



ADAPTATION FUND

AFB/PPRC.37/17/Add.1
16 March 2026

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

Agenda Item 5 (j)

PROJECT FORMULATION GRANT FOR ECUADOR

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.37/17 “Proposal for Ecuador” includes a request for a Project Formulation Grant, requesting a budget of US\$ 125,000, which was received by the secretariat along with the concept for the project AF00000413 “Integrated Management of Water Resources in the Watersheds prioritized by the National Adaptation Plan of Ecuador”. This proposal was submitted by UN World Food Programme (WFP), which is a Multilateral 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: local consultations and/or workshops, Analysis of environmental and social and gender risks and formulation of the Environmental and Social Management Plan and the Gender Action Plan, Economic and financial analysis for budget 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: Regular-sized Project Concept

Country/Region: Ecuador

Project Title: Integrated Management of Water Resources in the watersheds prioritized by the National Adaptation Plan of Ecuador

Thematic Focal Area: Water Management, Food Security, Ecosystem based Adaptation

Implementing Entity: World Food Programme

Executing Entities: Local NGOs

AF Project ID: AF00000413

IE Project ID:

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

Reviewer and contact person: Linda Ogallo

Co-reviewer(s):

IE Contact Person:

Technical Summary

The project “Integrated and Integrated Management of Water Resources in the watersheds prioritized by the National Adaptation Plan of Ecuador” aims to strengthen the resilience and adaptive capacity of the three intervention zones (Machangara and Gualaceo basins; San Lorenzo; Bolívar) and populations vulnerable to climate change through the integration of climate adaptation approaches into local management policies and plans, the implementation of innovative and sustainable measures focused on Water Management, Food Security, Ecosystem based Adaptation, the development of effective hydrometeorological monitoring systems, and the creation of coordination spaces with an inclusive and culturally relevant approach, promoting the participation of all sectors and decision-making based on robust climate data. This will be done through the three components below:

Component 1: Climate information for effective decision-making (USD 1,295,000);

Component 2: Local climate risk and implementation of adaptation measures (USD 5,950,000);

Component 3: Strengthening capacities and spaces for articulation as a sustainability strategy (USD 1,096,600).

Requested financing overview:

Project/Programme Execution Cost: USD 875,000

Total Project/Programme Cost: USD 9,216,600

Implementing Fee: USD 783,400

Financing Requested: USD 10,000,000

The proposal includes a request for a project formulation grant and/or project formulation assistance grant of USD 125,000.00

	<p>The first technical review raises several issues, such as compliance with the ESP and GP, the unjustified use of USPs, and the lack of concrete, specific adaptation actions, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p> <p>The second technical review raises several issues, such as compliance with the ESP, the unjustified use of USPs as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p> <p>The third technical review raises some outstanding issues, such as further information on USPs to strengthen the risk framework of the proposal, amendment of results framework alignment table, clarification on EE for PFG etc. as reflected in the remaining CRs and CARs.</p> <p>The fourth technical review raises some outstanding issues on IE certification and results framework alignment.</p> <p>The fifth technical review still raises the outstanding issues on the results framework alignment and amendment to PFG form.</p> <p>The sixth technical review finds that all outstanding CRs and CARs have been addressed.</p>
Date:	December 5, 2025

Review Criteria	Questions	1 st Technical Review Comments December 13, 2024	2 nd Technical Review Comments July 2, 2025	3 rd Technical Review Comments July 28, 2025	4 th Technical Review Comments September 10, 2025	5 th Technical Review Comments November 10, 2025	6 th Technical Review Comments December 5, 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. Ecuador is particularly vulnerable to changes in precipitation and temperature leading to droughts and floods, which affect water and food security.	-	-	-	-	-
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project/programme?	Yes. As per endorsement record signed on September 2 nd , 2024. CAR1: Kindly indicate the specific executing entities on the first page of the concept note.	CAR1: Cleared Executing entities generally indicated on the first page, however, please note that for the Full Developed proposal you should indicate the specific names of the executing entities. CRNEW1: Revised proposal includes the purchase of meteorological instruments and climate services but there is no mention of the National Institute for Meteorology and Hydrology (INAMHI) which is autonomous and has national jurisdiction on hydrometeorological services throughout Ecuador. Implementation	CRNEW1: Cleared on paragraph 123. 1. The revised proposal says that the project responds directly to the gaps identified in the Country Hydromet Diagnostics report for Ecuador, produced by INAMHI and the World Meteorological Organization (WMO). 2. INAMHI will lead and coordinate the implementation of all meteorological and	-	-	-

			<p>arrangements also does not include INAMHI who would be responsible for collecting, processing, and generating the climate forecasts and would be responsible for maintenance of the instruments post-project.</p> <ol style="list-style-type: none"> 1. Kindly reference the INAMHI and WMO country report 'Country Hydromet Diagnostics: Informing policy and investment decisions for high-quality weather forecasts, early warning systems, and climate information in developing countries.' to align the gaps to be filled through this proposal to the identified gaps by the relevant authority. 2. Kindly clarify how the project will 	<p>hydrological activities, including the collection, processing and dissemination of climate forecasts, as well as the continuous maintenance of meteorological instruments, even after the end of the project.</p>			
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			work with INAMHI in executing the meteorological and hydrological activities listed in the project.				
	2. Does the length of the proposal amount to no more than Fifty pages for the project/programme concept, including its annexes?	Yes. The proposal is 45 pages.	-	<p>No.</p> <p>CRNEW1:</p> <ol style="list-style-type: none"> 1. Please ensure that the proposal and the annexes are no more than fifty pages. 2. Please ensure that the projects component and financing table includes no decimals in the figure. 3. Please ensure that the pages in the proposal are numbered. 	<p>CRNEW 1: Not cleared.</p> <p>Please remove the decimal points in the figures throughout the proposal (cover page, and the PFG).</p>	<p>CRNEW1: Cleared. As per changes in figures throughout the proposal.</p>	-

	<p>3. Does the project / programme support concrete adaptation actions to assist the country in addressing adaptive capacity to the adverse effects of climate change and build in climate resilience?</p>	<p>Unclear.</p> <p>The relevance of the project activities to climate change adaptation depends, to a large extent, on Component 1, constituting the bulk of the funding requested. Component 1 is extremely broad, and only provides high-level, general information of what will be done with the funding requested. Component 1 aims to establish a multi-sectorial process to mainstream climate change in management and planning instruments; however, how this will be carried out is unclear. At the same time, adaptation measures would be implemented under this component; however, the concept note provides only ideas for project measures (e.g., green and blue infrastructure, agroforestry practices) that could</p>	<p>CAR2: Cleared</p> <p>CR1: Cleared on the 22nd page A theory of change is included</p> <p>CR2: Not Cleared The revised proposal has new components activities shifted to component 1 under a new component. Some of the previous clarifications have been cleared. The proposal includes activities on collecting meteorological and hydrological data; monitoring system for local hydrometeorological stations; and a standardized protocol will be established for the collection, analysis, and reporting of data which will then be sent to the National Institute of Meteorology and Hydrology (INAMHI). The background</p>	<p>CR2: Not Cleared</p> <p>The revised proposal clarifies the following:</p> <p>a) Paragraph 126 in the revised proposal states that as part of the ongoing collaboration with INAMHI, established through a formal agreement, the proposed interventions will support improvements will contribute to the generation of locally relevant agro-climatic information</p> <p>b) Paragraph 127 in the revised</p>	<p>CR2: Cleared.</p> <p>As per insertion at paragraph 103 and adjustment at 101.</p>	-	-

