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GEF ID N° 5458 - GEF Agency Project ID 5845



Report on the Mid Term Review - (MTR) of the Project

**Conservation, management and rehabilitation
of fragile lomas ecosystems in Lima**

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**December 10th, 2019
Lima, Peru**

i. MTR DATA

Project:

**Conservation, management and rehabilitation
of fragile lomas ecosystems in Lima**

MTR Execution Term:

August 28th, 2016 – August 28th, 2021

Region - Country:

LAC – Peru

Focal Area/GEF Strategic Program:

Focal Area GEF 5: BD (1,2) y LD (2,3)

GEF *Strategic Program*: Ecosystems and Biodiversity

Implementation Agency:

UNDP

Implementation Partner:

National Protected Areas Service of Peru – SERNANP

Consultant in charge:

Eduardo Durand

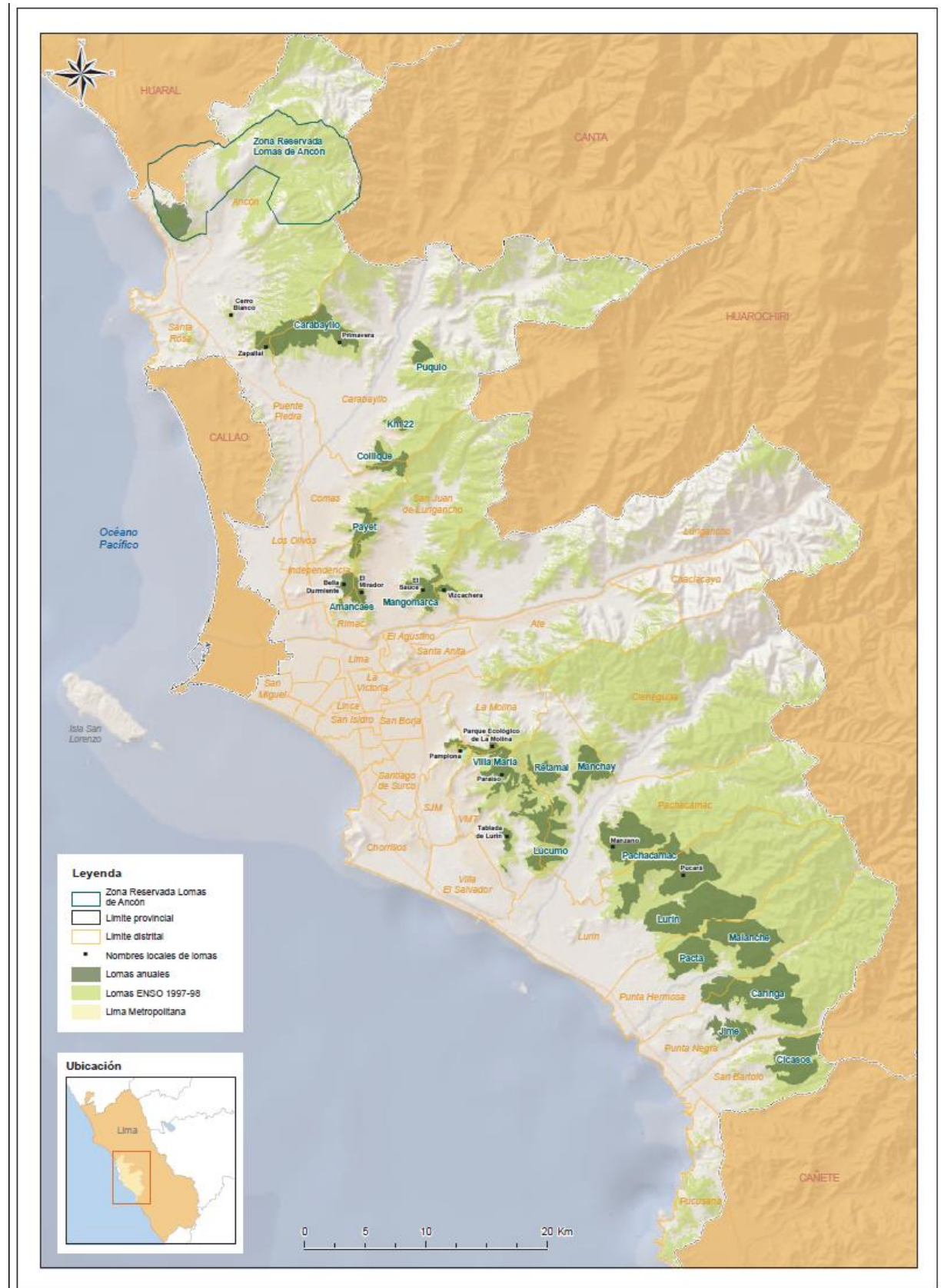
Front page photo: Lomas de Lúcumo, Pachacamac. EbA Lomas Project site - Info Artes – munipachacamac.gob.pe)

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The content of this report, notwithstanding, does not necessarily reflect their personal opinions nor the ones of the United Nations for Development Program, its Executive Board or the members of United Nations programs. The report contains and reflects only the views and proposals of the consultant.

MAP OF LOMAS IN METROPOLITAN AREA OF LIMA



From: Project EbA Lomas – GEOLOMAS



LOMAS OF LIMA

Photos: Web page Metropolitan Municipality of Lima.

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Acronyms and Abbreviations

ACR	Regional Conservation Area, for its Spanish acronym of the national protected area category of SERNANP.
BD	Biodiversity
CAM	Municipal Environmental Commission, for its Spanish acronym .
D.S	Supreme Decree from the Govern of Peru
GEF	Global Environmental Facility
GoP	Government of Peru
LD	Land Degradation
MEF	Ministry of Economy and Finance of Peru
MINAGRI	Ministry of Agriculture and Irrigation of Peru
MINAM	Ministry of the Environment
MVCS	Ministry of Housing, Construction and Sanitation of Peru
MML	Metropolitan Municipality of Lima (Province)
MTR	Medium Term Review
NIM	National Implementation Modality
PCM	Office of the Ministerial Cabinet Presidency
PIF	Project Identification Form
PIR	Project Implementation Review (annual)
PRODOC	Project Document
PRODUCE	Ministry of Production of Peru
SEDAPAL	Water and Sanitation Service of Lima
SDG	Sustainable Development Goals
SERFOR	National Service of Forestry and Wildlife, ascribed to MINAGRI
SERNANP	National Service of Natural Protected Areas, ascribed to MINAM
SERPAR	Parks Service of Metropolitan Lima
SBN	Superintendence of National Real State
TdR	Terms of reference
UNALM–CDC	National Agrarian University of La Molina – Conservation Data Center
UNDP	United Nations Development Program
UNDAF	United Nations Development Assistance Frame
UNMSM	San Marcos National Major University

1. Executive Summary

1.1 Project Information

Project Name	Conservation, management and rehabilitation of fragile lomas ecosystems in Lima - EbA Lomas		
UNDP Project ID (PIMS#):	1845	PIF Approval date	24/012014
GEF Project ID (PMIS#):	5458	CEO Authorization date	18/07/2016
ATLAS Unit Dossier Project Nr- ID, (Award # Project. ID)	Atlas ID 96496 Award #100426	Date of signature of the Project Document - PRODOC (starting date of Project)	22/08/2016
Country/Countries	Peru	Date of recruitment of the Project Coordinator:	September 2016
Region:	LAC	Date of Inception Workshop:	15/12/2016
Focal Area	GEF 5 Ecosystems and Biodiversity	Date for completion of the Mid Term Review (MTR):	12/12/2019
Strategic objectives of the Focal Area	GEF 5: BD-1, BD-2 LD-2, LD, 3	Expected date for completion	22/08/2021
Fiduciary Fund [indicate GEF TF, LDCF, SCCF, NPIF]:		In case of revision, new date proposed for completion	N/A
Executing / Implementing Partners	UNDP Peru / SERNAP - National Natural Protected Areas Service of Peru/MINAM		
Project funding	At the time of CEO Authorization (USD)	At the time of MTR (USD)	
Administrated by PNUD			
GEF	1,983,799	1,983,799	
PNUD	135,000	135,000	
Sub-Total 1	2,118,799	2,118,799	
Co-financing:			
SERNANP	178,174	178,174	
DISTRITAL MUNICIPALITIES	12,611,688	12,611,688	
NGO	375,000	375,000	
OSC	223,753	223,753	
Sub-Total 2	13,388,615	13,388,615	
TOTAL COST OF PROJECT [1+2]	15,507,414	15,507,414	

1.2 Project Description¹.

The Project is conceived and oriented to "... *protect, conserve and sustainably manage the ecosystems of lomas in the municipality of Lima*" which are threatened by urban expansion over these fragile areas and by various activities (non-metallic mining, livestock) contributing to their environmental degradation.

To achieve this general objective, efforts are made to promote better conditions for the conservation of these unique and fragile ecosystems at risk of degradation that still host species of endemic flora and fauna of global importance. Direct financing of the GEF amounts to USD 1,983,799, while the planned co-financing is USD 13,388,615 (see section 1.1 and section 4.4.3).

The strategy assumed by the Project, given its limited scope in terms of spending and direct investment, is to catalyze and support sectoral and municipal government actions, as well as civil associations committed to the conservation of the lomas, to establish the relevant government regulations; and the formalization and strengthening of successful and replicable community initiatives for the conservation management of the lomas.

The main instruments for the implementation of this strategy are: (i) the legal enacting of a protected area under the national regime (Regional Conservation Area - ACR), and management alternatives for the other areas that cannot be incorporated into this regime; for this purpose, areas in two Groups have been selected, depending on the land ownership; (ii) the development of governance tools, with a participatory approach; (iii) an interinstitutional alliance that articulates and promotes convergent roles and responsibilities; and (iv) the design of monitoring and evaluation system (M&E).

Differentiated activities for both cases of lomas (Group 1 and Group 2) have been made up of four components, which are also called "Results": 1. Conservation of lomas ecosystems; 2. Land use management tools; 3. Low-impact economic diversification and land use; and 4. Knowledge Management and M&E. The proposed equivalence, with statements more related to Components than to Results, has required a detailed description of 15 indicators to denote through them the implicit results. A comment is made in section 4.2 of this MTR, and an adequacy of this structure is recommended.

The Project is aligned with national programmes (National Biodiversity Strategy), as well as the results of the areas of activity of GEF 5 (Biodiversity and Ecosystems), in particular in BD1 ("*improving the sustainability of the systems of protected areas...*"); BD2 ("*... integrate the conservation and sustainable use of biodiversity...*"); LD2 and LD3 on tender degradation. ("*... generate sustainable flows of ecosystem services by easing pressure on the lomas...*").

It also aligns with the UNDP Country of Peru Programme framework, and will contribute to the achievement of several of the Sustainable Development Goals – SDGs linked to poverty reduction (SDG 1) through access to employment and income; and improving the environmental environment of populations on the urban periphery (SDG 3). It will also contribute to the objectives on sustainable and resilient cities (SDG 8) and to the conservation of land and biodiversity of hill ecosystems (SDG 15).

¹ All reference to the **Project** ahead will carry capital "P" to avoid confusion with other references to projects in general or to the so called 'pilot projects'.

1.3 Summary of Project progress.

As of the date of the MTR, the Project is a satisfactory step forward to the average achievement of the expected results. Indicators of more complex activities and which have a greater degree of dependence on other institutional and political factors, in addition to non-always favourable socio-cultural conditions, have - in spite of this - moderately satisfactory progress.

The Project has in its favor a background of work from years ago (2013-14) by the Metropolitan Municipality of Lima, with the management, without completion, of the proposal submitted to GEF 5, through the Inter-American Development Bank. This proposal was later taken up by UNDP and MINAM, and became the current Project, this time with an environment of better support from the national government, and the municipal government as from the current year.

The scale of resources and funds allocated yet is not commensurate with the effort, that requires comprehensive and substantial support for the recovery and value of the Lima lomas; however, the Project's commitment is considered appropriate as it is aimed at catalyzing and promoting various support actions that will give rise to a greater government commitment by the national, sectoral, and municipal level as from this local government period.

It is also favorable the recent governmental attention on the problem of uncontrolled urban sprawl, and the management of disaster risks and climate change by the public sector. The growing and surprising interest of associations of neighbours, NGOs and visitors in promoting and participating in support for the conservation of the lomas, with the additional appeal of potential economic benefits and improvement of the urban environment are also important.

Details on progress, according to the Outcome indicators, are summarized in the Table in section 1.4 below, and in more detail in **Annex A** (progress matrix in achievement of results) corresponding to 'Table 1' of the MTR's TdRs.

There is a propitious image, regarding the Project management, among the actors interviewed and the level of support received or perceived. Some recommendations are included for the continuation and focus of work, once the main outstanding mid-term milestones that occupy the current attention are attained: obtaining the legal regime of the Regional Conservation Area; concerted conservation strategy among all actors; decision on the mechanisms and conservation status for areas that are not part of the ACR; and the impulse to small-capital projects to strengthen the associations already legally constituted². In an uncertain situation, by its postponement until the second stage of the Project execution, at the request of MINAM, is the goal of establishing a public-private interinstitutional alliance to foster the lomas conservation (PRODOC, paragraph.40, page 15).

The budget execution of the Project has a satisfactory progress, which is consistent with the progress in the activities. Implementation reaches 58% of the total budget, while the four components/results have an execution of: Result 1: 60%; Result 2: 54%; Result 3: 62%, and Result 4: 56%. The project's management component reaches a 52% advance in the corresponding budget item.

