



# BUILDING A STRATEGIC FRAMEWORK FOR REDUCING CLIMATE CHANGE RISK AND VULNERABILITY: UNLOCKING CLIMATE FINANCE TO ENSURE LONG-TERM ADAPTATION IN PERU

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**ACTION AREA:** Adaptation

**FOCUS AREA:** Financing

**COUNTRY:** Peru

## SECTORS

**INVOLVED:** Cross-sectoral

**TIMEFRAME:** June 2015 – December 2021

**CASE SUMMARY:** Peru is currently developing key elements for ensuring long-term adaptation to climate change. The Peruvian Framework Law on Climate Change will secure the mainstreaming of adaptation measures into sectoral and subnational planning and budgeting, and strengthen the incorporation of climate change considerations into public institutions in the years to come. The ruling of this law together with past efforts will ensure that an array of innovative mechanisms put in place to optimise public expenditure on issues such as reconstruction, ecosystem services, natural infrastructure and disaster risk management take into account the climate change-related risks to become effective means for adaptation.

These efforts are complemented by a bottom-up effort closely linked to the work on adaptation under the Peruvian Nationally Determined Contribution (NDC) to improve access to international funding for adaptation through the Global Environmental Facility (GEF), the Green Climate Fund (GCF) and the Adaptation Fund (AF) as well as other bilateral and multilateral sources. In addition, they target the development of methodological tools for conducting economic valuation of adaptation measures, including avoided co-benefits and costs.

This case study constitutes a good practice because of its innovative approach to developing new mechanisms and adjusting existing ones to mainstream adaptation. It also promotes long-term transformational change and is aligned with national and international frameworks.





**BACKGROUND:** ————— Peru has been pioneering adaptation efforts since 2001, where the first studies on glacier retreat and the impact of El Niño were developed. Since then, many programmes and projects have improved technical knowledge on climate change scenarios and the impacts of climate change on sectors, livelihoods and ecosystems. An important milestone was the inclusion of “Risk Management in the context of climate change” in the National Public Investment System (SNIP, in Spanish) in 2013 (MEF, 2014). In 2017, the National System of Public Investment (SNIP) was replaced by the National System for Multiannual Programming and Investment Management (Invierte.pe).

Peru was one of the developing countries that, consequently to its national position, presented not only its contribution in terms of mitigation, but also in adaptation through its Intended Nationally Determined Contribution (INDC) in 2015. This shows the importance given by Peru to reducing risk and vulnerability to the impacts of climate change. The contribution consisted of: i) The prioritisation of five thematic areas affected by climate change (water, agriculture, forestry, health and fisheries and aquaculture); ii) The contribution in terms of reducing GHG emissions of 20% in the year 2030, with an additional ambition of 10%, conditional upon international support. Peru was also the first country in Latin America to ratify the Paris Agreement in 2016 (MINAM, 2018).

More recently and with a new impulse since the development of Peru’s INDC and NDC, efforts on the study of adaptation now also include the economic valuation of adaptation measures, calculation of avoided costs and co-benefits, and capacity-building for the development of sound project ideas for climate change adaptation. This new knowledge is part of a broader approach focused not only on understanding the country’s adaptation needs, but on ensuring long-term adaptation efforts by putting in place an enabling legal framework and long-term mechanisms for financing adaptation efforts.

The design and formulation of the adaptation component of the NDC was built on the previous progress made in the country with respect to the integral management of climate change risks. Examples of this progress are (MINAM, 2018):

- Sectoral plans, sectoral and territorial vulnerability studies
- The mainstreaming of climate change in water policy and strategy
- The incorporation of ecosystem-based adaptation (EbA) in the management of protected natural areas
- The economic evaluation of EbA measures; the processes of dialogue, articulation and exchange of information promoted through different mechanisms, such as InterCLIMA (an annual space of dialogue, articulation and reporting on climate change active from 2012 to 2016 at the international level, and currently active at the subnational level)
- The incorporation of lessons learned on the implementation of pilot adaptation projects in various regions with the support of international cooperation
- The recognition of the needs identified by regional and local governments in their regional climate change strategies

**ACTIVITIES:** ————— In order to effectively unlock climate finance for adaptation, Peru has taken actions on several fronts. The country has not only established a framework law on climate change that inter alia obligates Peruvian governments at different levels to include its NDC commitments into planning and budgeting. Peru has also created mechanisms to incorporate climate change considerations into public spending. Meanwhile, the country is also building up capacity to access international finance in an improved way and strengthening its foundation to economically assess its adaptation measures.

