CAF-GEF PIR for Fiscal Year 2021-22

(Period: July 1st of 2021 to June 30th of 2022)

PART A – Project Implementation Progress & Risk Management

1. GENERAL PROJECT INFORMATION

Project Title:	Andes Adaptation to the Impacts of Climate Change on Water Resources Project (AICCA)

Implementing Agency:	CAF

Executing Agency:	CONDESAN

Project partners:	Ministry of Environment and Water of Bolivia (MMAyA), Ministry of Environment and Sustainable Development of Colombia (MADS), Institute for Hydrology, Meteorology and Environmental Studies (IDEAM), Regional Autonomous Corporation of Boyacá (CORPOBOYACA), Ministry of Environment and Water of Ecuador (MAAE), Ministry of Electricity and Renewable Energy of Ecuador (MEER), Ministry of Environment of Peru (MINAM), and "MINISTRY OF AGRICULTURAL DEVELOPMENT AND IRRIGATION" (MIDAGRI).

Geographical scope:	4 countries: Plurinational State of Bolivia, Republic of Colombia, Republic of Ecuador, and Republic of Peru

Participating countries:	Plurinational State of Bolivia, Republic of Colombia, Republic of Ecuador, and Republic of Peru

GEF project ID:	5384	**CAF Project ID:**	CAF01/GEF5384
Focal area(s):	Climate Change, Biodiversity	**GEF OP #:**	
GEF strategic priority/objective:	CC-SP1, CC-SP2, CC-SP3, BD-SP2	**GEF approval date*:**	May 30, 2017
CAF approval date:	June 16, 2016	**Date of first disbursement*:**	March 26, 2018
Actual start date:	March 1st, 2018	**Planned duration:**	48 months
Intended completion date*:	June 30, 2021	**Actual or Expected completion date:**	May 30th, 2023
Project type:	FSP	**GEF Allocation:**	US$9,696,621.00
PPG GEF cost*[1]:	NA	**PPG co-financing CAF:**	USD 44,720.00
Expected MSP/FSP Co-financing*:	US$58,181,237	**Total Cost*:**	US$67,877,858
Mid-term review/eval. (Planned date):	March 31, 2020	**Terminal Evaluation (actual date):**	
Mid-term review/eval. (Actual date):	August 19, 2020	**No. of revisions*:**	NA
Date of last Steering Committee meeting:	April 25, 27, 2022	**Date of last Revision*:**	NA
Disbursement as of March 26, 2018 April 4, 2018 Jan 18, 2019 Jan 22, 2019 Jan 24, 2019 Aug 29, 2019 Sep 3, 2019 Sep 5, 2019	 US$51,761.75 US$250,000.00 US$50,560.50 US$1,201.25 US$712,662.10 US$98,211.69 US$224,374.90 US$51,761.75	**Date of financial closure*:**	May 2023

[1] CAF as implementing agency did not received PPG funds for the development of the AICCA Project document.

Dec 11, 2019 Dec 31, 2019 March 10, 2020 Sep 8, 2020 Sep 8, 2020 Oct 21, 2020 Oct 27, 2020 Jan 24, 2021 Jan 25, 2021 Oct 22, 2021 Dec 28, 2021 Dec 28, 2021 Apr 12, 2022	US$51,761.75 US$458,134.58 US$915,271.49 US$147,517.34 US$51,761.75 US$51,761.75 US$1'578,372.50 US$ 51,761.75 US$ 1'205,012.37 US$ 1,155,983.03 US$ 1,101,731.30 US$ 65,595.87 US$ 1,091,103.98		
Date of Completion:	May 2023	**Actual expenditures reported as 1st of July 2021 to June 30 of 2022:**	US$ 2.815.666,60
Total co-financing realized as of December 31st of 2021:	US$ 114.190.440,25	**Actual expenditures to date:**	US$ 8.278.357,34
Leveraged financing:	NA	NA	NA

Project summary	The Andes Adaptation to the Impact of Climate Change on Water Resources Project (*Adaptación a los Impactos del Cambio Climático en Recursos Hídricos en los Andes*, AICCA) is designed to generate and share data, knowledge, and experience on climate change adaptation measures and strategies to enhance resilience against climate variability. The project's findings are designed to inform policies in selected sectors. The project also includes pilot investments in priority areas in the four Andean countries: Bolivia (urban stormwater drainage), Colombia (highland agricultural systems), Ecuador (small and medium-sized hydroelectric power generation), and Peru (small-scale irrigation). The AICCA project is financed by SCCF (US$8.46 million) and GEFTF (US$1.24 million), implemented by CAF, and executed by CONDESAN. Its total duration is 48 months, and it includes the following four components: *Component 1: Generation and exchange of knowledge and technology transfer* (US$2.13M in total financing: US$0.85M from GEF SCCF, US$0.17M from GEFTF and US$1.11M from matching government contribution). This component aims to strengthen the scientific and technical foundations of climate-related policies, strategies, programs, and management instruments in the program's targeted sectors and transfer the skills and technology necessary to address the implications of climate change and climate variability (CC/CV). Activities financed under the component include: (i) integrating hydrological modeling under CC/CV projections vulnerability analysis into impact analyses of fragile ecosystems to generate knowledge on the impact of CC/CV in the selected sectors; (ii) designing and implementing curricula and training programs to promote knowledge transfer and build administrative capacity in the selected sectors; and (iii) formulating local development strategies, land-use plans, sector policies, and enhanced regulatory frameworks that incorporate clearly defined and effective efforts to address anthropogenic threats to biodiversity at the watershed level. *Component 2. Mainstreaming of climate change considerations into policies, strategies, and programs* (US$2.22M in total financing: US$0.90M from GEF SCCF, US$0.13M from GEFTF and US$1.19M from matching government contribution). This component supports a review of the existing management instruments in selected sectors to improve the mechanisms that decision-makers rely on to make rational and informed choices that effectively promote CC/CV resilience. The component finances: (i) the development of guidelines for public investment in specific sectors as well as standards for territorial management and land-use planning at the national level that integrate CC/CV

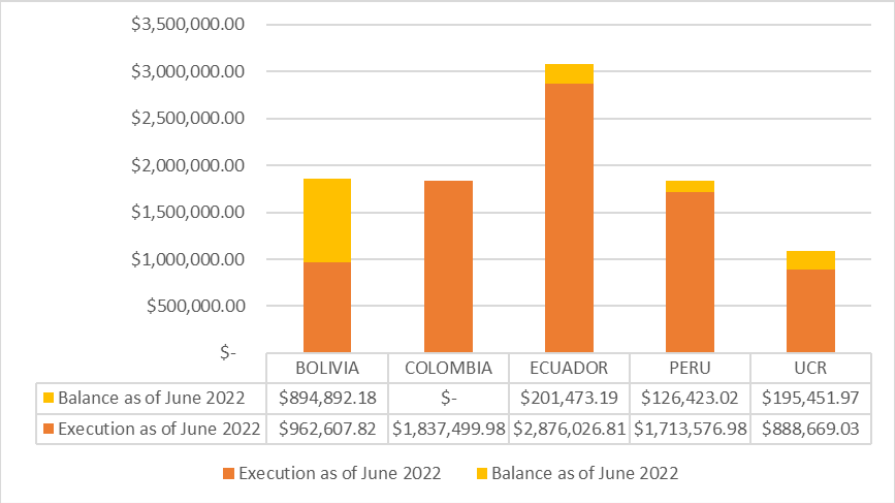
	considerations; (ii) the elaboration of subnational policy instruments that support CC/CV resilience, including an integrated urban drainage-management plan for the Municipality of Cochabamba in Bolivia to the design of a program that monetizes environmental services in the Lake Tota basin; (iii) the design of a methodology to for mainstreaming climate considerations into the design and implementation of strategies, programs, and projects at the national and sectoral levels; and (iv) the development of technical standards and guidelines for biodiversity conservation and climate change adaptation to be incorporated into management plans for watersheds and protected areas. *Component 3. Design and implementation of adaptation measures in priority sectors* (US$$62.2M in total financing: US$5.88M from SCCF, US$0.88M from GEFTF and US$55.44M from matching government contribution). This component supports the implementation of pilot investments in selected sectors designed to both generate direct benefits and enhance resilience to climate change. Analyzing the impact of these pilot investments will also generate critical knowledge on operationalizing CC/CV resilience policies. This component finances: (i) the design and implementation of specific adaptation measures, such as sector-specific upstream watershed levels and groundwater recharge levels, which incorporate proven technologies, such as the controlled flow of stormwater discharge downstream, flood control and groundwater recharge, participatory assessments of the water footprint of different agricultural management practices, flow and sediment control, and the restoration and rehabilitation of degraded ecosystems; (ii) the design and implementation of systems to monitor and assess the relevance, effectiveness, and sustainability of the adaptation initiatives; and (iii) the development and implementation of targeted interventions to protect fragile ecosystems and watersheds and to address threats to biodiversity in project-intervention areas, including the restoration and recovery of degraded ecosystems, the removal of cattle from alpine tundra areas (*páramos*), the development and implementation of best practices for productive activities such as animal husbandry, agriculture, and agro-forestry, the development of fire-prevention plans for alpine tundra areas and associated habitats, and the formation, training, and equipping of fire brigades to prevent and control forest fires. *Component 4: Project Management, Monitoring, and Evaluation.* (US$1.3M in total financing: US$0.83M from SCCF, US$0.05 from GEFTF and US$0.44 from co-financing CAF and CONDESAN). This component supports region-wide coordination systems designed to ensure efficient, high-quality program implementation, regular monitoring, and evaluation (M&E) of intermediate and results, and the wide dissemination of analytical findings and lessons learned. The component also encompasses fiduciary risk management mechanisms and other safeguards. It finances the operations of a Regional Coordination Unit based in Lima, Peru, which provides implementation support to participating countries in the areas of procurement, financial management, and disbursements, as well as technical assistance with the implementation of the other project components and regular communications with National Focal Points in each country. The component facilitates project M&E, results assessments, and the dissemination of lessons learned. Regional activities are embedded in all four project components but budgeted under Component 1. Regional activities include: (i) the promotion of knowledge exchange, capacity-building through international workshops, and cross-country collaboration via existing regional platforms; (ii) the dissemination of lessons learned through online media, print media, and information sessions; and (iii) analytical work designed to generate further knowledge and scale up successful interventions at the regional level. This report covers the third year of execution of the Project (July 2020 – June 2021). The Project's operational and procurement plans reflect this reporting timeframe.

Project status First Semester Year 4 1 July 2021 – 31 December 2021	PROGRESS SUMMARY IN THE YEAR 4 (Julio 2021 – junio 2022) ● During the fourth year, which corresponds to the period from July 2021 to June 2022, **the AICCA Project increased its budget execution up to $2,816,588**, being this fourth year the period with the highest execution throughout the project with an average quarterly expenditure of $703,000 dollars, and a total cumulative expenditure to date of $8.27 million (equivalent to 85% of the total budget). ● At the outcome level, the AICCA project has achieved the targets ***for Outcome indicators No. 1-Knowledge products*** (reaching 300% of the planned target), ***No. 2-Trained stakeholders*** (616% of the planned target), ***No. 3-Climate change adaptation measures*** (238% of the planned target), and ***No. 4-Cross-learning*** (125% of the planned target).

- **In this fourth year, several key processes were activated, which contribute to meeting the outcomes. *At the regional level***, these include: organizing several regional *events to promote cross-learning*, including the development of "Saber Andino" as a methodology to foster peer-to-peer learning within the Andean region *(Outcome 4)*, as well as convening the Regional Exchange Workshop *AICCAprendizajes* (Colombia, May 25-29, 2022) that contributed to gathering inputs and insights on *common denominators* for climate change adaptation in the region (*Outcome 5*). ***At the national level***, the selection, award and implementation of key processses, such as the building of *SUDS* in Bolivia and *drinking water systems in Ecuador,* were activated (Outcome 3).
- **During this fourth year, 16 additional products (outputs) have been completed:** 4 in Colombia, 9 in Ecuador, 1 in Peru and 2 in Bolivia. In total, 52 of the 60 planned products are already completed.
- **We have addressed the recommendations of the Mid-Term Evaluation**, through three groups of response actions: 1. *Developing a regional vision and strategy for the project,* 2. *Improvement of project monitoring and evaluation processes and tools, and 3. Implementation of an effective communication plan at all levels.*
- Finally, through the communication strategy and plan, we are capitalizing on the main contributions of the AICCA project and making its stakeholders visible.

1. BUDGET EXECUTION

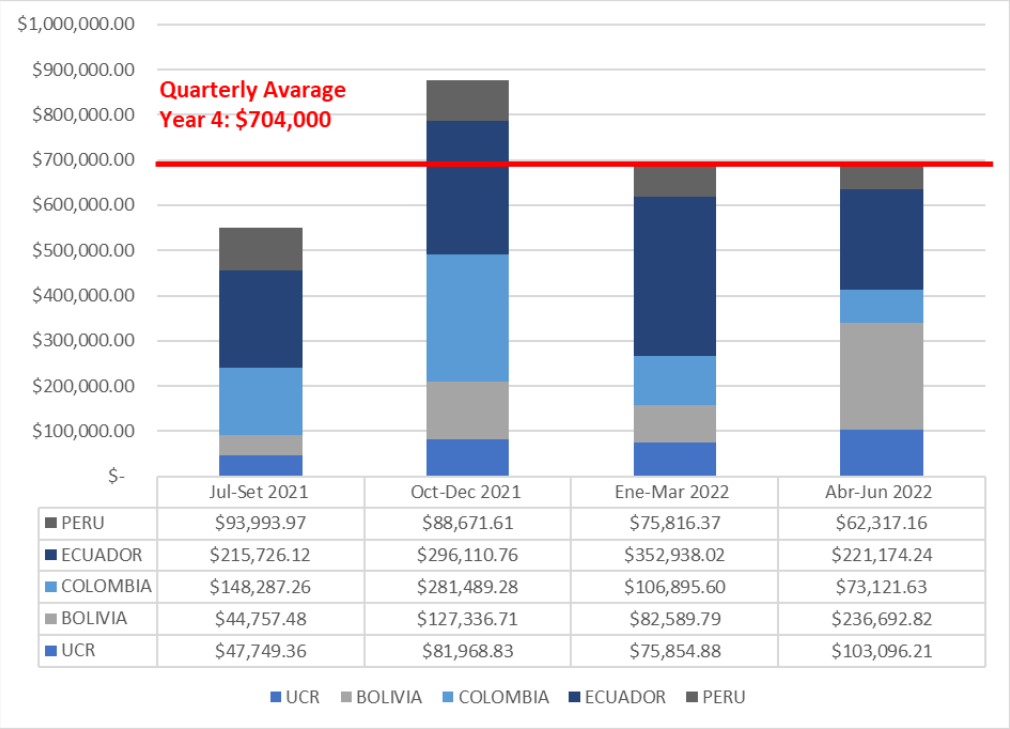
At the end of AICCA's fourth year, as of June 2022, the financial execution of the project amounts to $8.27 million, which represents 85% of the total project budget (Figure 1). Ecuador is the country with the highest accumulated execution with $2.8 million (representing 93.45% of its total budget), followed by Colombia ($1.83 million) and Peru ($1.71 million). Colombia was the only country that has already closed its operations in Year 4, with a financial execution of 100%. Ecuador and Peru are next, with the highest percentage of financial execution, both with 93%. On the other hand, the financial execution of the AICCA Project in Bolivia is $962.607, which represents only 52% of its budget. Although financial execution in Bolivia is lower than in other countries, it is worth noting that 56% of the remaining funds are already consigned through signed contracts (approximately $500,000), where the SUDS pilot project is the activity that concentrates most of the available resources.



	BOLIVIA	COLOMBIA	ECUADOR	PERU	UCR
Balance as of June 2022	$894,892.18	$-	$201,473.19	$126,423.02	$195,451.97
Execution as of June 2022	$962,607.82	$1,837,499.98	$2,876,026.81	$1,713,576.98	$888,669.03

Figure 1- Financial Execution of the AICCA Project by countries (as of June 2022)

During the fourth year, the project's financial execution amounted to $2,815,689, this being the year with the highest execution throughout the project. This represents an average quarterly expenditure of $703,923 (Figure 2). During Year 4, Ecuador and Colombia were the countries with the highest reported execution, with $1,08 million and $609 thousand dollars respectively. In the case of Bolivia, with the implementation of the SUDS project and the activation of several education activities, budget execution increased considerably in the last quarter of the fourth year ($236,692.82) and this year's expenditure amounted to $491,376 . On the other hand, Peru was the country with the lowest execution in year 4 with $320 thousand dollars due to delays in signing new agreements with local governments, as well as the impact of the COVID-19 pandemic (with an acute crisis in January 2022) that affected the planned execution.

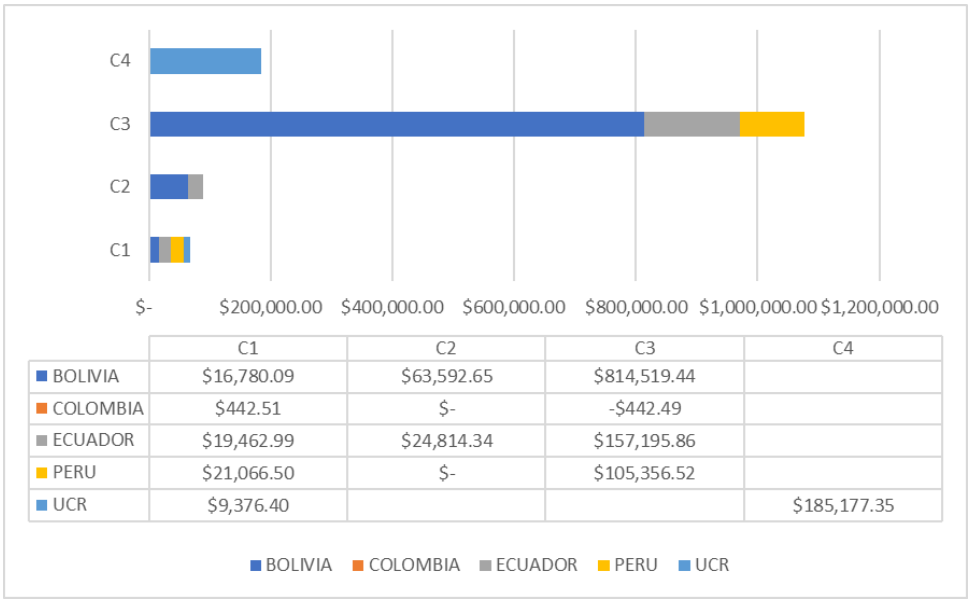


	Jul-Set 2021	Oct-Dec 2021	Ene-Mar 2022	Abr-Jun 2022
PERU	$93,993.97	$88,671.61	$75,816.37	$62,317.16
ECUADOR	$215,726.12	$296,110.76	$352,938.02	$221,174.24
COLOMBIA	$148,287.26	$281,489.28	$106,895.60	$73,121.63
BOLIVIA	$44,757.48	$127,336.71	$82,589.79	$236,692.82
UCR	$47,749.36	$81,968.83	$75,854.88	$103,096.21

Figure 2: Quarterly AICCA project expenditure in the fourth year by countries (as of June 2022)

2. PROGRESS BY COMPONENTS

Components 1 and 2 have the best execution rates up to the fourth year. Component 3, on the other hand, concentrates the largest number of actions executed by all countries in Year 4, with several processes underway to comply with the plan until the end of the project.



	C1	C2	C3	C4
BOLIVIA	$16,780.09	$63,592.65	$814,519.44	
COLOMBIA	$442.51	$-	-$442.49	
ECUADOR	$19,462.99	$24,814.34	$157,195.86	
PERU	$21,066.50	$-	$105,356.52	
UCR	$9,376.40			$185,177.35

Figure 3: Balance to be executed of the AICCA Project by component (as of June 2022)

Component 1: As of June 2022, $880,829 has been executed in component 1, with Ecuador being the main executor with $297,037, followed by Bolivia with $209,464, Peru with $192,945, Colombia with $160,423 and UCR with $20,959.

During this fourth year, several ongoing activities under the **Component 1- Generation and exchange of knowledge and technology transfer** were completed. In ***Bolivia,*** the following activities were completed: 1) *Guidance on river safety zones, incorporating climate variability and change factors*, 2) *Second edition of the Diploma Course in Water Resources and Climate Variability / Climate Change,* and 3) *Development of environmental education activities and media coverage of the AICCA project* (e.g., arts for social networks, press releases, Hackaton "Challenges and climate change"). In ***Ecuador,*** the following activities were completed: 1) *Strengthening the regulatory framework of the electricity sector* (e.g., the inclusion of a chapter in the Electricity Master Plan addressing CC, established the baseline of risk management within policy guidelines of the ministerial agreement on risk management including climate change). In ***Perú,*** these activities were completed: 1) *the preparation of a Guide for the analysis of climate risk in watersheds,* as a direct support to the General Bureau of Climate Change and Desertification of the Ministry of Environment, which has as its main input the study of vulnerable watersheds prepared by the AICCA project, and 2) *Self-organized course for the socialization of the study "Economic evaluation of adaptation measures in irrigation systems in the regions of Piura, Áncash and Cajamarca".*

Component 2: In component 2, a total execution of $876,540 is reported, with Peru and Ecuador being the countries with the highest execution ($297,747 y $297,185 respectively), followed by Bolivia with $141,607 and Colombia with $140,000.

In **Component 2- Mainstreaming of climate change considerations into policies, strategies and programs**, during this period, the countries have focused mainly on working together with the ministries and support entities in each country. In ***Bolivia***, the following was finalized: 1) *Manual for the Preparation of Urban Storm Drainage Management Plans,* 2) *Debris management guide for storm drainage system protection, and* 3) *Solid waste management guide incorporating storm drain cleaning mechanisms.* In ***Ecuador,*** the following was created: *1) Risk Management Plan for the Electricity Sector, 2) Technical procedure for incorporating climate variability in short- and medium-term forecasting processes, 3) Analysis of the landscape approach in water systems related to hydroelectric power production, and 4) Application of the landscape approach in Azuay and Napo.*

Component 3: In component 3, as of June 2022, a total amount of $5,653,300 (equivalent to 84% of the total budget of C3) has been executed. Ecuador and Colombia are the countries with the highest execution of resources in this component, reaching $2,281,804 and $1,537,076 as of the reporting date respectively, followed by Peru with $1,222.883 and Bolivia $611,536.

In **Component 3- Design and implementation of adaptation measures in priority sectors.** In the year 4 several ongoing processes were concluded. In ***Bolivia***, it was reported*:* 1) *Construction of the pilot project for Sustainable Urban Drainage Systems (SUDS)* in the Cretaceous Park of Sacaba, with a physical progress of 21,9%, 2*) Reforestation and maintenance of previous plantations*, 3) Establishment of 2 Agroforestry Systems plots for two beneficiary families in the municipality of Sacaba, and 4) *Workshops to promote solid waste utilization enterprises.* In ***Colombia***, where 100% of the planned adaptation measures were completed, it was carried out: 1) *Baseline documentation by each indicator for each of the adaptation measures implemented,* 2) *Dissemination of 10 AICCApacity adaptation magazines,* 3) *Design of early warnings for the Lake Tota basin,* including the training process for the early warning system, 4) *implementation of climate change adaptation measures* were completed.

In ***Ecuador***, the following was concluded: *1) Improvement work of the drinking water supply system in the Cuyuja and Papallacta parishes,* 2) *Generation of short- and medium-term climate forecasts for hydroelectric power plants, 3) Development of the training module on climate change within the Green Classroom Program of the Ministry of Environment, Water and Energy Transition (MAATE). Finally, in* ***Peru****, progress was made in activities related to 1) Implementation of the Gender Action Plan* (e.g., development of awareness-raising, induction and capacity-building programs aimed at women and men specialists from the different disciplines of the AICCA team)*, 2) Baseline study of investments that incorporate risk management in a context of adaptation to climate change.*

PROGRESS TOWARDS MEETING INDICATORS

During this period, the AICCA project has advanced towards the achievement of the goals established in the indicators at the level of *outcomes, outputs and* tracking *tool (TT)*.

1. Outcome Indicators

Regarding outcomes, by the fourth year, AICCA Project has met and exceeded the planned goals in 4 of the 5 indicators (Table 1), evidencing the effort made by all project partners at different levels.

