

# **Final Evaluation Report Project GEF 5458**

“Conservation, management and rehabilitation of the fragile Lomas ecosystems in Lima – (EbA Lomas)”

Final Version

Prepared by:

*Jorge Leiva Valenzuela*  
International Consultant

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## Project Information Table

Project Details		Milestones	
<i>Project title</i>	Conservation, management and rehabilitation of fragile Lomas ecosystems in Lima	PIF Approval Date:	24-01-2014
<i>UNDP Project ID (PIMS #):</i>	5845	CEO Approval Date (FSP) / Approval Date (MSP):	18-07-2016
<i>GEF Project ID:</i>	5458	Fecha de firma de ProDoc:	22-08-2016
<i>UNDP Atlas Business Unit, Award ID, Project ID:</i>	Atlas ID 96496 Award #100426	Project Manager hiring date:	September 2016
<i>Country/Countries:</i>	Peru	Inception workshop date:	15-12-2016
<i>Region</i>	LAC	End date of the mid-term evaluation:	12-12-2019
<i>Focal Area</i>	Biodiversity/Land degradation	End date of the terminal evaluation:	20-01-2022
<i>GEF Operational Programme or Strategic Priorities/Objectives:</i>	GEF-5: BD-1, BD-1, LD-2, LD-3	Planned operational closure date:	28-08-2021
<i>Trust Fund:</i>	GEF		
<i>Implementing Partner (GEF executing entity):</i>	National Service of Protected Natural Areas (SERNANP)		
<i>NGO/CSO Participation</i>	Yes		
<i>Private sector involvement:</i>	Yes		
<i>Geospatial coordinates of project sites:</i>	N/A		
Financial information			
<i>PDF/PPG</i>	<i>at the time of approval (US\$)</i>	<i>At the end of PDF/PPG (US\$)</i>	
<i>GEF GRANTS PDF/PPG for project preparation</i>	1,983,799	100,000	
<i>Co-financing for project preparation</i>	N/A	N/A	
<i>Project</i>	<i>At CEO approval (US\$)</i>	<i>At terminal evaluation (US\$)</i>	
<i>[1] UNDP contribution:</i>	135,000		
<i>[2] Government:</i>	12,789,862	11,716,849	
<i>[3] Other multi-/bilateral:</i>	N/A	N/A	
<i>[4] Private Sector:</i>	N/A	N/A	
<i>[5] NGOs:</i>	598,753	N/A	
<i>[6] Total co-financing: 1 + 2 + 3 + 4 + 5:</i>		0	
<i>[7] Total GEF funding:</i>	1,983,799	1,806,922	
<i>[8] Total Project Financing to [6 + 7]</i>	<b>15,507,414</b>	<b>13,523,771</b>	

## List of Acronyms

ACR	Regional Conservation Area
ACP	Private Conservation Area
BD	Biodiversity
CAM	Municipal Environmental Commission
CAR	Regional Environmental Commission
D.S	Supreme Decree of the Government of Peru.
FMAM	Global Environment Facility – GEF.
GEF	<i>Global Environmental Facility</i>
GoP	<i>Government of Peru</i>
LD	<i>Land Degradation</i>
MEF	Ministry of Economy and Finance of Peru
MINAGRI	Ministry of Agriculture and Irrigation
MINVIS	Ministry of Housing, Construction and Sanitation
MML	Metropolitan Municipality of Lima
MTR	Midterm Review)
NIM	<i>National Implementation Modality</i>
ODS	Sustainable Development Goals
PIP:	Public Investment Projects
PIF	<i>Project Identification Form</i>
PIR	Project Implementation review.
PNUD	United Nations Development Programme
PRODOC	<i>Project Document</i>
PRODUCE	Ministry of Production
SEDAPAL	Lima’s Drinking Water and Sewerage Service.
SERFOR	National Forest and Wildlife Service (attached to MINAGRI)
SERNANP	National Service of Natural Areas Protected by the State.
SERPAR	Metropolitan Lima Park Service
SBN	National Superintendence of National State Assets
TdR	Terms of Reference
UNALM–CDC	National Agrarian University of La Molina – Data Center for Conservation
UNDAF	United Nations Assistance Framework
UNMSM	Universidad Nacional Mayor de San Marcos

## Executive Summary.

This consultancy corresponds to the Final Evaluation of the medium-sized GEF project called "Conservation, management and rehabilitation of fragile ecosystems of Lomas in Lima" (hereinafter the project or EbA Lomas), which was requested by the Country Office of the United Nations Development Program (UNDP), which acts as the implementing agency of the Global Environment Facility (GEF), while the Service of Natural Areas Protected by the State (SERNANP) is the national executing entity and responsible for the project. The objectives of the evaluation were to verify the achievement of the objectives and products of the project, while having an understanding of the determinants that affected its achievement and extracting lessons learned from the experience to improve the design practices of future projects.