² The legally constituted and registered associations with support of the Project are: 'Sleeping Beauty Management Committee' (Lomas de Amancaes, Independencia); 'Ecotourism Committee of Lomas de Mangamarca (San Juan de Lurigancho); Ecotourism Committee of Lomas de Paraíso (Villa María del Triunfo); Lomas de Primavera Ecotourism Committee (Carabayllo); Lomas de Lúcumo Tourist Circuit Association (Pachacamac); and 'Association for the Environmental protections of the Amancaes Flower and Lomas (Rímac).

1.4 Summary of Outcomes and Achievements of the Project at the MTR

Parameter	Valuation ³	Description of the Achievements
Project Strategy	N/A	
Progress toward achievements	Project Objective S <i>“Contribute to an integrated management and protection of fragile lomas ecosystems in the Province of Lima”</i>	<p>Indicators of progress towards the Project targets are satisfactory in 3 of the 4 indicators. Indicator 2 has exceeded the prescribed target, although its description is unclear (outcome framework problem). The 3 has the same description problem, but the target will be surpassed in 2019. The recent approval by D.S. (December 7) of the 'Regional Conservation Area' – ACR of the Lima lomas is a crucial advance; as well as the involvement of the Metropolitan Municipality and the operation of the Metropolitan Environmental Commission as a coordinating area for the Project.</p> <p>In the case of the beneficiary indicator, it is necessary to update the 2019 figures, clarify progress on 'sustainable livestock rearing', and to specify for better monitoring the types of tourist services, given its wide possible range.</p>
	Outcome 1 MS <i>“Conservation of lomas ecosystems”</i>	<p>Progress towards this Result is moderately satisfactory on average, as it refers in Indicator 5 (MU) to demanding measurements of the extension of areas protected by the ACR or other modalities such as Private Conservation Areas that have not yet been implemented; and in Indicator 6 (MU) to percentage reductions in degraded areas, with discrepancies in the measurement of the baseline which the Project team has detected that it may be considerably smaller, which could facilitate the final target of 50%.</p> <p>Indicator 7 (S) shows satisfactory progress in the collection and management of information for future monitoring and editing. Discussions on conservation options and alternatives for lomas areas that will not be included in the ACR have not yet resulted in concrete proposals.</p>
	Outcome 2 S	<p>Progress in indicators towards this result is rated on average as satisfactory. The progress reported until June 2019 indicates that the Project end target would have been met with the systematization of information in</p>

³ The Table of Valuation of achievement has the following scale: Highly Satisfactory **HS**; Satisfactory **S**; Moderately Satisfactory **MS**; Moderately Unsatisfactory **MU**; and Unsatisfactory **U**. In the case of sustainability risks: Likely **L**; Moderately Likely **ML**; and Unlikely **U**.

	<p><i>"Land use management tools"</i></p>	<p>story maps and the lomas biodiversity report (included in the national report). Progress towards the approval of a conservation strategy is also satisfactory, with a draft under review by the MML to be approved by Ordinance at the provincial level.</p> <p>District municipalities with lomas are also advancing with support from the Project for the approval of ordinances at the local government level (9 in total). To date, 06 local governments have ordinances and local governments (Lima, Comas, Carabayllo, Villa María del Triunfo and Pachacamac and Punta Hermosa), which is a 66% advance.</p> <p>The implementation of a public-private partnership has been postponed at the request of MINAM, until a more advanced stage of the Project.</p>
	<p>Outcome 3</p> <p>MU</p> <p><i>"Economic diversification and low impact land use"</i></p>	<p>This outcome is very ample and difficult to deal with in terms of the scope of the Project. The achievements in its four indicators are considered, on average, moderately unsatisfactory, because they depend on coordination with other entities, instruments of intergovernmental policies; and on options to be defined that are associated with reforestation programs promoted by other institutions (MINAM, Metropolitan Lima Park Service – SERPAR) (MS).</p> <p>The target for Indicator 11 (MI) was reduced by CDP's decision (30 May 2018), agreeing for a target of 50 ha for middle of the Project, a goal not yet met.</p> <p>In Indicator 12 (MI), regarding friendly production models, progress is less promising, given the Project's modest scale of impact and resources. Focus is now on problem analysis and concerting with companies.</p> <p>In Indicator 13 (MS), in terms of increasing activities of various tourist services, progress is considered on average moderately satisfactory, with support for the formalization of organizations (6 officially registered) ready to access micro-capital funding, and exceeding targets for attended visitors and local beneficiaries of the activity.</p>
	<p>Outcome 4</p> <p>S/MS</p> <p><i>"Knowledge Management and M&E"</i></p>	<p>The most significant advancement is the formation of the virtual GIS platform 'GeoLomas', a good practice that has been well received and appreciated by the various actors. 'GeoLomas' already surpasses the baseline of individual flora and fauna fact sheets produced by SERFOR (2011/2013); while the baseline of species indicators to be determined in year 1 is already in the process of validation. (S)</p>

		<p>The comprehensive management of the knowledge and the M&E system, as well as its systematic application of permanent monitoring is an often complex and arduous coordination in Peru, largely due to the dispersion of competent government systems and entities in the various aspects of the issue of natural area conservation and territorial management. (MS)</p> <p>Regarding Indicator 15 towards this Result, the development of the Educational Guide, its official validation, and the application of the pilot during this year 2019, constitute good practice, with satisfactory progress, as it is already in application in 10 to 12 schools. (S).</p> <p>Progress in supporting active organized groups is also satisfactory, reaching 50% of the final goal. The creation of the 'Peru Lomas Network', and the support given to it by the Project, are also satisfactory good practices, convergent to the final goals. (S)</p> <p>The final target of 'events supported by the Project' would already be surpassed, by the interest actors and associations, and because of the diversity of activities that qualify as events. The Project has already supported 9 events of this class and plans two more per year, which would meet the final goal. (S)</p>
Project execution and adaptive management	S	<p>The progress of the Project is quite satisfactory in relation to its objectives and established indicators. It is necessary to maintain a long-term vision in each program and activity that is formulated.</p> <p>Since the ACR legal establishment situation has been overcome, efforts should now be concentrated on the efficient implementation of the Project, with a view to the long term, necessary for the consolidation of expected achievements in sustainable regulatory schemes, institutionalization, and the visibility of the lomas and their role in the well-being of the urban population.</p>
Sustainability	ML	<p>The risks identified at the project design stage, as outlined in PRODOC, mostly persist. Many of them, both environmental and social and political, are structural in nature, so the Project can propose only mitigating measures. In the institutional and governance aspects, however, there is room for action for innovative proposals, in line with the uniqueness of the lomas problem and the need for special solutions. The greatest risk in this regard is that of policy changes that may arise with changes in municipal, provincial and local government</p>

1.5 Summary of conclusions

➤ *On the nature and importance of the Project*

- The Project is recognized as a valuable, timely and necessary commitment to the city and the country to conserve these unique ecosystems; and involve and benefit in the process the local populations neighboring the lomas, by incorporating these spaces today marginal in the considerations for integral and sustainable development of the metropolis.
- The Project, despite its limited scale in temporal and financial scope, addresses an unprecedented complex combination of problems, and difficult-to-manage historical processes: highly dynamic informal urban expansion, without a regulatory basis or planning schemes; and the need to deal with the preservation and sustainable management of unique ecosystems of surrounding lomas with high biological value. All this in a context of weak management of local governments and regulatory and legal difficulties; weak articulation with the productive sectors of the central government; and the action of land trafficking groups, with the power of interference in municipal governments.
- Generally speaking, it seems to be a consensus and coincident views among the interviewees, both from the public sector and civil society, on the positive action of the Project by helping to remove the main barriers and problems, also expressing recommendations – considered in the MTR - to overcome the challenges that faces the Project.
- There seems to be a timely coincidence of circumstances that have called attention to the lomas, the main reasons being their increasingly conspicuous presence on the urban periphery by the invasion process; and at the same time, for the greater physical accessibility to the option of seasonal recreation and opportunity for ecotourism ventures, in addition to sound interest in their conservation.
- It is gratifying to verify the vitality of the interest and spontaneous actions of civil society associations and residents to proactively solve the problems of protection and conservation of the lomas, and that can now have a good and timely relationship and guidance from consultant technicians and officials linked to the Project.

➤ *On the Project design and strategy*

- Overall, the Project has been designed with broad objectives and ambitions to address the various approaches to intervention; and gathers convergent experiences and visions of conservation and protection, keeping a participatory approach.
- Implementation course and pace, given the time scale and resource availability situation, as well as the response to the political situation, has opted for conventional schemes of management of protected areas that may be adapted to the situation and problems of the lomas. The ACR scheme has therefore been implemented, introducing a

differentiation of the lomas to be included, on the grounds of land tenure regime and suitability for management.

- The ACR option, probably the most accessible and viable in the current regulatory context, may not fully respond to the particular and overall problems in the face of the pressure of local urban expansion, not foreseen in the original concept and regulations for ACRs, which will likely require adjustments for sustainable ad-hoc management.
- The conservation of the lomas requires to evolve into its own overall model, with a stable and inclusive political framework of permanent technical coordination, both in the intersectoral and in municipal spaces; and with the promotion and participation of civil society, sustainable funding, and intense population education to formally involve them in the effort.
- The organization of the Project implementation framework, with results (referred to as “components” in the PRODOC) and complex indicators (with statements more akin to outcomes), raise the desirability of streamlining the scheme. The current structure sacrifices accuracy and conceptual correspondence of the outcomes with the objective, combines the concept of component with the concept of outcome, and some specific results are merged with indicators, complicating the due SMART description of the indicators and, consequently, the monitoring and evaluation of achievements. It should be noted that this reordering is possible without altering the budgetary structure nor the substantial content of the activities.

➤ *On inter-agency management and the involvement of partners and ally parties.*

- Representatives of civil society perceive that the national government does not yet express on the subject a guiding idea that allows to harmonize the work of public bodies (Agriculture-SERFOR, Environment, Mines, Housing, Tourism...). For the time being, it would be the Regional Program of the Metropolitan Municipality of Lima MML and the district municipalities that emerge as spaces of concertation, especially the Municipal Environmental Commission (CAM), of provincial level, on which effectiveness actors have expectation.
- It is assumed in the Project that the aspects of interinstitutional coordination are crucial to establishing the long-term conservation system; but there is not an accurate description of the steps and actions that must be followed, as a 'roadmap' form, to achieve it. If the MML, through its Regional Program, will be in charge of managing the ACR, one wonders how this transfer is being prepared, how resource management is envisaged, what will be the roles in this transition of SERNANP, SERFOR, SEDAPAL, the Municipalities District, and other government actors; and how current organizations, partners and allies will participate in the effort and governance scheme.
- These concerns require careful work of the Project in coordination with local governments and the relevant sectoral rectory, studying the concurrent options for conservation (zonal parks, special recreation areas, and similar other). In this area, there is a need to incorporate, in consultations and decisions, sectors and projects with interference in key issues of the territory of the lomas: urban development, 'sustainable cities', citizen and police security, tourism, culture, production, transportation,

concessions for non-metallic mining, mainly. The CAM could be a coordination space for these issues.

- In terms of governance on international cooperation, concerns persist from the country's FMU Operational Focal Point (OCAI-MINAM) about the articulation and coordination of actions related to GEF projects, as well as the need for proper management knowledge and experiences of projects. They require greater participation in the management and access to the information produced and lessons learned.
- *On gender approaches and inclusion*
- The gender approach in the Project design has a *de facto* expression in the actual interest and majority participation of women (more than 50%) in associations and groups with an interest in the conservation of lomas and legal protection actions. This condition, while arisen spontaneously, has been appropriately supported and promoted by the Project, through training, formalization and involvement in various reported activities. It is necessary to maintain this sponsorship and permanent promotion to prevent interest decline, and to consolidate the gender approach and local awareness of it.

➤ *On the process and progress in the Project implementation*

- The progress of the Project is satisfactory in relation to its goals and established indicators, but it is necessary to maintain a long-term vision in each program and activity that is formulated. Since the establishment of the ACR has already been enacted, efforts should now concentrate in the status of the lomas not included in ACR, and in activities regarding the long-term approach, necessary for the consolidation of expected achievements in sustainable policy schemes, institutionalization, and the visibility of the lomas and their role in the well-being of the urban population.
- No need is foreseen in this instance to extend the implementation deadline of the Project, while the pace of implementation and progress to date would be ensuring the completion of the Project in its intended components. However, it would be advisable for the Project to promote and encourage governmental actors to support the vision and formulation of a next phase of consolidation and extension of the management of the lomas, including new areas, both in Lima and in the rest of the country.

➤ *On the mechanisms of management, monitoring and impact assessment on beneficiaries.*

- A review of targets and indicators of some outcomes and products should be weighed, which have not foreseen situations that require another type of measurement, or their inclusion as a product; such as educational actions, nurseries, fog traps, support for ecotourism initiatives, or legal registration of organizations to make them subject to donations or loans.
- Regarding the action of the Project Steering Committee (CDP), it has been stated by some actors that a higher frequency of meetings would be desirable. While recognizing the time constraints of high-level officials, this situation could be alleviated by establishing ad-hoc working groups for urgent or strategic issues, with a view to consolidating and sustaining the actions initiated by the Project.