### **1. BUILDING AN ENABLING LEGAL FRAMEWORK:**

After a year of intense debate, the Framework Law on Climate Change was approved in April 2018. From July to October 2018 an inclusive and transparent process called "Dialoguemos" (Let's dialogue) took place to elaborate a proposal for the regulation of the law. In November 2018, a process of prior and informed consultation of the regulation was requested by the Indigenous Peoples. By Law N°29785, Indigenous Peoples in Peru have the right to request an informed consultation process for legislative and administrative measures that have the potential to affect them directly. Principles and steps of this process are set out in the law.

One of the main added values of the framework law and its regulation is the more complete and long-term governance approach of the climate action implementation process. This normative framework will sustain national climate action in the long term (MINAM, 2018). It is the first Latin American climate change framework law to incorporate responsibilities from the Paris Agreement and articulates the scope of existing national policies in a single instrument (Columbia Law School, 2018).

The law establishes that Peru's commitments made under its NDC are legally binding and mandatory for the appropriate government authorities. Furthermore, the law has led to the creation of a High Level Commission on Climate Change, which will have the centralised authority to propose changes related to Peru's NDC and adaptation as well as mitigation measures (Columbia Law School, 2018).

### **2. CREATING INNOVATIVE FINANCIAL MECHANISMS:**

The framework law mandates the incorporation of climate change considerations into public spending decisions at all levels of government. An array of innovative mechanisms has been put in place to optimise public expenditure on issues such as reconstruction, ecosystem services, natural infrastructure and disaster risk management. The goal is to take into account the impacts of climate change to become effective means for adaptation

• **MAINSTREAMING PERU'S NDC INTO PLANNING AND BUDGETING:** The Climate Change Framework Law does not only create a stronger legal mandate for climate action. It also generates the obligation for sectors, subnational and local governments to include NDC mitigation and adaptation actions into their planning and budgeting.

• **MAINSTREAMING CLIMATE CHANGE CONSIDERATIONS INTO PUBLIC INVESTMENT:** Risk management in the context of climate change has been mainstreamed into the SNIP since 2013, and subsequently into the new National System for Multiannual Programming and Investment Management (Inverte.pe) since 2017. The new system streamlines the execution of projects that are being realised within different sectors and government levels. Through Inverte.pe, multi-annual investment programming was introduced to identify and prioritise projects that close social and economic gaps. Also, the formulation and evaluation process was cut down to a single phase.

• **BUDGET PROGRAMS:** Budgeting programmes (PP) in Peru link the allocation of public resources to measurable products and results that benefit the population. Three budgeting programmes (PP, in Spanish acronym) indirectly and directly contribute to Peru's national adaptation capacity:

- PP n° 0144: Conservation and sustainable use of ecosystems for the provision of ecosystem services (in 2018, the PP amounted to 193 million soles, or around USD 58 million)
- PP n° 0042: Harnessing water resources for agricultural use
- PP n° 0068: Reduction of Vulnerability and Disaster Emergency Care (PREVAED, in Spanish acronym) (the budget for PP068 has been growing steadily since 2011, and for 2017 amounted to 4.3 billion soles, or around USD 1.3 billion (MINAM, 2017))



**• COMPENSATION MECHANISMS FOR ECOSYSTEM SERVICES (MERESE, IN SPANISH ACRONYM):**

Law No. 30215 from 2014 (and regulated in 2016) was approved to promote, regulate and supervise the design and implementation of MERESE. MERESE aims to improve water supply services in quantity as well as quality. While adaptation is not the primary objective, the mechanisms generate and channel investment towards the conservation and recovery of ecosystem-based services through voluntary agreements between contributors and payers. The focus of this law lies on vulnerable sites and natural infrastructure, highly compatible with the promotion of adaptation. Also, many adaptation-related ecosystem services are included: Biodiversity conservation, water regulation, soil erosion control, climate regulation and natural risk regulation. As of June 2018, eighteen MERESE initiatives have been identified. Natural infrastructure was included in 2017 in the new System for Public Investment (Invierte.pe).

