b>CR6: Cleared.</b> As per clarification provided and revised CN (page 18-19).</p>	<p>CR5: Cleared. As per CR4 above</p> <p>-</p> <p>-</p>	<p>-</p> <p>-</p>
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		<p>watershed or sub-watershed management plans, integrating ecosystem-based adaptation (EbA) approaches, water security, and risk management”.</p> <p><b>CR8:</b> Under the proposed “Local climate change plans (PLCC) or other territorial instruments”, please clarify if these PLCC are new or already existing under the country NDCs which will be supported with AF funding.</p> <p><b>CAR6:</b> The proposed “Activity 3.1.2: Development of climate change impact risk analyses” seems to be inappropriate for such a capacity building component. This activity should be part of the Component 1 and 2 which involve adaptation activities and some investments. Please consider moving this activity to be part of the preparatory activities under Components 1 and 2.</p> <p><b>CAR7:</b> As required by AF, please add explicitly the alignment with the Adaptation Fund Results Framework at Part I B.</p> <p><b>CAR8:</b> The Theory of Change does not show how the Components, Outcomes and Activities are linked</p>	<p><b>CAR 2: Cleared.</b> As per clarification provided and updated CN (page 20-21) as part of the descriptions of Components 1 and 2.</p> <p><b>CAR 3: Not cleared.</b> Thank you for the clarification and additional information on the proposed activities aiming for “Diversification of local livelihoods to increase their resilience, food and nutritional security, and access to financing opportunities, in harmony with ecosystem conservation”.</p>	<p>-</p> <p><b>CAR 3: Cleared</b> As per revised description of Outcome 2 (p. 18) and Table 7.</p>	<p>-</p> <p>-</p>

		<p>with the specific climate risks. Please include the specific climate risks and show how they are linked with the Activities, Outputs, Outcomes and Activities.</p>	<p>However, the CN would benefit to include information provide in the review sheet. We advise to include a paragraph under component 2 description with the clarification provided in the review sheet.</p>		
			<p><b>CAR4: Not cleared.</b> As per clarification provided. However, please revise the CN to reflect the clarification provided in the review sheet as we do not find the updated section.</p>	<p><b>CAR 4: Cleared</b> Further Clarification provided under activity 2.1.2 (previously 2.1.3), page 20.</p>	-
			<p><b>CR 7: Not cleared.</b></p>	<p><b>CR 7: Cleared.</b></p>	-

			<p>Please update the information under Activity 2.1.3 and include the precision provided in the review sheet.</p> <p><b>CAR 5: Cleared.</b> As per the clarification provided and updated CN under component 3.</p> <p><b>CR8: Not cleared.</b> Thank you for the clarification. However, please update the CN accordingly.</p> <p><b>CAR6: Cleared.</b> As per revised component 1.</p> <p><b>CAR7: Cleared.</b></p>	<p>As per revised information under Activity 2.1.2 (previously 2.1.3), see page 20.</p> <p>-</p> <p><b>CR8: Cleared</b> As per revised text on PLCC under activity 3.1.1, page 22.</p> <p>-</p> <p>-</p> <p>-</p>	<p>-</p> <p>-</p> <p>-</p> <p>-</p>
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			As per revised CN under Part II.A.		
			<b>CAR8: Cleared.</b> As revised Annex 2.	-	-
	4. 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?	<p><b>No.</b></p> <p>The concept note briefly outlines some of the project's economic, social, and environmental benefits; however, the explanation is too general and does not include estimated benefits. Moreover, the document does not provide information on the expected total number of beneficiaries of the project and the specific vulnerable groups targeted, neither does the concept note include an Initial Gender Assessment.</p> <p><b>CR9:</b> Please include in the economic benefits section, how many people will benefit in each community and what is the dollar-value of the economic benefit to them for each of the target communities. It would also be useful to present overall figures for economic and social benefits.</p> <p><b>CR10:</b> Please strengthen the social, and environmental benefits with</p>	<p><b>CR9: Not cleared.</b> Please refer to CAR1 and provide further information (even indicative) of economic and social benefits.</p> <p><b>CR10: Cleared.</b></p>	<p><b>CR9: Cleared</b> As per CAR1 and addition information under Economic Benefits in section B (p.25).</p> <p>-</p>	<p>-</p> <p>-</p>