- As to the performance of the Project's technical team, the actors recognize the technical quality and goodwill of specialists and consultants, as well as the ongoing support expressed in meetings, workshops, training and advice for registration and working associations. In general, there is a positive view of fieldwork and inter-agency coordination efforts.
- *On knowledge management aspects: information, communication, education and support for social associations and organizations.*
- There is a good recognition of the Project's communication support among the field local actors; but a greater impact and presence is called for from public institutions and collective actors.
 - There is a positive image of the communication, training and education actions that are carried out for the benefit of the organized resident population. Advances in educational guides and actions with teachers are well focused and are mentioned by the actors as achievements; so, they should be emphasized and continued in a participatory manner, beyond the establishment of the ACR, as part of their ongoing action.
 - The input of information is positively mentioned through the 'GeoLomas' tool, whose applications also serve to monitor and support all project activities. This product needs to be further refined to ensure that all-lay information reaches greater accuracy and extension to more users; and incorporate it in the framework of the monitoring system now in validation, including foreseeing the transfer and sharing of the system.
 - Regardless of whether a public investment phase is in place and able to consolidate the advances, it is important to contribute with lessons learned by the Project to the provision of integrated treatment of the problems of the lomas: urban expansion, formal or informal; parallel technical and political adequacy of the regulation of their use and the conservation of fragile ecosystems involved; and the promotion and support of the exemplary efforts of resident associations and settlers.

1.6 Summary of Recommendations Table

Rec. #	Recommendations	Responsible Entities
A.	Objectives, design, and implementation strategy	
A.1	Prepare and submit for discussion and approval of the CDP (Project Board) a strategy and roadmap for the transfer of the Project's actions, providing for the governance structure and the roles of the executing agency (Metropolitan Municipality of Lima), and the support and sectoral rectory entities (MINAM-SERNANP, MINAGRI-SERFOR, MINVIS-SEDAPAL-SBN, PRODUCE, MINCETUR).	CDP MINAM MINAGRI

Rec. #	Recommendations	Responsible Entities
A.2	Elaborate on and propose to the PCM the formation of a Multisectoral Permanent Working Group (GTP), chair and rotary management, to conclude commitments to support current and future actions to preserve the lomas and to regulate tenure and urbanization processes.	Project Team SERNANP PNUD PCM
A.3	To resume and promote the approval of the pending protocol and sectoral early-warning and multi-action agreements for the prevention and resolution of invasion problems, illegal extraction and disaster risk.	SERNANP Project Team PNUD
A.4	Discuss in the CDP the desirability of reviewing the structure of components-results-products and indicators, for better evaluation and measurement of results and impacts at the end of the Project. The MTR has submitted a proposal for consideration and discussion.	CDP Project Team PNUD
A.5	Prepare the optimal conservation strategy for the set of individual lomas that will not be part of the ACR managed by the MML, considering the proactive participation of partners and allies in selecting options (ACP, Zonal Parks concessions, and other options)	CDP Project Team PNUD
B.	Adaptive management	
B.1	Increase the level of representation and frequency of sessions of the CDP; incorporate SERFOR and establish working groups in the Advisory (Technical) Committee to fuel decision-making.	CDP SERFOR Project Team
B.2	Prepare a proactive engagement strategy of the various associations and community organizations, determining communication gaps and causes that limit support for the Project or joint work.	Project Team <i>Ad-hoc</i> Consultant
B.3	Link the actions of the Project with the actions of other convergent projects and initiatives, including urban issues: 'Sustainable Cities', 'Green City' (Raimondi Park) and others; as well as NGOs dealing with urban issues (' <i>Lima Como Vamos</i> ', ' <i>Ciudades para la Vida</i> ', ' <i>Periferia</i> ', and others),	CDP Project Team PNUD
B.4	Promote and support the development of proposals from associations that have already acquired the status to obtain loans or donations of micro-capital and advise on the contents convergent to the objectives of the Project.	Project Team
B.5	Participate, from the CAM, in the promotion and call for solutions to the problems of lomas management in the municipal governments and promote their commitment in the effort.	CDP Project Team

Rec. #	Recommendations	Responsible Entities
B.6	Prepare a strategic forecast of future budget requirements and early allocation of technical resources, as input to transfer to the MML in its preparation to take on sustainable management of the lomas by 2021 onwards.	CDP MML- 'Programa Regional. Municipalidad de Lima' – 'DSC'
C.	Capacity building, knowledge management and communication	
C.1	Promote the continuous improvement of the 'GeoLomas' tool and the permanent dissemination of its contents; anticipate their institutional anchoring at the most convenient level for systematic maintenance and application.	CDP Project Team
C.2	Expand the dissemination of the Project's actions from the website and social networks; and provide for the sustainability of this effort at the CDP level by concluding a strategy of the presence of the subject and citizen awareness in this regard.	CDP Project Team
C.3	Extend the call for members and allies beyond the present groups, to cultural institutions, clubs, museums, local sports and youth organizations, and other related ones, to enrich the perspective of the population on social benefits and cultural conservation of the lomas.	CDP Project Team
C.4	Collect, from the communications activity, the lessons learned from the Project and document it with a view to replicating experiences in other areas of the country.	CDP Project Team
C.5	Promote and extend the Educational Program and Teacher Guide to more schools, and adapt it to adult education and culture, through the action of existing associations and additional organizations, as well as and parent associations, emphasizing the social and economic benefits.	CDP Project Team
D.	Gender and intercultural issues	
D.1	Maintain and strengthen the interest and participation of women's groups in the conservation of the lomas, through training, articulation with school education, promotion of income-generating activities, exchange of experiences between various areas with support from the Project, within the framework of an empowerment process as agents of influence and political.	CDP Project Team

2. Introduction

2.1 MTR Purpose and Objectives

The central purpose of the Project MTR – in accordance with the respective ToR – is to assess progress in achieving the objectives and Outcomes, as set out in the Project Document (PRODOC) and in the complementary instruments, such as the Project logic and the adjustments to the strategic outcomes framework. For this purpose, early or anticipated indications of achievement or difficulties and barriers to achieving the established goals are analyzed. A fundamental aim is to identify the changes that need to be incorporated into adaptive management and achieve the desired outcomes.

The MTR also evaluates the overall functioning of the Project based on the baseline elements established and reviews the implementation strategy and risks to its sustainability. In this sense, it acts as a factor of change and plays a fundamental role in supporting accountability. The main objectives of the MTR contribute in the following aspects:

- a. Strengthening the oversight and management functions of the Project
- b. Ensure accountability for the achievement of the objectives of the Project and UNDP/GEF; and encourage responsibility for the use of resources.
- c. Improve organizational learning by documenting, feeding and disseminating lessons learned.
- d. Allow for informed decision-making.

The MTR also identifies progress towards the achievement of the Country Programs of Peru, and the contribution to the UNDP Strategic Plan and to the U.N global Sustained Development Goals (SDG).

2.2 Scope and methodology: principles of design and execution of MTR.

The methodology for the MTR is established both in the ToR of the assignment, as well as in the UNDP and GEF documents governing the procedures; and in the prescribed scope and purposes of the evaluation. The consultant has followed the suggestions and demands of the content and form of the ToR. (**Annex B**).

In addition of these parameters, attention has been paid to other aspects that in the consultant's experience are considered relevant and useful for the objectives of the evaluation, taking into account the particular nature of the Project, its background and convergent initiatives from other actors, and the state of art in crucial issues such as urban development, nature conservation, biodiversity studies, and climate change developments.

In the consultant's view, it is important to maintain this broad vision to assess the Project's orientation and partial achievements as determinants of its final impact in terms of effectiveness, not just implementation efficiency. In the considerations to apply for the evaluation, the consultant raised, in the following quoting, his vision of the importance of the Project:

"... The Project under evaluation is of great importance, both for its application to the conservation of unique ecosystems, such as the coastal lomas of Lima, and for the urgency of strengthening the system of protected natural areas of the country, incorporating these areas into the comprehensive management of the Lima-Callao metropolis. Lima's coastal lomas have a special historical evolution and a role in climate and key ecosystem services. But there has been a lag in its protection and conservation, and the threat of its degradation has progressed without preventive measures.

The lomas of Lima have recently gained greater notoriety because of the acute urban expansion of the metropolis and for the obvious threats to its integrity. Paradoxically, this frontal encounter with the advancing urban expansion has induced a potential for tourism use and a positive interest in conservation, both by municipal sectors such as civil society, NGOs and the neighborhood population. Today the lomas face a diversity of problems with a multiplicity of actors and interests that are clearly and accurately set out in the Project PRODOC.

Peru's ANP system has advanced significantly in recent years (17% of the territory under some form of protection). SERNANP has technical and policy capabilities. The technical and scientific resources for the management of protected natural areas are now enough and accessible, and there are replicable examples for this case, such as those of Lachay and others. There are, however, policy and regulatory difficulties in extending this dynamic to the peri-urban level of cities, especially the capital; and anthropic threats add to the impacts of climate change and the need to preserve species of high value and biological and environmental uniqueness. But the biggest challenge is the legal, institutional and social problems, as the PRODOC narrows down.

The Project is a great opportunity to face and propose creative and innovative solutions, which is a great multisectoral and multi-purpose effort; it is well designed and aims to bring together positive strengths and dynamics (municipalities, organized population, civil society, investors in local tourism, economic potential for communities), and contribute to the quality of life of today's marginal areas. In this context, the MTR should focus on assessing whether the actions undertaken are geared towards the achievements and purposes described in the PRODOC and provide guidance to overcome management problems that may be affecting their achievement."

2.2.1 Design and execution of MTR

The design of the MTR is part of the current policies and procedures of the GEF and UNDP, in the 2017-2021 Evaluation Plan of the UNDP Peru Office, to identify progress towards achieving the expected results under the Peru Country Program of UNDP.

2.2.2 Approach, methods for gathering information, limitations of the Project MTR

In addressing the approach and methods set out in the evaluation matrix (**Annex C**), the short evaluation time obliges to focus on the following activities, carried out with a collaborative and participatory manner, in constant communication with the technical teams of the Project team, parties, and UNDP as appropriate.

- (i) Obtaining, reviewing and consultation of background studies and measures and initiatives, and their relationship to the resulting documents and proposals based on the objectives and expected Outcomes;
- (ii) review of reported and documented physical and financial progress, on their consistency with meeting goals and achievements, compared to baseline indicators, annual PIR progress, and status to date MTR (see document list **Annex D**);

- (iii) structured interviews with specific guidance questionnaires based on the location and roles of the interviewees the Project (**Annex E**): national and local leaders, steering and technical committees, technical team and administrative coordination of the Project; communities of users or beneficiaries; and other civil society actors, academia, scientists and researchers (**Annex F**);
- (iv) information meetings and progress reporting in coordination with the Project team and UNDP based on the needs and conveniences that arise;
- (v) recording of lessons learned in the processes of analysis, diagnostics, studies, and in the preparation of proposals, pilot projects, and recommendations for discussion and institutionalization;
- (vi) vision of the social, economic and political context of the Project area, in order to make useful recommendations on the Project progress and its forward-looking prospects, in terms of the expected effectiveness of the measures; and,
- (vii) simultaneous registration and structuring of findings and recommendations, in order to facilitate the process of preparing the draft and final report prescribed in the ToR.

No substantial or limitations have affected the MTR process beyond the usual constraints due to the end-of-year time.

2.3 MTR Report Structure

The final structure of the MTR report contains an executive summary that culminates in a set of conclusions and recommendations, and a general body that follows the requirements in the ToR, with further detailed comments, as well as a set of annexed documents required. Both the general body of the report and the executive summary have been composed in Spanish and English and maintain as much as possible the extent prescribed in the ToR (between 40 and 50 pages), so additional elements are included in the Annexes. **Annex A** is the matrix of outcomes and achievements (corresponding to Table 1 of the ToR), which by its extension is summarized in the body of the report and annexed in an integral manner.

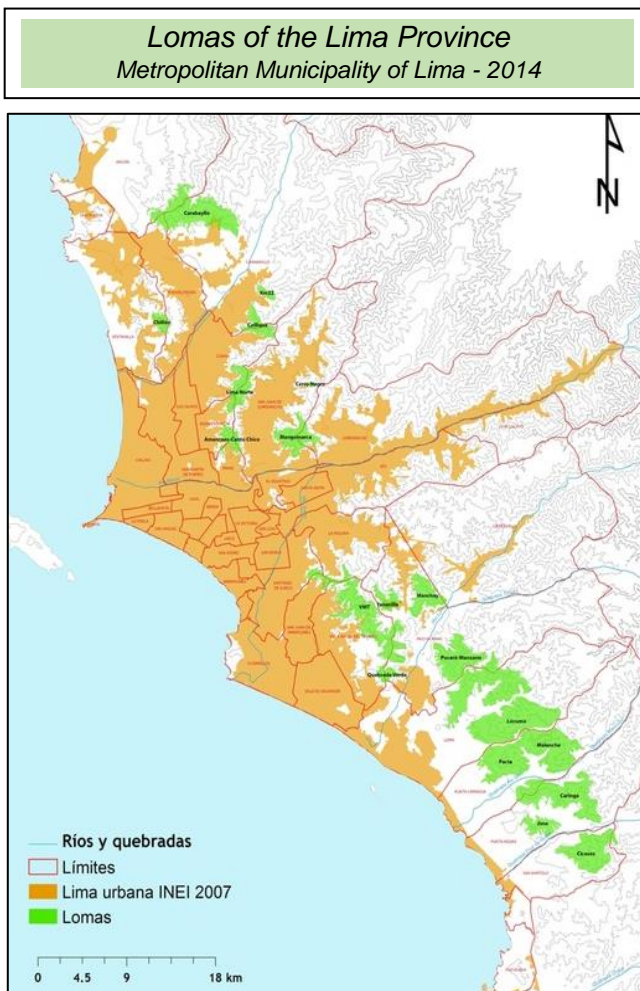
3. Project description and context

3.1 Development context: factors relevant to the objectives and scopes of the Project

3.1.1 Environmental, biological, sociocultural and economic factors

The lomas of Lima form a fragile natural ecosystem, with a unique landscape: during the months of June to October, moisture from the ocean produces an area of heavy mist in front of the Andean foothills, mostly between 200 and 1000 meters above sea level; and generates a seasonal green cover on the arid soil that these areas show during the rest of the year. Depending on the climate variability and events of *El Niño Costero* (ENSO), the extent of this seasonal coverage can reach between 20,000 and 120,000 ha (2017) over hills and mountainsides.