	<p>be implemented. Component 1 requires USD\$5 million, a significant amount of funds to finance activities that have not been sufficiently identified nor have a specific location where they can be implemented (USPs). Please be advised that fully unidentified activities are not allowed, and there is no justification for why it would not be possible to identify these activities at the time of project formulation. Similarly, Components 2 and 3 are too general and do not provide specifics of the proposed interventions.</p> <p>CAR2: Please revise section II.A thoroughly, identifying all the activities of Components 1-3 and based on the observation above and in particular address USPs within the project. Kindly refer to the Fund's revised guidance on USP available here: https://www.adaptati</p>	<p>mentions a lack of climate information in the area.</p> <p>a) Kindly clarify how these activities will be linked to the INAMHI, and if the forecasts will be generated by the national meteorological services as it currently indicates that data will be sent to the national met</p> <p>b) Kindly clarify who the 25 stations to be purchased will be based as it seems like the national met will only be receiving the data not actually adding the stations to the existing grid. Further clarify how the rehabilitation of at least 10 hydrological and meteorological stations will be done without the INAMHI as</p>	<p>proposal states that INAMHI will not serve as a direct implementing partner but will provide strategic oversight and technical leadership for the implementation of meteorological and hydrological activities, including the standardization of data collection, processing, and dissemination protocols.</p> <p>d) Paragraph 129 states that action 1.2.1 and Output 1.2 will be implemented in coordination with INAMHI and targeted at</p>			
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		<p>on-fund.org/wp-content/uploads/2021/05/Updated-guidance-on-USPs.pdf</p> <p>CR1: Please provide a theory of change for the proposed project.</p> <p>CR2: Regarding Component 2;</p> <ol style="list-style-type: none"> 1. please clarify how the hydro-meteorological monitoring system will improve the climate resilience of the most vulnerable. 2. Please address the following questions; <ol style="list-style-type: none"> a. Who will receive the data and take effective actions that translate into local resilience? b. How will the project support the 	<p>implementing partners.</p> <p>c) Kindly clarify how the new standard operating procedures created for the collection, analysis, and reporting of data, will differ from the World Meteorological Organization (WMO) international agreed upon standards for climate, and water data to ensure quality and consistency globally referenced in section E.</p> <p>d) <i>'Output 1.1. Local hydrometeorological monitoring networks and climate information platforms enhanced'</i> it's unclear about who will be generating the weather forecast and on <i>'Activity</i></p>	<p>local institutions, ensuring alignment with national systems and strengthening local capacity.</p> <p>The following however is not clarified.</p> <p>c) If there is a global standard that by WMO and all the National Meteorological Hydrological Services including INAMHI, kindly clarify what added value a new standard operating procedure would add. Also clarify if this SOP is to be adopted at a national level or is only for the additional</p>			
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		<p>use of the data and improve decision-making? Which local and national actors will be targeted?</p> <p>c. How many stations are there now?</p> <p>d. How many do you want to buy?</p> <p>CR3: Regarding Component 3:</p> <p>1. please explain the specific mechanisms and outputs that will ensure that the training and coordination mechanisms will lead to increased adaptive capacity. It is unclear from the proposal how likely it is that its objectives</p>	<p>1.2.1 and 1.2.1' who is to receive the setting up of the situation rooms and training of teams for collection of climate data as it seems the mandated institution is not included in these activities.</p> <p>CR3: Not cleared Technical assistance for the development of six proposals are stated under 3.2.1. Kindly clarify the funding sources that are to be targeted by the proposals</p> <p>CR4: Not Cleared Most of the figures are still not understandable and the units of measurements are still not indicated. Please revise.</p> <p>CR5: Not Cleared 74 is now paragraph 81 and the language has</p>	<p>stations. It would be useful to state what is missing from the World Meteorological Organization (WMO) international agreed upon standards for climate, and water data as this was done to ensure quality and consistency globally.</p> <p>CR3: Not Cleared on page 32 Revision of activity to state 'Action 3.2.1: Provide technical assistance for the development of at least 4 local regulations (municipality level) proposals for municipal ordinances and least 2 local regulations'.</p>				<p>CR3: Cleared. Based on amendment to Activity 3.2.1. on page 26 of the track changed version.</p>
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		<p>will be achieved.</p> <p>2. The budget for Component 3 is over USD\$1 million, a high budget for unknown coordination and training mechanisms for unclear, intangible results. Please revise.</p> <p>CR4: Please review Figure 2, 3, 4, 7, 8, 9, 10, 11, 12 as they are not clear. They should include the units (mm, °C, etc.), variables (max temperature, min temperature, etc.), periods (annually, monthly, etc.). The figures should be self-explanatory.</p> <p>CR5: Paragraph 74 states 'While for the RCP 8.5 scenario for the temporary 2024 window of 2031-2035...', what does 'the temporary 2024 window' mean?</p>	<p>not changed and it is not clear what the '<i>While for the RCP 8.5 scenario for the temporary 2024 window of 2031-2035...</i>' means. The deterministic way in which a lot of the projected climate risks are stated is not scientifically accurate. Kindly revise the proposal with probabilistic and scenario based language for future climate risks.</p>	<p>Kindly revise the proposal to indicate what has been stated in the review sheet '<i>Under this output to the project will provide technical assistance to sub-national governments to generate legal instruments and/or regulations for climate risk management</i>' as it is currently not very clear in the current revision that this is the intention.</p> <p>CR4: Cleared on pages 9 & 14 The revised proposal links the images to table 3 on page 9 and table 4 on page 14 to interpret the colors on the maps.</p> <p>CR5: Cleared on paragraph 80 The statement has been</p>			
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				revised to read 'Under the high-emissions RCP 8.5 scenario, the hydrological-model ensemble applied by Ecuador's Ministry of Environment, Water and Ecological Transition and the AICCA project projects a median peak discharge of 101 m³/s for the five-year window 2031-2035 (mid-point 2033).'			
	4. Does the project / programme provide economic, social and environmental benefits, particularly to vulnerable communities, including	Unclear. The project will be implemented in three prioritized areas: 1) the upper basin of the Carrizal River in the canton of Bolívar - Manabí; 2) the Pacoche River in San Lorenzo - Manabí; and 3) and the Machangara and	CAR3: Not Cleared The beneficiaries are listed and disaggregated by gender on paragraph 87. Paragraph 30 states '72.7% of women have no income and are not looking for work, as	CAR3: Cleared on paragraphs 30 & 87 Paragraph 30 has been revised with the statement on the lack of interest of women in participation has been		-	-