		<p>specific and quantifiable data where possible.</p> <p><b>CAR9:</b> Please include an initial gender assessment which is required at the concept note stage.</p> <p><b>CAR10:</b> Kindly provide specific information on the expected beneficiaries, disaggregated by gender and age, where possible. Also, whether marginalized and vulnerable groups and indigenous communities have been identified in the project area and if so, specify how the project benefits those groups.</p> <p><b>CR11:</b> Kindly explain how the project will ensure the equitable distribution of benefits.</p>	<p>as per updated Section B, page 28.</p> <p><b>CAR 9: Not cleared.</b> Thank you for the updated CN with an initial gender assessment, page 29. However, the text is rather short and lacks many information on the gender assessment. Please update the paragraph and include a more detailed initial gender analysis that describes the different needs, roles and knowledge sources of women and men in the areas of intervention, clearly stating</p>	<p><b>CAR 9: Cleared</b> As per revised initial gender assessment with additional available data. Please consider conducting a survey during full project development to gather further data on gender related challenges in the project intervention.</p>	-
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			<p>how the proposed change in gender dynamics under the project might drive lasting changes. The gender analysis should inform and recommend how gender considerations are mainstreamed throughout the project's activities.</p> <p><b>CAR 10: Not cleared.</b> Please refer to CAR1 and update the section accordingly with indicative estimate.</p> <p><b>CR11: Not cleared.</b> Thank you for the clarification and addition</p>	<p><b>CAR10: Cleared as per CAR1 above.</b></p> <p><b>CR11: Cleared.</b> As per revised section B (p.26).</p>	-
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			information. However, the CN should be updated to reflect the proposed approach for equitable distribution of benefits.		
	5. Is the project / programme cost effective?	<p><b>Unsure.</b> The concept note provides a broad explanation of the project cost-effectiveness, without information on the specific components. It does not specify clearly the scope and approach, nor method for the calculation. It is also not possible to demonstrate the cost-effectiveness of the selected measures.</p> <p><b>CAR11:</b> Kindly provide a sound justification for the cost-effectiveness of the project and selected measures, including scope, approach, alternative options to the proposed measures, and estimates of the evaluation where possible. Please consider using a table to compare proposed EbA approaches</p>	<p><b>CAR 11:</b> - <b>Cleared.</b> As per revised Section C, page 30.</p>	-	-

		with tentative cost figures for benchmark.			
	6. Is the project / programme consistent with national or sub-national sustainable development strategies, national or sub-national development plans, poverty reduction strategies, national communications and adaptation programs of action and other relevant instruments?	<p><b>Yes.</b>  <b>But further information is needed.</b>  The project identifies relevant adaptation-related plans and strategies as well as sectoral country's policy and strategies.</p> <p><b>CAR12:</b> Kindly provide the specific linkage about how the project supports the implementation of the SDGs and justify the link between the project and the PNS.</p> <p><b>CAR13:</b> Please include information on relevant Agriculture, Forestry and Fisheries Sector Plans citing the sections of relevance to Climate Change</p>	<p><b>CAR 12:</b> -  <b>Cleared.</b>  As revised Section D, page 32.</p> <p><b>CAR 13:</b> -  <b>Cleared.</b>  As revised Section D, page 33.</p>	-	-
	7. Does the project / programme meet the relevant national technical standards, where applicable, in compliance with the Environmental and Social Policy of the Fund?	<p><b>Yes.</b>  The concept identifies several national regulations relevant to the project as described in Section D and E, Part II.</p>	-	-	-
	8. Is there duplication of project / programme with	<p><b>Yes.</b>  <b>However additional information is required.</b></p>			