The lomas form an ecosystem of global importance, housing a biodiversity with a high level of endemism, for its isolation and physiographic conditions, which includes – in some cases and places – small trees, diverse plants and typical fauna. However, this system has degraded over time, and although it retains scientific, ecological, and sociocultural characteristics and interest, it is gradually decreasing in extension. This is due to a complex of natural and cultural factors that calls for a sustained conservation effort.



The spaces and systems of lomas, which extend along the coast of the country and especially in Lima, have had social and economic importance since pre-Hispanic times, as can be seen in archaeological remains and local evidence of traditional use and management of local resources. During the most recent decades, the urban expansion of the metropolis over the outlying areas of the city and on the slopes at the edge of the hills, has been the main agent of the degradation of the ecosystem and its natural values. Other factors include the exploitation of quarries and building materials, non-metallic mining for the same purposes, and transhumant or stagnant livestock of cattle, goats and swine by traditional communities and small farmers.

This complex set of factors and actors sets up a situation of difficult social management, since economic and speculative interests such as formal and informal real estate coincide in the area; and socially, a growing concern for the conservation of the lomas by villagers, communities and associations, including interest in ecotourism activities and other services. At the same time as population pressure and urban settlement continues to boost the occupation of areas,

paradoxically, increases also the interest of neighbors and visitors in access, exploration and recreation through tourist excursions.

3.1.2 Political and institutional factors

Political and institutional factors add to the conservation problem, by the dispersion of responsibilities among central government bodies, ministries, decentralized institutions, provincial municipality and metropolitan region, and district-level municipal governments, under whose direct and judicial handling the lomas are located. The required governance, which must harmonize the conservation criteria of the hill's ecosystem with those of adjoining urban management - and not infrequently superimposed on the areas of lomas - is an unprecedented challenge facing the Project, with an appropriate strategy and promotional and catalyst actions

Indeed, there is no regulatory and interinstitutional coordinated measures that have been applied to this combination of specific actors and responsibilities in the various aspects of natural ecosystem conservation, and precarious peripheral urban development. However, experiences have been gathered in one aspect and the other, to harmonize standards and criteria, and innovate in inter-agency coordination, the provision of education guides, the collection of geographical scientific information, and support for the various conservation initiatives.

3.2 **Problems addressed by the Project: threats and barriers.**⁴

The main barriers, negative constraints, and threats faced by the Project, in summary of those mentioned in the previous section, are as follows:

- Absence of comprehensive planning in the metropolis that harmonizes, orients and regulates urban expansion, considering and valuing the spaces of lomas and controlling its use and management;
- political and legal swings, and lack of continuity in management policies in successive municipal administrations, both at the provincial and district levels;
- marginality of conservation and environmental quality in municipal problems;
- precarious legal remediation systems for public and private property, and local conflicts of district jurisdiction;
- speculation and irregularity or illegality in the processes of urban enablement, or invasions of land;
- Sectoral bias of governmental decisions on the lomas, without coordination on the ordering and occupation of the territory, nor on the relevant jurisdictions; and, limited perception and capacities of most people neighboring the lomas to understand their importance and participate in its conservation and management; and
- limited perception and capacities of most villagers neighboring the lomas to understand the importance of their conservation and participate in its conservation and management

In this context, the positive evolution of which can only take place in the long term, the Project has limited capacities because of its scale of action and resources. Despite this, there is an important area of influence, and incidence of scalable action, which is taking place thanks to favorable circumstances: an incipient but firm growth of the interest of civil society and local

⁴ Source: PRODOC, Report of Inception Workshop and interviews to stakeholders.

organizations of local support the process; and gradual change – of which more stability is expected than in the past – in municipal administrations, which express a greater interest in the issue of conservation. The Project, at this juncture, can play a positive role and contribute to consolidate a process of dynamic support and collaboration of the actors involved in the lomas conservation and related activities.

3.3 Project description and strategy: Objectives, products, expected Outcomes, territorial environment.

The Project has been designed based on a comprehensive and detailed diagnosis of the complex problems concerning the conservation of lomas in the country, and in consideration of the greater difficulty: the urban environment of Metropolitan Lima outskirts.

The strategy selected consider a multidisciplinary approach involving, in a participatory way, all the key actors that will allow for: (i) the strengthening of the institutional and regulatory framework in the conservation and sustainable use of fragile ecosystems of lomas; (ii) the creation of protected areas compatible with economic diversification based on low-impact productive activities; and (iii) lay the groundwork for a system of monitoring and continuous monitoring of activities on the lomas, for the purposes of knowledge management and sustainability of actions.

From an operational and budgetary point of view, the Project described in PRODOC is structured and executed with reference to one **Objective** and four **Outcomes** which in turn relate to three or four **Indicators** in each case (15 in total, numbered correlatively). This structure presents some inconsistencies to express the scope and level of action, as is stated in section 4.2.1 of this MTR. The Objective and Outcomes are listed below, including the respective indicators, so that the relationship with the Project's activities is better expressed.

Objective: *Contribute to an integrated management and protection of fragile lomas ecosystems in the Province of Lima.*

Indicator 1: # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type.

Indicator 2: # of jobs and livelihoods created through management of natural resources, ecosystem services, chemicals and waste, disaggregated by sex, and rural and urban.

*Indicator 3: # direct project beneficiaries: - ecosystem restoration.
- sustainable ranching/ agriculture
- sustainable tourism services.*

Indicator 4: Level of capacity to sustainably manage lomas ecosystems (as measured by UNDP Capacity Development Scorecard with emphasis on Indicators #2 Existence of operational co-management mechanisms" and #9 "Extent of the environmental planning and strategy development process").

Outcome 1: Conservation of lomas ecosystems

Indicator 5: # hectares protected through the creation of Regional Lomas Conservation Area (or other figure/ modality/ institutionalized option of effective management), with revenue stream from selected lomas sites (as measured by the GEF Tracking Tool for BD)

Indicator 6: % lomas ecosystems impacted by activities and pressures originating in buffer zones.

Indicator 7: # lomas sites included in BD inventory with studies and detailed characterization of biodiversity in Lomas ecosystems and potential use.

Outcome 2: Land use management tools

Indicator 8: # of planning instruments for lomas ecosystem established in participative manner.

Indicator 9: # of local governments that include biodiversity & lomas ecosystem conservation and integrated natural resources management (INRM) criteria in their management policies, including land use zoning.

Indicator 10: # of public-private partnerships for lomas management implemented

Indicator 11: # hectares of degraded lomas reforested with native species

Outcome 3: Economic diversification and low impact land use

Indicator 12: # of hectares/zones where lomas-friendly production models are implemented:

- Sustainable ranching;
- Low-impact mining;

Indicator 13: Increase in tourism activity in selected lomas sites, as measured by:

- # of public and/or private projects that invest in improving tourism services (including proper waste management strategy) generated during the Project.
- # of visitors in selected lomas sites.
- # of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender.
- \$ generated by tourism activities

Outcome 4: Knowledge Management and M&E

Indicator 14: # of permanent monitoring systems established with partnerships with local authorities, NGOs, and universities, to monitor the presence of endemic flora as well as annual populations of migratory birds.

Indicator 15: Communication and citizen mobilization strategy with gender and youth focus:

- # schools involved in citizen conservation activities (adopt-a-tree, photo monitor of species, etc.);
- # organized groups that are active;
- # events (community cleanups, reforestation campaigns, parades)

The territorial environment for obtaining these outcomes is widely described with technical rigor in the PRODOC, revealing it as relatively diverse and dispersed, despite being

homogeneous ecosystems. On the one hand, the difference in locations of the 19 selected lomas areas within the Province of Lima, which include jurisdictions of 8 district and provincial municipal governments, constitutes a challenge for field work and Interinstitutional coordination. On the other hand, the different categories of land tenure - public, community, and private concessions and others - conditions the modalities of action.

Taking into account these limitations, and after the application of criteria of feasibility, efficiency and cost/benefit, the Project has determined to work on two Lomas Groups, depending on both their location and tenure: Group 1 covers priority and public domain lomas, mainly in the north and center of the Province; and Group 2 covers the areas of non-public, community or private tenure, both in the center and in the south, which are better preserved, because of their lower degree of adjoining urbanization.

Group 1 brings together the lomas that are part of the 'Regional Conservation Area (ACR)', the adopted conservation category within the national system for conservation in areas of subnational jurisdiction over public lands, taken on the basis of the discontinued project of the Metropolitan Municipality in 2014. The Project continued the efforts and the dossier has finally been approved by Supreme Decree No. 011-2019-MINAM, which legally establishes the 'Lomas de Lima Regional Conservation Area'.⁵

The ACR that has been established covers five areas of lomas in the Districts of Ancón, Puente Piedra, Carabaylo, Independencia, Rímac, San Juan de Lurigancho, in the North; and Villa María del Triunfo in the south, with a total legal extension of 13,475 ha, with 90% within the District of Ancón.

Group 2 covers six areas of lomas in the districts of San Juan de Lurigancho, Villa María del Triunfo, Pachacamac, Lurín and Punta Hermosa, on privately held soils, in an area of 11,205 ha (40% in Pachacamac District). The conservation modality to be adopted is still in the process of being defined, with the existing modality of 'Private Conservation Area – ACP' the most accessible option, but with alternatives that may be more effective (model 'ProVilla' that was applied to the Area of Villa Swamps, Municipal Zonal Parks, and others).

In total, the Project intends to invest, with the support of the GEF and UNDP, a total budget of USD **2,118,799** over a five-year period (2017-2021), of which almost two and a half years have elapsed to date. As a co-financing, there are investments and related and related projects in the municipalities of Metropolitan Lima and districts, amounting to USD **13,388,615** (see section [4.4.3](#) and **Annex G**).

3.4 Mechanisms and Project execution scheme.

In accordance with the requirements of the PRODOC and the provisions of the Project induction workshop, the entities and their roles in charge of the implementation of the Project are:

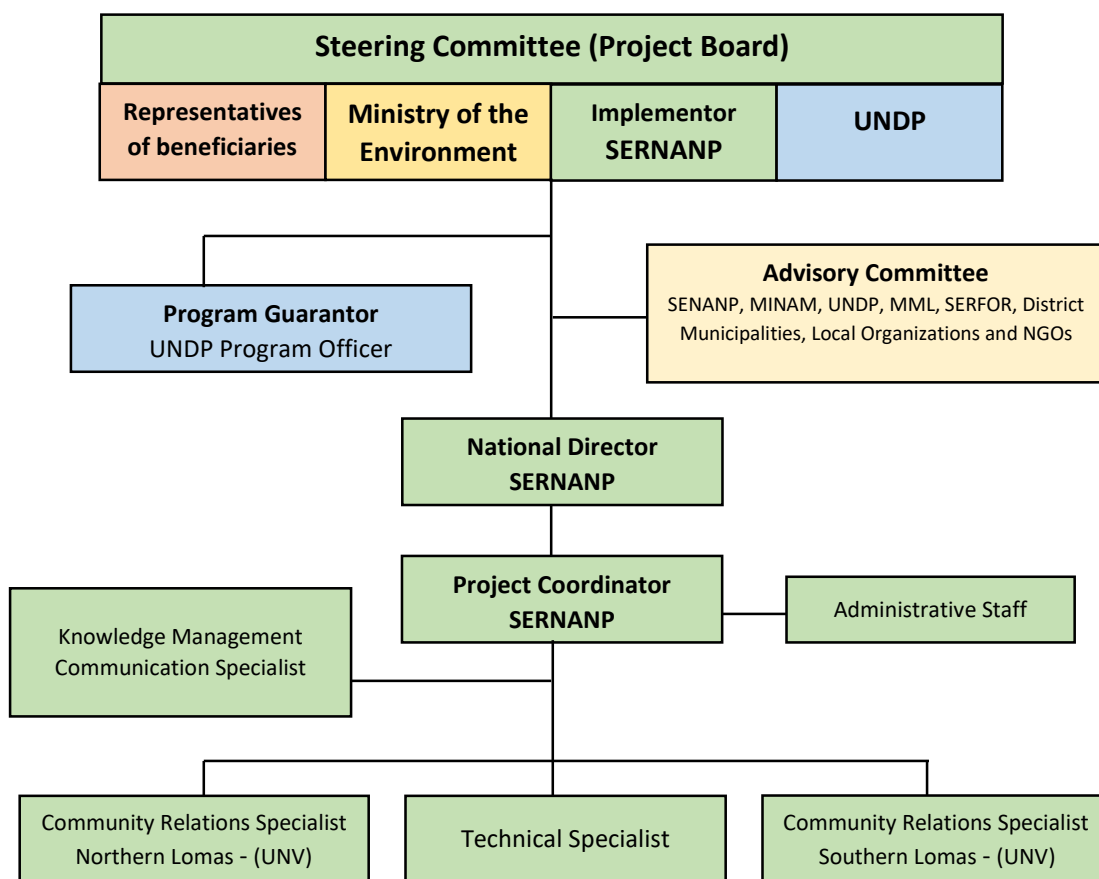
- Implementing Agency: The United Nations Development Program through its headquarters in Lima (UNDP Peru) is the implementing agency and provides project cycle management services, ensuring quality, monitoring and oversight of the implementation of the Project. In addition, PNUD provides technical and operational assistance.