Table 1: Indicators of overall project outcomes - Outcomes (as of June 2022)

ID	Description of Indicators	PRODOC (Planned)					Outcomes Achieved				
		YR1	YR2	YR3	YR4	End Target	YR1	YR2	YR3	Y4	T
O1	Number of knowledge products generated provide inputs for the incorporation of pertinent considerations of adaptation to the impacts of climate variability and change on water security into management instruments in the selected sectors.	6	7	2	1	**16**		13	15	20	
O2	Number of key actors are better prepared to incorporate climate variability and change (CV/CC) considerations for water security, in water systems, water management and water use within the sectors involved.	15	30	45	45	**135**		135	296	401	
O3	Pilot adaptation measures in the field have allowed validating the importance of inclusion of CV/CC considerations on water security in the selected sectors and the information generated is used to amend management instruments.	0	3	6	4	**13**		1	13	17	
O4	Number of new tools about the impact of CV/CC on water security in each participating country shared and discussed with the same sector actors from the other three countries and explored. E.g. concepts, experiences, learnings, instruments and management models.	0	2	2	4	**8**		0	0	10	
O5	Number of common denominators regarding adaptation to impacts of CV/CC for water security in management instruments (public and private) at regional level, identified, shared and explored. For example, methodologies or systems of technical assistance, environmental and social implications, etc.	0	2	2	3	**7**		0	0	0	

In this year 4, in the **Outcome 1, 20 new knowledge outputs** (01) **were completed,** which include guides, manuals, catalogs, guidelines, systematizations, and computer applications that are used by local, national and/or regional actors in land and policy management, incorporating climate change considerations. In ***Colombia and Ecuador***, seven knowledge outputs were completed, respectively, followed by ***Bolivia*** with 2 outputs and ***Peru*** with 1 completed output. Below is the detail:

Country	COMPLETED OUTCOMES (Year 4)
Bolivia	-Guide for proper waste management and drainage maintenance as a measure to adapt to climate change. - Guide for construction and demolition waste management (national and departmental).
Colombia	- Maintenance Manual Rainwater Harvesting and Irrigation Systems - Catalog of Climate Change Adaptation Measures for the Lake Tota Basin - Communication for Adaptation - Guide to undertake communication processes for climate change adaptation - Guidelines for the incorporation of climate change in the river basin management plan. – POMCA - Tota Lake pilot case - Guide to the Tota Lake Basin plants - Contribution to ecological restoration and proper uses - Contributions to the productive reconversion process considering climate variability and change criteria in the Tota Lake basin.
Ecuador	- Diagnosis of risk management in the electricity sector - Methodological Guide for the construction of Interinstitutional Technical Plans for forest fire management - Methodological guide for the development of Level 2 climate risk analysis studies - Guide for simulation, forecasting and optimization models for the Machángara hydroelectric complex. - Systematization of the Machángara River Basin Conservation Committee: lessons learned and steps to promote the replication of the experience. - Practical guide for the design of policies for the electricity sector - the Ecuadorian case
Peru	- Instructive dossier of the standard technical file for the formulation of investment projects for the improvement of irrigation infrastructure.
UCR	- Gender Approaches to Climate Change Adaptation - TENDHIS Climate information to reduce risks in investment projects

In **Outcome 2**, in this Year 4, a total of **401 new key actors (professionals, technicians, project formulators) are better prepared to incorporate climate variability and change considerations** (O2). In ***Ecuador,*** this was achieved through the implementation of the *Course on Modeling and Climate Risk - Electricity, Environment and Water Sector* and the *Course on Climate Forecasting with Climate Variability Criteria for the Electricity Sector;* ***in Peru****, with Training on the guidelines for including risk management in the context of climate change in irrigation projects for formulators and other professionals of the sector, including the use of TENDHIS (2nd edition) and the Socialization of the study "Economic evaluation of adaptation measures in irrigation systems in the regions of Piura, Ancash and Cajamarca";* in ***Bolivia****, the second version of the Diploma Course in Water Resources and Climate Variability/Climate Change was held in coordination with the Universidad Privada de Bolivia (UPB) and the training of "Leaders in the face of climate change and resilience in Cochabamba";* finally, in ***Colombia****,* within the framework of key actions for sustainability*, support was provided to strengthen local capacities with the "Cooking workshop: from garden to plate", the "By-product workshop in the municipality of Aquitania: Integrating the harvest of the orchard and the jardines de vida (life gardens) in new natural cosmetic products", the "Exchange of experiences in the Chingaza, Sumapaz, Guerrero corridor adaptation project and the AICCA Lake Tota basin project", the "Exchange of experiences in the municipalities of Tota, Aquitania, Cuitiva, Zetaquira, Tunja and Tausa", the "Meeting of Nursy Owners that Sow Life" held in the municipality of Tunja, Boyacá, and the "Exchange of experiences and community knowledge: Lake Tota Basin Community and Corpoboyacá".*

In **Outcome 3**, in this year 4, **17 additional climate change adaptation measures** were completed. These include: ***Ecuador*****:** 1) *Industrialization, Technification and Productive Commercialization (Inputs for commercialization of products)* 2) *Forest Fire Prevention*, 3) *Technology for efficient water management*, 4) *Integrated management of watersheds supplying hydroelectric power plants and other key stakeholders according to their order of priority*, 5) *Capacity building for stakeholders and public policy instruments of the electricity sector with the inclusion of climate change criteria*, 6) *Protection of watersheds (watering places).* 7) *Improvement of the drinking water supply system in the Cuyuja and Papallacta parishes, Quijos Canton, Napo Province,* 8) *Early warning system for extreme weather events in the supply basins of each hydroelectric project,* and 9) *Topographic and geotechnical survey of the water recharge area of the Victoria hydroelectric power plant.* In ***Colombia,*** it includes: 1) *Governance and knowledge communities,* 2) *Ecological restoration,* 3) *Beekeeping production systems,* 4) *Sustainable tourism, and 5) Rural extension program*. In ***Bolivia***, it includes: 1) *Environmental education and socialization measures in solid waste management and storm drainage.* Finally, in ***Peru,*** it includes: 1) *Technical assistance and capacity building of agricultural producers for the sustainable use of water in Ancash, and* 2) *Implementation of business strategies that incorporate risk management and opportunities for climate change in Ancash.*

Regarding to **Outcome 4**, during Year 4, a methodology was developed for ***regional exchange that promotes cross-learning*** called *Saber Andino (Andean Knowledge)*, which reflects and disseminates the practical experience of the AICCA project. In addition, as part of *Saber Andino*, a virtual environment was implemented through the *Moodle* learning platform, where registered participants can access-before, during and after the event-all related resources (e.g., video, bibliographic references, surveys, key messages, and event proceedings). In this way, AICCA has developed with *Saber Andino,* a knowledge management tool to facilitate access to and exchange of information among a community of stakeholders in sustainable management and climate change adaptation in the Andes that now includes more than 400 people. So far, six *Saber Andino* events have been held on the following topics: 1) Gender approach for climate change adaptation (December 2021), TENDHIS: climate information to reduce risks in investment projects (January 2022), Main Ecological Structure: territorial planning in the context of climate change (February 2022), Networks for action: Capacity building strategies to enhance local collective actions (April 2022), Governance for resilience: cases in water resources management in the Andes (April 2022) and Sustainable Urban Drainage Systems: alternatives for risk management in cities (June 2022).

Finally, for **Outcome 5**, based on the Concept Note and roadmap that were developed as inputs for the regional strategy of the AICCA Project, the characteristics of resilience[2] have been adopted as the conceptual frame of reference for the comparative analysis of the **seven common denominators**. In addition, this year the regional workshop "AICCAprendizajes: exchange of experiences for regional strengthening" was held in Colombia (April 25-29, 2022), which generated collective reflections based on the practical experience of the AICCA project in the four countries on the key characteristics of resilience, which is the conceptual basis that supports the *analysis of common denominators for adaptation*. For the first semester of the fifth year of the project, processes are being activated for the comparative analysis of cases and experiences of seven characteristics that promote transformational changes for Adaptation to Climate Change and resilience in the Andes: 1. Diversity of adaptation options, 2. Governance and effective institutions, 3. Community participation, 4. Territorial planning and preparedness, 5. Learning, 6. Equity and social capital/trust, and 7. Interscale action. With this, until the end of the project, it is expected to meet the goal of Outcome 5.

2. Output Progress

As of June, 2022, 52 of the 60 planned products have been completed, representing 87% progress toward the global target (Table 2). ***Colombia*** has been the first country to reach 100% of its target, completing its 11 planned outputs. To date, ***Ecuador*** has completed 26 of the 27 planned outputs, representing 96% progress against its target, while ***Perú*** has completed

[2] Bahadur, A.V., M. Ibrahim, T. Tanner. 2013 Characterizing resilience: unpacking the concept for tackling climate change and development. *Climate and Development* 5: 55-65.

6 of its 7 planned outputs (i.e., 86% progress). Finally, ***Bolivia*** has completed 9 of its 15 planned outputs, being the country with the lowest cumulative progress (60%).

Table 2: Project output progress - Outputs (as of June 2022)

untry	Outputs completed in the first year	Outputs completed in the second year	Outputs completed in the third year	Outputs completed in the fourth year	Cumulative through Year 4	Outputs PRODOC	% pr 1 Ou PR
		3	4	2	9	15	6
ia		3	4	4	11	11	1
r		1	16	9	26	27	9
		1	4	1	6	7	8
untries	**-**	**8**	**28**	**16**	**52**	**60**	**8**
ution to bal goal		**13%**	**47%**	**27%**	**87%**		

In this period 16 outputs were completed, representing a 27% contribution to the overall goal**.** In the case of **Peru**, this corresponds to the 1) *Sectoral technical regulations for small-scale irrigation incorporating risk management related to CC / CV*. In the case of ***Colombia***, this belongs to the 1) *Guidelines for the Páramos Management Plan, 2) Updating of guidelines, information and methodologies that support the inclusion of CC/CV criteria in the POMCA of the Tota Lake Basin,* 3) *Adaptation activities to improve the resilience of agricultural production systems*, and 4) *A technical assistance program implemented to provide training to 720 families in the Tota area in basin protection practices and to 2,510 families in agricultural practices*. On the other hand, ***Bolivia*** concluded two outputs that correspond to 1) *Updated Technical Drainage Regulations*, 2) *Implementation of the Education Project*. Finally, in the case of **Ecuador**, 1) *Management plan for two hydrographic basins*, 2) *Three methodological guidelines or similar tools for the inclusion of CC / CV in the design of hydropower projects*, 3) *Cattle moved as a prioritization measure for areas of water importance (fencing)*, 4) *Two landscapes with improved sustainable management practices,* 5) *Four technical administrative procedures for the hydropower sector*, 6) Four new or updated technical guidelines / regulations that allow the inclusion of CC / CV considerations in the design phase of hydropower projects, 7) *Strengthened regulatory framework for risk management of the electricity sector*, 8) *Strengthened Early Warning System through a forecasting study* 9) *Eight comprehensive adaptation measures*: 1) *Capacity building through agricultural Field Schools and training workshops for local partners,* 2) *Sustainable agricultural production (Inputs for agricultural production Napo and Azuay),* 3) *Community micro-credits for adaptation*, 4) *Restoration, conservation and biological monitoring (Restoration of 10 hectares in the Machángara River micro-basin and SMART monitoring system Cayambe Coca National Park),* 5) *Reduction of pressure in areas of water importance for the basin and hydroelectric power plant with the implementation of 52 greenhouses*, 6) *Sustainable livestock production*, 7) *Construction of water troughs for hydrographic basin protection,* and 8) *Technology for efficient water management with hydroponic crops.*

3. Tracking Tools and communication metrics

At the end of Year 4, AICCA project has achieved and surpassed the goal of 10 tracking tool indicators *(Tracking Tool)*, such as No. 2, No. 4, No. 5, No. 6, No. 7, No. 8, No. 9, No. 11, No. 12 and No. 13 (Table 3). Regarding the tracking indicators (TT) that are still pending, both Indicator 1 and Indicator 14 are in progress of full implementation. Only in the case of TT no. 3, estimations alert that misinformation during the design phase, as well as budget constraints, impedes its completion. The goal exceeds the available budget by the project for this activity and targets an excessively large proportion of the population within the intervention areas.

Table 3: Progress of Tracking Tools (as of June 2022)

Indicator TT Adaptation	Detail	Measure Unit	Goal	Total accumulated Year 3	Total accumulated Year 4	Total accumulated As of June 202
Indicator 1	Number of direct beneficiaries	Number of people	115,000	78,798	18,008	96,806
		Women	58,000	39,598	8,780	48,378
Indicator 2	Type and extent of assets strengthened and or better managed	Ha	403,100.00	408,372.45	5,012.41	413,385
Indicator 3	Population benefiting from the adoption of diversified climate resilient livelihood options	Number of people	62,500	8,553	7,435	15,988
		Women	31,437	4,685	3,574	8,259
Indicator 4	Extent of adoption of climate resilient technologies	Number of people	46,000	76,251	6,311	82,562
		Women	23,000	38,536	3,097	41,633
Indicator 5	Public awareness activities Carried out and population reached	Number of people	1,149,703	1,830,807	439,590	3,465,035
		Women	578,300	20,108	117,115	137,223
Indicator 6	Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated	Knowledge products	15	19	15	34
Indicator 7	Number of people/geographical area with access to improved climate information services	Number of people	1,149,703	246,969	1,133,094	1,380,063
		Women	578,300	122,711	480,748	603,459
Indicator 8	Number of people/ geographical area with access to improved, climate-related	Number of people	1,149,703	22,863	4,225,781	4,248,644
		Women	578,300	10,497	2,125,669	2,136,166
Indicator 9	Number of people trained to identify, prioritize, implement, monitor and evaluate	Number of people	240	1,449	1,254	2,703
		Women	146	660	518	1,178
Indicator 11	Institutional arrangements to lead, coordinate and integrate CC into relevant policies, plans and associated processes	Number of countries	4	3	2	5
Indicator 12	Regional and national policies prioritize and integrate adaptation strategies and measures	Number of policies/plans/processes	12	10	3	13
Indicator 13	Subnational plans prioritize and integrate adaptation strategies and measures	Number of plans/processes	8	14	4	18
Indicator 14	Countries with systems and frameworks for monitoring and reporting and review of adaptation	Number of countries	4	-	2	2

On the other hand, through the different media used by the project, which include social networks, traditional media, e-mail campaigns (mailing), visits to web pages and downloads of publications, we reached 1,389,474 people, i.e., 40% of the total reached in the 4 years of the project. In social networks, there have been 56.826 interactions and 34.611 video views (including YouTube). Thirty-six publications have been generated in this period, which have been downloaded 3.066 times. Figure 4 shows the metrics for tracking the implementation of the AICCA Project Communications Plan, which are updated periodically.

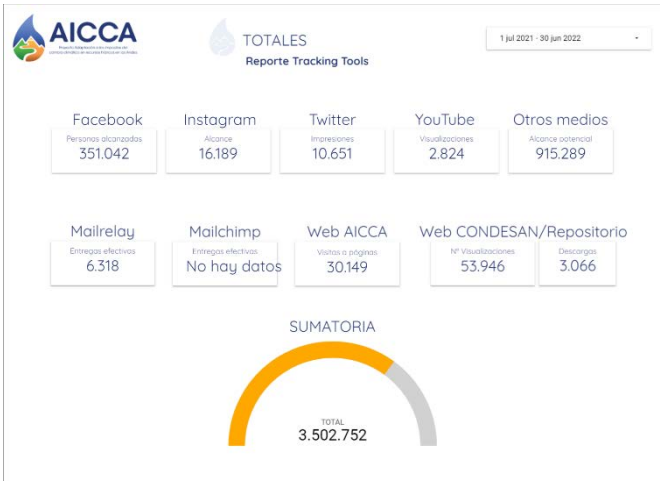


Figure 4: Metrics of the implementation of the AICCA Project Communications Plan – Information available at: https://datastudio.google.com/reporting/aaba6526-b7f3-4820-a764-3eb0965c6797/page/EwgTC

RESPONSE ACTIONS TO THE MID-TERM EVALUATION

In response to the recommendations of the Mid-Term Evaluation, the Regional Coordination Unit (UCR) of the AICCA Project implemented several response actions defined in the Action Plan. These actions are mainly grouped into three work areas (Figure 3):

1. ***Construction of the regional vision and strategy for the AICCA project***: Based on a literature review, this year the UCR developed the Concept Note that establishes a conceptual framework as a reference for a coherent reading at regional level of all project actions of the AICCA project, and designing a roadmap to guide the implementation of the regional strategy. In addition, cross-learning events have been developed with their own methodologies that promote regional reflection on opportunities for replication (called Saber Andino- Andean Knowledge) and regional knowledge syntheses are being generated on methods and cases of climate change adaptation monitoring in the Andes. Links are being built with strategic allies in the Andean region to capitalize on the AICCA experience gained in the region and give continuity to the main outputs, considering the analysis of opportunities to underpin the sustainability of the AICCA Project. Finally, coordination and follow-up with the Regional Committee have been improved, facilitating regular communication on the AICCA project.
2. ***Improvement of processes and tools for project monitoring and evaluation:*** UCR has developed three tracking and monitoring tools at the process, contract and activity levels. Financial tracking is being carried out at the activity level based on information from the accounting system, and in periodic review with the LTN (National Technical Leaders) of each country. These tools facilitate the planning and follow-up of key activities for the closing period. In addition, the progress of management and results indicators is being monitored. The improvement of UCR's monitoring and evaluation (M&E) capabilities is also based on the expansion of the UCR team over the past year, and in coordination with Management, opportunities are being analyzed to streamline internal processes to facilitate execution, while respecting the rules and governance framework of the AICCA project.
3. ***Implementation of the communication plan at all levels:*** UCR has led and coordinated with the countries the implementation of the communication plan, which has made it possible to generate a portfolio of communication outputs at all levels and to contribute to the goals of the tracking indicators. (*Indicator Tracking Tool 5*). With the implementation of the communication plan, the main achievements of the AICCA project have been positioned in different target audiences and through different channels, such as the Newsroom portal of the GEF (three published articles), the preparation of 4 AICCA Bulletins (2 in this period), and news coverage on the AICCA project's web site (110 to date and 60 in this period) and CONDESAN's social networks. Work has also been done to strengthen internal communication, activating communication to and from the Regional Committee through mechanisms such as "*Al día con AICCA*" (*Up to date with AICCA*), and the creation of a chat for all AICCA team members on the WhatsApp platform. UCR's communication team, which is now more dedicated to the project and monitors the communication plan's dissemination metrics.

	
N Planned contribution to strategic priorities/targets	Reduce vulnerability to the negative impacts of climate variability and climate change at the local, national, regional, and global levels **(CCA-1)** Increase adaptive capacity to respond to the impacts of climate variability and climate change at the local, national, regional, and global levels **(CCA-2)** Promote the transfer and adoption of adaptation technology **(CCA-3)** Mainstream biodiversity conservation and sustainable use principles into productive landscapes, seascapes, and sectors **(BD-2)**

2. PROJECT OBJECTIVE

The project's overarching objective is to generate and share local, national, regional, and global knowledge on climate-change adaptation and resilience to climate variability, leverage that knowledge to inform more effective policies in selected sectors, and pilot investments in priority areas in Bolivia, Colombia, Ecuador, and Peru.

The development of climate vulnerability, risk and hazard studies has allowed the project teams in the four countries to increase and consolidate the knowledge base on adaptation to climate variability and climate change among the stakeholders and partners involved in the project, particularly at the subnational level. In addition to this, the implementation of a broad portfolio of pilot adaptation measures and policy formulation represents a broad portfolio of actions to reflect on their application in the broader Andean context.

Likewise, the authorities of the four sectors prioritized by the project have adopted specialized management tools in each country. These tools incorporate climate change adaptation guidelines and criteria developed by the project, and their use is already affecting the regulatory frameworks of each country. In addition, both the results of the studies conducted and the updated regulatory frameworks are shaping the design of the climate change adaptation measures to be implemented by the project. The project has contributed to strengthening the capacities of a broad universe of stakeholders, articulated at different levels. At the regional level, efforts to promote cross-learning spaces have been strengthened and will continue until the end of the project.

For the closing stage of the AICCA project, several strategies have been identified and are being implemented to address the risks faced. The main risk is linked to the health crisis faced by all countries in the region due to the **COVID-19 pandemic**. In this regard, the project

maintains active biosafety protocols established by CONDESAN. In addition to this, given the high number of cases within the project staff and consultants, a mechanism has been implemented in coordination with the LTNs to report cases and facilitate the redistribution of functions or the preparation of addenda if necessary. Finally, the planning of closing events is being carried out under the design of methodologies adaptable to face-to-face or virtual modality.

In relation to **climatic risks** that may affect the implementation of certain activities (e.g. the maintenance of the restoration plots in Colombia, the construction of the SUDS pilot project in Bolivia), the execution of activities is currently programmed according to the rainy season. Moreover, for construction, work areas that can work in parallel are proposed.

Regarding **political and regulatory changes** that could affect the AICCA project at closure, the Regional Coordination has made direct approaches to the NFP to streamline processes that depend on them. In the case of Bolivia, CONDESAN continues with the registration process, having submitted the documentation on the project to the Ministry of Foreign Affairs. In addition, in order to face the national changes in the taxation system, local experts are available to assist with the changes in the electronic invoicing system.

CCA-1 and CCA-2: The teams in Colombia, Ecuador, Peru and Bolivia have implemented 13 adaptation measures that provide resilient livelihoods to the population, such as greenhouses, water harvesting systems, sustainable production practices, hydroponic crops, restoration, community adaptation credits, *jardines de vida*, among others.

CCA-3: As a result of the training courses organized by the project, the formation of regional, national, and local working groups, the completion of studies for technical experts and decisionmakers in the partner institutions, 432 key actors in Colombia, Ecuador, Peru and Bolivia are now better prepared to incorporate climate variability and climate-change considerations into water security. Additionally, in this third year, important processes of climate-resilient technology transfer have taken place through the delivery of territorial planning tools, incorporating climate hazards and training for their implementation, TENDHIS climate information services and implementation of resilient practices such as greenhouses, drinking water systems, irrigation systems, etc.

BD-2: In Bolivia, 85 hectares were reforested by planting 78.285 native seedlings, including Peruvian peppertree*, tipuana tipu, jarkas,* jacaranda*,* parkinsonia*,* Spanish broom*,* poplar, and various fruit trees. A total of 1738 people (352 women and 1386 men) participated in the reforestation, including adults and youth.

3. PROJECT PERFORMANCE AND RISK RATING

3.1 PROGRESS TOWARDS ACHIEVING THE PROJECT OBJECTIVES

Project Objectives and Outcomes	Description of Indicators	Baseline level	Mid-term target	End-of-project target	Level on June 30th, 2022	Progress rating
Objective *To generate and share data, information, and experiences relevant for adaptation to climate variability and change, and useful for the formulation of policies in selected sectors, and to pilot investments in priority areas in the four Andean countries*	Knowledge products generated provide inputs for the incorporation of pertinent considerations of adaptation to the impacts of climate variability and change on water security into management instruments in the selected sectors (number).	0	13	16	48	
	Key actors are better prepared to incorporate climate variability and change (CV/CC) considerations for water security, in water systems, water management and water use within the sectors involved (number)	0	45	135	832	
	Pilot adaptation measures in the field have allowed validating the importance of inclusion of CV/CC considerations on water security in the selected sectors, and the information generated is used to amend management instruments.	0	3	13	31	
	New tools about the impact of CV/CC on water security in each participating country are shared and discussed with the same sector actors from the other three countries and explored (number of tools shared).	0	2	8	10	
	Identify, share, and explore common denominators regarding adaptation to impacts of CV/CC for water security in management instruments (public and private) at regional level (number of denominators).	0	2	7	0	

Overall rating of project progress towards meeting project objective(s) (*To be provided by CAF-GEF Task Manager. Please add columns to reflect all prior year ratings)*

FY March 2018 rating	FY June 2019 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
MU	MU	During this period, the project completed the definition and establishment of governance, administrative, financial, monitoring and evaluation procedures. These procedures were set up in alignment with PRODOC, the Cooperation Agreement signed with CAF, and the GEF Guidelines on Project and Program Cycle Policy. Likewise, the project was successful in embedding and aligning its interventions with country climate change strategies and policies. These achievements are worth mentioning as they are paramount to ensuring the long-term sustainability of initiatives and systemic changes promoted by the project. Having said this, the project had a marginally unsatisfactory (MU) progress towards meeting the project objectives. In this period only 51% of the planned targets for this year were completed and key overarching products as the Environmental and Social Management Framework, the Project Communication Plan and the Gender Mainstreaming Strategy are still under development. Moreover, the timeliness and quality of project reporting has been a serious and repeated issue throughout the execution of this fiscal year with an average of 40 days' delay in delivery and a minimum of 5 reviews per technical or financial report. A similar issue has been encountered in the development of project implementation and acquisition plans, and the revision and approval of terms of reference for technical studies, which takes around two months in average. To secure the successful competition of all project objectives on time, within budget, achieving the intended impact, and to a level of quality that is satisfactory to GEF, country partners and CAF, it is critical that in the second fiscal year (July 2019 – June 2020) the Executing Organization pays urgent and proactive attention to these project management issues and (i) implements efficiencies in the process of revising and approving technical documents, (ii) secures the effective allocation of man-hours to project activities, and (iii) designs and implements a risk management plan to mitigate and monitor the project implementation risks identified in this fiscal year.