The project seeks to protect, conserve and sustainably manage the hill ecosystems in Peru, to improve their resilience to the impacts of climate change. To achieve its mission, the project would last 5 years (2016-2021) and contemplated 4 results: 1.) System of conservation and protection of hill ecosystems, 2.) Territorial management tools, 3.) Productive diversification and low-impact territorial planning and, 4.) Monitoring and Evaluation (M&E).

According to the project document signed by the Government of Peru, the project would last five years (August 2016 - August 2020) and would reach the Lomas of Lima. The main goals would be the installation of alliances and improvements in the livelihoods of the beneficiaries of the project. Specifically, it was desired to protect 21,000 Ha of the Lomas of Lima, reforest 1,000 Ha, improve the management capacities of key actors in the management of the territories, benefit 42,000 people and achieve a 50% reduction in the degradation of the Lomas, among the most important object.

The total budget of the project was USD 15.5 million, of which USD 1.98 million was placed by the GEF and the committed co-financing amounted to USD 13.4 million (cash and in kind) by the Government of Peru and UNDP.

The final evaluation was carried out between October and December 2021 and was executed by an international consultant. The methodology used is the one defined by UNDP/GEF for the final evaluations of projects in its 2020 version and also incorporated the themes of gender and indigenous peoples.

As a result, 40 relevant actors were interviewed, including the project's execution team, officials from SERNANP, MINAM, MINEM, MINCUL, MML, local social organizations, district municipalities, UNDP and the private sector involved, among others.

### Project Rating

Project ratings are shown in the following table.

<b>Project's dimension</b>	<b>Rating</b>
<b>Monitoring and evaluation (M&amp;E)</b>	
M&E Design at entry	Moderately Satisfactory
Implementation of the M&E Plan	Satisfactory
<b>M&amp;E Overall Quality</b>	<b>Moderately Satisfactory</b>
<b>Implementation &amp; Execution</b>	
Quality of UNDP implementation/oversight	Satisfactory
Quality of implementing partner execution	Moderately Satisfactory
<b>Overall quality of implementation/execution</b>	<b>Moderately Satisfactory</b>
<b>Evaluation of results</b>	
Relevance	Highly Relevant
Effectiveness	Moderately Satisfactory
Efficiency	Satisfactory
<b>Overall rating of the project result</b>	<b>Moderately Satisfactory</b>
<b>Sustainability</b>	

<i>Project's dimension</i>	<i>Rating</i>
Financial Resources	Moderately Likely
Socio-political/economic	Moderately Likely
Institutional framework and governance	Moderately Likely
Environmental	Moderately Likely
<b>Overall likelihood for sustainability</b>	<b>Moderately Likely</b>

## Main Findings

### *Design (Prodoc)*

The statements for the desired results of the project do not consider a fundamental aspect that characterizes an outcome, which is the expression of a change of situation through a specific action of the actors involved. As an example of the above, outcome 2 focuses on the development of tools to manage land use (these tools can be considered a product), but not on their use by regional and local actors (MML, municipalities or community organizations, for example) to effectively manage territories. With regard to the project indicators, several of these were not considered SMART, since some contained a series of sub-indicators that – although some being relevant – do not contribute to a clear understanding of what is intended to be measured and unnecessarily increase the number of indicators, while other indicators are outside the scope of the project, such as those used by UNDP offices to measure progress (IRRF), while others were difficult to measure or could not be attributable to the project. Indicators for the self-assessment of management capacities were also included, but their validation would require a specific study to determine how this tool was used.

### *Implementation*

The evaluation indicates that the project started a couple of months after the signing of Prodoc and required about six months for the installation of the executing unit, mainly due to accommodation arrangements of the unit within UNDP premises and the selection processes of its personnel. Adaptive management was reasonable, but it would have been desirable for the executing unit to have updated the main parameters during the installation stage of the project and the start-up workshop, because a relatively long time had elapsed between the design and execution stage of the project (approximately 4 years).

The project implementation team responded adequately to the COVID-19 pandemic, privileging online communication in the realization of coordination meetings and in all those activities such as training and workshops. Field activities such as boosting tourism and investments, the completion and maintenance of fog traps and reforestation activities had to be suspended due to restrictions caused by the pandemic and safety issues in some areas of project intervention.

The duration of the project was extended by 6 months to complete some remaining activities, such as the exit strategy and the completion of some pending studies.

### *Financial Management*

The accumulated expenses of the project amount to USD 1.81 million (91% of the GEF budget), leaving an approximate balance of USD 177 thousand at the time of the final evaluation. With regard to personnel expenditure, the analysis of the figures provided by UNDP yields USD 1.07 million (56% of the project budget) until September 2021 and was destined to finance the seven professionals of the UGP for approximately 60 months, a situation considered normal in a medium-sized project, whose main concern was promotion and technical assistance so that key actors could carry out their own activities with objective planning and execution tools provided by the project that would enable them to achieve their respective objectives.