⁵ The enactment of the Supreme Decree was published in the official daily paper "El Peruano" on December 7th.

- **Implementing Partners:** National Service for Natural Protected Areas (SERNANP). Autonomous entity ascribed to the Ministry of the Environment (MINAM); in coordination with the National Forestry Service (SERFOR) from the Ministry of Agriculture and Irrigation (MINAGRI), and the Regional Program of the Metropolitan Municipality of Lima (PR-5MML).

The Project is led by a National Steering Committee (CDN), or 'Project Board' (according to PRODOC), composed of SERNANP, whose representative assumes the chair, MINAM, UNDP, and a representative of local governments and grassroots organizations. In addition, the Project provides for the formation of an Advisory Committee that includes the members of the CDN, the local governments involved in the Project, the Metropolitan Municipality of Lima (MML), SERFOR and representatives of local organizations and non-governmental organizations. The need for essential changes in governance and functioning proposes appears not to be necessary (see **Figure 1**).

Figure 1 Project Organization Scheme⁶



⁶ Source: PRODOC

3.5 Timeframe for execution and level of relative progress.

The implementation period of the Project is five years, in accordance with PRODOC, as from the signing of the implementing agreement on 22 August 2016. It should therefore conclude in August 2021, that is, in just under 2 years. It is recognized, both by UNDP and by the executing entity, that this term should be enough, and no extension would be required to complete the achievement of the main milestones in progress:

- Legalization and impetus to the formation and operation of the 'Regional Conservation Area' of Group 1 of the lomas;
- Identification and formalization of an ad-hoc instrument for the remaining set of lomas (Group 2), in coordination with the respective communities and private actors.
- Promotion and support for the formulation of an integrated strategy for the conservation of lomas at the level of the Province of Lima (Metropolitan Region).
- Effective promotion and procurement of technical and financial support for initiatives to formalize associations and conservation projects and ecotourism entrepreneurship.
- Establishment of a public-private institutional alliance (yet to be defined at the time of the MTR)
- Formation, and institutionalized and stable functioning, of the GeoLomas platform as the basis of the management of knowledge on lomas, and as a mechanism for disseminating its ecosystem and socio-economic importance.
- Dissemination and support for school and adult education that consolidates the positive and informed attitude of the population neighboring the lomas.

3.6 Entities and institutions involved.

The main stakeholders are those in the diagram in **Figure 1**. In addition, the cooperation articulated by UNDP and bilateral cooperation entities related to the Project, Universities and NGOs, decentralized bodies of the public administration, which have a role of implementation of the components.

The committees, collaboration platforms and working groups of the organized population in the area are of paramount importance to the results and impact of the Project, with which a permanent coordination and contact is maintained that is recognized as positive by local actors.

A special case is the 9 municipal governments of the Province and the Districts involved, against which there are different levels of rapprochement, depending on the will and attitude towards the subject in each case. In general terms, the situation is favorable because of the recent change of administrations (as of January 2019) which, both in the case of Metropolitan Lima and in most districts, shows a positive attitude that coincides with the objectives of the Project. Since the permanence of the authorities coincides with the remaining period of action of the Project, it is to be hoped that this situation will be maintained and consolidated.

4. Proven facts

4.1 Research questions answered.

The main questions that have guided the MTR have been done regarding the roles and levels of action of the interviewees, based on a menu of questions related to the following topics (see questionnaire in **Annex E**):

- Importance and relevance of the Project in national and local policies and plans on Metropolitan Lima and protected natural areas.
- Importance of the problem and relationship of the Project and its governance with other experiences and technical visions in other regions of the country.
- Participation of actors and stakeholders in the design of the Project; perception of the importance of this approach.
- The Project's emphasis on action efficiency (short-term executive vision), versus long-term efficacy and sustainability for the conservation of the lomas.
- Vision of the adaptation needs of the Project from its initial conception, and modifications introduced.
- Relevance of the results obtained to date, related to the effort and investment deployed; arrears, risks and barriers to completion of the Project.
- Quality of reference documents and basic information for actions. Incorporation of considerations on climate change and environmental and biological degradation.
- Perception of the importance of the inclusion of gender and intercultural approaches.
- Appreciation of the role of the Steering and Advisory Committees as from the regional and local levels.
- Appreciation about the technical team in charge of the coordination of the Project, suggestions for improvement.
- Role and quality of support received from UNDP.
- Alignment of the initiated processes, with the expected results framework; necessary adaptations and suggestions.
- Perception of the mechanisms for monitoring and controlling the actions of the Project; flow of funds, and efficiency of administrative processes.
- Identification and strength of alliances and partners; commitment of those involved.
- Perception of the relationship of the Project with municipal and district actors and authorities.
- Documentation on the progress of the Project and dissemination of information. Perception of the internal and external communication actions of the Project.
- Perception of political, financial, social and environmental risks; institutional and regulatory needs.

4.2 Project strategy

In order to achieve the objectives and results described in section 3.3, the Project has taken on the strategy established in PRODOC (p. 15):

"... establish protected areas in the main lomas ecosystems of the of Lima Province. Protected areas will be complemented by the delimitation of large buffer zones and the establishment of low-impact recreational facilities between the city's urban borders and protected areas, as well as investments to recover vegetation in key areas of the area of influence of the lomas. At the same time, a set of governance tools will be developed to promote a participatory approach to comprehensive site management, which will be complemented by an inter-agency alliance for the conservation of lomas, which will articulate the functions and responsibilities. These activities will be complemented by a participatory monitoring component."

Planned in these terms, the strategy – while conceptually appropriate – is quite ambitious for the scale of the Project and the resources allocated. Taking into account the interinstitutional coordination needs and functional weakness of local public and private entities, as well as the need to manage complex and somewhat innovating legal tools and standards, the Project has practically been oriented to promote, catalyze, and support the necessary processes and involve the relevant institutions in this effort; and in these terms it is attaining achievements relevant to its main objective.

4.2.1 Project design

The PRODOC is a comprehensive and detailed document, not only of the structure of the Project but also of the needs and activities necessary to address the tasks of adaptive management, the organization of activities to obtain the products, and references to other experiences. In this sense, it is important that it becomes a key roadmap for all actors in the implementation of the Project and its monitoring and evaluation system.

It should be mentioned, however, that the applied structure of 'Outcomes' as equivalent in its formulation to 'Components' (the PRODOC uses these two terms as interchangeable) has led to the establishment of 'Indicators' of extended formulation and detail to better describe the implied outcomes. This formulation defies the *SMART*⁷ quality of achievement indicators in terms of simplicity and accuracy.

4.2.2 Frame for Outcomes/logic framework

The MTR starts from the premise that the *Components* usually refer to activity areas or mechanisms for achieving *Outcomes*, serving also to budget packaging. Outcomes in time, should relate to concrete achievements, and *indicators* to quantified and objective evidence of those achievements, in the simplest and most direct way. While this situation is not considered here as an impediment to continuing the overall good performance of the Project, it is possible to reorder and reach an improved design, keeping the same four outcomes as *Components*, in their current statement, and 'breaking them down' in specific *Outcomes* (maximum two or three per component). All these would allow for *SMART* indicators for each *Outcome*, thus improving the logic of the result framework.⁸

⁷ S.M.A.R.T. stands for the attributes that should have the indicators of achievement according to PNUD/GEF outlines: *Specific, Measurable, Attainable, Relevant, and Time-bound*.

⁸ This MTR has prepared and submitted a proposal for the ordering of the presentation and nomenclature of Project Outcomes, Indicators and Targets, using the same items of the PRODOC.

4.3 Progress in the achievement of Outcomes

4.3.1 Progress analysis

The following is a summary analysis of the outcomes and achievements, which is presented in greater detail as **Annex A** in the format established in the TdR as the 'Table 1 – Outcomes Progress Matrix', which reviews and evaluates more broadly the achievements, to-dos and barriers that have been encountered, and that could be recurrent for the rest of the Project's execution. The assessment of achievements in the matrix (Annex A) and in this summary refers to the current indicators and reaches both satisfactory values (in "green"), and moderately satisfactory (in yellow).

Considering the progress in most indicators and the prospects for concluding the implementation of the Project in the term provided for in the PRODOC, achievements can be described, **on average, from satisfactory to moderately satisfactory**, with a predictable trend to improve in the remainder of the Project's implementation. No situations that merit a high-risk rating have been detected in this instance.

In short, the achievements reported and proven, in relation to the indicators per Outcome have been valued according to the table of valuation of 6 points (**HS**=Highly Satisfactory; **S**=Satisfactory; **MS**=Moderately Satisfactory; **MU**=Moderately Unsatisfactory; **U**=Unsatisfactory; and **HU**=Highly Unsatisfactory. The colors correspond to the respective code (**green** = attained, **yellow** = in way of being achieved, and **red** = is not on the way to be achieved):

Project Objective:

To contribute to an integrated management and protection of fragile lomas ecosystems in the Province of Lima.

***Indicator 1:** # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type.*

S

Progress on this indicator has continued its dynamics. The "Lomas of Peru Network" has already acquired legal status with national scope and is in office. There are good prospects that this process continues to consolidate until the end of the Project, meeting the final goal. Work with previous local governments (2018) has continued with the new administrations as from January 2019, after the assimilation phase of the new authorities. There are currently (September 2019) nine proposed Ordinances under approval process, six of them already enacted, which would help to strengthen municipal management of the lomas.⁹

The change of government in the Metropolitan Municipality of Lima (MML) has favored the process of supporting the initiatives promoted by the Project, and its coordination with district municipalities. The MML has activated the Metropolitan Environmental Commission (CAM), which is now a concerted space accessed by the Project. There have been favorable conditions that have facilitated the implementation of the actions envisaged, which have been diligently used by

⁹ The municipalities of Lima (ACR) Comas, Carabayllo, Villa María del Triunfo, Pachacamac and Punta Hermosa, have already issued their respective Ordinances, with the support and accompaniment of the Project.

the Project to successfully move towards the objective, both from the legal point of view, from the consultation with the civil society organizations involved, and from the institutionalization of collaborative mechanisms.

Indicator 2: # of jobs and livelihoods created through management of natural resources, ecosystem services, chemicals and waste, disaggregated by sex, and rural and urban.

S

The statement of the indicator is complex by the combination of implicit outcomes and measurement forms. In any case, the final target to be achieved with this indicator is feasible, and can be achieved in excess, given the annual rate of increase in visitors and beneficiaries of tourism activities (33.9% and 27.6% respectively). In terms of women's participation in organizations, the baseline of 53% is maintained or could be exceeded; while direct beneficiaries for ecotourism services would exceed the end-of-project target.

It is considered that the recent enactment of the 'Lomas of Lima Regional Conservation Area' will stimulate the growth of tourism and associated management activities, so the targets of 110 beneficiaries and 27 tourism operators can be met. As in the previous indicator, the work of the Project has been facilitated by favorable circumstances of interest in the lomas and progress in the dissemination and support of enthusiastic villagers in nearby urban areas. This does not detract from the activities provided for in the PRODOC that have been successfully implemented by the Project.

Indicator 3: # direct project beneficiaries: - ecosystem restoration.
- sustainable ranching/agriculture
- sustainable tourism services.

MS

The estimated number of beneficiaries for 2018 has not been updated as the lomas season was just ending (October). It is estimated, however, that it could have increased substantially, so the Project end target of 42,000 beneficiaries (direct and indirect), and respective indicators, is on track to be achieved.

In the case of sustainable 'livestock', the target would be achieved with the association of farmers (55 partners) in the lomas of Mangamarca, with which the work of advocacy on good practices is being done on the fly; and with the ranchers of the southern lomas, which are at this moment a matter of analysis and identification of actors.

As for the indicator of the number of 'tourist services' in a coarse way – and in order to define more precisely these various services – the final target could be achieved, taking into account the trainings carried out and reported, and the progress from the baseline of 310 'sustainable tourism services'.

The overall progress assessment in this indicator cannot be specified because of its insufficient description. It is perceived, however - judging from the interviews conducted - that additional work is still required to support potential beneficiaries for the formalization of their actions and organizations, starting with their legal registration under way with support from the Project.

Indicator 4: *Level of capacity to sustainably manage lomas ecosystems (as measured by UNDP Capacity Development Scorecard with emphasis on Indicators #2 Existence of operational co-management mechanisms” and #9 “Extent of the environmental planning and strategy development process”)*

S

This indicator, based on the measurement of UNDP's 'Capacity Development Command Table', would have exceeded the target for the end of the 25.5 Total Score Project, although the specific indicators selected for this purpose would only show a 50%, in any case satisfactory for the middle term of the Project. It is noted in the Command Table that the other indicators also show convergent and positive progress, and there is a perception that the municipal government environment will be favorable until the end of the Project, which coincides with the change of municipal governments in the country (2021).

The dynamics of local associations participation still need to be accompanied by increased awareness and support of the surrounding population of the lomas, and a reduction in threats of illegal or irregular invasions. In any event, considering the achievements and follow-up with the Table, progress towards this Outcome may be described as satisfactory.

Outcome 1: Conservation of lomas ecosystems

Indicator 5: *# hectares protected through the creation of ‘Regional Lomas Conservation Area’ (or other figure/ modality/ institutionalized option of effective management), with revenue stream from selected lomas sites (as measured by the GEF Tracking Tool for BD)*

MS

In this indicator, progress has been limited by the need to update information and redo records dating back to 2014. In any case, the ACR has already been legally established by Supreme Decree No. 011-2019-MINAM (07/12/2019).