FY July 2019 rating	FY June 2020 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
MS	MS	In this second year of project execution (July 2019 – June 2020) the AICCA project had as main achievements the development of products and implementation of enabling environment conditions required for the design and implementation of climate change adaptation measures in the field. These products and enabling environment activities include but are not limited to (i) vulnerability and risk assessments conducted in Bolivia, Ecuador, Peru and Colombia; (ii) the development and inclusion of climate change concepts, guidelines and considerations in regulatory frameworks of the prioritized sectors (Ecuador and Colombia); (iii) the endorsement by national bodies and affiliated institutions in Colombia, Ecuador and Peru of improvements conducted to water-resource modeling methodologies; (v) the strengthening of public systems (e.g. INVIERTE.PE) to secure the inclusion of climate change and climate variability considerations in the assessment of small scale public irrigation projects in Peru; (vi) the strengthening of the capacities of key actors in Ecuador and Colombia to incorporate climate variability and climate change considerations in water resource management practices and systems within the sectors involved. Likewise, the project continued with the successful practice of embedding and aligning its interventions with the respective country climate change strategies and policies in place. The latter is important to mention as it is crucial to ensure the long-term sustainability of initiatives and systemic changes promoted by the project. The overall project execution was affected by several external factors this second year; (i) the high turnover among public officials following changes in national governments, (ii) political protests, (iii) forest fires, (iv) postponement of planned field activities including face-to-face meetings, trainings, workshops, courses, and the implementation of pilot climate-change adaptation measures in the field due to the travel restrictions put in place in response to the COVID-19 outbreak. These external factors had significant impact in the low execution rate this year. Nonetheless, it is pertinent that the project team implements considerable efficiencies to reduce the time required for the revision and approval of terms of reference (7 weeks in average) and technical studies (4 weeks in average) commissioned by the project. Also, the implementation of regional knowledge management activities requires considerable attention in the next programme year. Thus far only 10% of the total budget planned for this component has been implemented with an outreach limited to the project team and current government partners only.

FY July 2019 rating	FY June 2020 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
		With the incorporation of an M&E expert (part-time) to the project team in February of 2020 overarching products such as the Environmental and Social Management Plan and Project Knowledge Management Strategy were initiated, and the project evidenced a considerable improvement in the quality of the content reported. Nonetheless, the timeliness in delivering project reports remains a serious concern with an average of 37 days delay in the delivery of technical and financial reports and an average of 3 to 4 revisions. A similar issue is faced with the development of Project Implementation and Acquisition Plans which, this year, took over 3 months and at least 3 reviews to each country plan to ensure the alignment with the project impact targets and tracking tools indicators. The lack of proactive coordination and efficient communication from the Regional Coordination Unit (RCU) in the revision and preparation of these tools (PoA y PA) led to a delay in the approval of these documents from July 9 to August 14, as well as the postponement of the Fourth Regional Steering Committee from July 9 to August 30, 2020. These major project management issues were already identified in the first year. On August 21, 2019, CAF as implementing Agency, had sent a letter to the RCU highlighting the need to improve the performance on these project management indicators. However, by the closure of the second year these major issues have not been fully addressed and/or corrected. Regarding co-financing, the project has been able to secure 100% counterpart funding from public and private partners in Ecuador and Bolivia. Although by the end of year two, the executing agency reported that the co-financing from government counterparts in Peru and Colombia has been secured, in the cofinancing report submitted in August 2020, these two countries reported a contribution of only 4.4% of their committed funds. CAF, as implementing agency, has requested the Regional Coordination Unit to formally address this issue with the country partners in Colombia and Peru and secure the implementation of fast-track actions to mitigate this risk by December 2020. In the third program year, the Executing Organization needs to ensure the proactive coordination, timely decision making, and effective monitoring and supervision to: • Address the slow co-financing reported by Peru and Colombia with the respective government counterparts and mitigate this risk by December 2020 (RCU and country teams in Peru and Colombia). • Secure the timely delivery of technical and financial reports in compliance with deadlines stipulated in the CAF-CONDESAN cooperation agreement (RCU); • Secure that all products and reports have gone through the required revisions and quality control processes before they are submitted as final to Supervision /Task Manager CAF (RCU); • Ensure the implementation of efficiencies to reduce the time required for the revision and approval of terms of reference and technical products developed by the project (RCU and Country Teams); • Secure the timely monitoring, supervision, and mitigation of project management risks (RCU) • Secure a coordinated and effective allocation of man-hours and financial resources to the implementation of knowledge management activities required to reach the more than one million beneficiaries planned under impact targets 5, 7 and 8 of the tracking tools (RCU and country teams); • Identify, document, and share at regional level common denominators regarding adaptation to impacts of CV/CC for water security (RCU); • Have in place the required sanitary protocols and procedures that allow teams to continue with the execution of project activities in the field (RCU); • Complete the assessment of a non-cost extension of the project to compensate for the setback in project execution caused by the COVID-19 pandemic (RCU) The recommendations and inputs resulting from the Mid Term Evaluation of the project (August – November 2020) will be critical and supportive in (i) the identification of additional actions required to improve the performance of the project, (ii) address the issues and risks identified in this report, and (iii) promote learning and knowledge sharing through results, accomplishments and lessons learned among CAF, CONDESAN and the country partners.

FY July 2021 rating	FY June 2022 rating	Comments/narrative justifying the current FY rating and explaining reasons for change (positive or negative) since previous reporting periods
Satisfactory	Satisfactory	Thanks to the progress shown by the indicators at the result level, it can be seen that with 4 of them having met and exceeded their established goals, the project is heading towards the closure of its activities and the achievement of its objective. AICCA has managed in this 4th year to complete the delivery of 87% of the expected products and the prompt delivery of those that remain to be completed. It is very satisfying to know that Colombia, one of the beneficiary countries, has already completed its operational activities, executing 100% of its budget, the other three countries await their closures in the coming months in a staggered manner, following with Peru, Ecuador and finally Bolivia. Last year, the financial execution of the project was the highest execution throughout the entire project. As of June 2022, the financial execution of the project sums to $8.27 million, which represents 85% of the total budget and is related to the 52 finished outputs out of 60 planned. With the exception of Bolivia, the other countries Ecuador and Peru have achieved an execution of 93% of the assigned resources, and Colombia that has executed the total of its budget. In terms of co-financing, the project has reported a doubling of the initial co-financing globally, which shows the importance of the project in the beneficiary countries and the appropriation they have had.

Action plan to address MS, MU, U and HU rating *(To be completed by CAF GEF Task Manager in consultation with Project Manager)*

Action(s) to be taken July 2019 – June 2020	By whom?	By when?
Design and implement a risk management plan for the project	Country Teams & Regional Coordination Unit	July – September 2019
Review and identify efficiencies in processes and procedures for the revision and approval of project documents and products	Country Teams & Regional Coordination Unit	July – September 2019
Develop and implement mechanisms for monitoring the efficient allocation of man-hours to project activities.	Regional Coordination Unit	July – September 2019
Conduct regular progress monitoring of project activities and secure the implementation of the work plan as per schedule	Country Teams & Regional Coordination Unit	July 2019 – June 2020
Develop quality standards at the output level and ensure they are clearly communicated and explained to all project key stakeholders.	Regional Coordination Unit	July – September 2019

Action(s) to be taken July 2020 – June 2021	By whom?	By when?
Meeting with the Executing Organization to: • Revise technical and financial performance of year 2 as well as project management issues identified in this report. • Identify improvements required to the development, revision, and approval processes of technical and financial reports to ensure full compliance with deadlines stipulated in the CAF-CONDESAN cooperation agreement. • Identify critical aspects to reduce the time required for the revision and approval of terms of reference and technical products developed by the project.	RCU and CAF	September 2020
Secure a coordinated and effective allocation of man-hours and financial resources to the implementation of knowledge management activities to reach the more than one million beneficiaries planned under impact targets 5, 7 and 8 of the tracking tools.	RCU and Country Teams	July 2020 - onwards
Identify, document, and share at regional level common denominators regarding adaptation to impacts of CV/CC for water security.	RCU	July 2020 - onwards
Monthly monitoring of activities and risk which are critical for the success of the project.	Country Teams & Regional Coordination Unit, CAF	July 2020 – June 2021
Formal communication with country counterparts to address the slow co-financing reported by Peru and Colombia for year 2	RCU, Country Teams in Peru and Colombia, NFP	September 2020
Implementation of fast-track actions to mitigate the slow co-financing reported by Peru and Colombia by December 2020;	RCU, Country Teams in Peru and Colombia, NFP	September - December 2020
Monthly follow up on the submission of evidence of the fast-track actions the RCU is implementing to mitigate the slow co-financing reported by Peru and Colombia	CAF	September - December 2020
Develop and implement the protocols required to allow the implementation of project activities in the field in the context of the COVID-19 pandemic.	RCU	October 2020
Complete the assessment of a non-cost extension of the project to compensate the setback in project execution caused by the COVID-19 pandemic	RCU	September 2020

Action(s) to be taken July 2021 – June 2022	By whom?	By when?

This section should be completed if project progress towards meeting **objectives** was rated MS, MU, U or HU during the previous Project Implementation Review (PIR) or by the Mid-term Review/Evaluation (*To be completed by Project Manager)*.

Problem(s) identified in previous PIR (Year 2: March 2018 – June 2019)	Action(s) taken	By whom	When
Delays in the technical and budget execution.	- A risk matrix was prepared and presented together with the quarterly reports to review and update the risks associated mainly with possible delays in the technical and budget execution, as well as mitigation measures. - Strategic planning sessions were held with each country team to mitigate the risk of low technical and budget execution. As a result of these meetings, both the AOP and the PAC 2019 - 2020 were rescheduled, advancing activities of year 3 and its related budget to year 2. The main activities schedules are those related to implementing the measures aimed at climate change adaptation.	Country Teams & Regional Coordination Unit	September 2019 – June 2020
Delays in the presentation of financial reports	- An internal review mechanism was established between the RCU and the NTL to perform a cross-check of quality, verifying the correct allocation of items. However, errors persisted. - To speed up preparation of the quarterly financial reports, management prepares a monthly budget execution progress report aimed at detecting possible errors and correcting them to avoid their accumulation up to the moment of presentation of the quarterly report. - To solve these problems, the nomenclature of the budget items related to workshops and field trips in each country in the AOP and PAA 2020 - 2021 has been standardized and made more precise, to facilitate the allocation of expenses, which is expected to improve the financial reporting times	Country Teams & Regional Coordination Unit	September 2019 – June 2020
Delays in the review of ToR's, technical reporting as well as in developing of knowledge management products.	- In February 2020, the regional team was reinforced with a SM&E specialist (part time), who took on the leadership of the knowledge management activities, which correspond to Component 1. - In addition, an internal revision mechanism has been established between the Regional Coordinator and the M&E specialist, to make a cross-quality control, validating the information provided by the M&E for technical report preparation.	Regional Coordination Unit	February 2020

3.2 (A) PROJECT IMPLEMENTATION PROGRESS

Project Outputs	Expected Completion Date [3]	Planned vs Actual Implementation Progress as of June 30th 2022 (%)	Year 3 Targets (July 1st 2021 to June 30th 2022), per Operational Plan 2021-2022	Planned Progress of targets (July 1 to June 30th 2022, %)	Implementation Status (Jul 1 to June 30th 2022, %)	Implementation Status as of June 30th 2022Narrative Description)	Comments	Progress Rating
Component 1: Generation and exchange of knowledge, technology transfer and institutional strengthening								
Component Result: Knowledge and capacity has been generated, strengthened, and transferred in relation to water security in the context of vulnerability to climate variability and change on water resources in selected sectors.								
Output 1.1: Multiple studies assessing the vulnerability of water resources to the impacts of CC/CV are generated.								
Colombia								
CC/CV projections have been integrated into IDEAM's hydrological cycle and water balance models for L.ake Tota basin	June 2021	Planned: 100% Implemented: 100%	Technical document proposing methodological improvements in water-resource modelling will be produced and made available in both print and digital formats.	100%	100%	Target completed by Year 3		
			Implementation of the Communications Plan: Training tools for the dissemination of knowledge and technical information implemented.	100%	100%	Target completed by Year 3		

Project Outputs	Expected Completion Date [3]	Planned vs Actual Implementation Progress as of June 30th 2022 (%)	Year 3 Targets (July 1st 2021 to June 30th 2022), per Operational Plan 2021-2022	Planned Progress of targets (July 1 to June 30th 2022, %)	Implementation Status (Jul 1 to June 30th 2022, %)	Implementation Status as of June 30th 2022Narrative Description)	Comments	Progress Rating
			Technical document with a water resource risk analysis, which follows the methodological structure of the Third Communication applied to CC/CV.	100%	100%	Target completed by Year 3		
			A strategy document for capacity building and transfer of information derived from the knowledge products generated by the Project.	100%	100%	Target completed by Year 3		
Two participatory assessments to compare water-use efficiency: (i) a technical document identifying traditional agricultural practices and adaptation methods for staple crops such as onions and potatoes, as well as silviculture and other production systems, prepared in a participatory manner; and (ii) a water-use	June 2020	Planned: 100% Implemented: 100% (Output completed the previous year)				Output completed by Year 3		

Project Outputs	Expected Completion Date [3]	Planned vs Actual Implementation Progress as of June 30th 2022 (%)	Year 3 Targets (July 1st 2021 to June 30th 2022), per Operational Plan 2021-2022	Planned Progress of targets (July 1 to June 30th 2022, %)	Implementation Status (Jul 1 to June 30th 2022, %)	Implementation Status as of June 30th 2022Narrative Description)	Comments	Progress Rating
efficiency analysis prepared for the production systems associated with the basin.								
Bolivia								
Study of low-risk CC/CV scenarios in Cochabamba using two-dimensional modelling to identify risk areas for flooding and landslides in watersheds	June 2021	Planned: 100% Implemented: 100%	A risks study under alternative CC/CV scenarios in the river basins of Cochabamba will be completed	100%	100%	Output completed by Year 3		
Guidance for determining maximum flood areas and delimitating safety zones in rivers incorporating CC/CV factors	June 2020	Planned: 100% Implemented: 100% (Output completed the previous year)				Output completed by Year 3		
Ecuador:								
Studies on climate vulnerability for each of the two selected hydroelectric projects and modeling exercises for the CC/CV impacts of both projects	June 2021	Planned: 100% Implemented: 100%	Two climate vulnerability study for two hydroelectric plants development, and validation of results in territory.	100%	100%	Output completed by Year 3		

Project Outputs	Expected Completion Date [3]	Planned vs Actual Implementation Progress as of June 30th 2022 (%)	Year 3 Targets (July 1st 2021 to June 30th 2022), per Operational Plan 2021-2022	Planned Progress of targets (July 1 to June 30th 2022, %)	Implementation Status (Jul 1 to June 30th 2022, %)	Implementation Status as of June 30th 2022Narrative Description)	Comments	Progress Rating
Two technical document analyzing gaps and needs of pilot projects	June 2021	Planned: 100% Implemented: 100%	Two technical document analyzing gaps and needs of pilot projects	100%	100%	Output completed by Year 3		
Two workshops and two technical meetings on the sustainable management of Andean ecosystems	June 2021	Planned: 100% Implemented 100%	National Webinar Climate risk assessment: Methodology from a sustainable and comprehensive development approach for Andean sub-basins (environmental, socioeconomic and governance dimension) case study Machángara River Basin.	100%	100%	Output completed by Year 3		
One CC/CV impact model	June 2021	Planned: 100% Implemented: 100%	The impact model will be developed as one of the products of the Tripartite Agreement with the University of Cuenca for the Machángara Hydroelectric Complex.	100%	100%	Output completed by Year 3		

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Two environmental management plans	June 2021	Planned: 100% Implemented: 100%	Two environmental management plans	100%	100%	Output completed by Year 3		
Two land-use plans (PDOTs)	June 2021	Planned: 100% Implemented: 100%	The execution of Territorial Development and Development Plans (PDOT) with climate change criteria will be supported.	100%	100%	Output completed by Year 3		
Two local development strategies.	June 2021	Planned: 100% Implemented: 100%	Two local development strategies.	100%	100%	Output completed by Year 3		
One enhanced regulatory framework	June 2022	Planned: 100% Implemented: 100%	One enhanced regulatory framework and two sector policies	100%	100%	This output was completed in the fourth year. The strengthening of the regulatory framework has been developed through the following actions: 1. Support for the inclusion of climate change in the risk chapter of the Electricity Master Plan update, which included the perspective of climate change and its impact on the electricity sector under the threats of drought, heavy rains and heat waves under the historical scenario, RCP 4.5 and RCP 8.5. 2. Support for compliance with the NDC implementation plan in the target of "Conduct climate vulnerability and/or risk studies of at least two hydrographic basins for hydroelectric power plants"; "Include in the	Due to the dynamics of the activity and the participation of authorities, the process requires a gradual construction in order to establish and adjust the guidelines according to the reality and situation of the sector.	

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						Electricity Master Plan the variable of adaptation to climate change, within the Policies section. The content of the Ministerial Agreement was prepared based on the policy proposals for technical and operational and risk management"; "Incorporate the variable of adaptation to climate change in at least one Ministerial Agreement of the Ministry of Energy and Non-Renewable Natural Resources, based on the policies for the management of the electricity sector"; "Generate a project proposal based on the results obtained in the CHECC study, which allow identifying adaptation measures for subsequent implementation in hydroelectric generation". 3. Development of the base document of risk management policy guidelines for the development of the Ministerial Agreement on risk management including climate change. The draft of the Ministerial Agreement is being prepared by the Ministry of Energy and Non-Renewable Natural Resources (MERNNR) with the technical units for its subsequent socialization with other stakeholders.		
Peru								
A CC/CV vulnerability study focusing on small-scale irrigation projects, including a cost estimate of CC/CV-related damage to existing projects	June 2021	Planned: 100% Implemented: 100%	Conceptual and methodological proposal that contributes to analyze the risk and vulnerability of hydrographic basins to the effects of climate change.	100%	100%	Studied output was completed by Year 3. During Year 4, in line with the continuous improvement approach followed by the General Bureau of Climate Change and Desertification of the Ministry of Environment (MINAM), and in order to strengthen the sustainability of the results of the AICCA project, we are coordinating with the NDC Peru project the development of the terms of reference for the elaboration of a Guide for the analysis of climate risk in basins, which will have as its main input the study of vulnerable basins prepared by the AICCA project.		

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						The NDC Peru Project aims to strengthen the articulation of the National Authority on climate change with relevant public and private stakeholders for the implementation of priority initiatives in mitigation and adaptation to achieve the goals of the Nationally Determined Contributions (NDC). The NDC Peru Project is implemented by the Ministry of Environment (MINAM), the Ministry of Agricultural Development and Irrigation (MIDAGRI) and the Ministry of Energy and Mines (MINEM) of Peru, in partnership with the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH – German Development Cooperation		
			Socialization: 1) Web application for climate trends, 2) Economic evaluation of adaptation measures and 3) Vulnerable basins	100%	100%	Output completed by Year 3		
			The design of information channels and the dissemination of results obtained under Component 1: 1) Infographics on economic evaluation 2) Communication outputs on the	100%	100%	Output completed by Year 3		

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			study of vulnerable basins					
Output 1.2: Studies to help understand the vulnerability of relevant ecosystems in selected water basins to the impacts of CV/CC are generated.								
Colombia:								
An updated analysis of territorial vulnerability and ecological structures based on ecosystem services	June 2020	Planned: 100% Implemented: 100% (Output completed the previous year)				Output completed by Year 3		
Output 1.3: Activities to promote transfer of generated knowledge and capacity to relevant stakeholders take place, including at least 20% women								
Colombia								
A document detailing the approach of the technical assistance program developed in coordination with local entities and service providers in line with Law 1876 of 2017 and Law 893 of 2017, including two brochures focusing on (i) the hydrological cycle and CC/CV projections; and (ii) ecological structures, ecosystem services, and vulnerability Four events to disseminate information on the agro-climatological management of production systems and	June 2020	Planned: 100% Implemented: 100% (Output completed the previous year)				Output completed by Year 3		

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providers of technical assistance								

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Bolivia								
Curriculum content on CC/CV impacts for inclusion in postgraduate training programs incorporating factors affecting threats (hydrological and hydraulic models), risk management, management of urban runoff, urban drainage systems, etc., developed through a research agreement between the Universidad Mayor de San Simón and the Universidad Mayor de San Andrés	June 2020	Planned: 100% Implemented: 100% (Output completed the previous year)						
At least 15 professionals formally trained	June 2021	Planned: 100% Implemented: 100%	At least 15 professionals have finished the postgraduation course	100%	100%	Output completed by Year 3. In addition to this, in this fourth year, a second version of the Diploma Course in Water Resources and CV/CC has been carried out in coordination with the *Universidad Privada de Bolivia* (UPB). The second version began in October 2021 and has 26 students from different careers and representatives from public and private institutions (13 women and 13 men). An open invitation was extended to all professionals from Bolivia and abroad interested in the subject. The content attracted attention due to the structure of the modules, teachers of the academic program. The second training process concluded in March 2022.		

At least six events held for project stakeholders to exchange information	Dec 2022	Planned: 100% Implemented: 87%	Three events held for project stakeholders to exchange information	100%	66%	On October 6, 2021, the "Workshop on Adaptation to climate change: building resilience in water resources" was held, corresponding to event 5 of the target. This has been a space for strengthening concepts, identifying adaptation actions and identifying capacity building needs. The event was attended by 39 people (12 women and 27 men) who are municipal technicians from the Kanata Metropolitan Region and the Departmental Government of Cochabamba. The supporting information can be found at: https://drive.google.com/drive/folders/1ABr1qXf1mcMk2aqfQkeE4OH5CRpjDZ5V?usp=sharing As a result of this workshop, four topics were identified for further capacity building: 1) delimitation of safety zones in rivers, 2) environmental education techniques and methodologies, 3) management of funding for CC actions y 4) training on the Investment Resilience Analysis tool (ARI). In the next months, arrangements will be made to carry out these trainings, which are aligned with the work carried out by the project. Event link: https://condesan.org/2021/10/21/gobiernos-locales-cochabamba-se-capacitan-adaptacion-al-cambio-climatico-trabajar-la-sostenibilidad-del-agua/?fbclid=IwAR1BDe2HUAlsOP6nD_WmF6Es1re0ZuqkySvt2lJEBc3kLrDSev5ohab8_w0 With respect to the presentation of the Safety Zone Guide, training was provided to 39 municipal technicians and Departmental Autonomous Government of Cochabamba technicians (GADC). List of participants: https://drive.google.com/drive/u/1/folders/1Wl-5BYsQM5I7M2L1qSJCGVy6rdKSlGht On the other hand, as part of the continuity of capacity building processes with local partners, a seventh event is being organized with the Departmental Secretariat of Development Planning of the Autonomous Departmental Government of Cochabamba (GADC) to conduct a sustainability workshop on: "Strengthening Adaptation to Climate Change in territorial planning instruments" with the purpose of contributing to the construction of Territorial		

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						Development Plans (PTDI) including the approach of Adaptation to Climate Change. As part of the organization of this workshop, two presentations were made, the first one with the Secretariat's technicians and the second one with the people in charge of Departmental Secretariat of Development Planning of the Autonomous Departmental Government of Cochabamba (GADC). Meeting minutes: https://drive.google.com/drive/u/1/search?q=GADC). Lista de participantes: https://drive.google.com/drive/u/1/folders/1aqu0gm4jjoPmknb8CG1gNHc8SOGbn3NE		

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A Gender Equity and climate change Plan	June 2020	Planned: 100% Implemented: 100%				Completed.		