MERESE was mainstreamed into the Regulation of the Framework Law for Sanitation Services in 2017. Sanitation services provider companies (EPS, in Spanish) can request the supervising body to include an amount for ecosystem services in the tariff. The compensation for ecosystem services is granted directly to the contributors of those services or to the suppliers of goods and services in three modalities:

- Execution of investments by the EPS or a party hired by the EPS
- Retribution contracts with contributors, who commit to implement projects for conservation, recovery or sustainable use of ecosystems
- Agreements for the administration and / or execution of money reserves with specialised private entities created by law for the administration of environmental patrimonial funds

Service providers are obligated to incorporate the processes of disaster risk management into their activities and institutional plans. The law also promotes that all EPS elaborate Climate Change Adaptation and Mitigation Plans (PACC, in Spanish). Figure 1 shows accomplishments as of June 2018.

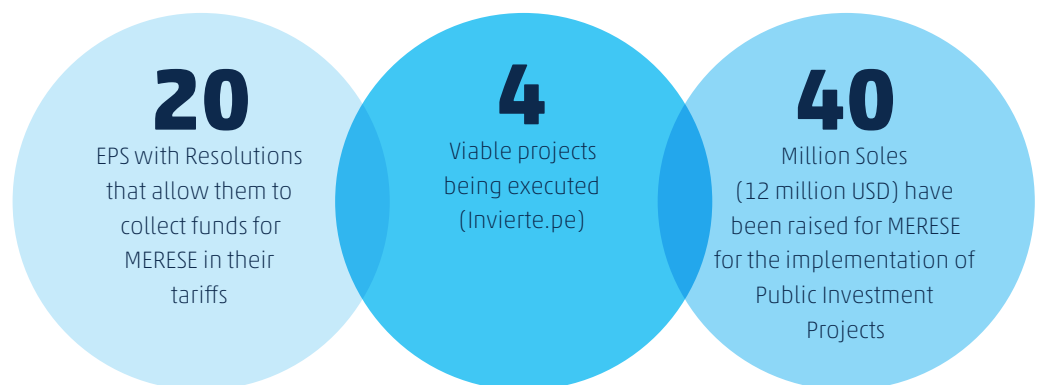


Figure 1: MERESE implementation with EPS in numbers (Bernuy, 2018)

**3. BUILDING CAPACITY FOR ACCESSING INTERNATIONAL CLIMATE FINANCE**

Peru was the first country to get a project approved by the Green Climate Fund (GCF) in November 2015: The project "Building the Resilience of Wetlands in the Province of Datem del Marañón" represents a USD 9.1 million investment for adaptation, enabling mitigation co-benefits that can be accessed directly through the Trust Fund for National Parks and Protected Areas (PROFONANPE) – the Country's only National Implementing Entity (NIE) for the GCF.

The country has also been able to access funds via the Adaptation Fund through two projects: i) "AYNINACUY: Strategies for adaptation to climate change, for the preservation of livestock capital and livelihoods in highland rural communities", a USD 2.9 million project implemented by the Latin American Development Bank (CAF) and ii) "Adaptation to the Impacts of Climate Change on the Coastal Marine Ecosystem of Peru and its Fisheries", a USD 6.9 million project implemented by PROFONANPE. Moreover, a small project for technical assistance on gender has also been financed through the Adaptation Fund.

In order to increase the number and viability of future adaptation projects, Peru presented a request for GCF "Readiness" funds for a National Adaptation Plan (NAP) with Fundación Avina. An important component of this request is that of enabling conditions, including the development of concept notes to support NDC implementation and continue to mainstream adaptation into national planning.

Furthermore, the main target of the project "Andes Adaptation to the Impacts of Climate Change on Water Resources" (AICCA), which has been financed by the Global Environmental Facility (GEF), is 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 three countries: Peru, Bolivia, and Colombia. Besides, the Peruvian government has been working on seven projects for the EUROCLIMA Programme (a European Commission programme that aims to encourage cooperation between Latin America and the EU on climate change issues) in order to improve the adaptation capacity in some prioritised places.

Also through GCF readiness funds, the Ministry of Economy and Finance (MEF) is creating the Country Programme for the GCF, which compiles the portfolio of prioritised projects with a balance between mitigation and adaptation. Based on the NDC, the initiative will work with sub-national governments to identify the best project opportunities.

These efforts are expected to improve in-country capacity for the formulation of high-quality projects, and also to give a better guidance on national priorities for project development. In the past projects had been formulated mostly by international consultants and not necessarily in coordination with national focal points to ensure alignment.