The focus on this initial and necessary achievement in order to consolidate other actions, has precluded progress in formulating proposals and strategies to implement solutions on the lomas that not being covered by this ACR enactment, should be given preferential attention from now on, analyzing the options available. The model adopted for the ‘Villa Wetlands’ in Lima, ("ProVilla"), based on public-private co-management, would be the most accessible and acceptable by stakeholders; other options, however, are ‘Special Zonal Parks’, private conservation, or other compatible ones.

At the same time, the control and management measures for peripheral urban development should be activated, and an activity (roadmap) of the Project should be opened to enliven the future of the activities initiated, the form of transfer of what has been achieved, and a strategy of long-term sustainability.

The indicators are achievable in principle, but the difficulties in doing so are not entirely foreseeable, especially for the lomas sector which will not be included in the scope of the ACR standard, which is 13,476.35 ha and represents 35% of the final target of 20,000 ha. With the experience of the ACR is also envisaged that an arduous process of interinstitutional concertation and adequacy with the central government and local governments will be needed.

Indicator 6: *% lomas ecosystems impacted by activities and pressures originating in buffer zones.*

MS

Progress has not been accurately measured by discrepancies in the baseline, referring to information that is not considered reliable. The Project has done a cartographic analysis, and in 2018 a reduction of the lomas has been reported that is considerably lower in losses by urban expansion than estimated at the baseline.

In any case, the 50% target for the reduction of impacted areas is considered optimistic by the specialists interviewed. On the other hand, the monitoring tools being developed by the Project are in the process of being validated to refer them to the ACR, and through patrolling in all five areas, which is a good practice that will facilitate control, information, and early warning. In the latter case it is necessary to implement the protocol designed and agreed, a process initiated in 2019 and which has not completed its approval process for political reasons and change of authorities.

Indicator 7: *# lomas sites included in BD inventory with studies and detailed characterization of biodiversity in Lomas ecosystems and potential use.*

S

The progress reported until June 2019 already indicates a satisfactory progress in this indicator, having completed the final goal of the Project, improved with the systematization in story maps and inclusion in the national biodiversity report. The enactment of the ACR will consolidate the information through patrols and monitoring extension. The scopes of the end-of-project target have been completed and improved, allowing to increasing effort on other components.

Outcome 2: Land use management tools

Indicator 8: *# of planning instruments for lomas ecosystem established in participative manner.*

S

The draft strategy has been finalized, in concert with the CAM, at an ad-hoc technical table. It has been agreed that it will be approved by Ordinance of the Metropolitan Municipality of Lima, once the review work has been completed. This strategy will guide the development of the ACR Master Plan and lay the groundwork for actions on the areas not incorporated into the ACR.

Progress is considered satisfactory, and enough time and follow-up capacity are available to complete the process, accompany the development of other instruments (Master Plans) and achieve the final goal of the Project.

Indicator 9: *# of local governments that include biodiversity & lomas ecosystem conservation and integrated natural resources management (INRM) criteria in their management policies, including land use zoning.*

S

Progress at the MTR date is satisfactory; but it is necessary to verify the baseline because, after its formulation, there were some repeals of the rules that had been issued. In any case, with the technical assistance of the Project, models of district ordinances have been proposed, and the process articulated with the CAM from the Municipality of Lima – MML that has already

achieved 6 municipalities with their respective Ordinance enacted. The dynamic work and coordination advances in the field of CAM make it possible to predict that the final target of 9 local governments and the MML with integrated management tools, is achievable.

Indicator 10: # of public-private partnerships for lomas management implemented

MU

The baseline is not precise in relation to the indicator statement (a more adequate description of the various services under consideration is missing). In addition, it has been requested from MINAM to set the target at a more advanced stage of the Project.

This MTR considers that under the current conditions, from the Project side, it is not possible to predict whether the necessary political environment will be available to achieve the outcome described in the indicator. The issue of the regulation of public-private partnerships does not appear to be sufficiently developed for its formal application to the characteristics of the Project and the lomas environment.

Outcome 3: Economic diversification and low impact land use

Indicator 11: # hectares of degraded lomas reforested with native species.

MU

In the baseline, in the opinion of the Project's technical team, the figures should be realistic and the starting level better specified. For this reason, the CDP has decided an accuracy in the goal of the Project, considered rather high for the case, thus reducing the direct effort of the Project to 100 ha, and assigning the rest to the action of reforestation to public-private partnerships (which is linked to the current undefinition of Indicator 10).

In any case, the Project is making successful progress in the technical aspects of the implementation of nurseries with native species, including training local organizations; and the methodology to be used with SERFOR, the technical authority for fragile lomas ecosystems, is being validated.

Actions for this indicator are considered moderately unsatisfactory because they depend on coordination with other entities, interagency policy instruments, and options to be defined in association with mass reforestation programs promoted by other institutions (MINAM, Metropolitan Lima Park Service – SERPAR).

Indicator 12: # of hectares/zones where lomas-friendly production models are implemented:

- Sustainable ranching;
- Low-impact mining;

MU

This Result is linked to Indicator 3 at the Project Objective level, so the observations are analogous, especially for the Mangomarca lomas and their level of progress. In the case of the Lomas de Lúcumo, the field analysis work was completed, and the mapping will be incorporated into the Project's action planning, with guidance on good practices and their implementation.

Specialists point out that cattle farming is shrinking (they are actually fattening centers, in most cases); and that of goats and others do not have a clear future and depends on circumstances that go beyond the lomas (nomadic livestock, and incursions from farthest Andean buttresses).

Regarding extractive activities, long-standing problems persist with concessions granted and pre-existing rights on the use of lomas. Progress continues in the concertation of interests with the main private company (UNACEM), which is willing to collaborate with the Project.

As in the case of Indicator 3, it is considered that the scope of the Project's actions does not have the scale to act decisively in the achievement of the Outcome. Effective interinstitutional action - for which there are no benchmarks now - is required to reconcile private urban and industrial interests, with the conservation interests of the natural ecosystem.

Indicator: 13: *Increase in tourism activity in selected lomas sites, as measured by:*

- *# of public and/or private projects that invest in improving tourism services (including proper waste management strategy) generated during the Project.*
- *# of visitors in selected lomas sites.*
- *# of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender.*
- *\$ generated by tourism activities, by gender and income type)*

MS

In this mixed indicator, being predominantly satisfactory, the progress is different in each section. It is necessary to overcome the 33% progress in the achievement of loans by negotiating with the associations: two of the six micro-capitals provided have been approved, but only one is already allocated, with the second (Lomas de Lúcumo) pending response. Considering that the formalization and updating of the legal entities of four additional organizations has already been completed, the possibility of achieving the goal in what remains of the Project is open.

Visits to the lomas have a growing dynamic, judging by the figures (pending the closure of 2019), and the increase figures would allow to reach the final target, given the interest of the metropolitan population in general, schools, and associations. The progress towards the goal is consistent with the increase in visitors, which contributes in time to the increase in beneficiaries by diverse causes, including volunteers, guides and tour service operators.

Consistent with increases in visitors and beneficiaries, monetary income is also higher than the expected target of 20%, although the required 50% reinvestment outcome is difficult to measure and will require indirect surveying and analysis for its estimation.

In these sections of Indicator 13, it is anticipated that the end-of-project targets will be achieved or exceeded without further difficulty, given the process's own dynamics and the appropriate support actions of the Project. However, the priority of care in these areas and the work dynamics in the other activities concomitant to this achievement should be maintained

Outcome 4: Knowledge Management and M&E

Indicator 14: *# of permanent monitoring systems established with partnerships with local authorities, NGOs, and universities, to monitor the presence of endemic flora as well as annual populations of migratory birds.*

MS

The construction of the M&E system is based on the information being collected and systematized into the GIS tool "GeoLomas", which is a good practice by the Project, and has been well received and appreciated by the various actors. GeoLomas already surpasses the baseline of

individual flora and fauna fact sheets developed by SERFOR (2011/2013); while the baseline of species indicators to be determined in year 1 is already in the process of validation, being applied as a pilot in the Reserved Zone Lomas of Ancon.

The management of GeoLomas is a satisfactory advance, but it is necessary to complete its validation as a tool for the purposes of knowledge management, use and application by actors in the field, and process of transferring its operation and accessibility to entities mentioned in the PIR report, to maintain their quality and coordinated management. The management of the M&E system and the systematic application of ongoing monitoring is often complex and arduously coordinated, largely due to the dispersion of competent government systems and entities in the various aspects of the conservation of natural areas and territorial management.

Indicator 15: Communication and citizen mobilization strategy with gender and youth focus:

- # schools involved in citizen conservation activities (adopt-a-tree, photo monitor of species, etc.);
- # organized groups that are active;
- # events (community cleanups, reforestation campaigns, parades)

S

The proper development of the 'Educational Guide', its official validation, and the implementation of the pilot during 2019, constitute good practice with satisfactory progress, as it is already in place in 12 schools, and having institutional support from the MML to meet, more broadly, the final target of 60 schools set for the Project.

In terms of active organized groups, progress towards the final goal is also satisfactory, as it has joined the Project's initial 5 groups, three more groups in areas of the lomas, making more than 50% of the final goal.

The creation, on the initiative of the associations, of the 'Peru Lomas Network', and the support given to it by the Project, are also satisfactory good practices convergent on the final goals, facilitated by the interest and growing enthusiasm in the general population for visiting the lomas and promoting their conservation.

The final target of 6 'events' would have already been surpassed. However, it would be advisable to better specify the indicator and the type of events to better reflect the Project's effort to meet this Outcome and its goals.

4.3.2 Remaining barriers to the achievement of the objectives of the Project

The main remaining barriers that limit the pace of implementation of the Project, which have been mentioned by the interviewees or noted in the reports, are:

- (i) Political uncertainty, in terms of sustainability of municipal policies, and the historical trend of discontinuity in government releases, both national and local.
- (ii) As a result of the above, the absence of a comprehensive metropolitan development plan, which is the normative framework for district plans and actions currently autocratic and devoid of coherence with each other; and to address the global aspects of the metropolis such as transportation, green and recreational areas, and the overview of topics such as the peripheral lomas.

- (iii) The inconsistency of sectoral policies (mining, agriculture, forestry, environment, culture) with the coexistence of ecological values to preserve at the territorial and urban level, and the harmonization of regulations about lomas.
- (iv) Conflicts of land tenure and action by interest groups that take advantage of legal irregularities or precarious land titling to promote invasions.

4.4 Execution of the project and adaptive management

4.4.1 Work management and planning mechanisms

Table 1 in this section, as well as **Figures 2 and 3** illustrate the budgetary execution situation versus what was scheduled in the PRODOC. Budget execution figures are satisfactory for a mid-term measurement (**58%** progress in total expenditure, and between 52% and 62% of the execution range by Outcomes) and reveal the relative Project efficiency in expenditure and compliance prospects for PRODOC implementation deadlines (August 2021).

Indeed, Figure 3 shows that the estimated expenditure projection by the MTR for 2020 and 2021 would maintain the current trend of progress for Outcome 3, and a reasonable increase in the rate of expenditure for Outcomes 1, 2, and 4. This allows for a Project closure within the terms provided for by PRODOC.

In terms of adaptive management, corrections authorized by the CDP have been made to some unrealistic indicators in the scope of the Project, the basic information, and the capabilities and resources allocated. Such is the case of the planned reforestation hectares in charge of the Project, and the adjustments of targets by updating cartographic and field information, as in the sizing of degraded areas, which amount to a lesser extension than the estimate in the PRODOC.

The Project team (Project Coordinator, Expert Specialist on the Subject, GIS Specialist, Communicator and Administrator), is complemented by consultants for specific topics (education, forestry and nurseries, fog traps and others) and is perceived as sufficient in their capacities for the tasks of the Project.

The highest-level guidance and inter-agency coordination are led by the Steering Committee, or Project Board, whose meetings are held twice a year, frequency considered insufficient for the decisions required at a higher political level. The Advisory Committee has a more regular and frequent functioning, because it addresses more specific issues.