	<p>gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Gualaceo rivers in the main basin of the Paute River, in the province of Azuay. The project will be implemented in areas covering 36,071 people.</p> <p>The concept note lacks specificity regarding how the project components lead to the indicated environmental, social, and economic benefits. The current description of benefits is generic. The benefits claimed are not directly linked to the project's activities and outputs.</p> <p>The concept note indicates that the proponents will identify whether indigenous populations exist in the target areas during the preparation of the fully developed proposal. The proponent did not identify any significant indigenous population during the consultation process.</p>	<p>they are dedicated to caring for the home without remuneration.' However, participation of 50% of women is planned. Kindly clarify how participation of women will be done if there is no interest in women to participate in economic activities.</p> <p>CAR4: Cleared as per information provided in section II.B.</p> <p>CAR5: Not Cleared</p> <p>The initial gender assessment focuses on women in employment at the different project sites, yet none of the project activities include creation of employment. Kindly share any data on women participation in agriculture, agroforestry or even representation in policy making as that is what the project</p>	<p>deleted. The revised proposal in paragraph 87 further states that the project aims to tackle barriers to rural women's economic participation by encouraging their engagement in landscape restoration, water governance, and territorial planning.</p> <p>CAR5: Cleared on page 61</p> <p>The revised initial gender assessment in Appendix 2 better links the gender gaps and how they plan to be address though each component.</p> <p>CAR NEW2: At Part II B, please include a statement that on how the project will avoid or mitigate</p>	<p>CAR NEW2: Cleared.</p> <p>As per insertions at</p>		
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		<p>The concept note states that 36,071 people will directly benefit from the project. However, the extent to which these are direct beneficiaries of project outputs and activities (also see CR1) is unclear.</p> <p>CAR3: Please clarify and indicate the number of direct and indirect beneficiaries, disaggregating by gender and age. Additionally, Kindly provide more information on the districts and populations living in the selected intervention areas, including a map, if possible. Also, please clarify the boundaries of the selected intervention sites. While the first half of the concept note refers to three prioritized areas, the second half refers to four watersheds.</p> <p>CAR4: Please;</p> <ol style="list-style-type: none"> 1. provide a nuanced explanation of how the project components will 	components intend to address.	negative impacts, in compliance with the Environmental and Social Policy of the Adaptation Fund (the Environmental and Social Policy) and its Gender Policy.	paragraphs 122 and 123.		
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		<p>lead to social, environmental, and economic benefits, and please quantify these benefits as much as possible. Please clarify how the project will ensure the equitable distribution of benefits to vulnerable communities, households, and individuals.</p> <p>CAR5: The concept note includes an initial gender assessment; however, the information provided is rather general about gender conditions in two provinces. The initial gender analysis should highlight the different needs, capabilities, roles, and knowledge resources of women and men in relation to the project components. Please revise.</p>					
	5. Is the project / programme cost effective?	<p>Unclear. The project, as it stands, is too broad and general, without clarity on the selected scope and approach. The</p>	<p>CAR6: Not cleared. The estimated benefits in the investment of each component are listed, however,</p>	<p>CAR6: Cleared on page 36.</p> <p>The specific ECLAC</p>	-	-	-

		<p>combination of USPs, unclear project outputs and benefits makes it impossible to appreciate the project's cost-effectiveness at this stage.</p> <p>CAR6: Kindly revise section II.C as the section should explain the project's cost-effectiveness in comparison to alternative options to the proposed measures. Please also explain the project's scope and approach.</p>	<p>please specify the ECLAC publication/study mentioned in section II. C (paragraph 160).</p>	<p>publication/study has been referenced as a footnote on page 36.</p>			
	<p>6. Is the project / programme consistent with national or sub-national sustainable development strategies, national or sub-national development plans, poverty reduction</p>	<p>Yes. The concept note has outlined the project's alignment with Ecuador's NDC, National Adaptation Plan, Climate Finance strategy, and Gender and Climate Change Action Plan. However, this should be further reviewed once the project scope, components, and activities are defined.</p>	<p>CRNEW2: Kindly briefly state how the planned meteorological activities are aligned with the INAMHI Institutional Strategic Plan 2021-2025.</p>	<p>CRNEW2: Cleared on page 40.</p> <p>The table in section E page 40 states how component one is aligned to INAMHI Institutional Strategic Plan 2021-2025.</p>	-	-	-

	strategies, national communications and adaptation programs of action and other relevant instruments?						
	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>Partially. The concept note has indicated a number of regulations and standards relevant to each project component.</p> <p>CR6: Given the current USPs, once the project activities are defined, the pertinence of the selected technical standards can be accurately assessed. Furthermore, please include specific standards needed for the project activities, such as building codes, water quality regulations, and any other sector-specific regulations.</p> <p>CR7: In Table E of Part II, there is no need to include the same instruments included in Table D of Part II. Please review.</p>	<p>CR6: Cleared as per information provided in section II. E.</p> <p>CR7: Cleared on pages 31-32</p>	-	-	-	-

	<p>8. Is there duplication of project / programme with other funding sources?</p>	<p>Partially.</p> <p>CR8: Kindly include a comprehensive list of projects that are or have been implemented in Ecuador and are related to the proposed project. For example, GEF project “Promoting the mainstreaming of biodiversity and protection of ecosystem services through regenerative and deforestation-free livestock in provinces of Manabí, Pichincha and Morona-Santiago”, GEF project “Integrated landscape management in the Napo River Basin for sustainable land management and biodiversity conservation.”, and GEF project “Integrated management and ecological connectivity of a priority landscape in the Ecuadorian Amazon headwaters”. Moreover, please also check GCF projects: FP173, FP128, FP019, FP212.</p>	<p>CR8: Cleared as per information provided in section II. F.</p> <p>CR9: Cleared from page 34, Table identifying complementarities and synergies with each project added. However, it can also include the SOFF initiative and AF-IFAD grant.</p>	<p>CR9: Cleared from page 44.</p> <p>The revised proposal includes the complementarities with the project finance by Adaptation Fund: <i>Reduction of Climate Vulnerability and Flood Risk in Coastal Urban and Semi-Urban Areas of Latin American Cities (Chile, Ecuador)</i>; and by IFAD – MAG: <i>Project Sustainable and Appropriate Development in Rural Territories DESATAR</i></p>	-	-	-
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		<p>CR9: For the identified projects, kindly provide more details, including the main project interventions, timeline, and location. Please also fully address the potential synergies and lack of geographic and thematic overlap with the identified projects, including lessons from the earlier initiatives.</p>					
	<p>9. Does the project / programme have a learning and knowledge management component to capture and feedback lessons?</p>	<p>Unclear. The concept note includes a list of communication strategies and WFP channels that could be used for the capacity-building component of water resource management. It is unclear why the KM management would only focus on water management, not the whole project. Even for this sector, the description of the knowledge management component is limited and does not offer information on what lessons the project intends to generate,</p>	<p>CAR7: Cleared on paragraph 174 to 178</p>	-	-	-	-

		<p>what the unknowns are, and how it will determine what is 'best practice'.</p> <p>CAR7: Please explain the specific activities that will take place to gather and disseminate lessons from the project itself, including knowledge about what adaptation actions work and how this knowledge will enrich the global, national, and local knowledge on climate change adaptation as this is a critical element to all AF projects and programmes (also see CR1).</p>					
	<p>10. Has a consultative process taken place, and has it involved all key stakeholders, and vulnerable groups, including gender considerations in compliance with the Environmental and</p>	<p>Yes, but further information is needed. Initial consultations took place in three phases from January to June 2024. The consultative process involved several government departments and stakeholders, including representatives of water committees. Four validation workshops have been carried out in the intervention areas. In total, 110</p>	<p>CR10: Cleared on pages 40-41</p> <p>CR11: Not cleared Paragraph 187 refers to the census and the percentage of indigenous populations in the area of interest, kindly clarify in this paragraph if any of the stakeholders represented marginalized population or if an assumption is being made that some of the</p>	<p>CR11: Cleared based on information given in paragraph 190</p> <p>Initial stakeholder engagement included leaders from indigenous communities and further consultations will be done in the development of the full proposal.</p>	-	-	-