	<p>other funding sources?</p>	<p>Although relevant information is described to the minimum extent in Section F, Part II, and its Table 6, all potentially overlapping projects are not clearly identified in the concept note.</p> <p><b>CR12:</b> Kindly conduct further analyses and include a comprehensive list of projects that are or have been implemented in Peru and the selected area, since Table 6 currently includes only 3 projects.</p>	<p><b>CR12: Cleared.</b> As per revised Table 6.</p>	<p>-</p>	<p>-</p>
	<p>9. Does the project / programme have a learning and knowledge management component to capture and feedback lessons?</p>	<p><b>Yes.</b> As per information provided on section G, Part II. The project has knowledge and dissemination-related activities throughout the four components.</p> <p><b>CAR14:</b> Please consider incorporating feedback mechanisms in the capacity building activities to ensure that the training is effective so that the training programmes can be adapted or modified to be more targeted and effective, where necessary.</p>	<p><b>CAR 14: Cleared.</b> As per updated section G and component 4.</p>	<p>-</p>	<p>-</p>
	<p>10. Has a consultative process taken place, and has it involved all key stakeholders, and</p>	<p><b>Yes.</b> <b>However, further information is needed.</b></p>			

	<p>vulnerable groups, including gender considerations in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Initial consultations were conducted through workshops that seem to be taken place virtually (google meet), ref Annex 3. The consultative process has included local authorities, government entities, and communities.</p> <p><b>CR13:</b> Kindly indicate whether any physical consultation has taken place and if the local communities been involved?</p> <p><b>CAR15:</b> Considering the important role of vulnerable groups including women and youth, kindly explain how these groups been involved during consultation workshops and provide a report on the consultations in the Annexes.</p>	<p><b>CR13: Cleared.</b> As per clarification provided.</p> <p><b>CAR 15: Cleared.</b> As per updated Section H, page 36.</p>	<p>-</p> <p>-</p>	<p>-</p> <p>-</p>
	<p>11. Is the requested financing justified on the basis of full cost of adaptation reasoning?</p>	<p><b>Unsure.</b> The concept note provides general arguments for the funding of the project and its impact on Peru. However, it does not clearly demonstrate how the project will address its adaptation objective with the resources provided.</p> <p><b>CR14:</b> Please present information to indicate how this project will meet its objectives solely with the resources of the adaptation fund.</p>	<p><b>CR14: Cleared.</b> As per updated Section I, page 37.</p>	<p>-</p>	<p>-</p>

		<p><b>CR15:</b> Kindly clarify whether the project requires co-financing or not. If co-financing is being considered, please clearly indicate how the project with the AF resources only, will be able to effectively meet its objectives.</p> <p><b>CR16:</b> Considering that most of the proposed activities are to be designed or identified, kindly confirm if this project will be implemented through an approach of unidentified sub-project (USP).</p>	<p><b>CR15: Cleared.</b> As per clarification that the project does not include any co-financing.</p> <p><b>CR16: Not cleared.</b> Please refer to CR4 and CR6 and update the section accordingly.</p>	<p>-</p> <p><b>CR 16: Cleared</b> As per CR4 and CR6 above.</p>	<p>-</p>
	<p>12. Is the project / program aligned with AF's results framework?</p>	<p><b>Yes.</b> <b>However, amendment is required.</b> As per the information provided on section A, Part III. <b>CAR16:</b> Please ensure that the top (outcome level) and bottom part of the table (output level) is completed.</p>	<p><b>CAR 16: Not Cleared.</b> The revisions at Table in part III. A are well noted, however further amendments are required.</p> <p>The first row can remain as in as it captures the entire project</p>	<p><b>CAR 16: Not cleared.</b> Please amend the table to comply with the guidance and the format presented at <a href="#">Results Framework Alignment Table</a> (Amended in November 2025) (77 kB, DOC).</p>	<p><b>CAR 16: Cleared</b> as per changes in table in Part III.A.</p>