4.4.2 Monitoring and Evaluation systems

The biggest advance in terms of building a system to track project actions and legacy of information, is the GIS 'GeoLomas', which is advancing at a good pace and is being highly appreciated by users, academics and beneficiary associations. From this system you can and should build an interactive information base linked not only to knowledge management, but also to real-time conservation and protection actions, articulated by immediate communication systems. In this instance it is of importance to prepare from now on the mechanism of transfer of assets, know-how, and the database to the entity with greater suitability and accessibility for its management and dissemination

Table 1. Comparative of PRODOC Budget vs Real Expenditure

BUDGETED, EXECUTED (2017-2019) AND FORECAST 2019 - 2021 - (USD)							
PRODOC Budget	2016	2017	2018	2019	2020	2021	Total
Outcome 1		90.000	111.000	93.000	84.000	91.000	469.000
Outcome 2		53.807	63.607	65.607	60.607	48.606	292.234
Outcome 3		109.500	201.500	172.500	84.500	86.500	654.500
Outcome 4		68.000	68.000	79.000	70.500	102.220	387.720
Proyecto Management		36.069	36.069	36.069	36.069	36.069	180.345
Total PRODOC		357.376	480.176	446.176	335.676	364.395	1.983.799

Execution (USD)	2016	2017	2018	2019 (*)	2020 (Estimated)	2021 (Estimated)	Accumulated (Sept. 2019)	Pending 2019-2021
Outcome 1	25.933	115.775	82.165	55.878			279.751	189.249
Outcome 2	15.095	14.055	92.060	36.144			157.354	134.880
Outcome 3	485	117.680	140.126	145.043			403.334	251.166
Outcome 4	1.073	69.245	94.905	52.740			217.962	169.758
Project Management	12.211	50.366	12.025	19.276			93.878	86.467
Total Execution	54.796	367.121	421.282	309.080			1.152.279	831.520

(*) September 2019

ACUMULATED OF PROGRAMMED BUDGET AND EXECUTION 2016 - 2021						
PROGRAMMED	2016	2017	2018	2019	2020	2021
Outcome 1		90.000	201.000	294.000	378.000	469.000
Outcome 2		53.807	117.414	183.021	243.628	292.234
Outcome 3		109.500	311.000	483.500	568.000	654.500
Outcome 4		68.000	136.000	215.000	285.500	387.720
Gestión del Proyecto		36.069	72.138	108.207	144.276	180.345
TOTAL		357.376	837.552	1.283.728	1.619.404	1.983.799

EXECUTION	2016	2017	2018	2019	2020**	2021**	% over Budget
Outcome 1	25.933	141.708	223.873	279.751	375.670	481.628	60%
Outcome 2	15.095	29.150	121.210	157.354	211.306	270.905	54%
Outcome 3	485	118.164	258.290	403.334	541.626	694.392	62%
Outcome 4	1.073	70.318	165.223	217.962	292.696	375.251	56%
Project Management	12.211	62.577	74.602	93.878	126.066	161.623	52%
Total Execution	54.796	421.917	843.199	1.152.279	1.547.364	1.983.799	58%

Resumen Acumulado	2016	2017	2018	2019	2020**	2021**
PRODOC Budget		357.376	837.552	1.283.728	1.619.404	1.983.799
Execution	54.796	421.917	843.199	1.152.279	1.547.363	1.983.799
% over Budget	3%	21%	43%	58%	78%	100%

(**) Forecast

Source: PRODOC, PIR 2018, PIR 2019, Trimestral and Annual Reports. Estimations elaborated by MTR.

Figure 2

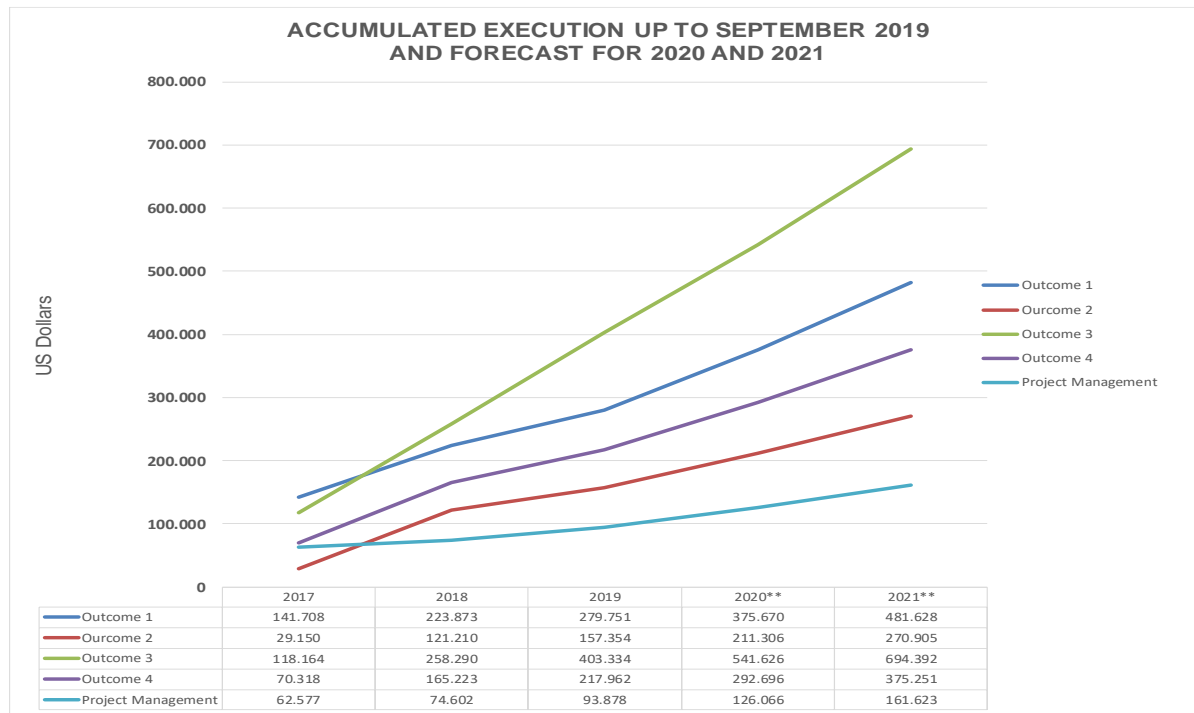
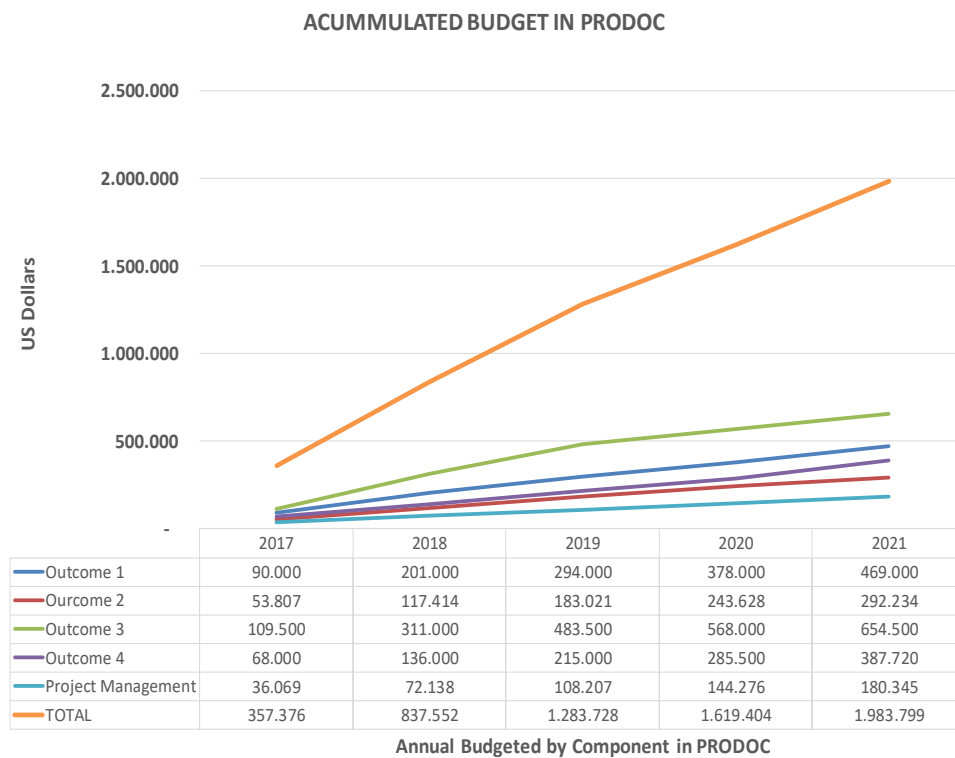


Figure 3



Source: PRODOC, PIR 2018, PIR 2019. MTR elaboration.

Other aspects that deserve to be followed-up for knowledge management and foreseeing transfer are the 'Educational Guide' and its application to schools; experiences of nurseries establishment and adaptation of native plants; training and conservation awareness-building actions in officials, partners and allies; and the implementation of the lomas conservation strategy. It is understood that the Project has not yet taken more intensive action of the implementation of this component, because it is subject to more urgent tasks; but from now on it is necessary to dedicate more effort and resources to the subject.

In terms of monitoring and monitoring of the Project itself, it has been mentioned above (section 4.2.1) the desirability of discussing a redefinition of the structure and statements of the Outcomes and Indicators, maintaining the administrative and operational structure of the Project, for which an MTR proposal has been unofficially submitted

4.4.3 Financing and co-financing

No difficulties are seen in this MTR on the issue of financing in the implementation of the Project, budgets and implementation being kept in accordance with the standard procedures of UNDP and the GEF, along the progress already reported.

In terms of the provisions for future financing and sustainability of the actions, a brief analysis of the possible risks and post-project needs is made below, which require prior decision-making to ensure such financial sustainability both from public budget as well as from the economic endeavors of the Project partners.

The co-financing figure is maintained as included in the original commitments in the PRODOC, both by the municipalities that share the lomas areas, as well as NGOs and other cooperation entities, arising to USD 13,388,615. The projects and actions that make up this co-financing are listed in **Annex G**. In addition, there are in the official investment system maintained by the Ministry of Economy and Finance - MEF other convergent projects for the areas and aims of this Project, in various state of development and activation status, which jointly represent an updated amount of USD 46,026,003.

There is no information on the monitoring status of the co-financing by municipalities. As is often the case with municipal investment and finance – and even more with the frequent turnover of officials and administrations – the accurate monitoring of these actions is arduous for external entities, and is not achieved without an effort that would require a CDP' special action, and access to high-level government support and Project resources.

However, there are provisions and plans already underway by the metropolitan government (MML) to assume the ACR implementation with four official projects totaling more than USD 33 million (114 million soles), with economic calculations of benefits that more than double this amount.

4.4.4 Stakeholder involvement

The Project, as prescribed in the PRODOC, has devised a line of promotion of the participation of beneficiaries and actors, and joint work of partners and allies, which reaches a highly satisfactory level. Apart from some dissents, explained by the diverse status and interests of associations, community directives, private companies, institutional jealousy, and even municipal administrations at the district level, the balance sheet is positive in terms of will to participate.

It would be advisable, as some interviewers and partners express, to further broaden the spectrum of institutions that could be incorporated into the effort, especially from the perspective of urban development and cultural and educational actions (museums, cultural groups, mothers' clubs, parent associations, and others), within the framework of the possibilities and resources available, and acting in coordination with the municipal community support and services bodies.

Given the special problems facing the Project, and the natural inclination to the conservation disciplines of the main actors (SERNANP, SERFOR, conservation NGOs), it is appropriate to increase the support of civil society from an urban perspective in transport services, citizen security, tenure regulation, waste management, water and energy services supply, and infrastructure in general. Partnerships with metropolitan, public and NGO organizations ('Lima Como Vamos', 'Ciudades para la Vida', 'Periferia', among the most active groups that even promoted the original project), would enhance the scope of the Project's actions.

4.4.5 Information and communication

The main contribution of the Project focuses on strengthening the mapping and data base 'GeoLomas', which is a contribution of great interest to actors, partners and allies, and to the education of the population and users in general. In this regard it is only recommended to continue and consolidate the tool, and to continue the work on data enrichment in partnership with the universities already incorporated in the effort (UNALM-CDC, and UNMSM).

In terms of internal communication, there is a need for better reporting on the progress of the Project at the level of the CDP, allies and partners; and knowledge management actions that can be shared at this level. As for external communication, to extend the contents of the website to host news of the activities of partners and allies, videos and others. There is a good production of educational and extension videos on social networks (FB, YouTube) produced by different actors and partners who might have links on the Project website.

In addition, a channel of communication and exchange should be maintained with the initiatives and projects GEF-UNDP underway, which are complementary or related to the objectives of the Project, and which are listed and described in the PRODOC (Sp. p.26).

4.5 **Sustainability**

The risks identified at the Project design stage, as outlined in the PRODOC, mostly persist. Many of them, both environmental and social and political, are structural in nature, so the Project can propose only mitigating measures. In the institutional and governance aspects, however, there is room for action in innovative proposals, in line with the uniqueness of the lomas problem and the need for special solutions.

4.5.1 Financial risks

The main financial risks are the result of the contingency of municipal administrations and the changes in priorities that they usually impose. In the case of the MML, and its Regional Programme, which will be in charge of taking over the management of the ACR, it must be ensured, as far as the Project remains, that the municipal administration restructures its functions and responsibilities by incorporating the new management body, and ensuring the corresponding budget increase in its specification. This process is already starting within the Regional Program of the Municipality and should receive appropriate support from the Project.

In the case of lomas not included in the ACR, mostly on communally or privately owned land, the problem must be urgently addressed, depending on the management option that is determined and that must be decided in the short term. The ACP option would involve public-private partnerships that are not yet rooted, and the discussion and proposals on the subject have been postponed under the Project. The mere presence of associations, or community management, will hardly ensure financial sustainability, within a limited framework of visitor capacity and seasonal tourist activities on the lomas.

4.5.2 Economic risks

The economic risks, in the case of a Project linked only indirectly to income generation, are directly related to financial risks. The economic subsidy will be necessary and decisive, especially on the lomas areas. A permanent risk will be the argument by land-dealings on the economic priority and value of urban land over ecological considerations, for which strong responses must be prepared that include the actual value of these services and environmental benefits.

4.5.2 Institutional and governance risks

The greatest risks in this topic lie in the political and priority changes, which usually accompany the renewal of governmental, sectoral and local authorities. The major test is the Project itself, postponed for three years by the Municipality of Lima in its previous administration. The conservation strategy and Ordinances issued or in preparation are useful if they produce objective changes in the administration and management of lomas; otherwise they will be left out more easily.

In terms of governance, the problem of the lomas – as noted above – lies in its exceptional character and border condition between areas of ecological importance and urban areas in expansion that conflict and generate the need for unprecedented standards and adequacy of approaches; and the traditional action of the sectoral and municipal public administration, along with a social change of the population. This is a structural condition of society and the State, to which the Project can contribute in a limited way, promoting the processes of change, and laying precedents for forms of action.