	Social Policy and Gender Policy of the Fund?	<p>local actors have been consulted.</p> <p>CR10: Please include the date of each meeting (e.g., virtual meeting, validation workshop) and indicate the participants and main findings.</p> <p>CR11: Please indicate whether marginalized and vulnerable groups have been consulted and how their interests and concerns have been integrated into the project design.</p>	<p>stakeholders interviewed must have been indigenous.</p> <p>CRNEW3: It is a bit concerning that a lot of investment is being requested for the meteorological infrastructure and climate information but the INAMHI who have the national mandate for climate services do not seem have been involved in the project consultations.</p> <p>Kindly mention if consultations with INAMHI have been done on the weather stations purchase and refurbishment, data collection and the involvement of the INAMHI in the downscaling of the forecasts for the project sites. You can also mention that this will be done for the Full Develop proposal stage.</p>	<p>CRNEW3: Cleared on page 49.</p> <p>The revised concept includes the consultations with INAMHI in paragraph 190.</p>			
	11. Is the requested financing	Partially. The concept note explains the funding	CR13: Not cleared The table after paragraph 190	CR13: Cleared on page 49.	-	-	

	<p>justified on the basis of full cost of adaptation reasoning?</p>	<p>requested by comparing the baseline scenario to the additionality of the AF project. However, given that the project design does not clearly indicate investments in concrete adaptation options, it is unclear whether the funding is justified.</p> <p>CR13: Please revise the justification of the requested financing according to the changes made to CR1.</p>	<p>states '<i>There are no local agroclimatic networks that generate information to make informed decisions.</i>' Kindly elaborate: is referring to limited meteorological infrastructure? Or is it a limitation in the skill to downscale the forecast? Or is it in the capacity for generation of agroclimatic advisories? Kindly refer to the report published by the INAMHI and WMO Ecuador country report '<i>Country Hydromet Diagnostics: Informing policy and investment decisions for high-quality weather forecasts, early warning systems, and climate information in developing countries.</i>' to better articulate the hydro-met gaps</p>	<p>The revised proposal clarifies that there are limitations in meteorological infrastructure.</p> <p>CAR3 NEW: Please clarify at Part II Section I, that the proposal based on the funds requested of the adaptation fund will be able to effectively deliver on its objectives.</p>	<p>CAR3NEW: Cleared as per insertions at paragraphs 163 and 164.</p>		
	<p>12. Is the project / program aligned with AF's results</p>	<p>Yes. However, some amendments are needed.</p>	<p>CR14: Cleared on pages 48-50</p>	<p>CAR4 NEW: Please ensure that the results framework alignment table complies with</p>	<p>CAR4 NEW: The amendments to the alignment</p>	<p>CAR4 NEW: Not Cleared Please utilize the</p>	<p>CAR4: Cleared.</p>

	<p>framework ?</p>	<p>The concept note has indicated the project's alignment with several AF outcomes, including 1, 2, 5, and 7.</p> <p>CR14: At Part III A, alignment with results framework, under the column grant amount, please separate the figure \$ 5,002,049 from outcome 7 and outcome 5 and relatedly from output 7.2 and 5.1 in the table. The figure for each outcome should stand on its own.</p>		<p>the template presented at Results Framework Alignment Table (Amended in March 2019) (77 kB, DOC)</p>	<p>table are noted. However, it currently only captures outcome level indicators for the objective. This is required but for the OC1 to OC3 it is also needed at the top (outcome section) of the table. Please amend as follows:</p> <ol style="list-style-type: none"> 1. Select the most prominent outcome and outcome indicators to support the project objective, across row 1. 2. Add the total activity/component value 8,341,600 as the corresponding grant amount value in row 1. 3. Immediately below row once start to capture rows for OC1 up to OC3 for the outcome level. The same values for the output level utilized 	<p>updated guidance for the results framework alignment table available at Results Framework Alignment Table (Amended in November 2025) (77 kB, DOC)</p>	<p>As per amended table.</p>
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					below can be used. Please note for OC1- OC3 at the outcome level should also total 8,341, 600 as is the case for the output level and the objective level.		
	13. Has the sustainability of the project/programme outcomes been considered when designing the project?	<p>Unclear. The concept note indicates that its approach to coordinated and concerted agendas will ensure commitments are fulfilled. However, the overall explanation of the project's sustainability is rather general and does not address how its adaptation benefits can be sustained after its end.</p> <p>CR15: The concept note needs to explain in detail the arrangements that would ensure the sustainability of any infrastructure or installations made, knowledge generated, capacity improved, and</p>	<p>CR15: Not cleared</p> <p>1. Not much changed in this section paragraph 197 that states <i>'Finally, national, and subnational financial mechanisms (fiscal budgets) will be identified to institutionalize the relevant actions of the project and to be part of the planning and management of</i></p>	<p>CR15: Cleared on pages 50-52</p> <p>1. Paragraph 195 in the revised concept tax and credit incentives with public resources and a strategy for international financing. The project will also have formal agreements will also be established with academic institutions and research organizations, including INAMHI, to</p>	-	-	-

		<p>policies developed. Please cover all key areas of sustainability: economic, social, environmental, institutional, and financial.</p>	<p><i>subnational governments'</i> given that the project is to be executed by local NGOs, how do you intend to access national fiscal budgets?</p> <p>2. Elaborate a little further on the sustainability of any infrastructure or installations made, knowledge generated, capacity improved, and policies developed. Please cover all key areas of sustainability: economic, social, environmental,</p>	<p>ensure the ongoing development of capacity building, monitoring, and knowledge transfer initiative. In the development of the full proposal it would be good to have the agreements on the tax incentives and on the use of public resources from the relevant ministries since the implementation is to be done by NGOs who do not have the capacity to achieve this. The agreement with INAMHI on the maintenance of the new</p>			
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			institutional, and financial.	meteorological infrastructure, and continued provision of agroclimatic advisories post project. 2. Section K has been revised in paragraphs 195 to 203 to cover all key areas of sustainability: economic, social, environmental, institutional, and financial.			
	14. Does the project / programme provide an overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social	Unclear. The concept note indicates that the project is category B. The proponent has assessed the possible risks against the 15 AF principles, taking into account the project's compliance with national regulations and its goals, the concept note fails to recognize potential risks. In general, the identification of risks	CR16: Not cleared <i>'Action 2.2.4: 600 ha for agroforestry systems'</i> <i>'Action 2.2.5: 450 ha through reforestation in the highlands'</i> the assumption is made that there is low risk of involuntary Resettlement, has the proposal considered informal forest	CR16: Cleared on pages 31 & 54 Revised proposal states that the project will note impose land use restrictions, making the risk of involuntary resettlement as negligible or minimal on page 34. In section K on	-	-	