#### **4. STRENGTHENING THE FOUNDATION FOR A FINANCIAL STRATEGY FOR ADAPTATION UNDER THE NDC**

Although many steps have been taken towards establishing a financial strategy for adaptation, a strategy itself has not officially been developed – mainly because of capacity constraints. The following actions outlined below constitute important steps towards building said strategy for Peru.

**• PRIORITISATION OF SECTORS AND ACTIONS:** On the basis of the first milestone of presenting its INDC in 2015, the Multi-sectoral Working Group for NDC Implementation (GTM-NDC, in Spanish acronym) (see Figure 2) began its work in February 2017, at which time the Paris Agreement had already entered into force and been ratified by Peru. GTM-NDC received the presidential mandate to formulate the NDC with a view of ensuring the country's capacity to implement it. The work of this multi-sectoral commission has contributed to the definition of the scope of actions in adaptation.

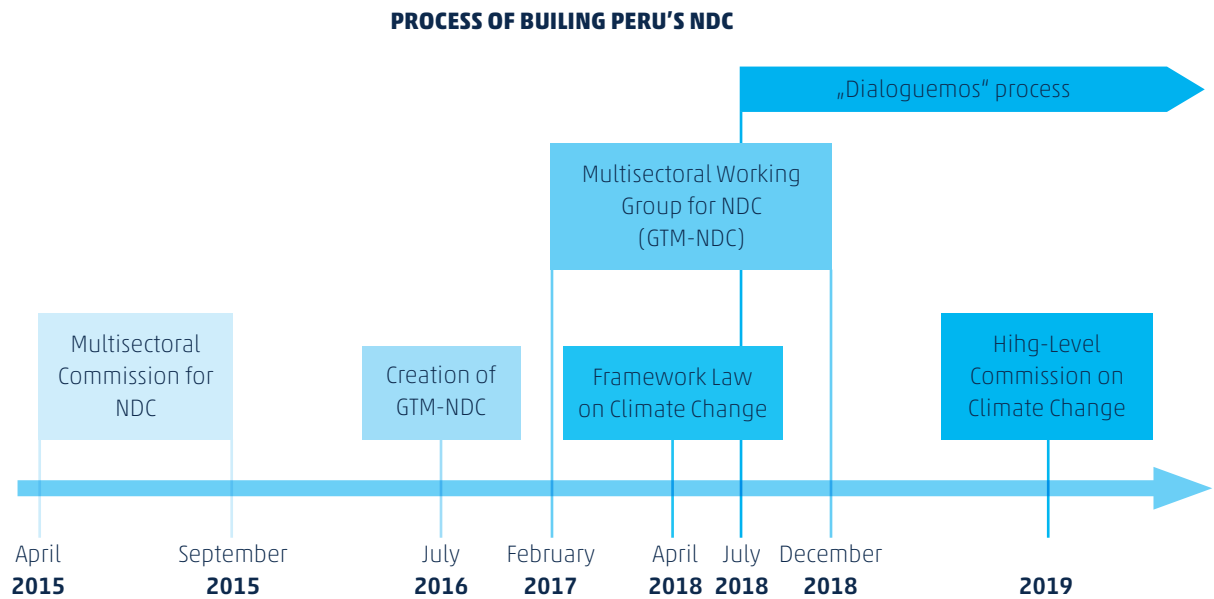


Figure 2: Milestones in the NDC process in Peru (MINAM, 2018)

- For adaptation, the guidelines related to public value chains were used, which stipulate the production of goods or services for citizens. The first step was to identify the specific climate change-related "problem" for each of the five thematic areas that have been prioritised (agriculture, forestry, fishing and aquaculture, health, water) and then formulate the means and actions that produce value to the citizen – in this case, to reduce their risk and vulnerability. 91 adaptation measures have been defined, which are distributed among the following thematic areas: 17 measures for agriculture (19%); 12 measures for forestry (13%); 18 measures for fishing and aquaculture (20%); 14 measures for health (15%); 30 measures for water (33%) (MINAM, 2018).

- **FORMULATION OF AN IMPLEMENTATION PLAN:** The work of this GTM-NDC has also contributed to establishing a roadmap for the implementation of adaptation actions. The adaptation component of the NDC established by the group includes adaptation products and measures, which – with their respective indicators, baselines and goals – facilitate the implementation in the short (2021), medium (2025) and long term (2030).