Dissemination of deliverables	June 2022	Planned: 100% Implemented: 90%	Dissemination of deliverables	70%	65%	In this fourth year, progress has been made in several dissemination and communication activities. The most important of these are mentioned below: 1. The communication alliance with the Vice Ministry of Drinking Water and Basic Sanitation of Bolivia was strengthened, as publications are made every Thursday on the entity's Facebook page. This page disseminates information to promote adaptation to climate change. Likewise, some informative materials were socialized through the Fanpage of the Departmental Government of Cochabamba and the Mayor's Office of Sacaba. Link in fanpage of the VAPSyB: https://www.facebook.com/ViceministerioDeAgua 2. Design of environmental awareness signs for the Arocagua park (Sacaba). 3. Presentation of the "Guide for delimitation of river safety zone, incorporating climate variability and change factors" to local governments in Cochabamba.. Facebook link: https://www.facebook.com/CONDESANandes/photos/10159433407650690 4. Digital campaign to promote the delimitation of river safety zones. The campaign made it possible to disseminate the two-fold brochure and the national and departmental versions of the "Guide for the delimitation of river safety zones, incorporating climate variability and climate change factors". https://www.facebook.com/CONDESANandes/photos/10159328269270690 5. The systematization of two reports was developed. The first on the "Workshop on adaptation to climate change: building resilience in water resources" and the second on "The importance of forests and the role of Forestry Sciences in times of global environmental change". 6. Eight illustrations were designed based on available climate information to raise awareness among the local population on water and environmental protection. These illustrations were disseminated on the Facebook page of the Vice-Ministry of Drinking Water and Basic Sanitation, reaching 10.624 people approximately. Information available at: https://drive.google.com/drive/folders/1AB5MQtiLThI3njX6O4T3oao_noxar55N?usp=sharing		

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						9. Coordination was made with the Vice-Ministry of Drinking Water and Basic Sanitation to disseminate the activities of the AICCA Project on its Facebook page; an example of this is the socialization of the Book *Acua-héroes* in Sucre (4.415 people reached) and the laying of the foundation stone for the SUDS pilot project (6.253 people reached). It was also arranged for the most important digital media of Cochabamba ("Los Tiempos" y "Opinión") to broadcast the Hackathon and the Leaders Certification event on their Fanpage and through notes on their websites. More information is available at: https://drive.google.com/drive/folders/19k9BwSrlDZaJv-cR-4akrkMlmL-f4K1a?usp=sharing 10. Project activities were disseminated through the internal channels of CONDESAN; in the case of the *Hackathon* there was a reach of 1233 people, and in the event of the Leader Certification event there were 1049 views. Moreover, as part of the Leaders training program, the participants created 6 web notes to disseminate climate information on the CONDESAN web page; as a result of this work, we were able to reach 31.403 people. This information can be verified at: https://drive.google.com/drive/folders/1Cvads1aZ4x4atl5x8kEeiZR_HxEj-5Wb?usp=sharing 11. With the purpose of positioning media messages, 5 interviews were arranged with media such as ATB, Bolivia TV, Televisión Universitaria, Tele C, and the Gente newspaper: https://drive.google.com/drive/folders/1j72La8z-dwMKu8jVd3z-bu_SA8Lav1CN?usp=sharing 12. As for the development of communication products, the printing of the tri-fold brochure on waste management and drainage maintenance was completed; a poster on SUDS was produced; a video was made to systematize the experiences		

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						of the Leaders Program; the development of 6 additional infographics is being coordinated to make the key topics of AICCA more visible. 13. In support of the Leadership Training Program teams, feedback was provided on the following communication products: trip-fold brochure on SUDS, trip-fold brochure and banner to promote the use of rainwater harvesting systems, tri-fold brochure and banner to promote forest restoration with native species, banner to promote flood risk prevention, banner and manual to promote home composting, banner and manual to promote good agricultural practices. All these themes were mainstreamed with a focus on climate change. The products can be reviewed at https://drive.google.com/drive/folders/1eMterqElt0t32HHRATNdgXUx4DgAJA06?usp=sharing 14. A teachers' workshop was held for the "Educa-action of Cochabamba" where classroom plans were built together with teachers from Sacaba to implement the Acua Héroes Book. This took place on April 20 and 21, 2022, and was attended by 111 people (72 women and 39 men). Likewise, the "Challenges and Climate Change" Hackathon was held on May 21 and 22, 2022, with 19 people (13 women and 6 men); in addition, the Environmental Leaders certification event was held on June 13, 2022, with 19 graduates (12 women and 7 men).		
Ecuador								
A strategy for disseminating knowledge generated by the project, including at	June 2021	Planned: 100%	At least thirteen dissemination	100%	100%	Output completed by Year 3		

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least 13 dissemination events.		Implemented: 100%	events implemented					
A Gender Equality and climate change Plan	June 2020	Planned: 100% Implemented: 100%				Output completed by Year 3		
Peru								
A training module for developing investment projects that incorporate risk analysis and climate-change adaptation measures designed and incorporated into the national investment system (INVIERTE.PE) training plan and disseminated to operators and other interested parties.	June 2021	Planned: 100% Implemented: 100%	Training on CC impacts and risk management in irrigation projects for regional government formulators and other professionals in the field.	100%	100%	Output completed by Year 3. In addition to this, in this fourth year, a second edition of the course "Identification and Evaluation of Irrigation Infrastructure Investment Projects and Incorporation of Risk Management in a Climate Change Context" was held, which promoted the use of the web application "Historical Climate Trends" (TENDHIS). The course ended on July 26, 2021. During the closing ceremony, diplomas were virtually handed out to the graduates. Also present were the Executive Director of CONDESAN, the Director of the General Office of Planning and		

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						Budget, and the Director of the Multiannual Investment Programming Office, both offices of the Ministry of Agricultural Development and Irrigation (MIDAGRI). The total number of graduates was 51 people, comprising 15 women and 36 men, from the different bodies of the executing units at the national level. The course lasted three (3) months, equivalent to 179 academic hours. Additionally, the study "Economic evaluation of adaptation measures in irrigation systems in the regions of Piura, Ancash and Cajamarca" was socialized, in the period from March 16 to 31, 2022, in which participants had access to learning resources. The shared material can be accessed at the following links: Course presentation: https://www.youtube.com/watch?v=fO2fbP3sPkc&t=1s Unit 1 - Module 1 Concepts (40 min): https://www.youtube.com/watch?v=dLa47OrhyCg - Module 2 Causal Logic Model (32 min): https://www.youtube.com/watch?v=Inm7aMgAx8I - Module 3 Economic Evaluation (34 min): https://www.youtube.com/watch?v=CM0xKq2hfwY Unit 2 - Module 1 Ancash Case (60 min): https://www.youtube.com/watch?v=XY2pZllsWyw&t=132s - Module 2 Cajamarca Case (47 min): https://www.youtube.com/watch?v=9gk3K-gWRDA - Module 3: Piura Case (58 min): https://www.youtube.com/watch?v=yR2Zmph4gFc Unit 3 - Financing (41 min): https://www.youtube.com/watch?v=iLd2inXE58k		

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						In Unit 1, special emphasis was placed on the concepts of climate change management standards and instruments. Unit 2 presented the methodology for evaluating interventions related to climate change adaptation measures. Unit 3 presented the sources of financing used in the cases evaluated, as well as others that can support the implementation of climate change adaptation measures. Through this socialization, 76 participants were made aware, of which 40% were women (31) and 60% were men (46); belonging to 17 regions of Peru, including Lima, Apurimac, Ancash, Lambayeque, Cusco and Cajamarca. Participants included officials working in the public sector, independent consultants, and members of academic institutions. Dissemination of the course with academic institutions has been strategic in order to give greater reach to the dissemination of knowledge.		
At least three knowledge-sharing events and three information dissemination spaces (e.g., websites) that present project information	June 2021	Planned: 100% Implemented: 100%	At least 03 knowledge sharing events and 03 information dissemination spaces were established.	100%	100%	Output completed by Year 3		
Component 2: Mainstreaming of climate change considerations into policies, strategies, programs, and other relevant management instruments								
Component Result: CC/CV considerations have been included in a series of relevant management instruments for the selected sector in each country								
Output 2.1: National & Municipal level instruments that consider CC/CV considerations for Storm Drainage Management in Bolivia								
Upgraded technical regulations for the design of	June 2022	Planned: 100%	A Technical Regulation	100%	**100%**			

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storm-drain systems that incorporate CC/CV in the preparation of public investment projects		Implemented: 100**%**	Document with CC/CV guideline incorporated.			During this fourth year, the preparation of the "Manual for the Preparation of Urban Stormwater Drainage Management Plans" was completed. This Manual is national in scope and aims to become an innovative, efficient and effective tool for planning Urban Stormwater Drainage, which optimizes and rationalizes public investment. The components are as follows: 1. General aspects of storm drainage and urban areas. 2. Guidelines for the preparation of urban storm drainage master plans - the current scenario. 3. Guidelines for the preparation of urban storm drainage master plans - the proposal. 4. Implementation plan		
A solid-waste management guide that incorporates mechanisms for cleaning storm drains.	June 2021	Planned: 100% Implemented: 100%	A solid-waste management guide that incorporates mechanisms for cleaning storm drains prepared	100%	100%	Output completed by Year 3. In addition, in year 4 it has been designed and approved by the Autonomous Departmental Government of Cochabamba (GADC).		
One industrial solid-waste management guide for the field of civil construction	June 2021	Planned: 100% Implemented: 100%	One demolition and construction solid-waste management guide prepared.	100%	100%	Output completed by Year 3. In addition, it has been designed and approved by the Autonomous Departmental Government of Cochabamba (GADC).		
A storm-water drainage master plan for the metropolitan area of Cochabamba	Dec 2022	Planned: 100% Implemented: **89%**	A storm-water drainage master plan for the metropolitan area of Cochabamba	100%	**76%**	On August 5, 2021, the development of the consultancy began. This started with the gathering of information, the start-up workshop and the socialization of the objectives and scope with the authorities of the Municipality of Sacaba: alcalde, Mother Earth Secretariat, deputy mayors and technicians. In addition, primary information was collected in	This delay has been caused by the company and will result in the consultancy having to be extended for 3	

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						the topographic survey of the places with the highest risk of river and rain flooding. On December 9, 2021, a field visit was made to the points previously identified as most at risk, and a presentation of the progress of the findings was made to the technical staff of the Autonomous Municipal Government of Sacaba (GAMS). Based on this, a diagnostic document of the drainage situation in Sacaba is available. Unfortunately, the consultant did not deliver the output 3: "Preparation of the Storm-water Drainage Plan of Sacaba" to internal problems with personnel, and the contract was terminated. In coordination with the NFP, the process will be launched again to continue with the development phase of the Plan in the following semester.	months from the conclusion of the bidding and selection process.	
Output 2.2: Instruments for planning territorial, environmental, and agricultural development and investments include CC/CV considerations in Colombia								
A Gender approach study for Colombia finished	June 2020	Planned: 100% Implemented: 100%				Output completed by Year 2		
Technical guidelines for sustainable agricultural practices updated with agro-climatic information and supplemented with additional guidelines for the formulation of General Technical Assistance Plans (*Planes Generales de Asistencia Técnica*, PGATs)	June 2021	Planned: 100% Implemented: 100%	Document with guidelines, information and methodologies that support the inclusion of CV / CC criteria in the different environmental management	100%	100%	Output completed.		

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and Plans for the Efficient Water Use and Conservation (*Programas de Uso Eficiente y Ahorro del Agua*, PUEAAs) that include CC/CV adaptation criteria			planning instruments, mainly in the formulation or adjustment of the Planes de Ordenamiento Territorial - POT / Estrategias de Ordenamiento Territorial - EOT.					
			Guide for preparation of the Programs for Efficient Use and Saving of Water - PUEAA, for three (3) irrigation districts of the Lake Tota basin that include CC/CV adaptation criteria	100%	100%	Output completed.		
			Training program and technical support to local technical assistance programs to include adaptation criteria to CV / CC.	100%	100%	Output completed.		
			Document of the Design of the Monitoring System,	100%	100%	In Year 4 the design of the Monitoring and Evaluation (M&E) component for adaptation to climate change in the Tota Lake basin was completed, which seeks to support the process of		

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			to support CORPOBOYACA in the identification of the measures to evaluate the measures of the effectiveness of the practices and support in the implementation of a monitoring system.			recognizing the efficiency and efficacy of the adaptive management promoted by the AICCA Project. The purpose of this is to make decisions based on available information from the Tota Lake basin, including climate variable, so that environmental and sectoral policies and planning have a long-term vision under adaptive management, based on national learning and aligned with national and global guidelines. In this sense, the analysis was carried out for the seven (7) pilot measures for adaptation to climate change. Based on the expected results for each measure, the required inputs were defined: baseline, implementation and learning process. This made it possible to identify the appropriate indicator for each measure and with this, the indicator's profile was prepared detailing the measure method, measure unit, persons in charge, periodicity of data collection, among others. On the other hand, and considering the development of climate change adaptation measures that involve community records, progress was made in the first version of the Tota monitoring platform, which aims to lodge, disseminate and multiply the records of phenological monitoring of birds and meteorological monitoring. In addition, it is also expected that this space will serve as a strategy to provide continuity to the system of M&E of the AICCA project. This platform was socialized with observers and it is expected to collect adjustments, comments and remarks to request formal approval to the Ministry and IDEAM. Platform link: http://monitoreotota.estrategiaygestionsas.com/.		
Lake Tota Basin POMCA generated or updated	June 2022	Planned: 100%	Document with guidelines, information and	100%	100%	In year 3 the CV/CC Guidelines Guide for inclusion in Basin Development and Management Plans (POMCA) was finalized. In this fourth year, a publishable version of the design and		

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		Implemented: 100%	methodologies that support the inclusion of CV / CC criteria in the different environmental management planning instruments, mainly in the formulation or adjustment of the POMCA			layout of the respective guidelines guide with CC / CV considerations in the Basin Development and Management Plan (POMCA) of Lake Tota was delivered, which is focused on demonstrating the case study of the Basin and thus lay the groundwork for the development of other processes of formulation and updating of the instrument: https://condesan.org/recursos/lineamientos-para-la-incorporacion-de-cambio-climatico-en-el-plan-de-ordenacion-y-manejo-de-cuenca-hidrografica-pomca-caso-piloto-lago-de-tota/ Through Ideam, the information on the guidelines for the inclusion of the CV/CC perspective was officially delivered to Corpoboyaca.		
Three PUEAA (*Programas de Uso Eficiente y Ahorro del Agua)*, developed with a CC/CV perspective for the Tota Basin	June 2021	Planned: 100% Implemented: 100%	Three Programs for Efficient Use and Saving of Water - PUEAA (Programas de Ahorro y uso eficiente del Agua) with sustainable criteria of adaptation to CV / CC.	100%	100%	Output completed by year 3.		
An Environmental Management Plan for the paramos of Lake Tota (Plan de manejo Ambiental para los Paramos del Lago de Tota)	December 2021	Planned: 100% Implemented: 100%	An Environmental Management Plan for Paramos for Tota (Plan de Manejo Ambiental para Páramos,	100%	100%	The document "Guidelines for the inclusion of CV/CC in the Paramo Management Plans" has been finalized and it was approved by Corpoboyacá, Ideam and Ministry. The inputs generated were:	.	

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			PMAP): structure defined.			• Economic characterization analysis document with georeferencing of each inhabitant of the paramo community. • Vegetable coverings 2011, 2015 and 2019 with a multi-temporal analysis where the areas most vulnerable to transformation processes due to anthropic pressure and CV/CC effects were identified. • Management guidelines with the communities in the field to establish the processes of adaptation to climate change. • Document of the socioeconomic information with the analysis of the criteria of settlement, vulnerability and dependence. • Cartography that consolidates the completion of socioeconomic surveys. Cartography that consolidates the completion of socioeconomic surveys. The following are some of the conclusions drawn from this process: -It is necessary to strengthen the advanced process with local communities and institutions through the implementation of joint training and construction processes in aspects such as the paramo management and handling, sustainable land management measures, productive reconversion, as well as the importance of these ecosystems in the context of climate change and to avoid conflicts due to misinformation about the process of delimitation and management of the paramo. - It is evident the relevance that the local population gives to the provision of ecosystem services, especially the provision of water and soil for agricultural production; however, these are the two ecosystem services (ES) that show the most deterioration processes: water quality, erosion, loss of		

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						fertility, among others. In this sense, processes of joint analysis of these ES: supply, demand, status, as well as possible restoration and management measures are relevant to advance in the short term. -The strategy used in most of the paramo area lands in the Tota Lake basin is land planning. However, the land size 51% of the area ranges from 0 to 0.5, therefore, these small areas make it difficult to implement this strategy. Hence, it is important to consider zoning processes at the landscape level, which are defined in a participatory manner and include the designation of areas for the development of sustainable production systems, preservation and restoration areas and systems of use other than agricultural production in conservation areas, where it is possible to apply schemes such as Payment for Environmental Services. -The management of the paramo ecosystem in the Total Lake basin must be articulated with existing land-use planning exercises, such as the Main Ecological Structure, the Land-Use and Management Plan for the Tota Lake basin and in the Land Use Plans or Schemes (POT-EOT) in progress.		
Output 2.3: Design and Management instruments relevant for the hydroelectricity sector and for the conservation of watersheds and fragile ecosystems incorporate CC/CV considerations in Ecuador.								
Four technical procedures and/or administrative processes for hydroelectric firms, utilities, regulators, and other relevant agents that include CC/CV considerations	June 2022	Planned: 100% Implemented: 100%	National Risk Management Plan for the Electricity Sector	100%	100%	Previously, 2 of the 4 technical procedures were completed: Proc (1). Basic technical procedure for risk management in the electricity sector Proc (2). Guide to Environmental Management Plans (EMP) for the Electricity Sector, which includes CC considerations (MAATE). In this fourth year, the third and fourth procedures were completed.	.	

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						Proc (3): **Technical procedure for incorporation of cc/cv in the short- and medium-term forecasting processes for the case studies Aboyan Hydroelectric Complex, Celec Sur and CENACE.** Several working meetings were held this year with the electricity sector roundtable, the Ministry of Energy and Non-Renewable Natural Resources (MERNNNR), Corporación Eléctrica del Ecuador (CELEC EP), the National Electricity Operator (CENACE) and the Ministry of the Environment, Water and Ecological Transition (MAATE) for the development of the process. Through this, a robust model of short- and medium-term seasonal flow forecasts is available, which provides base information to estimate the amount of energy production and at the same time precise information on the surpluses made available to CENACE for export commitments, thus reducing the associated risk of economic losses for the country. The forecasts were developed using the Weather Research and Forecasting (WRF) model and the Climate Predictability Tool (CPT). Proc (4): **Technical procedure for the analysis of the landscape approach in water systems related to hydropower production.** The landscape approach methodological document establishes key technical guidelines that enable the development of studies under the landscape approach as a strategy for long-term natural resource and climate change management. The document contains the following sections: 1. Land use determination 2. Definition of landscape elements 3. landscape analysis 4. Analysis of the vertical dimension 5. Analysis of the horizontal dimension 6. Analysis of the transversal dimension		

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						7. Technical guidelines for management 8. Prioritization of intervention areas 9. Action for sustainable management These topics allow for the coherent development of a correct analysis of landscape metrics based on geospatial information.		
Strategies, plans, and programs relevant to the hydroelectricity sector or to the management of water basins and fragile ecosystems, which are aligned with relevant development strategies and zoning plans and reflect CC/CV	June 2021	Planned: 100% Implemented: 100% (Producto finalizado el año anterior)	First Report on National Mitigation and Adaptation Contributions in Ecuador's Water Sector (NDC)	100%	100%	Output completed.		
Three technical workshops	June 2021	Planned: 100% Implemented: 100%	Worktables conformed and functioning. (attendance record)	100%	100%	Output completed.		
Two watershed management plans	June 2022	Planned: 100% Implemented: 100%	Two watershed management plans.	100%	100%	**Napo:** The Victoria River Microbasin Management Plan document was finalized in the fourth year and consists of the following sections: 1. Legal framework 2. Mapping of stakeholders according to their degree of importance and influence. 3. The diagnosis in which we have the analysis of the:		

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						* Physical component (geographic location, climatology, temperature, terrain, geology and geomorphology; hydrology, land use, soil taxonomy, potential use). * Biotic Component (ecosystems, fauna, flora) * Socioeconomic Component (population, living conditions, infrastructure, economic activities, gender) 4. Identification of problems and priorities 5. Micro-basin management (risk assessment, impacts). 6. Management plan and management 7. Gender perspective The main problem identified is the lack of land use planning. Despite the fact that 98% of the micro-basin is located within the Cayambe Coca National Park (PNCC), which has a Management Plan for the entire area, the specific social, economic and environmental characteristics of the micro-basin are not known. The lack of knowledge of the economic and social activities of the population surrounding the area increases the risk that the populations will exert pressure on the ecosystems to satisfy their needs. The different programs proposed in the document seek to solve the main gaps within the study area, generating a proposal for integrated resource management and promoting sustainable development. **Azuay:** In the fourth year, the Machángara River Sub-basin Management Plan was finalized. Mitigation, adaptation, resilience, risk management and the gender perspective were considered as cross-cutting themes for its updating. The document contains the following sections: Stage 1: Analysis of the regulatory and institutional framework. Stage 2: Evaluation of compliance with the PGI 2014 Stage 3: Updating of the diagnosis by physical, hydrological, environmental, economic and social components. Stage 4: Integrated diagnostic analysis		

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						Stage 5: Strategic, program and operational planning Stage 6: Monitoring system The diagnosis makes an analysis of environmental, social and economic variables, complemented with the assessment of the progress of the previous strategic plan corresponding to the period 2014 – 2020 and a prioritization of relevant issues to be addressed as a priority for the period 2021-2031. Based on the participatory analysis of the problem, the contents to be integrated into the strategic and programmatic planning for the next decade were determined, with a view to achieving sustainable management of the water recharge area in co-management with the public and community stakeholders present in the territory, within the framework of participatory governance that contributes to meeting the multisectoral demand for water. To achieve the proposed results, 24 project profiles have been defined. The plan concludes with a proposal for a management model, understood as the way in which the stakeholders are organized to carry out the paradigms proposed for the period 2021 – 2031.		
One protected-area management plan including technical standards and guidelines	June 2021	Planned: 100% Implemented: 100%	Insertion of climate change criteria in the Cayambe Coca Reserve Management Plan, layout, and publication.	100%	100%	Output completed by Year 3		
Two defined landscapes areas in which enhanced sustainable management practices will be implemented	May 2022	Planned: 100% Implemented: 100%	Application of the landscape approach mand conservation values in the Machángara and	100%	100%	Product completed in year 4 corresponding to the application of the landscape approach in intervention areas. **Azuay:** The analysis of the spatial information obtained from the Machángara river sub-basin was carried out with a landscape approach, which was approached from the		

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			Victoria River Basins. Restoration and conservation in the Victoria Basin.			perspective of ecology and landscape geography. Three dimensions were considered 1) the vertical dimension, which analyzes the landscape elements along the axis of the hydrographic sub-basin, their interactions and processes within the ecosystems, or vertical heterogeneity; 2) the horizontal dimension, taking into account the patterns of landscape mosaic organization or composition, and the configuration of the elements forming the landscape (i.e. horizontal heterogeneity); y 3) the transversal dimension, which considers the relationships between the different elements of the landscape. As a result of this analysis, it was determined that the applicability of the landscape approach is useful for the fulfillment of conservation objectives. This type of analysis provides a timely perspective of the functional integrity of ecosystems and the maintenance of the provision of ecosystem goods and services (water, soil, air), through a detailed diagnosis of the study area and the possibility of establishing actions for sustainable management. In the Machángara River sub-basin, 17 landscape elements were identified, classified as natural and anthropogenic. The paramo is the landscape element that is the most aggregated in the Machángara River sub-basin which is established in the upper zone and part of the middle zone. It is also the landscape element with the greatest physical connectivity in the sub-basin, with the average distance between paramo patches of 57.57 m. This distance allows the mobility of many biological groups between patches. In the case of pasture, the pasture patches are grouped together, so they have high connectivity for species. In addition, the interaction between the different patches allows the establishment of ecosystem restoration and resource management measures, making the most of the interaction between natural conservation areas, rural productive areas and urban areas. Pasture is a strong		

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						driver of change for the natural elements of the sub-basin and is the second most consolidated landscape element. **Napo:** The master's thesis entitled "*Ecología del paisaje para la conservación de las microcuencas: Chalpi, Papallacta y Victoria*" (Landscape ecology for the conservation of micro-basins: Chalpi, Papallacta and Victoria) was completed. It has been concluded that the conservation areas are located within the protection zone of the Cayambe Coca National Park. In general, the two micro-basins Victoria and Chalpi are in a good state of conservation, but it should be noted that the lower part of Chalpi is under pressure from anthropogenic activities, as it has fragments of pastureland next to the river and due to the opening of an access road to the EPMAPS water catchments, livestock activities could intensify, and it is very likely that people are interested in changing land use due to the ease of the road. Complementarily, based on the inputs generated by AICCA, the Cayambe Coca National Park (PNCC) is on its way to IUCN Green List certification. The certification process aims to improve the management of the protected area and its recognition at the international level. The AICCA project supported the certification application process and entrusted it to the Undersecretariat of Natural Heritage of the MAATE. The process may take 2 to 3 years. However, all the information and capabilities have been provided for the Environmental Authority to follow the process autonomously.		

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Three methodological guidelines or similar instruments for including CC/CV considerations in the design of hydroelectric projects	May 2022	Planned: 100% Implemented: 100%	Two methodological guidelines be developed: a) Guide for disaster risk management and climate risk b) Methodological guide for the identification of impacts, disaster risk analysis and climate risk and risk management in the planning, operation, and programming processes of the National Interconnected System.	100%	100%	In previous periods, the first methodological guide entitled "Training manual on hydropower and CC" was developed and finalized. The generation of the two remaining patterns are outputs derived from the macro-process called “Plan Integral de Gestión de Riesgos del Sector Eléctrico (PIGR)” - Comprehensive Risk Management Plan for the Electricity Industry. The following outputs were completed during the year: - Methodological guide for the development of risk management plans for electric utilities (generation, transmission and distribution). - Methodological guide for the development of risk management plans for the national electricity operator. The guidelines are intended to be a methodological tool of simple application on disaster and climate risk management for organizations in the Ecuador’s electricity sector. They standardize the concepts and procedures to be applied for the identification and mitigation of risks and disasters. In this way, they support decision making and guarantee the adaptation of the National Interconnected System. These documents contain topics such as problem identification and comprehensive risk analysis.		
Four new or updated guidelines or technical regulations that enable the inclusion of CC/CV considerations in the design phase of hydroelectric projects, including issues	June 2022	Planned: 100% Implemented: 100%	Guidelines development: Guideline 1: Layout and dissemination of the Practical Guide for the Design of Public Policies for	100%	100%	Guideline 1: Practical Guide for the Design of Public Policies for the Electricity Sector (finalized in year 3). In this fourth year, the remaining two Guidelines have been completed.		