	<p>Policy and Gender Policy of the Fund?</p>	<p>is overly broad and does not focus on the specific local context. There is no justification for the use of USPs. The risk assessment needs to be supported with more detailed information.</p> <p>CR16: Please identify the project activities to the point where adequate environmental and social risk identification is possible and update the proposal accordingly. Please see also CR1.</p> <p>CAR8: Kindly indicate which project components or activities would lead to the identified risks. Please revise Section K following the AF's ESP guidance: https://www.adaptation-fund.org/wp-content/uploads/2016/07/ESP-Guidance_Revised-in-June-2016_Guidance-document-for-Implementing-Entities-on-compliance-with-the-Adaptation-Fund-Environmental-and-</p>	<p>settlers in the areas planned for reforestation?</p> <p>CAR8: Not cleared</p> <ol style="list-style-type: none"> 1. Please tick off in second column (No further assessment is required for compliance) on Principle 1, Principle 4 and Principle 6 since they always apply and you will need further assessment. 2. Please tick off in second column (No further assessment is required for compliance) where there is a 	<p>page 54, the project will mitigate the low risk through community consultation, consensual planning, voluntary agreements and participatory monitoring.</p> <p>CAR8: Not Cleared on page 54</p> <p>Revised proposal has removed the tick on Principle 1, Principle 4 and Principle 6. The revised proposal identifies mitigation measures where the risk is identified as low or medium. The proposal however does not identify what the potential risks are for most of them.</p> <p>Please tick off in second column (No further assessment is required for compliance)</p>	<p>CAR8: Cleared. Based on amendments to Part II Section K of the proposal.</p>		
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	<p>Social-Policy.pdf . Note that Principle 1, Principle 4 and Principle 6 always apply.</p> <p>CR17: Section K states that '100% of the population in the 3 areas of intervention self-identifies as a mestizo population', however, this differs from the information in Appendix 3. Please explain.</p> <p>CR18: Given that the project has USPs, please explain how the ESMP would address that.</p>	<p>potential risk. For example, Principle 3 should be ticked off the second column since there is a Low risk stated.</p> <p>3. Please state the risk. For example, don't state 'The proposal demonstrates a strong alignment with national and international regulatory frameworks' instead you may say 'there is a low risk of not complying with national and international regulatory framework</p>	<p>where there is a potential risk. For example, Principle 8 should be ticked off the second column since there is a Low risk stated.</p> <p>3. Please state the risk. For example, don't state 'The proposal demonstrates a strong alignment with national and international regulatory frameworks' instead you may say 'there is a low risk of not complying with national and international regulatory frameworks because...'. Since the ESMP indicates that the project contains USPs, please include a paragraph at above the table at Part II Section K</p>			
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			<p>s because ...':</p> <p>4. State mitigation measures for the risks identified.</p> <p>CR17: Cleared on page 46.</p> <p>CR18: Not cleared. Appendix 3 includes an ESMP which mentions the USPs, but it lacks a justification explaining why the project will have USPs. Please ensure that this justification is added.</p>	<p><i>explaining the USPs and the justification for them.</i></p> <p>CR18: Cleared.</p> <p>The geographical locations of the USPs have been defined in Appendix 3 as Machángara River (Cuenca), the upper San Francisco River basin (Gualaceo), the rural parish of San Lorenzo (Manta), and the rural parish of Quiroga (Bolívar), beneficiaries will be selected in a participatory manner. <u>In the fully developed proposal please ensure that the proposal elaborates on the USPs and that the ESMP includes coverage of the USPs as per USP guidelines available at <a 887="" 953="" 974"="" 983="" data-label="Page-Footer" href="https://www.ada-plantation-fund.org/wp-</u></p> </td> <td></td> <td></td> </tr> </table> </div> <div data-bbox="> <p>Official Use Only</p> </u></p>
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				content/uploads/2021/05/Updated-guidance-on-USPs-.pdf			
Resource Availability	1. Is the requested project / programme funding within the cap of the country?	Yes.	-	-	-	-	-
	2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	Yes.	-	-	-	-	-
	3. Are the Project/Programme Execution Costs at or below 9.5 per cent of the total project/programme budget (including the fee)?	Yes.	CRNEW4: The project proposal covers states that the PFG request is \$120,000; however, the PFG request form indicates \$125,000. Please clarify this discrepancy and ensure consistency throughout the documents.	CRNEW4: Cleared on PFG application. The PFG request has been revised to request \$125,000. CR NEW 5: Please clarify if it WFP will self-execute the PFG or if the PFG will be executed by the "Local NGOs who are not yet	CR NEW5: Cleared. The amendments to the PFG are well noted. CAR 9 NEW: Please ensure that the IE certificati		CAR9: Cleared As per amendment to PFG. CAR 9 NEW: Not Cleared. Amendments on page 45 are noted. The signatures of the official

				identified. Please note that for the PFG agreement to be signed upon approval the EE must be identified. If WPF will execute the PFG, please amend the PFG request form to reflect this.	on at Part IV B of the proposal is completed with the signature of approved IE representative.	representative of the IE and the Designated Authority have been included in sections A and B of Part IV. However, please amend the start and end dates of the PFG.	
Eligibility of IE	1. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?	Yes. Accreditation Expiration Date: 20 May 2025	No. WFP accreditation expired in May 2025. <i>Please be advised that the findings of the AFB Secretariat's review of the funding proposal(s) do not reflect, indicate, or prejudice the outcome of the reaccreditation process currently underway. The Implementing Entity (IE) shall acknowledge that the funding proposal will not be approved by the Board if the IE's accreditation has expired, and</i>	No. WFP accreditation expired in May 2025. <i>Please be advised that the findings of the AFB Secretariat's review of the funding proposal(s) do not reflect, indicate, or prejudice the outcome of the reaccreditation process currently underway. The Implementing Entity (IE) shall acknowledge that the funding proposal will not</i>	No. WFP accreditation expired in May 2025. <i>Please be advised that the findings of the AFB Secretariat's review of the funding proposal(s) do not reflect, indicate, or prejudice the outcome of the reaccreditation process currently underway. The Implementing Entity (IE) shall acknowledge that the funding proposal will not</i>	Yes. WFP was re-accredited at AFB 45 in October 2025.	-

			<p>reaccreditation has not been achieved at the time of the Board's decision. Notwithstanding this potential risk, the IE has elected to proceed with the development of the funding proposal.</p>	<p>be approved by the Board if the IE's accreditation has expired, and reaccreditation has not been achieved at the time of the Board's decision. Notwithstanding this potential risk, the IE has elected to proceed with the development of the funding proposal.</p>	<p>IE's accreditation has expired, and reaccreditation has not been achieved at the time of the Board's decision. Notwithstanding this potential risk, the IE has elected to proceed with the development of the funding proposal.</p>		
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	n/a at concept stage					

	managem nt?						
	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 the execution costs included?	n/a at concept stage					
	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 breakdown 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	n/a at concept stage					

	results framework ? Does it include at least one core outcome indicator from the Fund's results framework ?						
	10. Is a disbursement schedule with time-bound milestones included?	n/a at concept stage					