4.5.3 Environmental and social risks

As a positive initiative in terms of the preservation of the environment and the conservation of natural areas, the Project should not generate additional environmental risks beyond those that would occur without its intervention; and it can contribute to the contribution of solutions and controls, such as increased environmental awareness.

The risk of invasions is the most serious, even though there has already been a decrease in its incidence; and is largely related to the capacity and government commitment to control it, which has improved over the past two years, but not enough to ensure its eradication.

The risks of alteration of natural loma ecosystems by livestock and extractive activities, is part of the management problem and there are options for their treatment; the same can be said of extractive and mining activities, which will have measures relevant to the ACR regulations and any other management options. The problems of climate change are not sufficiently established in this context, and the disaster risks that may affect the lomas, will also be the subject of the local government management and civil defense considerations, in which the Project has no impact.

Care should be taken in the introduction of species, reforestation or alteration of the natural process, excess visitor burdens and waste management, and other risks that may be incurred by the actions of the Project or the body to which the activities and resources will be transferred.

5. Project alignment to the CPD, UNDP Strategic Plan and SDG

The project's contribution is outlined in the matching and converging aspects, based on the respective results of national and global programs and strategies, and on the UN Sustainable Development Goals. USA:

- UNDAF (2018-2022),
- Peru Country Program (CP) 2017-2021, in its Outcome 1, Output 1.2, as the Project will "...develop local capacities for the sustainable management of natural resources and ecosystem services."

The Project is also aligned with national programs (National Biodiversity Strategy), as well as the results of the areas of activity of GEF 5 (Biodiversity and Ecosystems), in particular in BD1 ("improving the sustainability of protected area systems..."); BD2 ("... integrate the conservation and sustainable use of biodiversity..."); LD2 and LD3 on tender degradation. ("... generate sustainable flows of ecosystem services by easing pressure on the lomas...").¹⁰

The Project contributes directly to the following SDGs: 11 (Sustainable cities and communities); 12 (Responsible production and consumption); 13 (Climate Action); 15 (Life of terrestrial ecosystems). It also contributes to the achievement of Objectives 1 (Poverty Reduction), and 17 (Alliances to Achieve the Goals).

6. Conclusions and Recommendations

6.1 Conclusions

➤ *On the nature and importance of the Project*

- The Project is recognized as a valuable, timely and necessary commitment to the city and the country to conserve these unique ecosystems; and involve and benefit in the process the local populations neighboring the lomas, by incorporating these spaces today marginal in the considerations for integral and sustainable development of the metropolis.

¹⁰ PRODOC; *Estrategias, opciones y prioridades...*; page 24, Spanish versión.

- The Project, despite its limited scale in temporal and financial scope, addresses an unprecedented complex combination of problems, and difficult-to-manage historical processes: highly dynamic informal urban expansion, without a regulatory basis or planning schemes; and the need to deal with the preservation and sustainable management of unique ecosystems of surrounding lomas with high biological value. All this in a context of weak management of local governments and regulatory and legal difficulties; weak articulation with the productive sectors of the central government; and the action of land trafficking groups, with the power of interference in municipal governments.
- Generally speaking, it seems to be a consensus and coincident views among the interviewees, both from the public sector and civil society, on the positive action of the Project by helping to remove the main barriers and problems, also expressing recommendations – considered in the MTR - to overcome the challenges that faces the Project.
- There seems to be a timely coincidence of circumstances that have called attention to the lomas, the main reasons being their increasingly conspicuous presence on the urban periphery by the invasion process; and at the same time, for the greater physical accessibility to the option of seasonal recreation and opportunity for ecotourism ventures, in addition to sound interest in their conservation.
- It is gratifying to verify the vitality of the interest and spontaneous actions of civil society associations and residents to proactively solve the problems of protection and conservation of the lomas, and that can now have a good and timely relationship and guidance from consultant technicians and officials linked to the Project.

➤ *On the Project design and strategy*

- Overall, the Project has been designed with broad objectives and ambitions to address the various approaches to intervention; and gathers convergent experiences and visions of conservation and protection, keeping a participatory approach.
- Implementation course and pace, given the time scale and resource availability situation, as well as the response to the political situation, has opted for conventional schemes of management of protected areas that adapt to the situation and problems of the lomas. The ACR scheme has therefore been partially implemented, introducing a differentiation of the lomas to be included, on the grounds of land tenure regime and suitability for management.
- The ACR option, probably the most accessible and viable in the current regulatory context, may not fully respond to the particular and overall problems in the face of the pressure of local urban expansion, not foreseen in the concept and regulation of the ACR, which will likely require adjustments for sustainable ad-hoc management.
- The conservation of the lomas requires to evolve into its own overall model, with a stable and inclusive political framework of permanent technical coordination, both in the intersectoral and in municipal spaces; and with the promotion and participation of civil

society, sustainable funding, and intense population education to formally involve them in the effort.

- The structure of outcomes and indicators in the Project's implementation framework - for the sake of simplifying the scheme - sacrifices the accuracy and conceptual correspondence of the outcomes with the objective, and merges them with indicators, thus complicating the *SMART* description and the monitoring and evaluation of achievements.

➤ *On inter-agency management and the involvement of partners and ally parties.*

- Representatives of civil society perceive that the national government does not yet express on the subject a guiding idea that allows to harmonize the work of public bodies (Agriculture-SERFOR, Environment, Mines, Housing, Tourism...). For the time being, it would be the Regional Program of the Metropolitan Municipality of Lima (MML) and the district municipalities that emerge as spaces of concertation, especially the Municipal Environmental Commission (CAM), of provincial level, on which effectiveness actors have expectation.
- It is assumed in the Project that the aspects of interinstitutional coordination are crucial to establishing the long-term conservation system; but there is not an accurate description of the steps and actions that must be followed, as a 'roadmap' form, to achieve it. If the MML, through its Regional Program, will be in charge of managing the ACR, one wonders how this transfer is being prepared, how resource management is envisaged, what will be the roles in this transition of SERNANP, SERFOR, SEDAPAL, the Municipalities District, and other government actors; and how current organizations, partners and allies will participate in the effort and proper governance.
- These concerns require careful work of the Project in coordination with local governments and the relevant sectoral rectory, studying the concurrent options for conservation (zonal parks, special recreation areas, and similar other). In this area, there is a need to incorporate, in consultations and decisions, sectors and projects with interference in key issues of the territory of the lomas: urban development, 'sustainable cities', citizen and police security, tourism, culture, production, transportation, concessions for non-metallic mining, mainly. The CAM could be a coordination space for these issues.
- In terms of governance on international cooperation, concerns persist from the country's GEF Operational Focal Point (OCAI-MINAM) about articulation and coordination of actions related to GEF projects, which they consider insufficient, as well as on the need for a proper and shared management of project knowledge and experiences.

➤ *On gender approaches and inclusion*

- The gender approach in the Project design has a *de facto* expression in the actual interest and majority participation of women (more than 50%) in associations and groups with an interest in the conservation of lomas and legal protection actions. This condition, while arisen spontaneously, has been appropriately supported and promoted by the Project, through training, formalization and involvement in various reported activities. It

is necessary to maintain this sponsorship and permanent promotion to prevent interest decline, and to consolidate the gender approach and local awareness of it.

➤ *On the process and progress in the Project implementation*

- The progress of the Project is quite satisfactory in relation to its goals and established indicators, but it is necessary to maintain a long-term vision in each program and activity that is formulated. Since the enactment of the ACR has been just achieved (December 7th), efforts should be concentrated now on linking the short-term approach to the implementation efficiency of the Project, with the long-term effectiveness approach necessary for the consolidation of the Project's expected achievements sustainable schemes of regulation, institutionalization, and the visibility of the lomas and their role in the well-being of the urban population.
- No need is foreseen in this instance to extend the implementation deadline of the Project, while the pace of implementation and progress to date would be ensuring the completion of the Project in its intended components. However, it would be advisable for the Project to promote and encourage governmental actors to support the vision and formulation of a next phase of consolidation and extension of the management of the lomas, including new areas, both in Lima and in the rest of the country.

➤ *On the mechanisms of management, monitoring and impact assessment on beneficiaries.*

- A review of targets and indicators of some results and products should be weighed, which have not necessarily foreseen situations requiring another type of measurement, or their inclusion as a product; such as educational actions, nurseries, fog traps, support for ecotourism initiatives, or legal sanitation of organizations to make them subject to donations or funding credits.
- Regarding the action of the Project Steering Committee (CDP), it has been stated by some actors that a higher frequency of meetings would be desirable. While recognizing the time constraints of high-level officials, this situation could be alleviated by establishing ad-hoc working groups for urgent or strategic issues, with a view to consolidating and sustaining the actions initiated by the Project.
- As to the performance of the Project's technical team, the actors recognize the technical quality and goodwill of specialists and consultants, as well as the ongoing support expressed in meetings, workshops, training and advice for registration and working associations. In general, there is a positive view of fieldwork and inter-agency coordination efforts.

➤ *On knowledge management aspects: information, communication, education and support for social associations and organizations.*

- There is a good recognition of the Project's communication support among the field local actors; but a greater impact and presence is called from public institutions and collective actors.

- There is a positive image of the communication, training and education actions that are carried out for the benefit of the organized resident population. Advances in educational guides and actions with teachers are well focused and are mentioned by the actors as achievements; so, they should be emphasized and continued in a participatory manner, beyond the establishment of the ACR, as part of their ongoing action.
- The input of information through the 'GeoLomas' tool is positively mentioned, whose applications also serve to monitor and support all project activities. This product needs to be further refined to ensure that all the lomas information reaches greater accuracy and extension to more users.
- Regardless of whether a public investment phase is in place and achieved to consolidates the advanced, it is important to contribute with the lessons learned to the provision of integrated treatment of the main problems of the lomas: urban expansion, formal or informal; parallel technical and political adequacy of the regulation of their use and the conservation of fragile ecosystems involved; and the promotion and support of the exemplary efforts of resident associations and settlers.

6.2 Recommendations

A. On the objectives, design, and implementation strategy

1. Prepare and submit for discussion and approval of the CDP (Project Board) a strategy and roadmap for the transfer of the Project's actions, providing for the governance structure and the roles of the executing agency (Metropolitan Municipality of Lima), and the support and sectoral rectory entities (MINAM-SERNANP, MINAGRI-SERFOR, MINVIS-SEDAPAL-SBN, PRODUCE, MINCETUR).
2. Elaborate on and propose to the PCM the formation of a Multisectoral Permanent Working Group (GTP), chair and rotary management, to conclude commitments to support current and future actions to preserve the lomas and to regulate tenure and urbanization processes.
3. To resume and promote the approval of the pending protocol and sectoral early-warning and multi-action agreements for the prevention and resolution of invasion problems, illegal extraction and disaster risks.
4. Discuss in the CDP the desirability of reviewing the structure of components-results-products and indicators, for better evaluation and measurement of results and impacts at the end of the Project. The MTR has submitted a proposal for consideration and discussion.

B. On adaptive management

1. Increase the level of representation and frequency of sessions of the CDP; incorporate SERFOR and establish working groups in the Advisory (Technical) Committee to fuel decision-making.

2. Prepare a proactive engagement strategy of the various associations and community organizations, determining communication gaps and causes that limit support for the Project or joint work.
3. Link the actions of the Project with the actions of other convergent projects and initiatives, including urban issues: 'Sustainable Cities', 'Green City' (Raimondi Park) and others; as well as NGOs dealing with urban issues ('*Lima Como Vamos*', '*Ciudades para la Vida*' '*Periferia*', and others),
4. Promote the development of proposals from associations that have already acquired the conditions for obtaining credits or donations of micro-capital and advise on the contents convergent to the objectives of the Project.
5. Participate, from the CAM, in the promotion and call for solutions to the problems of lomas management in the municipal governments and promote their commitment in the effort.
6. Prepare a strategic forecast of future budget requirements and early allocation of technical resources, as input to transfer to the MML in its preparation to take on sustainable management of the lomas by 2021 onwards.

C. On capacity building, knowledge management and communication

1. Promote the continuous improvement of the 'GeoLomas' tool and the permanent dissemination of its contents; anticipate their institutional anchoring at the most convenient level for systematic maintenance and application.
2. Expand the dissemination of the Project's actions from the website and social networks; and provide for the sustainability of this effort at the CDP level by concluding a strategy of the presence of the subject and citizen awareness in this regard.
3. Extend the call for members and allies beyond the local population, to cultural institutions, clubs, museums, local sports, youth organizations, and other related, in order to provide the actors with a wider perspective of the social and economic benefits of lomas conservation.
4. Collect, from the communications activity, the lessons learned from the Project and document it with a view to replicating experiences in other areas of the country.
5. Promote and extend the action of the Educational Program and Teacher Guide to more schools, and adapt it to adult education and culture, through the action of existing groups and school parent associations, emphasizing social and economic benefits.

D. On gender and intercultural issues

1. Maintain and strengthen the interest and participation of women's groups in the conservation of the lomas, through training, articulation with school education, promotion of income-generating activities, exchange of experiences between various

areas with support from the Project, within the framework of an empowerment process as agents of influence and political

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7. ANNEXES

- A. Outcomes Progress Matrix (Table 1 in TdR) (Eng.)
- B. MTR Terms of Reference (Spa.)
- C. Evaluation matrix (Spa.)
- D. List of documents examined (Spa.)
- E. Questionnaires for interviews (Spa.).
- F. Itinerary of evaluation mission and persons interviewed (Spa.)
- G. Tables of Co-Financing (Spa.).
- H. UNEG Conduct Code signed (Spa.)
- I. Approval of Final Report form

Reserved Annexes

- E. Audit Trail
- F. Tracking Tools for MTR (METT, TT)