The Peruvian Ministry of Environment (MINAM) has been formulating a proposal for „Guidelines for the Economic Assessment of Adaptation Measures to Climate Change“ which will be presented to the sectors and other stakeholders. The purpose is to obtain a conceptual framework and technical considerations for the estimation of the costs and benefits derived from the implementation of adaptation actions. The final report of the GTM-NDC also documents the economic assessment of fourteen adaptation measures, which were conducted by the respective sectors. For this work, critical factors such as the potential for replicability, the intervention coverage or the availability of information were taken into account.

The report of the GTM-NDC asserts that during the process of identifying variables and assumptions for economic assessments, the capacity of professionals involved were strengthened in the following areas: i) private evaluation; ii) social evaluation; iii) environmental economic valuation methods; iv) costs avoided by the implementation of adaptation actions; and, v) generation of scenarios of effectiveness of adaptation measures. Additionally, given that this work involved professionals from different areas of expertise, synergies could be used for the delimitation of variables and assumptions to be considered in the economic assessments (MINAM, 2018).

## INSTITUTIONS

- INVOLVED:** —————
- Ministry of Environment (MINAM)
  - Ministry of Agriculture and Irrigation (MINAGRI)
  - Ministry of Production (PRODUCE)
  - Ministry of Health (MINSa)
  - Ministry of Energy and Mines (MINEM)
  - Ministry of Housing, Construction and Sanitation (MVCS)
  - Ministry of the Economy and Finance
  - Ministry of Culture
  - Ministry of Woman and Vulnerable Populations
  - National Strategic Planning Center

**COOPERATION WITH:** ————— Many bilateral and multilateral agencies have been involved throughout the years, amongst them: The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, the Swiss Agency for Development Cooperation, the European Union, the United States Agency for International Development (USAID), the United Nations Development Programme (UNDP), the Italian Ministry of Environment, Land and Sea (IMELS), the Inter-American Development Bank (IADB), the Latin American Development Bank (CAF), Fundacion Avina and the World Wildlife Fund (WWF), among others.

**FINANCE:** ————— Public national and international finance has been mobilised to achieve the current state of readiness for long-term adaptation in Peru. A calculation of the amount is not available.

## IMPACT OF

**ACTIVITIES:** ————— The improvement of Peru's adaptation capacity to climate change started almost twenty years ago with the construction of the first climate change scenarios, and risk and vulnerability assessment studies, and has recently been consolidated under the framework law. The main impacts of the most recent efforts to ensure long-term finance for adaptation in Peru have been:

- Mainstreaming adaptation into planning and budgeting at sectoral, sub-national and local levels;
- Public investment takes into account disaster risk reduction and adaptation to climate change;
- International finance accessed for investment in adaptation in the order of over 20 million USD;
- Avoided costs and benefits have been quantified for fourteen adaptation measures. There are future benefits to ecosystems and populations derived from adaptation, and these economic assessments reveal the existence of these benefits;
- Through the work of the GTM, ministries and key governmental institutions have engaged and strengthened ownership of the NDC commitments and, through this, found a new way of reaching citizens. As an example, the Ministry of Production has created its own Direction of Climate Change;
- There has been a decentralisation of the climate change agenda;
- Institutional capacity regarding adaptation has been strengthened;
- Adaptation has been put high on the public agenda and awareness has increased around the issue.

## WHY IS IT

**GOOD PRACTICE:** ————— **INNOVATION** was fostered throughout in using new and existing financial mechanisms for adaptation. MERESE is considered a first-of-its-kind mechanism in Peru. It has contributed to solve long-standing water conflict situations and increases the adaptive capacity of fragile ecosystems. Also, through strong coordination with other sectors, MINAM has been able to effectively mainstream climate change adaptation into existing mechanisms.



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- **ALIGNMENT WITH NATIONAL FRAMEWORKS** has been achieved, giving priority to climate change adaptation as a way of ensuring economic and social sustainable development. The framework law exemplifies how the NDC commitments can be mainstreamed into long-term national planning and financing of adaptation actions.
- **ALIGNMENT WITH INTERNATIONAL FRAMEWORKS:** Ongoing processes were aligned with goals of mayor international frameworks, including the Sendai Framework for Disaster Risk Reduction, the Sustainable Development Goals, the Paris Agreement and the Country Programme for accessing the Organization for Economic Co-operation and Development (OECD).