		<p><b>CAR17:</b> Please ensure that for each outcome/output indicator the costs are separated in the final column of the table.</p>	<p>objective. However, please insert additional rows under the outcomes (top) part of the table to capture the project outcomes 1 to 4 and the associated AF outcomes and outcome indicators to match the output level (bottom) i.e. since Output 5 is selected for the project outcome 1 in the bottom, please select outcome 5 for project outcome 1 as well in the top. This is in addition to the project objective row which is currently there. Please also separate the costs as was done for the</p>		
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			<p>output level (bottom) of the table. The figures for the output level in the grant amount should match the outcome level information now being inserted.</p> <p><b>CAR 17: Cleared.</b> As per revised Table in part III. A</p>	-	-
	<p>13. Has the sustainability of the project/programme outcomes been taken into account when designing the project?</p>	<p><b>Yes. However additional information is required.</b></p> <p>The project seeks to sustain its benefits through the involvement of national and local stakeholders, fostering community ownership, and building capacity for end users. However, there is no mention of regulations and resources, and therefore, it is not clear how the project will be sustained in the long run.</p> <p>In addition, in the absence of clear identification of proposed activities under EbA and livelihood activities, it</p>			

		<p>is not clear how the sustainability be ensured.</p> <p><b>CR17:</b> Kindly identify the adaptation benefits that can be sustained after this project ends and explain if this can be replicated and/or scale up.</p> <p><b>CR18:</b> Kindly refer to how sustainability resources (for example, financial, social, regulatory, institutional) play a role in the sustainability and maintenance of the project.</p>	<p><b>CR17: Cleared.</b> As per revised Section J, page 39.</p> <p><b>CR18: Cleared.</b> As per revised Section J, page 39.</p>	<p>-</p> <p>-</p>	<p>-</p> <p>-</p>
	<p>14. 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><b>No.</b></p> <p>The concept note does not state the project classification (A, B or C) from the screening. The proposal has not identified all potential risks and impacts but rather provides some general information about some of the environmental and social principles from the checklist. For the concept note, the ESP overview should start by identifying potential risks, even if the project aims do not affect issues related to the principles.</p> <p>There are some discrepancies with Table I (Page 15 ) which presents the challenges of cross-cutting approaches in the Thematic Areas of Water, Agriculture and Forests and</p>			

	<p>the Risks in the Table in Section K. Specifically, Table 1 identified - Health risks in the Water Sector with impacts on vulnerable populations due to lack of access to water resources, drinking water services, and sanitation. However, the ESP principles checklist table states that no health risks are expected.</p> <p><b>CAR18:</b> Please kindly state the project classification from the screening in Section K, Part II.</p> <p><b>CAR19:</b> Please review Table 4 and assess all the principles that may apply to the project, and state and describe all potential impacts (direct, indirect, transboundary and cumulative) and risks particularly regarding the unidentified subprojects. As per our ESP Guidance document Principles 1, 4 and 6 always apply. Please see <a href="#">Guidance document for Environment and Social Policy (English, French and Spanish)</a></p> <p><b>CR19.</b> Please ensure consistency between the risks identified Table 1 and the Risks in the Table in Section K.</p>	<p><b>CAR18: Cleared.</b> As per categorization B included under Section K.</p> <p><b>CAR19: Not Cleared.</b> As per clarification provided and ref to Table 4. As per AF policy ESPs 1, 4 and 6 will always require further assessment for compliance. Please amend accordingly.</p> <p><b>CR19: Cleared.</b> As per information provided and</p>	-	-	-	-
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			updated Table under section K, page 40.		
Resource Availability	1. Is the requested project / programme funding within the cap of the country?	<b>Yes.</b>	-	-	-
	2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	<b>Yes.</b> <b>CAR20:</b> Please confirm if MINAM will also execute the PFG. If this is the case, then no change in the PFG request form if required. If PROFONANPE intends to also execute the PFG, please amend the PFG request form.	<b>CAR20: Cleared.</b> As per confirmation that PROFONANPE will execute the PFG. PFG format has been updated.	-	-
	3. Are the Project/Programme Execution Costs at or below 9.5 per cent of the total project/programme budget (including the fee)?	<b>No.</b> <b>CAR20:</b> The total component cost is listed as the EE cost. Please insert the EE cost amount in the proposal document (which seems to be 799,612.82) based on the total project cost presented. Please correct and amend all figures.  <b>CAR21:</b> Please ensure that the figures are rounded with no decimal points	<b>CAR 20: Cleared.</b> As per revised EE cost of US\$799,612.  <b>CAR 21: Cleared.</b> As per revised CN with all figures rounded with no decimals.	-	-