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related to water security, conservation, and the management of water basins.			the Electricity Sector Guideline 2: Technical guide to consider CC in water supply systems (ETAPA - AICCA).			Guideline 2: Integrated Risk Management Plan for the Electricity Industry (PIGR). Its objective is to guide implementation processes of corrective, reactive and prospective disaster risk management actions and climate change adaptation measures to support efforts to contribute to the sustainable development of the electricity sector, taking into account national and international policies. Guideline 3: Guideline for updating infrastructure planning processes in the electricity sector, in relation to disaster risk management and CC It corresponds to a tool that integrates the different risk assessment and management analyses taken from the multi-hazard model, as well as from the geographic location of the country's electrical infrastructure and considers the vulnerability indexes to external hazards. Guideline 4: Guidelines for the implementation of Social and Environmental Responsibility for hydroelectric generation companies. The Guideline seeks to position socio-environmental responsibility as an opportunity to achieve the sustainability objectives of hydroelectric generation companies by improving their management and at the same time contributing to local development. The document contains a regional analysis of the electricity sector and its interaction with socio-environmental responsibility, national analysis of the sector, legal framework, conceptual framework, among others.		

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Output 2.4: Methodological instruments and relevant technical standards for including CC/CV considerations in public investment projects related to small-scale irrigation in Peru.								
Guidance for small-scale irrigation projects that directly addresses CC/CV considerations	June 2021	Planned: 100% Implemented: 100%	Standard technical documentation for public investment projects of irrigation infrastructure incorporating risk management in a context of climate change within the framework of the INVIERTE.pe	100%	100%	Output completed by Year 3		
A Gender and climate change, intergenerational and intercultural plan (transversal approaches)	June 2020	Planned: 100% Implemented: 100%				Output completed by Year 2		
Sectoral technical regulations for small-scale irrigation that incorporate CC/CV-related risk management	December 2021	Planned:100% Implemented: 100%	Guidelines for the incorporation of climate change adaptation criteria of the NDC Agriculture and Water in project management and execution documents.	100%	100%	The document indicating the process for formulating and updating the NDCs of water for irrigation and soils was prepared. To this end, coordination meetings were held with the technical team of the Climate Change and Desertification Adaptation Bureau of the Ministry of the Environment and with the team of the General Bureau of Agricultural Environmental Affairs (DGAAA) of the Ministry of Agricultural Development and Irrigation (MIDAGRI) to ensure consistency with other instruments being developed by the sector. The document includes three aspects:		

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						i. Competencies of the General Bureau of Agricultural Environmental Affairs (DGAAA) as MIDAGRI's Focal Point for Climate Change. ii. Climate Change Adaptation Measures. iii. Formulation and updating of adaptation measures. In addition, the proposed steps to be followed to define adaptation measures in agriculture have been described, which will be carried out in two stages: • STAGE 1. Definition of prioritized thematic areas (NDC). Step 1: Definition of the thematic area of agriculture and its context within the framework of the NDCs. Step 2: Updating and creation of coordination and work mechanisms, in which the creation of a working group for the thematic area of agriculture and teams of technicians for each component are proposed. Step 3: Review of the diagnosis carried out in 2017 and 2018 will give the necessary tools to the technical teams to propose and decide on the formulation of new measures or the updating of existing ones. Step 4: Definition and adequacy of products and measures, which in turn will allow the identification and updating of enabling conditions. Step 5: Elaboration or revision of indicators, baseline, and targets, to achieve monitoring and evaluation of the measures.		

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						Step 6: Economic assessment and evaluation of sources of financing for implementation (according to guidelines provided by MINAM). Step 7: Modification of the provisional programming, or of the chapters concerning the updated products or measures, must be carried out by the working group of the thematic area in coordination with the technical teams of each component. Step 8: Initiation of the process within the framework of the High-Level Commission on Climate Change (CANCC). • STAGE 2. Institutional processes for the formulation and updating of MIDAGRI's climate change adaptation measures in the framework of the CANCC. Step 1: The DGAAA prepares the documentation for the CANCC. Step 2: Presentation of the documentation corresponding to the MINAM's DGCCD. Step 3: Adequacy of documentation after MINAM review. Step 4: Adequacy of documentation following the review of the GT-NDC. Step 5: CANCC session.		
			Pilot financing strategy for implementation of NDC measures in	100%	100%	Target completed by year 3		

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			agriculture and irrigation water.					
			Proposal for reordering irrigation infrastructure investments based on their viability and contribution to climate change.	100%	100%	Output completed by year 3		
			Dissemination of communication products on methodological tools and relevant technical standards related to climate change adaptation.	100%	100%	During this year, didactic material was developed and used in the training workshops "Climate Update in the Agricultural Sector in the Basins: Piura in the region Piura, Santa in the region Ancash and Chicama in the region Cajamarca". The participants were grouped into four (4) groups: i. sectorial, ii. north and northeast, iii. center, south and iv. southeast. These workshops were developed in two sessions. The theme of each session was as follows: FIRST SESSION: Module 1: Concepts Module 2: General description of the area of study. Module 3: Delimitation of the Study Area. Module 4: Current Climate Analysis Module 5: Future climate Module 6: Analysis of hazards associated with Climate Change. SECOND SESSION: Module 7: Exposure analysis. Module 8: Vulnerability analysis. Module 9: Risk analysis in the context of climate change. Module 10: Roadmap for climate change risk assessment.		

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						The first sessions were held from September 13 to 16, 2021, and the second ones from September 20 to 23, 2021. The workshops and its materials were published on the MOODLE platform of the Ministry of Agricultural Development and Irrigation (MIDAGRI), the link to this platform is as follows: https://capacitacion.midagri.gob.pe/course/view.php?id=4. In addition, initial and final evaluations were conducted to identify the level of knowledge and to observe the evolution of the participants at the end of the two sessions. A web note on these workshops was published and can be viewed at the following link: https://condesan.org/2021/09/21/se-difunde-metodologia-resultados-la-actualizacion-analisis-riesgos-climaticos-sector-agrario-peru/ 53 participants successfully completed the program, of whom 28 (52.83%) are women and 25 (47.17%) are men. In addition, the following lessons have been learned: • In order to promote the replicability of this type of studies, it is necessary to provide knowledge based on examples and basic experiences, as well as to show tools that will allow them to carry out this analysis. • It is necessary to generate flexible schedules for the sessions given, considering that the participants have a platform that allows them to review the information in greater depth, or alternatively, to generate totally virtual courses based on the virtual platform. • Considering that 75% of the participants completely reviewed the information on the virtual platform, it is necessary to highlight that this is due to the fact that each		

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						module was narrated and presented graphically for easy comprehension. Finally, we were able to collect the testimonials from some of the participants, which can be found in the following links: WORKSHOP | PARTICIPANT INTERVIEW | Javier Shupingahua Tangoa https://www.youtube.com/watch?v=KEsAg7h5GuU WORKSHOP | PARTICIPANT INTERVIEW | Adelaida Cruzado Ambrosio https://www.youtube.com/watch?v=OEQ-bcjMIy0 WORKSHOP | PARTICIPANT INTERVIEW | Giovanna Matilde Rodrigo Machicao https://www.youtube.com/watch?v=Aof9yo4Rl6w		
			At least 12 technical meetings are held to discuss methodological tools and technical documents.	100%	100%	Output completed by year 3		

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Component 3: Designing and implementing adaptation measures in priority sectors								
Component Result: Pilot CC/CV adaptation measures and investments validated and implemented in the drinking water and basic sanitation sector, the environment and agriculture sector, the hydroelectricity sector, the minor irrigation sector, and in watersheds and fragile ecosystems in one or more of the project countries.								
Output 3.1: Adaptation investment projects to protect water recharge areas and increase the resilience of storm drainage in selected micro-basins in Cochabamba, Bolivia								
A pilot adaptation project with at least 30% participation by women designed and implemented to improve storm-water drainage control in each of the two selected areas of Cochabamba	December 2022	Planned: 100% Implemented: 81%	A SUDS pilot project designed	100%	35%	In this fourth year, the physical implementation of the measure SUDS began. As of June 2022, 21% of the work has been completed. Work is being carried out on 9 fronts: Gabions for flood protection, drainage ditches, rainwater harvesting and storage system, filtering drains, absorption wells, buried tanks, elevated tanks, kiosks for souvenir sales, the information center, the drinking water system, the draining gardens and the infiltration wells for grey water purification from the grills.		
A project that uses reforestation as a river-management technique to protect water sources, promote soil stabilization, and mitigate the impact of carbon emissions	June 2022	Planned: 100% Implemented: 96%	Reforestation as a technique of river management, protection of water sources, soil stabilization, reduction of impact of CO2 emissions	100%	85%	Four forestation campaigns were implemented, two in the direct area of project intervention and two in areas coordinated by the Autonomous Departmental Government of Cochabamba: 1) Refallo Arbor Day in the Parque Metropolitano Arocagua (Sacaba), 2) Forestation in the OTB Nuevo Amanecer (Jurisdiction 21, District 8, Municipality of Cochabamba), 3) Reforestry in the OTB May 27, 4) Reforestation Taquiña basin (GADC and local institutions). Reaching: 454 participants (158 women and 296 men), 4.880 seedlings and 13,5 hectares. Likewise, on February 17, 2022, the reforestation campaign was carried out in the Basic Territorial Organization (OTB) or neighborhood residents' committee in Laicacota of the Municipality of Sacaba, which was carried out with the objective of conserving areas of the Maylanco River safety zones and protecting the soil of the upper basin according to the SUDS measures of the Cretaceous Park. This activity was		

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						carried out in coordination with the Autonomous Government of Sacaba and the organization of neighbors of the OTB. The activity was previously planned with a campaign to clean up solid waste and debris from the banks and the Maylanco River. A total of 90 people participated (35 women and 55 men). On February 25, 2022, a reforestation campaign was carried out in the Municipality of Quillacollo with the objective of protecting the erosion of steep slopes located in the Tunari Park. This activity was carried out with the participation of the Misicuni company, a Public Social Service entity whose objective is to cover the urgent water needs of the population, through the use of the waters of the basins of the Misicuni, Viscachas and Putucuni Rivers, located in the Cochabamba mountain range. The Institutional Objective is the Provision of Drinking Water, Water for irrigation and the Generation of Electric Energy for the Kanata Metropolitan Region. A total of 59 people participated (44 women and 15 men). We have also continued with the monitoring and follow-up of the pilot reforestations with the Municipality of Sacaba (reforestation in the Arocagua Protected Area and along the banks of the Maylanco River). As part of the consultancy process for the implementation of agroforestry systems (SAFs), a workshop was held for the exchange of experiences between producers and technicians of the Municipality of Tiquipaya and the Municipality of Sacaba, who shared the successful experiences of more than 10 years of work with AGRECOL in SAFs and also the recommendations to follow in order to be able to implement new SAFs in Sacaba. This was conducted on April 09, 2022. A		

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						total of 37 people participated (14 women and 23 men), in which children also participated. In addition, support was provided to FORMIBOSQUE of the Departmental Government of Cochabamba with the delivery of the forestation booklets with a focus on Adaptation to Climate Change so that it can be a training tool. Likewise, we have coordinated the organization of training workshops for the military soldiers of Cochabamba, who are sent to participate in the forestation and reforestation campaigns of the Departmental Government of Cochabamba.		
A project on strengthening resilience through education and awareness about integrated solid-waste management with a focus on storm-water drains	June 2022	Planned: 100% Implemented: 100%	A project on strengthening resilience through education and awareness about integrated solid-waste management with a focus on storm-water drains.	100%	100%	The AICCA Project's Environmental Education and Awareness Plan was completed in the third year. In this fourth year, progress has been made with its implementation. On the one hand, a network of AICCA volunteers was established, composed of 38 young people (26 women and 12 men), who support environmental education activities, solid waste cleanup campaigns, irrigation campaigns, and forestation. Moreover, capacity building on climate change adaptation and importance of reforestation and restoration of urban areas as a strategy for adaptation to climate change was provided to 35 students (20 women and 15 men) from the Universidad Mayor de San Andrés (UMSS) and 9 students (5 women, 4 men) from the Universidad Simón I. Patiño (USIP). Also, the construction and implementation of a school nursery at the Unidad Educativa Toribio Claure of the Municipality of Sacaba.		

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						In addition, the following awareness-raising workshops were held as part of the Environmental Education process: 1) Water Day Fair, 2) Climate Change and proper solid waste management, aimed at the women's organization "Juana Azurduy" de la OTB Santa Fe, 3) Workshop OTB Laycacota (Miraflores - Sacaba), 4) Cleanup Campaign "por una navidad sin basura" (for a garbage-free Christmas), 5) "Training to Volunteers on: Climate Change and Water Resources - Importance of Adequate Basin Management. List of participants: https://drive.google.com/drive/u/1/folders/1W3uaXXUBL2J-9e8AQHXlw_SUcOqdBp95 4 workshops were conducted (2 OTB Santa Fé, 2 OTB Laicacota Sacaba) to promote solid waste utilization enterprises. Twenty-seven people (24 women and 3 men) participated in these courses. Within the framework of the Líderes (Leaders) program, support was provided for the implementation of action plans that enabled program participants to carry out educational activities in schools, neighborhood associations and other public spaces. As a result of these actions, 423 people were reached (286 women and 137 men). Four environmental fairs were also held: 3 recycling fairs in Quillacollo, Cercado and Sacaba and 1 in commemoration of the World Environment Day. 337 people were reached (201 women and 136 men). As for the environmental education murals, the 7 planned murals were completed, with the participation of 154 people (84 women and 70 men).		

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						In addition, two clean-up campaigns were promoted (1) one in the Maylanco river and the other in the OTB Santa Fe. In total (in both) 127 people participated (63 women and 64 men).		
Experiences and lessons learned from the implementation of the AICCA-Bolivia project consolidated, edited, and prepared for publication	June 2022	Planned: 100% Implemented: 91%	Dissemination activities of the project findings and preparation of an annual report about the findings of the AICCA project in Bolivia.	100%	71%	In this fourth year, the information generated by the project continues to be recorded and systematized. Currently, we have the memories of the: Discussion Group on forests, the workshop on adaptation to climate change in water resources in digital format, and the "Diploma Course in Adaptation to Climate Change in Water Resources".		
Output 3.2 Adaptive practices that increase the resilience of agricultural productive systems designed and implemented in Colombia.								
Adaptation activities (number to be determined) to improve the resilience of agricultural productive systems designed, implemented, and validated, along with adequate M&E systems, including: (i) activities to promote transparency and accountability at the community level; activities to protect watersheds (e.g., monitoring climate and	May 2022	Planned: 100% Implemented: 100%	Strengthening the local monitoring network for climate and water and early warning.	100%	100%	The monitoring process of a local system for monitoring water quality in the Tota Lake Basin was completed. The information contained in the inputs gathers the results of the three structural components of the monitoring activity: Paleolimnological, Neolimnological and Modeling. The document is structured in an introduction that addresses ecological processes in lakes, critical transitions and the value of monitoring; results and analysis of the three components; the main conclusions and a synthetic exercise that allows integrating the most relevant information in order to achieve the main objective: monitoring as a strategy for evaluating and projecting the condition and ecosystemic quality of the Tota Lake, and as a tool for the detection and prevention of ecological situations that would be adverse for the system,		

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hydrology, reforestation and restoration of riverbanks, silvo-pastoral practices, rehabilitating water-recharge areas, etc.); and (ii) activities to support the adaptive management of agriculture production (e.g., to improve productivity and water efficiency)						considering the characteristics and natural evolution trend of a high mountain Andean lake. Furthermore, the design and implementation of the Community Early Warning System (EWS) was completed. The report on the early warning system training process was delivered. It addressed the following topics: - Use of the monitoring platform. - Early warnings. - Management measures for each of the warnings. The EWS was integrated with the monitoring platform, leaving a two-phase proposal: - Thresholds according to Monitoring - Deficit and excess modeling, according to predictions. The conclusions of the implementation process are as follows: The design of the EWS for agricultural decision making covers the areas of the Tota Lake basin. In addition, participatory meteorological monitoring information is included. The presentation of the different threat levels is estimated from simple analyses based on thresholds of available meteorological variables, as is done in many EWS worldwide. The different forms of decision making allow for options with different levels of access to information. The decision making is exclusive to the producer, it is considered that the producer has the experience and in most cases the knowledge to implement adaptation options for the productive systems of the study area. However, it is suggested that, in the near future, the implementation of adaptation options can be oriented based on the support of available entities and		

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						processes, for example, entities such as Agrosavia and the Duitama forecasting center, among others. Also available processes such as agro-climatic technical roundtables.		
			The number of adaptive practices applied to increase the resilience of agricultural producers that have been designed, implemented, and validated - Number of adaptation activities in the management of agricultural production.	100%	100%	The implementation of climate change adaptation measures was completed. A total of 4487 women and 4456 men benefited: **(1) Restauration:** 1. Paramo de Santa Bárbara: - Installation of 4.5 km of fencing. -3836 Species planted in active restoration in 28 cores. -1499 of species in living fence. - Implementation of three (3) fertilization and monitoring plots. 2. Paramo de Las Alfombras: -Installation of 3 Km of fencing. -2740 Species planted in active restoration in 20 cores. -999 of species in living fence. - Implementation of four (4) fertilization and monitoring plots. 3. Paramo los Curíes: -2740 Species planted in active restoration in 20 cores. - Implementation of four (4) fertilization and monitoring plots. 4. San Pedro Island: -4384 Species planted in active restoration in 22 cores. -999 of species in living fence. - Implementation of five (5) fertilization and monitoring plots. - Control of invasive species (Acacia s.p and Muehlembeckia). In addition, 10 hydrological restoration workshops were held, with the participation of 39 women and 66 men.		

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						(2) Four (4) district aqueducts: - Installation of 28 tanks of 500L and 1 tank of 10.000 L in the aqueducts Cuarto Alizal, San Antonio, Llanitos and Ojito de Agua; - Implementation of a participatory day of isolation to promote the natural regeneration of the source zones of the Olarte River. In the process, we achieved: -Installation of 1.220 linear meters of fencing for the protection of 7.8 Ha of the source zone of the Olarte River, Paramo de las Alfombras. - Planting of 600 native plants to protect and improve the water regulation of the Ojito de Agua aqueduct. **(3) High Mountain Germination and Propagation Center of the Tota Lake basin:** The center was handed over to the Municipality of Tota, which included the following complementary measures: • Module for biofertilizer production. • Rainwater harvesting. • Design and implementation of ecological restoration and/or rehabilitation actions. **(4) Jardines de vida (Gardens of life):** - Installation and delivery of 63 Jardines de vida, which include water harvesting, an itinerant structure for protection against extreme weather and climate events to protect the development of plant material, and the use of liquid and solid biofertilizers in the municipalities of Cuitiva, Tota, Sogamoso. This measure directly involved 94 women and 85 men. **(5) Sustainable tourism** Implementation of an integrated tourism proposal for the Tota Lake basin, defining the route of ecosystems and		

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						traditional cuisines, selecting 6 points and/or experiences that rescue the cultural, natural and patrimonial value of the basin. In addition, three tourism activism experiences were carried out, along with the delivery of plant material of native flora of the basin and training for the hotel sector and river transportation. In this process 154 women and 52 men participated. **(6) Beekeeping production system** Installation of 7 beneficiary apiaries (6 productive units corresponding to 25 hives) and two training sessions that are part of the preliminary structure of the process. Some of the main lessons learned are: -With the implementation of the sustainable tourism measure, a pilot project on sustainable tourism was consolidated and a diverse group of community stakeholders were involved. These actions strengthened capacities and made it possible to consolidate two tourism routes: one on strategic ecosystems and the other on traditional cuisines. Both have the potential to be replicated from the methodological design approach in other points within and outside the basin. -Sustainable tourism is an activity that has the potential for long-term livelihood diversification in the Tota Lakin basin and the effect of decreasing the vulnerability of the community that depends solely on agricultural activities. -The implementation of the biofertilizer production measure is complementary to other measures such as the *jardines de vida* and the rural extension program. The results in both production and use of biofertilizers depend on such measures,		

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						which is why it is necessary to evaluate productivity and plant growth in order to quantitatively monitor the progress of the measure. - It is necessary to carry out a real comparative costing of the application of chemically synthesized fertilizers and biofertilizers. This would make it possible to demonstrate the level of cost-effectiveness during the implementation process. - The bird phenological network is an activity that will allow the Tota Lake Basin to generate community research processes and deepen the diversification of livelihoods such as nature tourism and bird watching. With this, the vulnerability of the community, which depends solely on agricultural activities, can be reduced. -Regarding the ecological restoration measure, it is important to consider events derived from climate variability, such as droughts, frosts, gales, hailstorms, as they require resources for adaptive management, which are not currently contemplated in the budgets of ecological restoration processes in the high mountains. -Beekeeping production systems require good planning to identify production seasons. It is recommended to bring forward the establishment before the rainy season. This will ensure that the populations in the hives are strong for the beginning of flowering in the basin. -With respect to the agroforestry germination center, local ownership and capacities were strengthened with the participation of professionals, technicians and producers in all phases of the process: design, implementation and		

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						establishment. This has allowed for technical and administrative guidance to consolidate the nursery proposal, articulated with the actions of the municipal government in Tota. -With the implementation of rainwater harvesting systems, it was possible to meet the water needs (water demand) within the greenhouses in times of drought. However, it is essential to have quantitative information on real water availability in each of the lands in order to carry out long-term monitoring to evaluate the efficiency of the systems.		
			Document of guidelines for the inclusion of concepts about CV and CC in the school environmental projects (PRAE) of the Schools in the Lake Tota Basin.	100%	100%	The process of knowledge communities was completed, where each of the groups developed the proposed methodological route, achieving results that contribute to strengthening the sustainability of community governance. ● Ancestrality: The ancestral characteristics of the basin community that affect the processes of adaptation to climate change and variability were recognized in order to increase resilience and reduce vulnerability. This was achieved through the identification of wise men and women with their own knowledge and the promotion of generational exchange. This allowed us to make progress in the reconstruction of the history of settlement in the Tota Lake basin, the genealogical roots of native families, the tradition of food and seed conservation, the identification of symbolic references, habits and cultural traditions that have historically allowed for the care of the Tota Lake basin and facilitate adaptation to climate variability and change.	.	

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						● Environmental education: Effective pedagogical actions were proposed to link the interests and expectations of the inhabitants of the Tota Lake basin, through the recognition of attitudes of different social sectors in relation to possible effects of CC/CV in the of the Tota Lake basin. The assessment of pedagogical practices identified in this basin and the recognition of the contributions of these practices is a strategy to influence the change of attitude of the different social sectors of the Tota Lake basin for the adaptation to CC/CV. ● Gender and Climate Change: The impact of women's role in the processes of adaptation to climate change and variability in the Tota Lake basin was made visible, evidencing their contribution to the balanced and harmonious management of nature based on the life stories of several women. The stories were collected in an audiovisual way, which generated an important reflection on the impact of gender gaps in the increase of vulnerability by generating conditions of inequality. It was developed through sensitive and artistic experiences in everyday life that resulted in a textile magazine. ● Community government: A pilot strategy was proposed to promote the effective participation of the communities in the Total Lake basin in decision-making for environmental sustainability and adaptation to climate variability and change in the Lake Tota basin. This was done through the characterization of the participation mechanisms that have been implemented historically, the evaluation of their effectiveness and the identification of lessons learned.		

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						● Vulnerability: A methodological procedure was proposed to measure the increase of capabilities in women and men from different socio-cultural contexts of the Lake Tota basin to address the risks associated with climate variability and change in the area after the adaptation measures of the AICCA project have been implemented. The implementation of the procedure should be followed up and can be replicated in other experiences in the country or the world. ● Production systems: a sustainable and agro-ecological production model was proposed for adaptation to climate change and variability that considers environmental recovery and economic development of the community in the area of intervention of the AICCA project. ● Renewable energies: The implementation of an integrated system of electricity generation with non-conventional renewable energy sources that allows the territory to adapt to the effects of climate variability and change was achieved through the characterization of non-conventional renewable energy sources identified in the basin and the identification of the needs for the use of alternative energies for adaptation to CC/CV in the basin. ● Sustainable tourism: A sustainable tourism model to be implemented in the Total Lake basin was generated as a strategy for adaptation to climate change and variability, through participatory entrepreneurship processes that contribute to the good living of the community.		