OP1.1. <u>Local hydrometeorological monitoring networks and climate information platforms enhanced to generate and disseminate timely and locally relevant climate data and newsletters, enabling informed decision-making and community-level risk reduction in response to drought.</u>	<u>Number and type of hydrometeorological systems and climate information platforms strengthened or implemented to generate and disseminate drought data and alerts.</u>	<u>Output 1.1: Risk and vulnerability assessments conducted and updated</u>	<u>1.2. No. of early warning systems (by scale) and no. of beneficiaries covered</u>	775,000
OP1.2. <u>Strengthened technical capacities of subnational teams in climate data analysis, interpretation, and information management for the delivery of early warning systems and community awareness actions.</u>	<u>Number of subnational technicians trained in climate analysis and information management for the issuance of early warnings.</u>	<u>Output 8: Viable innovations are rolled out, scaled up, encouraged and/or accelerated.</u>	<u>8.1. No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicate</u>	520,000
OP2.1. <u>Development of climate risk assessments and cost-benefit analyses for drought adaptation at watershed level, supporting evidence-based planning and enhancing local ownership of climate risk reduction strategies</u>	<u>Number of climate risk studies and technical strategies developed for drought adaptation in prioritized watersheds.</u>	<u>Output 1.1: Risk and vulnerability assessments conducted and updated</u>	<u>1.1. No. of projects/programmes that conduct and update risk and vulnerability assessments (by sector and scale)</u>	160,000
OP2.2. <u>Design and implementation of targeted nature-based and locally led interventions to establish and improve assets for water management, soil restoration, and ecosystem adaptation to drought, thereby enhancing the resilience of vulnerable ecosystems and supporting sustainable climate-adaptive practices at the community level.</u>	<u>Number and type of natural and productive assets implemented or improved for water management, soil restoration, and ecosystem adaptation to drought.</u>	<u>Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability</u>	<u>5.1. No. of natural resource assets created, maintained or improved to withstand conditions resulting from climate variability and change (by type and scale)</u>	2,820,000
OP2.3. <u>Design and implementation of an integrated portfolio of physical and knowledge-based interventions to strengthen the adaptive capacity of agricultural systems and community livelihoods to climate change impacts and variability, ensuring targeted support for climate-resilient practices and locally led strategies.</u>	<u>Number and type of physical and knowledge assets developed to strengthen the adaptation of agricultural and community livelihoods to climate change.</u>	<u>Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability</u>	<u>6.1.1. No. and type of adaptation assets (tangible and intangible) created or strengthened in support of individual or community livelihood strategies</u>	2,970,000
OP3.1. <u>Strengthen national and subnational technical capacities to integrate climate resilience measures into sectoral policies and development strategies, enhancing adaptive responses to prolonged droughts.</u>	<u>Number and type of technical and institutional capacities strengthened to integrate drought adaptation into territorial management and local and national planning.</u>	<u>Output 7: Improved integration of climate resilience strategies into countries' development plans</u>	<u>7.2. No. of targeted development strategies with incorporated climate change priorities enforced</u>	670,000
OP3.2. <u>Support the establishment and reinforcement of decision-making platforms at national and local levels to formulate and implement policies and regulatory frameworks that mainstream climate change priorities and ensure the sustainability of climate-resilient development.</u>	<u>Number of strengthened or created local strategies, ordinances and mechanisms that incorporate climate change adaptation priorities and ensure the sustainability of climate investments.</u>		<u>7.1. No. of policies introduced or adjusted to address climate change risks (by sector)</u>	426,600
TOTAL				8,341,600

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

88 Total objective level grant amount		8,341,600
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Project-objective(s)	Project-Objective Indicator(s)	Fund-Outcome	Fund-Outcome Indicator	Grant Amount (USD)
Objective: To increase the adaptive capacities of communities vulnerable to droughts through access to local climate information, strengthening local technical capacities, implementation of effective adaptation measures, generation of spaces for articulation and coordination that allow promoting sustainable policies and ensure the continuity of climate investment, driving a paradigm shift towards inclusive and sustainable climate planning in the long term.	Number of territorial and sectoral development strategies that integrate climate change priorities and ensure continuity of climate-resilient investment.	Outcome 6: Livelihoods and sources of income of vulnerable people in the targeted areas diversified and strengthened.	Indicator 6.2: Percentage of the target population with sustainable and climate resilient livelihoods.	8,241,600
OC1: Increased awareness and behavioral change among local communities and governments through the use and interpretation of locally generated agro climatic information to inform adaptive decision-making in food systems.	Percentage of beneficiaries who are using and interpreting the climate information generated through the local agroclimatic network.	Outcome 1: Reduced national exposure to climate risks and threats.	Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders in a timely manner.	1,295,000
OC2: Enhanced adaptive capacity and climate-resilient livelihoods among vulnerable populations in drought-prone priority areas, through improved natural asset management and diversified livelihood strategies.	Number and type of locally appropriate adaptation measures implemented in drought-prone areas, supported by updated risk assessments, strengthened natural assets, and community-based adaptation solutions.	Outcome 5: Increased resilience of ecosystems in response to climate change and variability induced stress. Outcome 6: Livelihoods and sources of income of vulnerable people in the targeted areas diversified and strengthened.	Indicator 5: Ecosystem services and natural assets maintained or enhanced under climate change and variability induced stress. Indicator 6.2: Percentage of the target population with sustainable and climate resilient livelihoods.	5,950,000
OC3: Improved institutional and technical capacities at local level, and establishment of coordination platforms to support the formulation and integration of climate-resilience strategies and regulatory frameworks into territorial and sectoral development planning.	Number of beneficiaries trained, and number of articulation spaces strengthened.	Outcome 7: Improved policies and regulations that promote and implement resilience measures.	Indicator 7.2: specific development strategies with mainstreaming climate change priorities.	1,096,600

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Total outcome-level grant amount				8,241,600
Project-Outcome(s)	Project-Outcome Indicator(s)	Fund-Output	Fund-output indicator	Grant Amount (USD)
OC1: Increased awareness and behavioral change among local communities and governments through the use and interpretation of locally generated agro climatic information to inform adaptive decision-making in food systems.	Percentage of beneficiaries who are using and interpreting the climate information generated through the local agroclimatic network.	Output 1: Risk and vulnerability assessments conducted and updated at the national level.	1.2 Development of early warning systems	1,295,000
OC2: Enhanced adaptive capacity and climate-resilient livelihoods among vulnerable populations in drought-prone priority areas, through improved natural asset management and diversified livelihood strategies.	Number and type of locally appropriate adaptation measures implemented in drought-prone areas, supported by updated risk assessments, strengthened natural assets, and community-based adaptation solutions.	Output 1: Risk and vulnerability assessments conducted and updated at the national level. Output 5: Vulnerable physical, natural and social assets strengthened in response to the impacts of climate change, including variability.	1.1 Number and type of projects carrying out and updating risk and vulnerability assessments. 5.1 Number and type of natural resource assets created, maintained or enhanced to withstand conditions resulting from climate variability and change (by asset type).	5,950,000

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		Output 6: Specific individual and community livelihood strategies strengthened in relation to the impacts of climate change, including variability.	6.1.1. Number and type of adaptation assets (physical and knowledge) created in support of individual adaptation. O community livelihood strategies.	
OC3: Improved institutional and technical capacities at local level, and establishment of coordination platforms to support the formulation and integration of climate resilience strategies and regulatory frameworks into territorial and sectoral development planning.	Number of beneficiaries trained, and number of articulation spaces strengthened.	Output 7: Improved integration of climate resilience strategies into countries' development plans.	7.1. No, type and sector of policies introduced or adapted to address climate change risks.	1,096,600
			7.2. No or specific development strategies incorporating climate change priorities.	