Eligibility of IE	1. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?	<b>Yes.</b> The National Implementing Entity is Profonanpe, whose accreditation expires on: 18 June 2026	-	-	-
Implementation Arrangements	1. Is there adequate arrangement for project / programme management, in compliance with the Gender Policy of the Fund?	n/a at concept stage			
	2. Are there measures for financial and project/programme risk management?	n/a at concept stage			
	3. Are there measures in place for the management of for environmental and social risks, in line with the Environmental and Social Policy and Gender Policy of the Fund?	n/a at concept stage			
	4. Is a budget on the Implementing Entity Management Fee use included?	n/a at concept stage			
	5. Is an explanation and a breakdown of	n/a at concept stage			

	the execution costs included?				
	6. Is a detailed budget including budget notes included?	n/a at concept stage			
	7. Are arrangements for monitoring and evaluation clearly defined, including budgeted M&E plans and sex-disaggregated data, targets and indicators, in compliance with the Gender Policy of the Fund?	n/a at concept stage			
	8. Does the M&E Framework include a break-down of how implementing entity IE fees will be utilized in the supervision of the M&E function?	n/a at concept stage			
	9. Does the project/programme's results framework align with the AF's results framework? Does it include at least one core outcome indicator from the Fund's results framework?	n/a at concept stage			

	10. Is a disbursement schedule with time-bound milestones included?	n/a at concept stage			
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## PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY

### A. Record of endorsement on behalf of the government<sup>15</sup>

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:

Name: Silvia Cristina Rodríguez Valladares Position: Director General of Climate Change and Desertification Ministry: Ministerio del Ambiente	Date: November, 25, 2025
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**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

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 (National Adaptation Plan and National Contributions) and subject to the approval by the Adaptation Fund Board, commit to implementing the project/programme in compliance with the Environmental and Social Policy and the Gender Policy of the Adaptation Fund and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.

Anton Willems Delanoy	
Implementing Entity Coordinator	
Date: (July, 10, 2025)	Tel. and email: (511) 218 1097 awillems@profonanpe.org.pe
Project Contact Person: Claudia Godfrey Ruiz	
Tel. And Email: (511) 218 1097 cgodfrey@profonanpe.org.pe	

<sup>15</sup> 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



PERÚ

Ministerio  
del Ambiente

Viceministerio de  
Desarrollo Estratégico de  
los Recursos Naturales

Dirección General  
de Cambio Climático  
y Desertificación

"Decenio de la Igualdad de Oportunidades para mujeres y hombres"  
"Año de la recuperación y consolidación de la economía peruana"

Lima, 01 de diciembre del 2025

**LETTER N° 00187-2025-MINAM/VMDERN/DGCCD**

Messrs.  
The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat Washington  
United States  
Email: Secretariat@adaptation-fund.org  
Fax: 202 522 3240/5

Subject : Endorsement of the project "Climate Resilience in Andean-Amazonian Landscapes of Peru: Ecosystem-based Adaptation and Sustainable Livelihoods"

The Ministry of the Environment of Peru is the national authority on climate change and is responsible for coordinating the implementation of the National Strategy on Climate Change and the National Adaptation Plan to Climate Change. It also the entity responsible for reporting, on behalf of the Peruvian State, on the progress of the Nationally Determined Contributions (NDCs) to the United Nations Framework Convention on Climate Change (UNFCCC).