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						A total of 70 women and 64 men participated directly, and 169 women and 126 men were reached in various outreach activities. In addition, the binding process of the basin's Schools (IE) for the training of students in Environmental Social Service was completed Regarding the development of the community education process, the 10 magazines of AICCApacidad on adaptation were completed and a campaign to publicize them was also planned. Finally, with respect to the communications plan, progress was made in finalizing the publications of the catalog of adaptation measures and guidelines for the incorporation of CV/CC in the POMCA. Moreover, progress was made in the structuring and first version of the plant guide for the ecological restoration of the basin and a communication guide for adaptation.		
			National platform strengthened and articulated with regional platforms and specific information systems	100%	100%	Target completed by the year 3.		

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A technical assistance program implemented to provide training to 720 families in the Tota area in watershed protection practices and to 2,510 families in agricultural practices	May 2022	Planned: 100% Implemented: 100%	Management plan/resolution of existing conflicts of the water resource in the lake of Lake Tota.	100%	100%	Target completed by the year 3.		
			Technical Assistance Program implemented to 720 families in the area of Tota Training in watershed protection practices and 2510 families trained in agricultural practices.	100%	100%	The implementation of the rural extension program was completed, in which a total of 377 women and 283 men participated. The lessons and recommendations for sustainability included the following: -During implementation, it was essential to forge alliances with local institutions and professionals that lead agricultural extension processes of the basin. -During the implementation phase, schedules were planned giving priority to climatic conditions and socioeconomic activities of the basin. - For future processes, it is important to generate producer databases with geo-referenced location that allow cross-referecing information with the areas of greatest vulnerability and climate risk. - To advance biophysical and socio-economic characterizations to improve the context and diagnosis of the productive processes and producers in the basin. - For the sustainability of the measure, it is important to maintain the technical support processes for several harvest cycles for both the dry and rainy periods. This will allow validation, adjustment and adoption of the most efficient adaptation practices.		

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			Promotion of the recognition of water efficiency practices and adaptation to CV / CC by different actors in the agricultural commercialization chain (investment based on PGAT).	100%	100%	Technical support was provided by the professionals from the AICCA professionals. The review process for the certification of green businesses was supported in the 12 associations: Asogranja, Apícola JM La Cumbre, Asparcela, ASOMUC, Camaqui Tours, Acualago, Pronacela, Tota Ecotours, Asociación Comunitaria Manos Tejedoras, Artelago, Asotejidos, Fredy Rincón, Ecosan within the improvement plans for green businesses, delivered by the Ministry's office. The verification process was completed by the Green Business Office. The support of four organizations was received: Camaqui Tours, Acualago, Pronacela, Tota Ecotours, Apícola JM la Cumbre. A working group was set up to review the traceability of Minambiente's support and the implementation of strengthening processes for businesses that have not achieved certification. The following conclusions were drawn from this process: -During the implementation of the AICCA project, 13 initiatives of enterprises interested in the certification of green businesses were supported. - 4 enterprises for certification as a green business were validated before the Corpoboyaca office. -The government, through the Secretariat of the Environment, monitored the certification process. There are plans to provide support to strengthen the marketing chains of the enterprises.		

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						-The receptiveness of the certification process for green business initiatives in the basin is subject to the support of the validating or certifying institutions. - The green business strategy is complementary to the positioning actions within the marketing chain. However, efforts are still needed to make certified initiatives more visible and to recognize the added value.		
Output 3.3: Adaptation activities that contribute to increasing the resilience of the selected hydroelectric projects in Ecuador and improve their capacity to manage risks to climate extremes								
Five pilot activities to increase the resilience and response capacity of selected hydroelectric systems to climate extremes designed and implemented, including adequate M&E systems, which may include flow and sediment control, flood management, monitoring of levels and flow rates, and hydro-climatic monitoring, among others.	Dec 2022	Planned: 100% Implemented: 99%	MACC implemented: *MH1. Improvement of the drinking water supply system in the parishes Cuyuja and Papallacta, Quijos Canton, Province of Napo, as a measure to increase adaptation to climate change. MH2. Improvement of the drinking water supply system	100%	96%	MH1. Improvement of the drinking water supply system in the parishes Cuyuja and Papallacta, Quijos Canton, Province of Napo, as a measure of adaptation to climate change. Works 100% completed. MH2. Safeguard water resources for the generation of energy from the Machangara Hydroelectric Complex: Priority of water use considering vulnerable populations in the face of climate change impacts. Based on the technical and economic studies for the improvement of Santa Teresita's drinking water system, the work is being implemented and is 72% completed. *MH3. Manual for the creation of Basin Committees based on the experience of the Machangara as a knowledge management product to promote experience replication: A document has been validated with the Machangara river basin committee that compiles the committee's experiences and lessons learned regarding its governance and interaction with different stakeholders that make use of water resources in the same hydrological unit. This document is being refined in order to provide key aspects for other institutions to work		

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			in Santa Teresita, parish of Chiquintad, province of Azuay as a measure for increasing adaptation to Climate Change. To safeguard water resources for the generation of energy from the Machangara Hydroelectric Complex. MH3. Integrated management of hydrographic basins supplying hydroelectric power plants and other key stakeholders according to their order of priority. (Exchange of experiences of the Machángara basin committee's management model).			on the creation of committees and thus manage their natural resources in a sustainable manner. MH4. Topographic and geotechnical survey of the water recharge area of the Victoria hydroelectric power plant with the process called "Preparation of basic cartography and photogeological study of the micro-basins upstream of the Victoria hydroelectric power plant's catchment, Province of Napo". A photogeological study of the micro-basins upstream of the Victoria River was developed using the geological photo-interpretation method. MH5. Capacity building for stakeholders and public policy instruments in the electricity sector with the inclusion of climate change criteria. A technical course on climate change scenario modeling and hydro-climate risk assessment with a dynamic downscaling module was developed. The objective of the course was to strengthen the capacities of about 45 public officials working in the different entities of the electricity sector, such as the governing, regulator and operator bodies, and generators and representatives of environment and water related to the implementation of the AICCA project.		

Project Outputs	Expected Completion Date [3]	Planned vs Actual Implementation Progress as of June 30th 2022 (%)	Year 3 Targets (July 1st 2021 to June 30th 2022), per Operational Plan 2021-2022	Planned Progress of targets (July 1 to June 30th 2022, %)	Implementation Status (Jul 1 to June 30th 2022, %)	Implementation Status as of June 30th 2022Narrative Description)	Comments	Progress Rating
			MH4. Topographic and geotechnical survey of the water recharge area of the Victoria hydroelectric power plant. MH5. Capacity building for stakeholders and public policy instruments in the electricity sector with the inclusion of climate change criteria.					
An early warning system (EWS) for extreme weather events covering the supply basins for each selected hydroelectric project	June 2022	Planned: 100% Implemented: 100%	An early warning system (EWS) for extreme weather events covering the supply basins for each selected hydroelectric project	100%	100%	Target and output completed. Process for generating short- and medium-term climate forecasts for hydroelectric power plants to improve the accuracy of power generation estimates. The WRF (Weather Research and Forecasting) model and the Climate Predictability Tool (CPT) for short and medium-term climate forecasts, respectively, were implemented and run automatically. These programs are installed and running on computing machines installed in the hydroelectric complexes Paute and Agoyán and at CENACE and short-term forecasts are being generated. This process contributes to the flow estimation and strengthens the risk knowledge phase of the early warning system. This will allow improving the information and risk		

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						estimation in order to safeguard the physical electrical infrastructure that contributes about 19.9% of energy generation to the electrical system.		
Output 3.4: Adaptation activities that contribute to reducing the vulnerability of watersheds and fragile high-mountain ecosystems, and to increasing the resilience of water provision for the selected hydroelectric projects in Ecuador								
Eight adaptation measures to contribute to the conservation, protection, restoration and recovery of watersheds and fragile high-mountain ecosystems, which may include: improved agricultural practices, improved cattle ranching practices, fire prevention plans and protocols for paramos, etc. Activities will at least include two measures in protected areas (Cayambe Coca National Park)	June 2022	Planned: 100% Implemented: 100%	MACC implemented: MIA1: Capacity building for stakeholders in the electricity sector a. Hydrological Modeling and Climate Variability b. Awareness-raising among children of the Environmental Education Program ETAPA, which includes climate change criteria. MIA2: Sustainable agricultural production Vulnerability to farmers. MIA3: Financial sustainability of	100%	100%	The implementation of measures was completed. The results are as follows: **Azuay:** - MIA 1 (Capacity building). The development of the climate change module in the "Aula Verde" Program was completed with emphasis on conservation, biodiversity, climate change adaptation and gender. - MIA 2 (Sustainable agricultural production). The implementation of 52 crops under cover in the parishes of Cuyuja, Papallacta and Azuay increased production of vegetables, legumes and fruit trees, ensuring food sovereignty and supplying markets with high-quality, pesticide-free products. In addition, it has ensured a fixed source of income for the beneficiaries, gradually improving their quality of life. - MIA 3 (Financial sustainability of climate change adaptation). The community *cajas de ahorro* (savings accounts) and savings banks are important players in strengthening the financial sustainability of the beneficiaries. With the delivery of some agricultural and livestock inputs, the seed capital of social organizations has been strengthened through the rental of tools and the sale of food inputs, among others.		

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			climate change adaptation.					
Two technical workshops to develop sectoral best practices	June 2021	Planned: 100% Implemented: 100%	MIA1: Capacity building Training in better agricultural and livestock practices.	100%	100%	Output completed by year 3.		
Two restored ecosystems	June 2021	Planned: 100% Implemented: 100%	MIA4: Restoration, conservation and biological monitoring Napo: a. 5 active hectares restored in the Victoria River microbasin. b. diagnosis and biological monitoring of the Cayambe Coca National Park Azuay: a. Follow-up of biological filter implementation, Machangara River b. Consulting and resilience in the Protected Area of Machangara	100%	100%	Output completed by year 3.		

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30% of cattle moved from paramos	June 2022	Planned: 100% Implemented: 100%	MACC5: 30% of cattle moved from paramos a. Livestock census b. Implementation of ILO technology MACC6: Sustainable livestock production a. Purchase of livestock inputs for Napo and Azuay MACC7: Protection of basins through the promotion of environmentally sustainable livestock farming. Wateri troughs	100%	100%	M5: Reduction of pressure in areas of water importance for the basin and hydroelectric power plant. Measure completed by year 3. M6: Sustainable livestock production Measure completed and reported in year 3. M7: Protection of watersheds by livestock activities. The AICCA project carried out the necessary studies for the implementation of a water trough system that will provide fresh water for 718 animals on the properties of the Project beneficiaries. This study will be implemented by the Autonomous Decentralized Government of Gualleturo. As part of the process of protecting water sources, work was carried out in conjunction with the GAD Nazón in the management of silvopastures and live fences. We have managed to relocate 59 out of 181 heads of cattle from the water recharge areas and the conservation of 148 hectares.		
Best practices validated for at least two productive sectors in the intervention areas	June 2021	Planned: 100% Implemented: 100%	MACC implemented: MACC8: Industrialization and Production Technification a. Value chain training, Azuay b. Market and value added	100%	100%	M8: Industrialization and Production Technification M9: Technology for efficient water management Output completed by year 3.		

Project Outputs	Expected Completion Date [3]	Planned vs Actual Implementation Progress as of June 30th 2022 (%)	Year 3 Targets (July 1st 2021 to June 30th 2022), per Operational Plan 2021-2022	Planned Progress of targets (July 1 to June 30th 2022, %)	Implementation Status (Jul 1 to June 30th 2022, %)	Implementation Status as of June 30th 2022Narrative Description)	Comments	Progress Rating
			MACC9: Technology for efficient water management a. Irrigation systems Azuay b. Hydroponics, Azuay.					
Two fire brigades established, trained, and equipped	June 2021	Planned: 100% Implemented: 100%	Fire brigade equipment.	100%	100%	Output completed by year 3.		.
Two fire-prevention plans formulated	June 2021	Planned: 100% Implemented: 100%	Two fire-prevention plans formulated	100%	100%	Output completed by year 3.		
Output 3.5 Pilot small-scale irrigation Public Investment Project (PIP) designed and implemented in Peru								
Two or three pilot small-scale irrigation public investment projects that include CC/CV considerations, as well as adequate M&E systems, designed in a participatory fashion and implemented in selected areas.	June 2022	Planned: 100% Implemented: 98%	A pre-investment study incorporating risk management measures in a climate change context and feasible climate change adaptation measures.	100%	100%	The study of the project profile was completed in Cajamarca. 1. Identification Module (approved) 2. Preparation Module (approved) 3. Evaluation Module After the approval of the first two (2) modules, the last evaluation module was developed, which contains the following sections: I. SOCIAL EVALUATION	1. The high turnover of employees in the Regional Government of Cajamarca delayed the validation of reports. 2. In addition, some members of the formulating team	

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						Through social evaluation, the effects of investment projects on society can be obtained. Considering the current regulatory framework, the National System of Multiannual Programming and Investment Management, the social cost-benefit evaluation methodology has been considered. II. SUSTAINABILITY ANALYSIS The project will be sustainable to the extent that the following criteria are met: • Timely availability of resources for operation and maintenance, according to funding source. • Institutional arrangements foreseen for the project's operation and pre-operation phases. • Operator's management capacity. • Non-use or inefficient use of products and/or services. • Social conflicts. • Users' capacity and willingness to pay. • Disaster risks. III. ENVIRONMENTAL IMPACT In order to identify the impacting actions, a list of actions that will occur in the future has been developed, which are broken down from the construction phase and operation phase. After identifying the impacting actions, the following measures and plans were developed: • Mitigation and/or prevention measures during construction and operation stages • Environmental monitoring plan • Monitoring plan during construction and operation stages • Closure plan IV. CHOICE OF ALTERNATIVE	were on medical leave due to COVID-19.	

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						Based on the results of the social cost-benefit evaluation process, it is concluded that the most cost-effective alternative is the technically feasible alternative No. 1. V. FINANCING • Execution Phase Financing The financial resources for the implementation of the project will be managed and/or assigned by the Regional Government of Cajamarca, within the framework of its competencies in agricultural matters, as well as in accordance with its regional and sectoral policy guidelines. The implementation of the project is also framed within the strategic objectives of the Institutional Strategic Plan of the Regional Government of Cajamarca the Regional Climate Change Strategy. On the other hand, this project has been registered as an investment idea in the Multiannual Investment Program 2022-2024. • Financing in the operation phase The financing of the operation and maintenance costs will be in charge of the Irrigation Commission of Santa Ana. VI. PRESENTATION TO PROJECT BENEFICIARIES On August 20, 2021, the pre-investment study was presented to the users of the irrigation canal Jandón – Palo Blanco. The meeting was attended by officials from the Formulating Unit of the DRA-Cajamarca and the Agricultural Agency of Contumaza. An acceptance agreement for the investment project was also signed.		
			Two irrigation investment studies incorporating climate change	100%	99%	**Technical File in Piura:** Regarding the Environmental Management Report (IGA) of the investment project's technical file, the General Bureau of Agricultural Environmental Affairs (DGAAA) by means of official communication no. 922-2022-MIDAGRI-DVDAFIR-		

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			adaptation measures			DGAAA sent to the Regional Government of Piura the Report No. 0082-2022-MIDAGRI-DVDAFIR/DGAAA-DGAA-YMGL, and the General Management Resolution No. 0375-2022-MIDAGRI-DVDAFIR/DGAAA, which approves the Environmental Management Report of the Public Investment Project denominated "Improvement of the water service of the T-28 Canal Irrigation System, Valle de los Incas, district of Tambogrande, province of Piura, Piura region", with CUI No. 2270795. With the approval of the IGA, it is necessary to update the technical file. To this end, the terms of reference have been prepared to carry out the "Updating of metrics, costs, budgets and final report of the technical file of the infrastructure component of the single code investment project No. 2270795 "Improvement of the water service of the T-28 Canal Irrigation System, Valle de los Incas, District of Tambogrande, Province of Piura, Piura Region" **Technical File in Áncash** On May 31, 2022, the National Committee of the AICCA Project was held, which, on the basis of its functions, accepts the request of the Users' Committee of Toma Grande, Cruz Pampa – Picup to transfer to the District Municipality of Independencia – Huaraz the technical file "Improvement and extension of irrigation water service in the localities of Toma Grande, Cruz Pampa - Picup, District of Independencia, Huaraz - Ancash" with CUI No 2325108; and requests CONDESAN to make the transfer effective. To date, coordination has been made with the major of the Municipality of Independencia-Huaraz, in order for the PI (incentive program) to enter again in the PMI (Multiannual Investment Program) and thus make the transfer effective.		

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						Profile of the investment project in the region of Cajamarca On May 6, 2022, the Formulation Unit of the Regional Government of Cajamarca, has granted the feasibility of the pre-investment study "Improvement and expansion of the irrigation water service in the hamlets Jandón and Palo Blanco of the districts of Contumaza and San Benito", province of Contumaza, Cajamarca region– CUI No. 2550061 with CUI No. 2550061 in the format No. 07-A Investment Project Registration. In this sense, the project will now be executed.		
			Gender Equality and climate change Plan for the project in implementation	100%	100%	The activities carried out in relation to the implementation of the Gender Action Plan are as follows: i. Reporting and implementation of the Gender Plan: - As for knowledge management: it was possible to generate technical information that incorporates the gender and intercultural approach based on the tools for mainstreaming the gender approach of the AICCA project; and other materials generated by the General Bureau of Climate Change and Desertification of the Ministry of Environment (MINAM), in a total of 26 technical documents. - As for capacity building: three levels of sensitization, induction and capacity building programs were developed for a) women and men specialists in different disciplines of the AICCA project; b) consultants of the AICCA project, national or sub-national officials with whom the AICCA project interacts to ensure the incorporation of the gender and interculturality approach; and c) Committee of representatives and/or users of irrigators directly related to the management of water resources in the areas of project intervention. A total of 262		

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						people were trained on gender and climate change (146 men and 116 women). - As for management instruments: The booklet "Gender approach and NDC of Adaptation to CC, Water for Agricultural Use in the COVID 19 Context" aimed at officials and civil servants of NDC implementing entities, and the "Cross-Cutting Issue Checklist" designed for officials, specialists, project consultants, etc., were produced. ii. Evaluation of participation and perception of training programs: The participation of people in the level 1 training program (aimed at officials and consultants) was 48.54% women and 51.45% men, showing a gap of 2.91%. - Regarding the participation of people in the level 3 training program aimed at water users, 41.50% of the participants were women and 58.49% were men, showing a gap of 16.99%. - The evaluation of the training programs was carried out by means of a survey/interview form on the perception of feedback and learning from 5 consultants trained on gender and climate change, and 10 farmers in the community of Ancash. The following results were obtained: o The most representative age of the sample was 50-59 years old (rural area). o The score assigned to training is in the range of very good, representing 75%, while 25% consider it as regular. o They indicated that they received new knowledge related to climate change, water and climate change (hazards such as droughts and floods) and adaptation measures such as technified irrigation.		

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						o The usefulness of this new knowledge is related to economic activities, improving the quality of life, and caring for the environment. o The media through which they were informed about climate change were: workshop 100%, bulletin board 33.3%, and hand-out 22.2%. ii. The affirmative measures implemented in the AICCA project in Peru were: i) to promote the participation of women and men in the co-responsibility for the care of children and other members under their care; ii) actions that promote parity and alternation of key stakeholders; and ii) promotion of a life free of violence.		
			Implementation of the adaptation measure of the agricultural NDC of the value chains component: Implementation of strategic agroclimatic information services for adaptation to the effects of climate change	100%	66%	Early Warning System (EWS) Technical File in Piura On March 9, 2022, the consistency of the Investment Project (IP) unique code No. 2270795 "Improvement of the water service of the T-28 Canal Irrigation System, Valle de los Incas, District of Tambogrande, Province f Piura, Piura region" was carried out, approving the components 2 and 3 of the PI. On April 20, 2022, the purchase for the Acquisition, Installation and Commissioning of a (01) Automatic Weather Station was awarded. To date, a procurement contract is being prepared. On April 21, 2022, the construction of the Perimeter Fence for the Automatic Weather Station located in Vivero Hualtaco - Tambogrande – Piura was awarded, which to date has already been built. Finally, on June 16, 2022, the purchase for the Acquisition, Installation and Commissioning of a (01) server and (01) workstation that will support the Automatic Weather Station located in Vivero Hualtaco - Tambogrande – Piura. The contract is currently being drafted.		

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						<u>Awareness raising and training program on MACC in the region of Cajamarca</u> On June 6, the implementation of the "Awareness raising and training program on Climate Change Adaptation Measures in Irrigation Water in the hamlets Palo Blanco y Santa Ana of the District of Contumazá in the region of Cajamarca", mainly for the benefit of 86 farmers. The activity was carried out in coordination with the Regional Agricultural Department of Cajamarca, the Ministry of Environment (MINAM), Ministry of Agricultural Development and Irrigation (MIDAGRI) and the project beneficiaries. The following contents were addressed: Module 1.- Climate change adaptation and community management Module 2.- Sowing and harvesting water Module 3.- Strengthening the organizational capacities of the irrigation water users' committee Module 4.- Adaptation measures identified in the pre-investment study of the investment project "Improvement and expansion of irrigation water services in the hamlets Jandon and Palo Blanco of the districts of Contumazá and San Benito, province of Contumazá, department of Cajamarca" <u>Capacity building program on business tools for adaptation to climate change in the Cajamarca region</u> On June 6, the implementation of the "Program to strengthen the capacity of irrigation water users in the hamlets Palo Blanco and Santana, in the district and province of Contumaza, in the Cajamarca region, on business strategies		

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						for the adoption of climate change adaptation measures in value chains", in benefit mainly of 86 farmers. The activity is carried out in coordination with the Regional Agricultural Department of Cajamarca, the Ministry of the Environment, Ministry of Agricultural Development and Irrigation (MIDAGRI) and the project beneficiaries. In this context, business plans were prepared for the following cooperatives: – Cooperativa Agraria de Cultivos Andinos Cajamarca – COANDINOS: Improvement of production and marketing of organic quinoa. – Cooperativa Agraria del Chicama, Palo Alto, Contumaza: Improvement of production and development of its own marketing channel for table grapes – varieties: Gross Colman, Red Glove and Moscato. Likewise, two workshops were conducted with the CONADINOS Cooperative with the partners of the Cooperativa Agraria del Chicama, COANDINOS Cooperative; and with Cooperativa Agraria del Chicama, Palo Alto.		
			Design of the operational model for the monitoring of the NDC in agriculture and water	100%	90%	For the computerized module of Monitoring and Evaluation of the NDC - Agriculture for the two prioritized Climate Change Adaptation Measures (MACC), a digital product is being structured containing: 1. Safety modules: which provide access control support to the modules, options within each module and specific actions to be performed within the options. 2. User registries: which allow you to add users, identifying the type and number of document, surnames and names, institution to which they belong, office and position;		

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						the assignment of roles at the level of administrator, coordinator, task manager and supervisor. 3. Institution registries: which consider the identification of the institutions involved. For the institution code, the acronyms of those entities involved have been considered for the two prioritized MACC. 4. Area registry: which considers the following variables: area code (acronym), name of the area, address or general office to which the area belongs and institution. 5. MACC registry: all the data necessary for measuring the MACC indicators is recorded. This information includes: a) MACC identification, b) description of the measure, c) measure indicator, d) targets, e) methods, and f) procedures and data. 6. Computer submodules - Dashboard: this includes the Dashboard which shows the progress of the indicators for measuring the implementation of the MACC. 7. Computer submodules - database: the database that stores the related data in a structured manner, so that they can be edited and consulted in different ways, was completed. 8. Computer submodules - Medium- and long-term evaluations: which considers as sub-processes a) the collection of information from the MACC, b) prioritization of the MACC, c) preliminary assessment of the MACC, d) evaluation by criteria of the MACC. 9. Computer submodules – Climatic Risk: A proposal was presented to enter climate risk studies, which would be		

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						subdivided into a) study registration, b) climate change-related hazard, c) exposure, d) vulnerability, e) risk, f) maps.		
			Development of communicational products related to the project components	100%	100%	The graphic communication materials on the studies to determine the hazards associated with climate change in the regions of Ancash and Cajamarca were completed and are in the process of being updated according to the recommendations given by specialists of General Bureau of Climate Change and Desertification (DGCCD) of the Ministry of Environment.		