Total output level grant amount				8,341,600
Project (s) Output	Project Output Indicator(s)	Fund Output	Fund output indicator	Grant Amount (USD)
OP1.1 Local hydrometeorological monitoring networks and climate information platforms enhanced to generate and disseminate timely and locally relevant climate data and newsletters, enabling informed decision making and community level risk reduction in response to drought.	Number and type of hydrometeorological systems and climate information platforms strengthened or implemented to generate and disseminate drought data and alerts.	Output 1: Risk and vulnerability assessments conducted and updated at the national level.	1.2 Development of early warning systems.	775,000
OP1.2 Strengthened technical capacities of subnational teams in climate data analysis, interpretation, and information management for the delivery of early warning systems and community awareness actions.	Number of subnational technicians trained in climate analysis and information management for the issuance of early warnings.			520,000
OP2.1 Development of climate risk assessments and cost-benefit analyses for drought adaptation at watershed level, supporting evidence-based planning and enhancing local ownership of climate risk reduction strategies.	Number of climate risk studies and technical strategies developed for drought adaptation in prioritized watersheds.	Output 1: Risk and vulnerability assessments conducted and updated at the national level.	1.1 Number and type of projects carrying out and updating risk and vulnerability assessments.	160,000
OP2.2 Design and implementation of an integrated portfolio of nature based and community driven adaptation interventions to enhance the resilience of vulnerable natural assets and strengthen climate adaptive livelihood strategies at the local level.	Number and type of natural and productive assets implemented or improved for water management, soil restoration, and ecosystem adaptation to drought.	Output 5: Vulnerable physical, natural and social assets strengthened in response to the impacts of climate change, including variability.	5.1. Number and type of natural resource assets created, maintained or enhanced to withstand conditions resulting from climate variability and change (by asset type).	5790,000
	Number and type of physical and knowledge assets developed to strengthen the adaptation of agricultural and community livelihoods to climate change.	Output 6: Specific individual and community livelihood strategies strengthened in relation to the impacts of climate change, including variability.	6.1.1. Number and type of adaptation assets (physical and knowledge) created in support of individual adaptation. O community livelihood strategies.	
OP2.3 Strengthen national and subnational technical capacities to integrate climate resilience measures into sectoral policies and	Number and type of technical and institutional capacities strengthened to integrate drought adaptation into	Output 7: Improved integration of climate resilience strategies into	7.1. No, type and sector of policies introduced or adapted to address climate change risks.	670,000

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development strategies, enhancing adaptive responses to prolonged droughts.	territorial management and local and national planning.	countries' development plans.		
OP2.2 Support the establishment and reinforcement of decision-making platforms at national and local levels to formulate and implement policies and regulatory frameworks that mainstream climate change priorities and ensure the sustainability of climate-resilient development.	Number of strengthened or created local strategies, ordinances and mechanisms that incorporate climate change adaptation priorities and ensure the sustainability of climate investments.		7.2 No. of specific development strategies incorporating climate change priorities.	426,600

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A. Record of endorsement on behalf of the government²

 Miss. Jessica Gallegos Undersecretary for Climate Change Ministry of Environment and Energy, Water and Ecological Transition Jessica.gallegos@ambiente.gob.ec	Date: 11 November 2025
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B. Implementing Entity certification

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, 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

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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, 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.

6. 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.

Matteo Perrone - Country Director and Representative Ecuador
Implementing Entity Coordinator



Date: 11 November 2025

Tel. and email:

+593 986006375

matteo.perrone@wfp.org

Project Contact Person:

Diego Guzmán - Programme Policy Officer

Carolina Díaz – Partnership Officer

Tel. And Email:

+593 998291681

diego.guzman@wfp.org

+593 996435515

carolina.diaz@wfp.org

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APPENDIX 2: Gender Assessment

1. Diagnosis and Identified gaps

The project is grounded in the recognition that gender inequality constitutes a structural barrier to effective climate change adaptation. In rural areas of Ecuador, these inequalities are reflected in persistent gaps in access to productive resources, participation in decision-making, and recognition of women's contributions particularly under drought conditions. The gender assessment conducted during the project design phase revealed that these conditions not only undermine gender equality but also weaken community resilience by limiting the inclusion of key actors in the management of natural resources and the planning of adaptation measures.

At the national level, rural women face significant economic exclusion and labor overload, which compromises both their autonomy and resilience: 86.1% of rural women engage in unpaid agro-productive activities, compared to 64.9% of men (MAG, 2023); their total weekly workload exceeds 82 hours, nearly 23 hours more than men; and only 38.7% are formally recognized as economically active in rural areas, compared to 70.4% of men¹⁷. In addition, 55.3% of rural women are engaged in informal employment (INEC, 2025)¹⁸, which limits their access to social protection, labor rights, and safeguards against climate-related risks. These gaps illustrate a feminization of informality and unpaid work, which contributes to the invisibility of women's roles in the agri-food system and restricts their access to the benefits of climate finance and adaptation interventions.

In the three prioritized areas of the proposal, gender inequalities manifest in specific ways that heighten the vulnerability of rural women to the impacts of climate change.

In **Azuay (Cuenca and Gualaceo)**, poverty levels in rural areas exceed the provincial average, reaching 35.2% in Cuenca and 39.2% in Gualaceo (INEC, 2022), revealing structural conditions of exclusion. In this province, approximately 26%¹⁹ of the employed population works in the agricultural sector, and 45% of these are rural women (MAG, 2023). However, many of these women receive no remuneration or economic recognition for their labor, reflecting the feminization of informal employment (INEC, 2025)²⁰. This situation is worsened by a high male-dominated migration rate of 12.6%²¹, one of the highest in the country, which intensifies the productive and care workload for women²². Nonetheless, women remain actively engaged in agriculture and community-based water management, representing a strategic opportunity to strengthen their leadership in water governance and the implementation of adaptation measures.

In **Manabí (Bolivar)**, 91.4% of the rural population lives in poverty, with limited employment opportunities: only 40.6% of the rural population is employed, of which 75.4% are men and only 24.6% are women. Additionally, 72.7% of rural women engage in unpaid productive labor, in addition to shouldering the burden of domestic and caregiving responsibilities (INEC, 2022). This gap reveals a deeply rooted structural imbalance, where the disproportionate and invisible burden of unpaid work on women undermines their economic autonomy and

¹⁷ Ministry of Agriculture and Livestock. National Agricultural Strategy for Rural Women (2023).

¹⁸ National Survey of Employment, Unemployment and Underemployment (ENEMDU). May 2025: https://www.ecuadorencifras.gob.ec/documentos/web-inec/EMPLEO/2025/Mayo_2025/202505_Boletin_empleo_ENEMDU.pdf

¹⁹ Ministry of Agriculture and Livestock (MAG, 2023). Integral Project for Agro-productive Diversification and Agricultural Reconversion (PIDARA). Agricultural Statistics. Azuay, 2023. https://pidara.mag.gob.ec/wp-content/uploads/2024/09/1.Provincia_Azuay_2023.pdf?utm_source=chatgpt.com

²⁰ National Survey of Employment, Unemployment and Underemployment (ENEMDU). May 2025: https://www.ecuadorencifras.gob.ec/documentos/web-inec/EMPLEO/2025/Mayo_2025/202505_Boletin_empleo_ENEMDU.pdf

²¹ International Organization for Migration (IOM). (2024). Migratory flow of Ecuadorian population: https://ecuador.iom.int/sites/g/files/tmzbd1776/files/documents/2024-08/flujo-migratorio-de-poblacion-ecuatoriana_0.pdf

²² International Organization for Migration (IOM). (2024). Migratory flow of Ecuadorian population: https://ecuador.iom.int/sites/g/files/tmzbd1776/files/documents/2024-08/flujo-migratorio-de-poblacion-ecuatoriana_0.pdf

Field Code Changed

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ADAPTATION FUND

Letter of Endorsement by Government

Date: 6th June 2025

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

Subject: Endorsement for Integrated and Integrated Management of Water Resources in the watersheds prioritized by the National Adaptation Plan of Ecuador

In my capacity as designated authority for the Adaptation Fund in Ecuador, I confirm that the above national project 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 the Ecuador.

Accordingly, I am pleased to endorse the above project/programme proposal with support from the Adaptation Fund. If approved, the project will be implemented by World Food Programme (WFP-Ecuador).

Sincerely,

Mrs. Jessica Gallegos
Undersecretary for Climate Change
Ministry of Environment, Water and Ecological Transition



Revised PFG Submission Form¹
Project Formulation Grant (PFG)

Date of presentation: 11th November 2025

Adaptation Fund Project ID: AF00000413

Country/s: Ecuador

Project/Program Title: Integrated Management of Water Resources in the watersheds prioritized by the National Adaptation Plan of Ecuador.