In this context, we have reviewed the Concept Note entitled "Climate Resilience in Andean-Amazonian Landscapes of Peru: Ecosystem-based Adaptation and Sustainable Livelihoods", presented by Profonanpe in its capacity as an accredited implementing entity before the Adaptation Fund, and prepared by the Directorate of Climate Change Adaptation and Desertification of the Ministry of Environment.

This proposal will make a significant contribution to strengthen the climate resilience of populations and their livelihoods in vulnerable Andean-Amazonian landscapes in Peru through the implementation of ecosystem-based adaptation (EbA) measures to address climate-related hazards.

Therefore, I am pleased to express the Ministry of the Environment's support for this Concept Note, and we kindly request that it be considered for funding by the Adaptation Fund.

If approved, the Ministry of the Environment, as the executing entity, will ensure that the project is aligned with the country's adaptation objectives and will be implemented in coordination with Profonanpe, in its role as implementing entity.

Sincerely,

**CRISTINA RODRIGUEZ VALLADARES**

General Director for Climate Change and Desertification Directorate  
Ministry of the Environment – Republic of Peru

File number: 2025096874

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Av. Antonio Miró Quesada 425,  
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Central Telefónica: (511) 611-6000  
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This is a printable, authentic copy of a document archived at the Ministry of the Environment, in accordance with Article 25 of Supreme Decree No. 070-2013-PCM and the Third Final Complementary Provision of Supreme Decree No. 026-2016-PCM. Its authenticity and integrity can be verified at the following website: <https://ecodoc.minam.gob.pe/verifica/view> by entering the following code.: tvtfom



**Revised PFG Submission Form<sup>1</sup>**  
**Project Formulation Grant (PFG)**

**Submission Date:** August 10<sup>th</sup>, 2025

**Adaptation Fund Project ID:**

**Country/ies:** Peru

**Title of Project/Programme:** Climate Resilience in Andean-Amazonian Landscapes of Peru: Ecosystem-based Adaptation and Sustainable Livelihoods

**Type of IE (NIE/RIE/MIE):** National Implementing Entity

**Implementing Entity:** Profonanpe

**Executing Entity/ies:** Profonanpe

**A. Project Preparation Timeframe**

<b>Start date of PFG</b>	October 2025
<b>Completion date of PFG</b>	March 2026

**B. Proposed Project Preparation Activities (\$)**

<b>List of Proposed Project Preparation Activities</b>	<b>Output of the PFG Activities</b>	<b>US\$ Amount</b>	<b>Budget note<sup>2</sup></b>
1. Gender and Environmental and Social risk analyses and formulation of Environmental and Social Management Plan and Gender Action Plan	Environmental and Social Management Plan and Gender Action Plan	US\$ 45,000	EIA and Environmental and Social Management Plan (lump-sum consultancy)
2. Local consultations, and workshops to validate the project	Workshop reports, validated project design	US\$ 34,650	Gender Action Plan (lump-sum consultancy)
3. Assessments at regional level, including risk assessment identifying hazards and	Assessment report, validated intervention areas and beneficiaries.	US\$ 25,000	Report of local consultations and workshops (lump-sum consultancy)

<sup>1</sup> As presented in AFB/PPRC.33/40 Annex 1.