### SUCCESS FACTORS:

- **PROFESSIONAL AND TECHNICAL SUPPORT** has been made available to improve the technical and knowledge background of public officers and practitioners on climate change adaptation. This generated the basis for strong and well-informed discussions and agreements.
- **STAKEHOLDER PARTICIPATION:** The creation of the GTM-NDC and the Dialoguemos process, which aimed at developing a financial strategy through a bottom-up process, spurred stakeholder participation in an inter-sectoral and coordinated manner.
- **LONG-TERM IMPACT** has been achieved by „embedding“ adaptation in institutions and mechanisms that will endure through a strong legal framework.

### OVERCOMING BARRIERS / CHALLENGES:

#### WHAT WERE THE MAIN BARRIERS / CHALLENGES TO DELIVERY?

##### INFORMATIONAL:

Adaptation is conceptually complex and not easy to distinguish from development efforts.

##### FINANCIAL:

Mobilising private finance for adaptation is still a challenge.

##### ECONOMIC:

There existed data gaps for ecosystem service valuation, and the economic assessment of adaptation.

#### HOW WERE THESE BARRIERS / CHALLENGES OVERCOME?

Public institutions have become aware of the fact that adaptation to climate change needs to be based on a risk and vulnerability assessment. MEF and MINAM have worked together in an Operations Manual for the GCF (MEF, 2017) which states the requirements for adaptation projects to be presented to the Fund.

MINAM is currently working with the IADB to develop concept notes for GCF's Private Sector Facility to address this barrier. It is currently only partially overcome.

The use of benefit transfers as an approach to estimate costs and benefits has proven to be an effective measure. Also, the use of international studies as references has been useful for filling data gaps.



- LESSONS LEARNED:** ———
- **MAKE USE OF NATURAL INFRASTRUCTURE:** Adaptation offers an opportunity to advance solutions on structural development issues, such as high exposure to natural hazards or ecosystem degradation. Use the natural infrastructure approach to adaptation to connect ecosystems with production and welfare.
  - **QUANTIFY THE BENEFITS OF ADAPTATION ACTIONS:** Make sure to reveal and quantify the benefits of implementing adaptation actions that seek sustainability of ecosystem services, in order to help catalysing investment.
  - **MAINSTREAM ADAPTATION FROM THE BOTTOM UP:** Work with participatory and knowledge management approaches to ensure long-term sustainability of actions and to mainstream adaptation into planning and budgeting.

#### HOW TO REPLICATE

- THIS PRACTICE:** —————
- **TACKLE LONG-TERM ADAPTATION ON SEVERAL FRONTS:** Keep in mind that in the absence of an approved financial strategy for NDC implementation to guide efforts on finance, there are several fronts that can be addressed in parallel to ensure long-term adaptation as the strategy emerges: an enabling legal framework, the introduction and identification of effective financial mechanisms for adaptation, the identification of priority sectors and actions and the study of their costs and benefits, and the leveraging of international funds, among others.
  - **DESIGN PROCESSES FOR SUSTAINABILITY:** Take time to design a process and think carefully about the outputs and the stakeholders that need to be involved to ensure long-term sustainability of actions.
  - **USE KNOWLEDGE MANAGEMENT AS A STRATEGIC LEVER:** Focus on creating and retaining knowledge (for example on national guidelines and manuals for economic assessments or on how to mainstream adaptation into development planning) and stakeholder involvement so that efforts can transcend political periods and changing priorities.

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#### FURTHER KEY

- RESOURCES:** ————— MINAM (2016). El Perú y el Cambio Climático. Tercera Comunicación Nacional del Perú (Peru and Climate Change. Peru's Third National Communication to the United Framework Convention on Climate Change). Available at: <http://www.minam.gob.pe/wp-content/uploads/2016/05/Tercera-Comunicaci%C3%B3n.pdf>



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- WEBSITES:** —————
- MINAM on NDC: <http://www.minam.gob.pe/cambioclimatico/ndc/>
  - The GCF on Peru: <https://www.greenclimate.fund/countries/peru>
  - The AF: <https://www.adaptation-fund.org/projects-programmes/project-information/projects-map-view/>
  - Web page of the "PACC Peru" Project with a repository of adaptation information before 2016: <http://www.paccperu.org.pe/>
  - Official web page for MERESE: <http://www.minam.gob.pe/economia-y-financiamiento-ambiental/mecanismos-de-retribucion-por-servicios-ecosistemas-mrese/>
  - Web page of the "Dialoguemos" process: <http://www.minam.gob.pe/cambioclimatico/dialoguemos/>

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