Type of EI (NIE/RIE/MIE): Multilateral Implementing Entity

Implementing and Executing Entity: World Food Programme - WFP

One. Project preparation period

PFG Start Date	April, 2026
PFG End Date	September, 2026

B. Proposed activities for the preparation of the project (\$)

List of proposals Project preparation activities	Output of PFG activities	Amount in US\$	Budget note²
Literature review	<ul style="list-style-type: none"> An orderly and systematized documentary archive with all the technical and methodological studies generated by the subnational and national governments. Documentation of similar studies in the Latin American and Caribbean region 	8,000	Compilation of climate and technical information generated by subnational and national governments for the development of full proposal
1.- Local consultations and/or workshops to discuss the specific ideas	<ul style="list-style-type: none"> Participatory workshops for the socialization of the Concept Note 		These consultations will allow to define the strategy for the development of

¹ As presented in AFB/PPRC.33/40, annex 1.

² The proposal should include a detailed budget with budget notes indicating the breakdown of costs at the activity level. It must also include a budget on the use of the Executing Entity's management fee.

of the project and the program	<p>and obtaining information to complete Section III.</p> <ul style="list-style-type: none"> Local consultations for the definition of an intervention strategy and development of implementation agreements 	20,000	Section III of the Full Proposal Implementation Arrangements.
2.- Analysis of environmental and social and gender risks and formulation of the Environmental and Social Management Plan and the Gender Action Plan.	<ul style="list-style-type: none"> Workshops for updating environmental and social risks. Analysis of the social, environmental and gender risks of the project. Preparation and validation of the Environmental and Social Management Plan (ESMP). Development of the Gender Action Plan 	17,166	These activities will ensure that the project complies with Environmental and Social Safeguards and, in turn, support the design of the Gender Action Plan.
4.- Free, prior and informed consent and related consultations when appropriate to ensure compliance with the Environmental and Social Policy.	<ul style="list-style-type: none"> Socialization workshops for the design of adaptation measures to be proposed in the Full Proposal. <ul style="list-style-type: none"> Design of the methodology for Free, Prior and Informed Consent Technical document containing the entire Free, Prior and Informed Consent process to be included in the Full Proposal 	20,000	This proposal proposes to carry out a process of free, prior and informed consent for the design and implementation of adaptation measures, with the purpose of ensuring their appropriation and sustainability of the AF's investment.
6.- Economic and financial analysis for the development of the budget for the proposal	<ul style="list-style-type: none"> Development of the economic and financial budget for the full proposal. 	10,000	This activity will ensure a budget in accordance with local needs and efficient for the optimization of the investment made by the AF.
9.- Consultancies and contracts to develop the Full Proposal	<ul style="list-style-type: none"> Development and design of the sections for the fully developed proposal. 	40,000	A technical consulting team will be hired to develop the full proposal in order to optimize resources and time for its presentation to the AF Board.
Implementing Entity Management fee		9,834	Includes direct and indirect support costs of WFP
Total Project Formulation Grant		125,000	

Please describe below each of the activities of the PFG and justify its need and the amount of funding required:

Bibliographic review: During the first workshops held in the intervention areas, various technical and methodological studies from previous initiatives were identified. Ecuador's Ministry of the Environment, Water and Ecological Transition has generated relevant information on the impacts of climate change in these areas. In this context, it is considered a priority to collect, review and systematize this information through the creation of a physical and digital archive that consolidates existing documents. This process will allow for the precise identification of required studies and information gaps, thus facilitating the formulation of a portfolio of adaptation measures that adequately respond to local needs.

Local Consultations: A process of socialization of the Concept Note submitted to the Adaptation Fund will be developed. Based on the approved version, local consultations will be carried out aimed at building a consensual intervention strategy and designing territorial implementation agreements. At least 10 consultation workshops are planned: three in each intervention area and one with the Ministry of the Environment. These spaces will ensure the active participation of local actors, allowing the proposed measures to be validated and strengthened.

Analysis of environmental, social and gender risks, and formulation of management plans: At least three specific workshops will be organized to identify, update and validate environmental, social and gender risks related to the implementation of the project. These inputs will be the basis for the formulation of the Environmental and Social Management Plan (ESMP) and the Gender Action Plan (GAP), which will incorporate the gender approach both in the adaptation measures and in the capacity building plan that will be included in the final proposal.

Free, Prior and Informed Consent: In accordance with Ecuador's current legal framework, including the Constitution, any intervention in rural and community territories must be preceded by a free, prior and informed consent (FPIC) process. To this end, at least three participatory workshops will be held to ensure the active inclusion of local and community partners. During these spaces, the adaptation measures contained in the Concept Note will be reviewed, adjusted and collectively approved, which will be expanded and detailed in the Full Proposal. This process will also contribute to greater community ownership and ensure the sustainability of Adaptation Fund investments.

Budget design: A detailed budget will be prepared that includes all the costs associated with the design and implementation of adaptation measures, institutional articulation mechanisms and capacity building, among other actions proposed in the proposal. The process will include a detailed analysis of each expenditure item, which will be initially validated with local and community actors (within the framework of the workshops), and subsequently reviewed to ensure efficiency and transparency in the allocation of resources

Development of the Full Proposal: The formulation of the comprehensive project proposal will incorporate all the essential components required by the Adaptation Fund. First, the specific impacts of climate change and vulnerabilities that the project seeks to address will be identified and characterized, based on scientific information, climate risk assessments, and socio-environmental analyses that support the need for an adaptation intervention. The objectives of the project will be clearly defined and supported by a set of concrete, coherent and results-oriented activities. The participation and representation of key stakeholders, including local communities and vulnerable groups, will be ensured to ensure that the design of the project responds to the real needs, capacities and priorities of the territory.

The proposal will contain a detailed budget, broken down by component and activity, as well as a realistic execution schedule to guide implementation. A robust monitoring and evaluation plan will also be incorporated to monitor progress, measure results, and adjust when necessary to ensure the effectiveness of interventions. A climate, operational and social risk management strategy will also be presented, identifying

potential barriers and proposing concrete mitigation measures. Finally, the proposal will fully comply with the technical, environmental and social guidelines established by the Adaptation Fund, to ensure the probability of approval.

Acting as the executing entity for the PFG, WFP will administer and use PFG resources exclusively for formulation activities in line with the approved work plan and budget, and in accordance with WFP's Financial Regulations and Rules, Procurement Manual, and Human Resources policies. The budget will be allocated to the preparation of the Full Proposal and as required, to the procurement of services and consultancies through fair, transparent, and auditable competitive processes that ensure economy, efficiency, and value for money, as well as the engagement of personnel in line with WFP HR procedures. Implementation will be managed through WFP's corporate financial management systems with appropriate internal controls, segregation of duties, and budget traceability for audit and reporting purposes. This request has been prepared in alignment with the Adaptation Fund's Operational Policies and Guidelines and the procedures of its Board. Applicable management costs will remain within the Adaptation Fund's caps and the approved budget.

C. Executing Entity

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

Implementation Entity Coordinator, IE Name	Signature	Date (Month, Day, Year)	Project Contact Person	Telephone	Email Address
Matteo Perrone		11/11/2025	Diego Guzmán Climate Change and Food Systems Program Officer	+593 998291681	<i>diego.guzman@wfp.org</i>