<sup>2</sup> The proposal should include a detailed budget with budget notes indicating the break-down of costs at the activity level. It should also include a budget on the Implementing Entity management fee use.

vulnerabilities, and assessments to determined beneficiaries and districts of intervention.			Includes travel: airfare and ground transportation expenses for field visits and workshops in each of the five regions.
4. Full project proposal development	Full Project Proposal developed	US\$ 30,000	Expert to develop the full proposal (lump-sum consultancy)
5. Costs of translating documents	Documents translated	US\$ 2,600	Expert for translating documents into English (lump-sum consultancy)
6. Implementing Entity's Management Fee		US\$ 12,750	8.5% fee
<b>Total Project Formulation Grant</b>		<b>US\$ 150,000</b>	

**Please describe below each of the PFG activities and provide justifications for their need and for the amount of funding required:**

**1. Gender and Environmental and Social risk analyses and formulation of Environmental and Social Management Plan and Gender Action Plan**

The Gender and Environmental and Social Risk Analyses will assess the potential environmental impacts of the project to ensure it does not negatively affect the environment, as well as analyze the different impacts of climate change on men and women, ensuring that the project's strategies are gender-responsive. This process will include an assessment to determine the need for an Environmental Impact Assessment (EIA), identification of potential impacts on natural resources and ecosystems, the proposal of mitigation strategies to address negative effects, stakeholder consultations to gather feedback, and documentation of the findings in a comprehensive report.

As a result, an Environmental and Social Management Plan (ESMP) will be developed to appropriately monitor the project's environmental effects, ensure compliance with mitigation measures, and adapt strategies as needed to address unforeseen impacts. In addition, a Gender Action Plan will be prepared, outlining measures to overcome gender-related barriers to adaptation, and to enhance women's and youth's access to resources, information, and decision-making processes within the project framework.

**2. Local consultations, and workshops to validate the project**

The organization of workshops with key stakeholders is essential to validate the project design and gather inputs for the development of the final proposal. These spaces will involve the participation of various actors, including local populations, representatives from ministries, local authorities, non-governmental organizations, specialists, and other relevant stakeholders. It is estimated that five workshops will be held in the regions and one in Lima. During the workshops, the preliminary project design will be presented, and feedback, observations, and recommendations will be collected. This participatory approach allows for the integration of local knowledge and promotes community ownership of the project. The inputs gathered will be used to refine the proposal.

**3. Assessments at regional level, including risk assessment identifying hazards and vulnerabilities, and assessments to determined beneficiaries and districts of intervention.**

This activity involves the development of comprehensive assessments at the regional level to inform the design and geographic focus of the project. It includes two key components:

Climate Risk Assessment: This sub-activity will identify climate-related hazards and assess the exposure, sensitivity, and adaptive capacity of communities and ecosystems in the target regions. The assessment will draw on existing climate data, local knowledge, and scientific models to generate a risk map and prioritize areas where vulnerabilities are highest.

Socioeconomic and beneficiary analysis: In parallel, a socioeconomic assessment will be conducted to identify the most vulnerable populations (e.g., women, smallholder farmers, youth) and determine the districts and communities with the greatest need for intervention. Criteria will include poverty levels, exposure to climate hazards, limited access to basic services, and dependence on natural resources. This process will guide the selection of direct beneficiaries.

**4. Full project proposal development**

This activity involves preparing a complete and technically project proposal that meets the requirements of the Adaptation Fund and national priorities. This process requires technical expertise, participatory engagement, and coordination with national stakeholders. Financing ensures a high-quality, context-relevant proposal.

**5. Costs of translating documents**

This activity covers the professional translation of the full project proposal and its annexes, between Spanish and English.

**C. Implementing Entity**

This request has been prepared in accordance with the Adaptation Fund Board’s procedures and meets the Adaptation Fund’s criteria for project identification and formulation

Implementing Entity Director, IE Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Anton Willems Delanoy - Profonanpe		08/10/2025	Claudia Godfrey	(511) 218 1097	cgodfrey@profonan pe.org.pe