Overall project implementation progress *(To be completed by CAF- GEF Task Manager. Please add columns to reflect prior years' ratings):*

March 2018	June 2019	Comments/narrative justifying the rating for this FY and any changes (positive or negative) in the rating since the previous reporting period
MU	MU	During this reporting period (March 2018 – June 2019) the project was successful in embedding and aligning its interventions with country climate change strategies and policies which will be instrumental to ensure the long-term sustainability of the initiatives and systemic changes promoted by the AICCA initiative. Likewise, the project completed the definition and establishment of governance, administrative, financial, and monitoring and evaluation procedures in alignment with the PRODOC, the Cooperation Agreement signed with CAF, and the GEF Guidelines on Project and Program Cycle. Having said this, overall progress in project implementation can be considered as marginally unsatisfactory as project activities have been executed with considerable deviations from the work plan approved for this year and key products like the Environmental and Social Management Framework, Gender Mainstreaming Strategy, and Project Communication Plan are not yet completed. Out of the 53 targets planned for this year 27 were 100% completed and 20 had a rating less than satisfactory (5HU, 9U, 1 MU and 5 MS)[4]. Major issues related to this low performance include: • Political changes at partner organization and complex validation processes delayed the revision and approval of TOR´s and technical products; (Ecuador, Peru, and Colombia) • Difficulties faced by the country teams in getting the buy-in and timely involvement of local stakeholders in the provision of technical inputs and approval of products (Bolivia, Peru, Colombia). • Quality control issues leading to an average of 5 reviews and timeliness of project reporting (RCU and country teams) • Insufficient man-hours effectively allocated to key project activities including the setup and implementation of the M&E system, the development of project implementation plans, and execution of regular progress monitoring activities (Country teams and RCU). • Delayed appointment of an administrative coordinator to the Project (216 days) leading to delays in the delivery of quarterly financial reports (40 days delay in average per report) (RCU) • Incomplete project team (M&E professional not yet contracted) which compromised the quality and timely execution of project progress monitoring and reporting activities (RCU) • Delayed development and full set up of the M&E operational system for the project (221 days) which led to the late training of project teams in the application of the M&E tools (training took place on June 6th 2019) (RCU) • Turnover of project staff in Peru (2) To secure the successful achievement of project objectives it is critical that in the second fiscal year the Executing Organization adjusts and implements improved operational practices and processes. This to overcome all issues identified in this report and integrate the learning attained to improve the assertiveness of the team in project planning, reporting and execution. These issues and recommendations have been reviewed and discussed with the Regional Coordination Unit.

July 2019	June 2020	Comments/narrative justifying the rating for this FY and any changes (positive or negative) in the rating since the previous reporting period
MS	MS	During this reporting period (July 2019 – June 2020) the project continued being successful in embedding and aligning its interventions with country climate change strategies and policies which will ensure the long-term sustainability of the initiatives and systemic changes promoted by the AICCA project in each

[4] Calculation includes the 6 targets planned for the RCU

		country. Likewise, the project completed the development of products and implemented several enabling environment conditions required for the design and implementation of climate change adaptation measures planned under component 3 of the Project Document. Having said this, by the closure of this reporting period, the project executed 47% (US$1,889,145.20) of the total budget planned for year two, with Bolivia evidencing the lowest execution rate (19%) among the four countries: 42% in Colombia; 48% in Ecuador; and 71% in Peru. The budget that was not executed in year two has been rescheduled for the second and third quarter of year three. Out of the 82 targets planned for this year, 43 were 100% completed and 25 had a rating less than satisfactory (1HU, 7U, 8 MU and 9 MS). The RCU completed 2 out of the 10 targets planned and executed 50% of the total budget planned for year two. Moreover, this year the project implemented only 10% of the total budget planned for the execution of regional knowledge management activities with an outreach limited to project team members and government partners only. Mayor implementation issues faced within year two include: • Lack of proactive management in the mitigation of the reporting issues identified in year one leading to continuous delays in the submission of project reports (an average of 37 days delay) and subsequent inability to comply with the deadlines stipulated in the CAF-CONDESAN cooperation agreement (RCU); • Lack of proactive monitoring and mitigation of the issues identified in year one regarding the complex reviewal and approval processes of technical products leading to delays in project technical and financial execution in year two (RCU and country teams); • Lack of proactive monitoring of the funding committed by the country partners leading to the slow cofinancing reported by Peru and Colombia by the end of year two (RCU, Country teams and partners in Peru and Colombia). • The delayed appointment of an M&E expert (February 2020) which compromised the quality and timely execution of project progress monitoring and reporting activities within the first semester of this reporting year (RCU); • Delays in completing the registration process of CONDESAN for operating projects in Bolivia (RCU, Country team and government partners in Bolivia); • Insufficient man-hours effectively allocated to key regional activities including the development of knowledge development products, set up of a project website, development of annual reports, consolidation of best practices and lessons learned, etc. (RCU); • The decision of the government counterpart in Bolivia to put on hold the approval of products and terms of references due to the political unrest (RCU and country partners in Bolivia); • The high rate of turnover among public officials following changes in national governments, and political and social protests which affected validation processes and delayed the revision and approval of technical products (Bolivia, Ecuador, Peru, and Colombia); • Postponement of planned field activities including face-to-face meetings, trainings, workshops, and the implementation of pilot climate-change adaptation measures in the field due to the travel restrictions put in place in response to the COVID-19 outbreak (All countries); Within the first months of the third year, the Regional Coordination Unit will need to implement the needed actions to adjust and improve project management operations and monitoring and decision making to secure the implementation of fast-track actions that allow the completion of all project objectives on time, within budget, achieving the intended impact, and to a level of quality that is satisfactory to GEF, country partners and CAF.

July 2020	June 2021	Comments/narrative justifying the rating for this FY and any changes (positive or negative) in the rating since the previous reporting period
Satisfactory	Satisfactory	Last year, the financial execution of the project was the highest execution throughout the entire project. As of June 2022, the financial execution of the project sums to $8.27 million, which represents 85% of the total budget and is related to the 52 finished outputs out of 60 planned. With the exception of Bolivia, the other countries Ecuador and Peru have achieved an execution of 93% of the assigned resources, and Colombia that has executed the total of its budget.

		Within the first months of the last year, the Regional Coordination Unit will need to focus on the sustainability of the implement activities, the outputs obtained and the expected outcomes. Finally, it is time to show the results obtained, systematize all the learning that the project leaves behind, the good practices and the lessons learned.

Action plan to address MS, MU, U and HU rating. *(To be completed by CAF Task Manager in consultation with Project Manager)*

Action(s) to be taken Year 1 March 2018 – June 2019	By whom?	By when?
Monitor the efficient planning and allocation of man-hours to the project.	Regional Coordination Unit	August 2019 - onwards
Ensure the contracting of the project M&E professional to support country teams in monitoring progress towards envisioned results	Regional Coordination Unit	August – September 2019
Develop a risk management and reporting plan for country teams and secure a monthly reporting to the RCU and quarterly reporting to CAF	Regional Coordination Unit and Country teams	August – onwards
Revise the country PIPs for the second fiscal year and identify efficiencies in the work plan, potential implementation risks and the support required by the country teams to secure the quality and timely execution of project activities.	Regional Coordination Unit and Country teams	August – September 2019
Develop quality standards at the output level and ensure they are clearly communicated and explained to all project team members.	Regional Coordination Unit	August – September 2019

Action(s) to be taken July 2020 – June 2021	By whom?	By when?
Meeting with Executing Organization to (i) revise performance of year two and outline the corrective actions required to improve the project management issues outlined in this report and strengthen internal quality control processes; (ii) identify improvements required to the development, revision, and approval processes of technical and financial reports in order to ensure full compliance with deadlines stipulated in the CAF-CONDESAN cooperation agreement; and (iii) identify efficiencies to reduce the time required for the revision and approval of terms of reference and technical products developed by the project.	RCU and CAF	September 2020
Secure a coordinated and effective allocation of man-hours and financial resources to the implementation of knowledge management activities giving particular attention to (i) the setup of the project website and systems required to reach the more than one million beneficiaries planned under impact targets 5, 7 and 8; (ii) measure and track the outreach of knowledge management activities implemented; (iii) consolidation of best practices and lessons learned of project implementation; (iv) dissemination of country technical products; (v) the organization of regional knowledge exchange webinars and other mechanisms relevant to the actual context.	RCU and Country Teams	July 2020 - onwards
Monthly monitoring of activities and risk which are critical for the success of the project.	Country Teams & Regional Coordination Unit, CAF	July 2020 – June 2021
Complete the registration of CONDESAN in Bolivia	RCU and Country team in Bolivia	October 2020
Formal communication with country counterparts to address the slow cofinancing reported by Peru and Colombia for year two.	RCU, Country Teams in Peru and Colombia, NFP	September 2020
Implementation of fast-track actions to mitigate the slow cofinancing reported by Peru and Colombia by December 2020	RCU, Country Teams in Peru and Colombia, NFP	December 2020
Monthly follow up on the submission of evidence of the fast-track actions the RCU is implementing to mitigate the slow co-financing reported by Peru and Colombia	CAF	September 2020 – onwards
Develop and implement the protocols required to allow the implementation of project activities in the field in the context of the COVID-19 pandemic	RCU	October 2020

Complete the assessment of a non-cost extension of the project to compensate for the setback in project execution caused by the travel restrictions put in place due to the COVID-19 pandemic	RCU	July 2021

This section should be completed if project progress was rated MS, MU, U or HU during the previous Project Implementation Review (PIR) or by the Mid-term Review/Evaluation (To be completed by Project Manager).

Problem(s) identified in previous PIR (Year 1: March 2018 – June 2019)	Action(s) taken	By whom	When
Delays in the technical and budgetary execution of the Project	- Activities and acquisitions with larger budgets were rescheduled from the third to the second year, to advance their implementation and reduce the gap in technical and budgetary execution versus the Project schedule. - A monthly spending plan was developed to accompany the execution strategy created to complete the Project activities on time. - A quarterly risk analysis was prepared to update and identify the risk mitigation actions that are activated periodically.	Regional Coordination Unit	September – December As of September, 2019
An overload of revision of terms of reference and products, preparation of planning documents and technical reports, which produced delays in the presentation and affected the quality of the Project documents.	- The regional team was reinforced with the hiring of a TT and M&E specialist who leads the knowledge management activities of component 1 and a communications specialist consultant. Together, they are updating the Regional Communications and Knowledge Management Plan of the Project. - The regional coordinator and the M&E Specialist implemented a review and control mechanism of the technical documents of the Project, to guarantee the quality of the information in the technical reports.	Regional Coordination Unit	As of February, 2020
Stage of change of government, ministerial cabinet changes and associated social problems in the four countries.	- Requests for the designation of new National Focal Points, technical counterparts and delegates to the National Committee were processed. - Meetings to socialize the importance of project implementation were held with decision makers at different levels of government with the new authorities. - Development of information meetings and coordination of the activities to be carried out with the designated focal points.	Regional Coordination Unit & Country teams	As of September, 2019
Officials designated as Technical Counterparts and Subnational Focal Points were subject to rotation due to political transitions	- Bilateral working meetings were held with the newly appointed officials to ensure continuity of the Project activities.	Country teams	As of September, 2019

Problem(s) identified in previous PIR (Year 1: March 2018 – June 2019)	Action(s) taken	By whom	When
Delays in the review and validation carried out by the designated technical specialists in the institutions in each country of the terms of reference, consulting products, and technical reports of the Project Team.	- A schedule of bilateral meetings was defined with the designated technical specialists to ensure the review and validation of the project products within the established times.	Country teams	As of September, 2019
Delays and postponement in reviews and approvals of specialized products due to the high technical complexity of climate information, required specialized and articulated work.	- A schedule of periodic technical meetings and evaluation of progress of the studies was established in coordination with the representatives		
Lack of definition of the mechanisms to implement the Climate Change adaptation measures in the territory related to productive projects (private properties/associations)	- The guidelines for the implementation of the Adaptation Measures in private properties were defined and approved.	Regional Coordination Unit & Country teams	As of October, 2019
Problem(s) identified in previous PIR (Year 2: July 2019 – June 2020)	**Action(s) taken**	**By whom**	**When**
Meeting with Executing Organization to (i) revise performance of year two and outline the corrective actions required to improve the project management issues outlined in this report and strengthen internal quality control processes; (ii) identify improvements required to the development, revision, and approval processes of technical and financial reports in order to ensure full compliance with deadlines stipulated in the CAF-CONDESAN cooperation agreement; and (iii) identify efficiencies to reduce the time required for the revision and approval of terms of reference and technical products developed by the project.	The following actions have been developped this year: (i) - At the beginning of the third year of the project, a meeting was held with the members of the LTNs, the CR, the specialist of SM&E and the Executive Director of CONDESAN to comment on the observations of the previous PRI and to correct the timing of the delivery of the reports. It was agreed to have a schedule with more advance notice and to send the reports on time, an agreement that has been fulfilled throughout the year. In this year, the schedules are sent to the LTN in advance and continuous reminders are made to meet scheduled deadlines. (ii) – Preparation of delivery schedules for technical and financial reports, taking into account lessons learned from time, including review by the different instances, signature of the NFP, consolidation and quality control by CR. – As part of the preparation process of the POA/PAC 2020-2021, a broad range was established in the description of the line item allocation, in this way, the line items cover the totality of activities expected for each process, avoiding time-consuming adjustments to the line items. – Strengthen and adjust the internal control mechanism: • First review: review by LTNs (National Technical Leaders) of the correct allocation of expenses on a monthly basis (this	RCU and CAF	September 2020 onwards

Problem(s) identified in previous PIR (Year 1: March 2018 – June 2019)	Action(s) taken	By whom	When
	was previously done, but the periodicity has been modified so that it is reviewed each month based on a lower number of expenses). • Second review: review of the correct allocation of expenses by CR (Regional Coordinator) (this was previously done). • Third review: peer review of the QES by the CR and administration (process adjustment). • Fourth review: peer review of the inputs to the Financial Report by the CR and administration (process adjustment). • Fifth review: peer review of the final consolidated version of the Financial Report and request for disbursement by the CR and administration (process adjustment). - This process is reflected in the update of the Operating Manual, which is currently in progress. (iii) - Bi-weekly meetings are held with the LTNs where it is reviewed from the conceptualization of the ToR (Terms of Reference) to the final document, which has meant less time for the final review of the documents. The ToR are built with greater precision and clarity. By the end of the third year, the time spent reviewing the ToR has been considerably reduced, with a maximum of 7 days (1 week) for its validation by UCR and Executive Management of CONDESAN.		
Secure a coordinated and effective allocation of man-hours and financial resources to the implementation of knowledge management activities giving particular attention to (i) the setup of the project website and systems required to reach the more than one million beneficiaries planned under impact targets 5, 7 and 8; (ii) measure and track the outreach of knowledge management activities implemented; (iii) consolidation of best practices and lessons learned of project implementation; (iv) dissemination of country technical products; (v) the organization of regional knowledge exchange webinars and other mechanisms relevant to the actual context.	In this third year, the communications professional dedicated 50% of her time to the AICCA Project. In addition to this, a regional communications assistant has been hired to support regional activities and to enhance national communications in each country. As a result, more than 1.7 million people has been reached with key messages on climate change impact, vulnerability and adaptation, surpassing the target of the TT 5. In the fourth year, her time will increase 75% and will continue to be supported by a regional communications assistant. Additional activities have been identified with each country to reach the goal of TT 7. Regarding TT 8 and TT3, it will be reviewed again with the technical teams and the broadest possible scope will be defined based on the technical activities. It was decided to review its scope in an extraordinary Regional Committee.	RCU and Country Teams	September 2020 – onwards January 2021 - onwards

Problem(s) identified in previous PIR (Year 1: March 2018 – June 2019)	Action(s) taken	By whom	When
	- A concept note will be developed, which guides and defines the Project's regional activities such as common denominators, cross exchanges and regional systematizations. It has been established that in the fourth year, the knowledge management professional has 75% of her time dedicated to the Project in order to carry out the defined regional activities.		
Monthly monitoring of activities and risk which are critical for the success of the project.	- Follow-up meetings are held every two weeks with the LTNs where the main risks associated with project activities are identified and managed. - A specific biweekly review process has been established for one of the most risky activities of the project, the construction of the Sustainable Urban Drainage Systems.	Country Teams & Regional Coordination Unit, CAF	
Complete the registration of CONDESAN in Bolivia	- In October 2020, the registration of CONDESAN as a non-governmental organization in Bolivia was completed and the process of complying with the additional requirements was initiated.	RCU and Country team in Bolivia	October 2020 - onwards
Formal communication with country counterparts to address the slow cofinancing reported by Peru and Colombia for year two.	Colombia: - Identification of activities and components of the MADS planned counterpart contribution by the AFD project. - Request for presentation of preliminary cofinancing report as of December 2020. - Accompanying the progress review meetings between the LTN and the institutional cooperation offices of MADS, Colombia. Peru: - Request for submission of a counterpart contribution report of the GORE (Regional Governments) as of December 2020 in order to measure the response time and quality of the information submitted, in order to take improvement and/or corrective actions in terms of content and time for the presentation of the third-year report (as of June 2021). - Support to the GORE in preparing this report (letters and request for support to be issued) to facilitate the process for the AICCA Peru team.	RCU, Country Teams in Peru and Colombia, NFP	September 2020- June 2021
Implementation of fast-track actions to mitigate the slow cofinancing reported by Peru and Colombia by December 2020		RCU, Country Teams in Peru and Colombia, NFP	September 2020- June 2021

Problem(s) identified in previous PIR (Year 1: March 2018 – June 2019)	Action(s) taken	By whom	When
Develop and implement the protocols required to allow the implementation of project activities in the field in the context of the COVID-19 pandemic	Development of clear and rigorous safety protocols prepared by DONDESAN to restart the implementation of activities in the four countries that have made it possible to continue with the planned actions.	RCU	Agosto 2020
Complete the assessment of a non-cost extension of the project to compensate for the setback in project execution caused by the travel restrictions put in place due to the COVID-19 pandemic	Development and approval of a proposal for the extension of the Project based on the fulfillment of each country's goals and the available budget. Approval of an addendum to extend the Project up to November 2022. The closure will be phased within the countries. In Colombia and Peru, the technical closure will be in March and the administrative closure in May 2022. Ecuador will close technical activities in May 2022 and administrative closure in August 2022. Bolivia will close technical activities in August 2022 and administrative activities in September 2022.	RCU	December 2020 – Julio 2021
Identify, document, and share at regional level common denominators regarding adaptation to impacts of CV/CC for water security	Definition of a concept note for the identification of common denominators based on the Project's regional intervention strategy. A study will be prepared for its analysis. It has been established that the common denominators refer to the factors that promote the climate resilience processes addressed by the AICCA project, among them: governance; community participation and local knowledge; planning and preparation; networks of cooperation and trust; inter-scale approach; learning; diversity of options. Currently progress is being made with the ToRs for the development of the study.	(RCU)	September 2020- onwards

1.3. RISKS

2. RISK FACTOR TABLE

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
Management structure	Stable, with roles and responsibilities clearly defined and understood	Individuals understand their own role but are unsure of responsibilities of others	Unclear responsibilities or overlapping functions, which lead to management problems	X						**PM:** The roles and responsibilities of the project's technical and administrative teams, as well as the members of the Regional Committee, are clearly established in the project's Operational Manual. TM: We agree with the assessment.	X					
Governance structure	Regional Committee and/or other project bodies meet periodically and provide effective	Project bodies meet periodically but guidance and inputs provided to project are inadequate. ToR is unclear.	Members lack commitment and project bodies do not fulfill their ToRs.	X						**PM:** The mid-term evaluation recommended greater involvement of the Regional Committee in the follow-up of key project milestones to ensure compliance. The UCR has developed a proposal to address these recommendations, which has been validated with CAF and will be presented at the Fifth Regional Committee for its approval. Based on this, during Year 4, several meetings were organized (both of CR as bilateral meetings with NFP - National Focal Point and Presidency) to keep them informed of progress and promote greater collaboration and responsiveness, which has been key to activating processes at the national and regional levels.						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	direction and inputs									**TM:**						
Internal com-munications	Communi cations are fluid and cordial	Communicati on processes are deficient, but relationships between team members are good	Lack of adequate communication between team members leads to the deterioration of professional relationships	X						**PM:** Although the pandemic situation was a limiting factor for face-to-face meetings, technical team members, national and subnational focal points and technical counterparts communicate regularly, clearly and effectively through virtual means. Likewise, in this year the Extraordinary Meeting of the Regional Committee was organized (Colombia, June 24-29, 2022) in a face-to-face format. This strengthened internal relationships with the entire team, partners and NFP. In response to the recommendations of the mid-term evaluation, Project communication has been reinforced at all levels, updating the Knowledge Management and Communication Plan, which has an internal communication section. One of the mechanisms to strengthen the exchange of information among project stakeholders has been the dissemination of two information bulletins on Project activities to partners in the four countries and to the general public. TM: .						

Workflow	Project progressing according to work plan	Some changes in project work plan, but without major effects on the overall timetable	Major delays or changes in the work plan or implementation methods		X					**PM:** The restrictions due to the sanitary emergency had implications for the execution of the project's field activities, particularly during the third year. However, based on the new governmental regulations in each of the countries, this fourth year it has been possible to implement the planning satisfactorily and under biosafety protocols to protect the health of all those involved. In addition, several key processes have been activated for the fulfillment of project Outcomes and Outputs, based on the definition of roadmaps and/or contingency plans, which have been useful tools to articulate the efforts of the AICCA teams and partners. In Colombia all planned activities have been 100% completed. At the time, a contingency plan was activated for the maintenance of the restoration plots given the delay in the rains, thus avoiding the loss of the investment made by the project; the other activities were carried out without difficulty. In Ecuador, this fourth year it was possible to award and implement the construction of the drinking water system of Santa Teresita, one of the Climate Change Adaptation measures with the highest investment. As of June 2022, significant progress is reported and it will be completed on schedule, as well as the other non-risk activities. In Bolivia the bidding, selection and awarding process for the construction of the Pilot Project "SUDS" in Sacaba has been activated. In this activity a large proportion of the project's budget is invested in Bolivia, and is already in the implementation phase. The AICCA team (Bolivia and UCR) is continuously monitoring the execution of the work. During its execution, moderate risks have been identified (e.g., lack of material in the area for the construction of the work, use of the park's physical space by users during vacations, requests from the park's residents for compliance with previous commitments of the Municipality of Sacaba) and, and together with the construction contractor, mitigation measures are being activated (e.g. parallel implementation of work fronts, procurement and use of substitute materials). In Peru, the third and fourth waves of COVID-19 caused several consultants and specialists to become infected, incurring delays in some consultancies, particularly in the development of the monitoring and evaluation system for the NDC – Agriculture, where it was necessary to wait for the full recovery of the consulting team due to the specialized nature of the subject. As a response mechanism, weekly meetings have been organized to review the progress of the consultancy, while MINAM has reinforced the output review team, incorporating a systems specialist as technical support. Finally, at regional level, thanks to the increase in personnel and capabilities of the UCR, it has been possible to design and implement the regional strategy of the AICCA Project. At the end of the fourth year, the goal of the Outcome Indicator No. 4 under their responsibility has been fully met. Likewise, regional processes and consultancies have been activated and are being monitored by UCR for the Outcome 5, 2 and 1. Considering the extension of the term of the Agreement between CAF-CONDESAN until May 2022 (agreed upon in the Addendum signed on July 25, 2022), operations in the four countries are expected to be closed in the first half of the year 5. Close monitoring and coordination of the active processes is carried out through UCR and LTN; if risks are identified, the parties involved are alerted to take corrective actions. **TM:**						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
Co-financing	Co-financing is secured, and payments are received on time	Co-financing is secured, but payments are slow and bureaucratic	A substantial part of pledged co-financing may not materialize	X						PM: Since the second year of the project, co-financing at the global level has exceeded the amount committed. The project has continued to report contributions from counterparts in coordination with the NFP (National Focal Points). In case of Peru, in coordination with MINAM, MINAGRI and the Regional Governments, contributions have been managed to meet its counterpart contribution at the country level. In case of Peru, although the execution of the works carried out by the Regional Governments of Cajamarca and Piura are the ones that support the co-financing amounts, these have been postponed since the regional governments have prioritized the execution of health and education works due to the pandemic. However, the Regional Government of Cajamarca has sent its counterpart contribution 2022 for 2.048.851,30 USD, and the Regional Government of Piura for 2.686.460,80 USD. Moreover, the Ministry of Environment (MINAM) and the Ministry of Agricultural Development and Irrigation (MIDAGRI) presented their counterpart contributions valued in kind of personnel for an amount of 502.540,58 USD and 141.430,73 USD respectively. In this way, it has been possible to meet the proposal amount, and the risk of not meeting the requested amount has been eliminated. **TM:**						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
Budget	Activities are progressing within the planned budget	Minor budget reallocations are needed	Reallocations between budget lines exceed 30% of the original budget	X						**PM:** In compliance with the provisions of the Operating Manual, no objection requests have been made in the required cases. In Peru, the National Superintendence of Customs and Tax Administration (SUNAT) has returned the General Sales Tax (IGV) generated by the project. In this regard, during the Sixth Regional Committee (CR) of the AICCA Project, it was agreed that CAF be requested to prepare the second addendum to ACP between CONDESAN and CAF, where the overall project budget is increased and the use of IGV and IPM funds recovered in Peru is made feasible. The proposal for use of funds (approved by NFP) has been sent to CAF for the implementation of activities that would strengthen the closure process. TM:						
Financial management	Funds are correctly managed and transpare	Financial reporting is slow or deficient	Serious financial-reporting problems or indications of	X						**PM:** Funds are managed in a responsible and transparent manner in accordance with the mechanisms and guidelines defined in the project's Operations Manual.						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	ntly accounted for		the mismanagement of funds							TM:						
Reporting	Substantive reports are presented in a timely manner and are complete and accurate, with a good analysis of project progress and implementation issues	Reports are complete and accurate but often delayed or lacking critical analysis of progress and implementation issues	There are serious concerns about the quality and timeliness of project reporting	X						**PM:** Reports have been prepared within the required deadlines, including reporting on output goals, outcomes and TT tracking indicators for the project, as well as the progress in budget execution by country and component. TM: .						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
Stakeholder involvement	Stakeholder analysis is complete, and critical stakeholders and partners have provided positive feedback	Consultation and participation process appear robust, but some groups or relevant partners are omitted	There are symptoms of conflict with critical stakeholders or evidence of apathy and lack of interest from partners or other stakeholders	X						PM: The project works in coordination with key stakeholders at the national and local levels, including focal points (national and subnational), technical counterparts, technical specialists from ministries, regional governments, etc. In addition, project beneficiaries actively participate in project execution. In Peru, since on July 28, 2021 a new president took office, there have been several management changes within the Ministry of the Environment (MINAM) and the Ministry of Agricultural Development and Irrigation (MIIDAGRI); before this situation, the project has been socialized with the key stakeholders within the MINAM and MIDAGRI so that they are aware of the activities and support the management of the project. TM:						
External communications	There is evidence that stakehold	Communications efforts are taking place, but	The project's existence is unknown beyond its	X						**PM:** This Year 4, the regional team had a team within the UCR that has boosted the implementation of the communication plan. The Project's communication actions have been highly successful.						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	ers, practitioners, and/or the general public understand the project and are regularly updated on its progress	there is no clear evidence that messages are being successfully transmitted	implementing partners or subject to misunderstandings concerning its objectives and activities							**TM:**						
Short-term/long-term balance	The project addresses short-	The project is focused on the short term, with	Longer-term issues are deliberately	X						**PM:** In collaboration with the national teams, the Regional Coordination Unit and the LTN, partnerships and agreements have been fostered to promote the sustainability and replicability of project activities.						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	term needs and achieves results with a long-term perspective, particularly in terms of sustainability and replicability	little understanding of or interest in the long term	ignored or neglected							TM:						
Scientific and technological issues	The project is based on sound science and well-establishe	The project's testing approaches, methods, or technologies are not always	The project is subject to many scientific and/or technological uncertainties	X						**PM:** Implementation of adaptation measures (Component 3) and the incorporation of Climate Change considerations into regulatory and policy instruments (Component 2) is based on the information generated in the Component 1, including climate change scenarios, to promote technically and scientifically sound actions.						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	d technologies	empirically verified but are based on a sound analysis of the options and risks								TM:						
Political influence	Project decisions are not politically motivated	There are signs that some project decisions are politically motivated	The project is subject to strong political influence that may jeopardize its objectives		X					**PM:** The AICCA project is implemented in continuous coordination with the relevant national ministries and local partners. Since the project design emphasizes country leadership, with several activities contributing to national climate change priorities, countries strive to take advantage of synergies between the project and national policy objectives. TM:		X				

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
EXTERNAL RISK																
Project context																
Political stability	The political situation is stable and predictable	The political situation is unstable but predictable and not a threat to project implementation	The political situation is very disruptive and volatile		X					PM: On July 28, 2021, Peru had a new president. In the first year of his administration there has been much political instability (i.e. five authority changes in the Ministry of Agricultural Development – MIDAGRI). The impact that this instability has had on the execution of activities has been the delay in the approval of products and activities scheduled in the POA. In the case of Bolivia, in this period, there is political stability after the electoral processes of 2020. The tenure of Ministry of Environment and Water staff (MMAyA), the Autonomous Departmental Government of Cochabamba and the Municipal Government of Sacaba has allowed progress to be made in the programmed tasks. In Colombia, in this fourth year planned activities were implemented in direct coordination with local and national stakeholders, despite the electoral process for the election of the President in June 2022, since the activities had already been concluded without any inconvenience. In Ecuador, in February 2021 the electoral process was carried out, with a change of president since May 2021. The most severe effect in terms of political instability occurred in June 2022, with the national strike led by the indigenous movement in rejection of the elected government's political and economic reforms. The strike lasted about 16 days, causing a certain level of delay in activities at the local level. TM:						

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
EXTERNAL RISK																
Project context																
Environmental conditions	The project area is not affected by severe weather events or major environmental stress factors	The project area is subject to broadly predictable disasters or adverse weather patterns	The project area experiences very harsh environmental conditions	X						**PM:** In Ecuador, specifically in the sub-basin of the Machángara River, province of Azuay extreme rainy weather conditions partially affected the progress of the work on the potable water system of Santa Teresita during the year 4. In Colombia, the delay of the rains put at risk the restoration activities; however, in coordination with local stakeholders, a contingency plan was activated (including the installation of tanks for irrigation and covers to reduce solar radiation) and thus avoiding negative effects on the restoration processes implemented TM:	X					
Social, cultural, and economic factors	There are no evident social, cultural, and/or economic issues that may affect project performance and results	Social or economic issues pose challenges to project implementation, but mitigation strategies have been developed	The project is highly sensitive to economic fluctuations, social issues, or cultural barriers	X						**PM:** In this Year 4, social, cultural and economic factors did not represent a serious barrier to its implementation. TM:			X			

				Project Manager Rating						Notes	Task Manager Rating					
Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
EXTERNAL RISK																
Project context																
Capacity issues	The technical and managerial capacity of institutions and other project partners is sound	Weaknesses in technical and/or managerial capacity exist, but these weaknesses have been identified, and remedial actions have been undertaken	Technical and/or managerial capacity is very low at all levels, and partners require constant support and technical assistance	X						**PM:** Both the AICCA project team and the partners at the different levels have demonstrated technical capacity, which has been fundamental in achieving the results obtained. TM:	X					
Enabling conditions for the execution of the project				X						PM: The registration of CONDESAN as a non-governmental organization in Bolivia was completed in October 2020. During this year 4 the arrangements have been made to comply with the reporting requirements under the Framework Cooperation Agreement with the Ministry of Foreign Affairs of Bolivia. Likewise, CONDESAN was registered with the National Tax Department and the Vice Ministry of Public Investment and External Financing. All these actions enabled the start of the execution of the pilot work "SUDS" in the municipality of Sacaba.						

If there is a significant (over 50% of risk factors) discrepancy between Project Manager and Task Manager rating, an explanation by the Task Manager should be provided below

NA

TOP RISK MITIGATION PLAN
Rank – importance of risk Risk Statement – potential problem (condition and consequence) Action to take – action planned/taken to handle the risk Who – person(s) responsible for the action? Date – date by which action needs to be or was completed

Rank	Risk Statement		Action to Take	Who	Date
	Condition	Consequence			
Political influences					
Bolivia					
Medium	Change of municipal authorities and technical staff in February 2022	Impacts on the implementation of project activities with major implications on SUDS design development.	Facilitate meetings with the new authorities of the different levels of government involved in the Project. Schedule and facilitate meetings with technicians to share the progress and planned tasks of the Project.	Project's team	February 2022
Governance structure					
Bolivia					
Substantial	Rotation of personnel designated as Focal Points, Technical Counterparts, delegates or in partner public institutions: at national, regional and municipal levels.	Delay in the execution of project activities and approval of final outputs.	Request for new delegates to the National Committee. Schedule meetings with new delegates to present the AICCA Project and coordinate activities to be carried out in 2022 in the project's closure stage.	Project's team	February 2022
Peru					
Medium	Rotation of officials designated as Technical Counterparts / Subnational Focal Points / due to political transitions caused by continuous changes in ministerial cabinets.	Delays in output approvals.	Facilitate meetings to establish clear periods for review and correction of comments with all parties involved.	Project's team	Permanent monitoring
Work Flow					

Rank	Risk Statement		Action to Take	Who	Date
	Condition	Consequence			
Bolivia					
Medium	Changes in the staff of partner institutions delegated to output review.	Delay in the review and approval of the products of the Pluvial Drainage Plan for the metropolitan area of Cochabamba.	Schedule ongoing meetings with stakeholders to define the scope, methodology and design of the Drainage Plan and adaptation to climate change measures.	Project's team	January 2022
Medium	Possible Modifications in the Design of the SUDS Pilot Project due to the characteristics of the work and the site.	Delays in SUDS implementation	Continuous monitoring of compliance with the planning and schedule of the execution of the work.	Project's team	January 2022
Medium	Delay of public management actions due to COVID-19 pandemic.	Delays in SUDS pilot work implementation	Follow up on compliance with the biosafety protocol at the construction site and request the inclusion of work fronts at the construction site.	Project's team	January 2022
Medium	Lack of technical personnel experienced in the new topics to be developed in the project's consultancies.	Delays in the implementation of consultancies and finalization of outputs.	Determine feasible scopes for the fulfillment of project outputs.	Project's team	January 2022
Ecuador					
Medium	Subnational restrictions in the provinces of Napo and Azuay due to the COVID 19 health emergency.	Delays in the implementation of climate change adaptation actions.	Field activities resumed at the construction work of Santa Teresita under the necessary safety conditions. In January, both the AICCA Ecuador team and some contractors were infected with COVID-19, but without severely affecting the execution of planned activities.	Project's team	January 2021 – June 2022
Colombia					
Medium	Suspension of field activities by COVID19.	Delay in the execution of field activities related to the implementation of adaptation measures.	Development of field activities under biosafety protocols that ensure the health conditions of technicians, consultants and residents.	Project's team	January 2021 – June 2022
Peru					

Rank	Risk Statement		Action to Take	Who	Date
	Condition	Consequence			
Medium	Subnational restrictions due to the COVID health emergency affect the development of the required administrative and field work.	Preparation times are extended (especially for technical files).	Prioritize studies that can be conducted in the office as the first products of the ToR, followed by field trips.	Project's team	Continuous monitoring
Medium	The conditions of social distancing due to the health emergency limit the face-to-face meetings of the technical team of AICCA with the entities linked to the project (MINAGRI, MINAM, SENAMHI and GoRes) and the consultants.	Slow coordination with the entities would affect the reviews of results provided by the consultancies.	Increase the virtual follow-up of the professionals of the entities that review the outputs.	Project's team	Continuous monitoring
Medium	Long approval process by the institutions involved in the development of communication products.	Delayed approval of outputs, especially publications and communication products.	Develop virtual meetings with stakeholders to approve communication outputs with clear agreements. Establish deadlines for the review of deliverables.	Project's team	Continuous monitoring
Regional Coordination Unit (all countries)					
Medium	Due to the health emergency caused by the COVID-19 pandemic, actions have been implemented considering biosecurity measures and work protocols to reduce the risk of contagion.	Reduced opportunities for supervisory travel.	Activate virtual follow-up mechanisms. Prioritize actions and activities to be implemented in a virtual format.	Project's team	January 2021
Budget					
Bolivia					
Substantial	Low budget execution	Activities are not completed within the planned schedule of the project, reducing the scope of the project.	Prioritize the implementation of the SUDS and the Sacaba Municipality's Pluvial Drainage Plan, which are the activities with the largest budget allocated to the project.	Project's Team and UCR	January 2022

Rank	Risk Statement		Action to Take	Who	Date
	Condition	Consequence			
			Realistic planning with the respective monitoring and periodic control of expenditures by the LTN and UCR.		
Regional Coordination Unit (all countries)					
Medium	Low project budget execution	Low budget execution may cause delays in the implementation of project activities.	Activate regional processes. Realistic planning with continuous monitoring by CR.	UCR	Permanent monitoring and follow-up
External Communications					
Regional Coordination Unit (all countries)					
Substantial	Contagion by COVID-19 of the technical team, consultants and/or suppliers.	Delay in the implementation of project activities	Continue teleworking. Activate face-to-face processes in compliance with protocols and biosafety measures.	UCR and project's team	January 2021

Project overall risk rating (Low, Medium, Substantial or High) (*Please include PIR risk ratings for all prior periods, add columns as necessary*):

March 2018 – Jun 2019 rating	Comments/narrative justifying the current FY rating and any changes (positive or negative) in the rating since the previous reporting period
Medium	At the regional level, the low rates of budget and technical execution observed during year one of the project have been identified as substantial risks. Corrective actions have been proposed for the first quarter of year two.
If a risk mitigation plan had been presented for a previous period or as a result of the Mid-Term Review/Evaluation, please report on progress or results of its implementation	
NA	
July 2019 – June 2020 rating	**Comments/narrative justifying the current FY rating and any changes (positive or negative) in the rating since the previous reporting period**

Medium	The low overall rates of budgetary and technical execution observed during the first and second year of project execution could continue in year three as well because of the conditions and mobility restrictions put in place due to the COVID-19 pandemic. Likewise, major risks and issues identified in year one, were not fully addressed and/or corrected in year two. Hence, in this third year of project execution, the RCU needs to ensure the proactive coordination, timely decision making, and effective monitoring and supervision to: • Address the slow co-financing reported by Peru and Colombia with the respective government counterparts and mitigate this risk by December 2020 (RCU and country teams in Peru and Colombia). • Secure the timely delivery of technical and financial reports in compliance with deadlines stipulated in the CAF-CONDESAN cooperation agreement (RCU); • Secure that all products and reports have gone through the required revisions and quality control processes before they are submitted as final to Supervision /Task Manager CAF (RCU); • Secure the implementation of efficiencies in order to reduce the time required for the revision and approval of terms of reference and technical products developed by the project (RCU and Country Teams); • Secure the engagement and timely provision of inputs and approvals to technical products from the government counterparts in Bolivia (RCU and Country Team); • Secure a coordinated and effective allocation of man-hours and financial resources to the implementation of knowledge management activities required to reach the more than one million beneficiaries planned under impact targets 5, 7 and 8 of the tracking tools (RCU and country teams); • Identify, document, and share at regional level common denominators regarding adaptation to impacts of CV/CC for water security (RCU); • Have in place the required sanitary protocols and procedures that allow teams to continue with the execution of project activities in the field (RCU); • Complete the assessment of a non-cost extension of the project to compensate for the setback in project execution caused by the COVID-19 pandemic (RCU) The recommendations and inputs resulting from the Mid Term Evaluation of the project (August – November 2020) will be critical and supportive in (i) the identification of additional actions required to improve the performance of the project, (ii) address the issues and risks identified in this report, and (iii) promote learning and knowledge sharing through results, accomplishments and lessons learned among CAF, CONDESAN and the country partners.
Julio 2021 – Junio 2022 Medium	Political stability has been a latent risk in the four countries throughout the project; however, with mitigation measures involving national stakeholders, progress has been made despite times when activities were delayed. On the short/long term balance, alliances and agreements have been promoted for the sustainability and replicability of the project activities. However, it is recommended to consolidate all alliances and mechanisms formally and with their respective support. For Workflow, the Project has achieved adequate progress according to the work plan, however it is recommended to closely monitor those activities that may be critical due to the completion times that are considered very close to the limit that the project has for an operational closure, especially in the case of Bolivia

4. RATING MONITORING AND EVALUATION

*Based on the answers provided to the questions in 4.1, 4.2 and 4.3 below, the CAF **Task Manager** will provide ratings for the following aspects of project monitoring and evaluation:*

*(i) Overall **quality** of the Monitoring & Evaluation plan*

*(ii) Performance in the **implementation** of the M&E plan*

4.1. Does the project M&E plan contain the following?

- Baseline information for each outcome-level indicator — Yes x — No
- SMART indicators to track project outcomes — Yes x — No
- A clear distribution of responsibilities for monitoring project progress. — Yes x — No

4.2. Has the project budgeted for the following M&E activities?

- Mid-term review/evaluation — Yes x — No
- Terminal evaluation — Yes x — No
- Any costs associated with collecting and analyzing indicators'. related information — Yes x — No

4.3 Has the project:

- Utilized the indicators identified in the M&E plan to track progress. in meeting the project objectives; — Yes x — No
- Fulfilled the specified reporting requirements (financial, including on co-financing and auditing, and substantive reports) — Yes x — No
- Completed any scheduled MTR or MTE before or at project implementation mid-point; — Yes x — No
- Applied adaptive management in response to M&E activities — Yes x — No
- Implemented any existing risk mitigation plan (see previous section) — Yes x — No

Please rate the performance in **implementing** the M&E plan (use HS, S, MS, MU, U, HU): MS

4.4. Please describe activities for monitoring and evaluation carried out during the reporting period.

In the last year, new M&E tools have been developed for project monitoring and follow-up to successfully increase execution rates in all countries. These new M$E tools include:

- 1) *Internal process follow-up matrix*: the main purpose of this tool is to guarantee that internal processes, such as payments and contract signing, are implemented within a one-week period.
- 2) *Consultancies follow-up matrix*: The purpose of this tool is to continuously follow up on the effective execution of ongoing consultancies, alerting time delays.
- 3) *Financial monitoring matrix by activity and budget item*: the purpose of this tool is to consolidate monthly expenditure per activity at the budget line item level, to ensure total budget execution. It informs CR and LTN of under/overspending and is a key input for planning new activities.
- 4) *Quarterly flow matrix*: This tool is primarily used to estimate quarterly expenditure in each country by activity.

All these tools have contributed to the satisfactory execution of the budget within the established timeframe.

4.5. Provide information on the quality of baseline information and any effects (positive or negative) on the selection of indicators and the design of other project monitoring activities.

Regarding the quality of the baseline information:

- Due to the time lag between the project design (2013) and its implementation (2018), several policies, legal frameworks, and regulations related to climate change were modified. It was necessary to update the baseline information of the country documents or technical reports, which were used to develop the project indicators.
- On the other hand, detailed work was carried out to link activities defined in the countries' Operational Plans (as described in PRODOC) with the outcomes and indicators selected and described in the project's logical framework. Through this joint effort between UCR and LTN, monitoring of activities, follow-up of goals progress, results fulfillment, and completion of TT indicators, outcomes, and outputs have been carried out in a clearer and more efficient manner.

Regarding the selection of indicators:

- During project implementation, it came to light that outputs (primarily targeting the national level) did not had a direct contribution to global indicators such as Outcomes or TT. Likewise, indicators differed from the established TT goals. The project had to determined achievable goals according to the capacities and thematic areas of each country, establishing an articulation between national and global indicators.

4.6. Provide comments on the usefulness and relevance of selected indicators and experiences in the application of the same.

- Outcomes 1, 2 and 3 indicators are useful to the extent that they allow consolidating the knowledge products developed by the countries, the adaptation pilot measures implemented, as well as the number of key actors strengthened at a regional level. On the other hand, indicators 4 and 5 are relevant to ensure the vision and regional scope of the project and allow measuring the degree of replicability at the level of the different sectors selected in each of the countries and also at the Andean region level.
- At the end of the fourth year, the proposed indicators have been useful for evaluating technical progress and budgetary execution, achieving adequate follow-up and monitoring that allows prioritizing efforts for the timely closure of the project.

4.7. Describe any challenges in obtaining data relevant to the selected indicators; has the project experienced problems to cover costs associated with the tracking of indicators?

- Through linking national operational plans with the project logical framework, there have been no major challenges in obtaining data or problems in monitoring indicators. Nonetheless, the effort to monitor the progress of such a broad number of indicators (i.e. Outcomes, outputs and TT) is substantial and the Regional Coordinator Unit was required to increase its human resources (and assigned budget) to be able to do it.

- Regarding achieving targets set in the Tracking Tools Indicators, during implementation it was clear that the budget allocated was insufficient to cover the goal established in TT3. Given AICCA's experience, it has been estimated that the average cost of the pilot climate resilient livelihood adaptation measures is $136 per beneficiary. Since the global target was 62,500 people, more than $8 million dollars would have been required to achieve this indicator alone. Therefore, it shows that the budget allocated to the project was beyond the scope of target TT3.

4.8. Describe any changes in the indicators or in the project intervention logic, including an explanation of whether key assumptions are still valid.

- During the third year, a non-objection proposal was needed in order to adjust three outputs established within Colombia's Component 2, includingin one case a modification of the specific indicator, and in two other cases, adjustments to the scope.
- In the first case, the PRODOC established developing three General Plans for Rural Technical Assistance. However, in 2017 this type of plan was replaced by law with the Departmental Agricultural Extension Plans (PDEA). At the time of AICCA's implementation, PDEAs had already been formulated, so it was not feasible to produce any useful inputs into that document. Therefore, the project proposed to develop "Three Programs for the Efficient Use and Saving of Water (PUEAA) in irrigation districts" as an alternative considering that this planning tool has multiple impacts at the agricultural level and was consistent with Colombia's new legal framework.
- Regarding the adjustment in the scope of indicators, the original indicator proposed in the PRODOC mentioned the updating of the Management Plan for the Tota Lake Basin (POMCA). However, at the time of project implementation, the POMCA was being updated by the French Development Agency (AFD). For this reason, the scope was reassessed and changed to "Guidelines, information, and methodologies that support the inclusion of VC / CC criteria in the different environmental management planning instruments, mainly in the formulation or adjustment of the POMCA (watershed zoning and hydrology plan)". This instrument expanded the scope of the original output, since this guide would be a useful input to support the process of updating other POMCAS around the country at the national level.
- Regarding the scope of the output "Paramo Management Plan", the development of the Paramo Management Plans for Corpoboyacá's jurisdiction would have an estimated cost of approximately US$5 million. Given the project's budgetary limitations, it was decided to develop "Guidelines, information and methodologies that support the inclusion of CC/CV criteria in environmental management planning instruments, especially those related to the formulation or adjustment of Evironmental Management Plan for Paramos for Tota (Plan de Manejo Ambiental para Páramos, PMAP)" as a viables alternative. Close collaboration with relevant key stakeholders, including Corpoboyaca, was established during this process.

4.9. Describe how potential social or environmental negative effects are monitored.

- Potential negative effects are monitored through the environmental management instruments proposed in the Environmental and Social Management Frameworks (ESMF) developed by the countries, in which CAF/GEF safeguards have been incorporated.

- Each country's Environmental Management Plan describes the actions to be implemented to comply with CAF/GEF safeguards, which are monitored and reported in the Safeguards Compliance Matrix.

4.10. Please provide any other experiences or lessons relevant to the design and implementation of project monitoring and evaluation plans.

- To have M&E tools common to all countries that allow for planning, follow-up and compliance with annual goals. These tools are aligned and make it possible to evaluate technical and budgetary progress by activity.
- It is necessary to continuously monitor ongoing and planned processes in order to meet established goals at both the technical and budgetary execution levels.

5. PROJECT IMPLEMENTATION EXPERIENCES AND LESSONS

*5.1. Please summarize any experiences and/or lessons related to **project design**. Please select relevant areas from the list below:*

- Institutional arrangements, including project governance.
    - For the implementation of on-the-ground adaptation measures, the development of procedures and guidelines must be clearly identified early on its implementation (and best if it is since the project design). Key conditions are land ownership and tenancy (communal or private property)
    - Given the high turnover of public officials, it is vital to have established technical counterparts and cleared mechanisms to support planning process, budget execution and products approval.
    - As established in the AICCA's governance manual, consultancies products required a rather long chain of revisions and approvals including high-level ministries officials. This provoked several processes and payments have been delayed. If a more agile and dilligencial process for final approval would have been in place, the project would have benefited in terms of time compliance and administrative support.
    - The Regional Committee is integrated by members with the competence and capacity to share and define visions, therefore generating strategies that allow the articulation of actions regionally.
- Interpretation and application of GEF guidelines:
    - Greater clarity in how and why the project GEF TT targets were established would have been very useful during implementation.

5.2. Please highlight a few major achievements resulting so far from the project implementation, including but not limited to:

- In this fourth year, which corresponds to the period from July 2021 to June 2022, the AICCA Project increased its budget execution to $2,816,588, this year being the year with the highest execution throughout the project, with an average quarterly expenditure of $703,000 dollars, and a total cumulative expenditure to date of $8.27 million (i.e. 85% of the total budget).
- At the outcome level, the AICCA project has achieved the targets *for Outcome indicators No. 1-Knowledge products* (reaching 300% of the planned target), *No. 2-Trained stakeholders* (616%), *No. 3-Climate change adaptation measures* (238%), and *No. 4-Cross-learning* (125%).
- This Year 4, key processes were activated that contribute to meeting the outcomes. *At the regional level*, these include: *spaces to promote cross-learning*, including the development of the "Saber Andino" methodology *(Outcome 4)*, and the organization of the AICCAprendizajes Regional Exchange (Colombia, May 25-29, 2022) to generate inputs for regional reflection on *common denominators* for climate change adaptation (*Outcome 5*). *At the national level*, the selection, award and implementation processes for the *SUDS construction works* in Bolivia and the *drinking water systems in Ecuador were activated (Outcome 3).*
- During this fourth year, 16 additional products (outputs) have been completed: 4 in Colombia, 9 in Ecuador, 1 in Peru and 2 in Bolivia. In total, 52 of the 60 planned products are already in place.

- We have addressed the recommendations of the Mid-Term Evaluation, through three groups of response actions: 1. *Construction of the regional vision and strategy.* 2. *Improvement of project monitoring and evaluation processes and tools, and 3. Implementation of the communication plan at all levels.*
- Finally, through the communication strategy and plan, we are capitalizing on the main contributions of the AICCA project and making its stakeholders visible.