The district municipalities would contribute 93% of all the co-financing committed, with the largest contributor being the Municipality of Pachacámac with about USD 9 million (66% of the total). The

co-financing figure achieved was approximately USD 13.5 million, corresponding to investment projects financed with fiscal resources and implemented by the municipalities of the Lomas of Lima.

### ***M&E System***

The M&E plan is the standard applied by UNDP to all GEF projects, the deficiencies found in the project's results statements and indicators made it difficult to carry out adequate monitoring to measure the achievement of the results and objectives of the project, so it should be noted that this situation also negatively impacts the M&E plan.

The methodological tool called "Integrated Results and Resources Framework (IRRF)" and their indicators were included in the project document, which are also integrated into the UNDP Strategic Plan and which are used by country offices to corporately report cumulative progress towards the achievement of UNDP's overall corporate results, as well as the "Tracking Tools" (TTs) used by the GEF to track the biodiversity protection activities of its GEF-3, GEF-4 and GEF-5 projects.

The National Steering Committee of the Project (CDN) met five times: 2016, 2018, 2019, 2020 and 2021. It was made up of UNDP, SERNANP (who chaired it), MINAM, MML and representatives of the district municipalities. In these meetings, the goals of indicator #11 were adjusted (Reforested ha were lowered from 1,000 a 100 Ha in the ACR and 900 Ha from private companies). The creation of a technical support committee that would have followed up on the decisions taken and that would have met a couple of times a year to support the project more effectively was not observed.

Finally, the mid-term (2019) and final (2021) evaluations of the project were also carried out, where no considerable delays were observed for its implementation. Unfortunately, the MTR was carried out in December 2019, but the institutional, political and health framework changed abruptly from March 2020, the date on which the COVID-19 pandemic began, and which disrupted the functioning of all the country's institutions, whether public or private.

### ***Achievement of Results***

With regard to institutional alliances to protect the s, the project had an effective impact on the approval of an inter-institutional protocol that was created mainly to prevent and evict invasions of public lands, according to the legal attributions of each institution. However, this institutional arrangement lacks an operating mechanism, nor does it have a budget, so the achievement is considered partial, but in the near future the way this protocol operates could be strengthened. Therefore, its ***rating is considered "Satisfactory"***.

With regard to the direct beneficiaries of the project, both in terms of the increase in their income or jobs and the number of tourist visits, with the available information, the evaluator considers that it is not possible to attribute these achievements to the activities of the project, because the flow of tourism in the Lomas had increased in recent years without the intervention of the project.

In terms of specific results, it can be mentioned that for result ***1 the achievement is "partial"*** if its indicator is considered, since only about half of the surface of the Lomas was protected (5 of the 19, about 50% of the total surface of the Lomas). The portions of land that could not be protected have problems of ownership, invasions and economic activities that will need a much deeper strategy than EbA Lomas, such as better land management, disaster management, strengthening of institutions involved in security, control and prevention of land occupations and illegal economic activities.

However, this is a very important achievement, since it is the first kick to begin to carry out a real management of this area with, in addition, a clear responsible for doing so (the MML), which will have to install the appropriate alliances and financing for each territory involved. Therefore, ***the rating for this result is considered "Moderately Satisfactory"***.

For ***result 2 (conservation strategy and 9 district governments with management tools)***, it is ***concluded that the achievement is also "partial"***, since the Plan document has already been finalized and launched at an event organized by the Project and MINAM in June 2021. The Municipality of

Lima reactivated the Metropolitan Environmental Commission (CAMET) and socialized the contents of the Lima ecosystem Ordinance that was prepared at the level of the CAMET and the ecosystem ordinance was published in the official newspaper “El Peruano”, with Mayor's Resolution No. 29. In the same way, work is being done on the design of the ecosystem map of the province of Lima. The strategy remains under discussion, with no dates specified for its approval. 5 district ordinances were approved: Carabayllo (Ordinance No. 397-2018-MDC), Villa María del Triunfo (Ordinance No. 272-2019-MVMT), Pachacamac (Ordinance No. 234-2019-MDP), Punta Hermosa (Ordinance No. 403-2019-MDPH) and San Bartolo (Ordinance 305 declaring the Lomas of Cicazos of district interest). Therefore, **the rating for this result is "Moderately Satisfactory"**.

**The achievement of Outcome 3 (Economic Diversification)** is also "partial". At the time of the final evaluation, only about 6 Ha had been restored and pig rearing practices were implemented in 5 groups of beneficiaries, whose land extension is not enough to meet the goal. Regarding the increase in visitors, a 27% increase was reported and an investment close to USD 11 million according to the PIP. The number of tourism services did not reach the goal, nor could small and medium-sized miners – informal or illegal – be integrated to implement low-impact practices. In this case, greater involvement of the MINEM becomes key to be able to order the sector in the Lomas with respect to the control of exploitation rights and their control.

Public investments in the area are by far the most significant result achieved, although 100% of these investments cannot be attributed to the project, if it can be concluded that it supported and encouraged these projects so that the district municipalities and the MML could make them. The main challenge for the future is to achieve an investment plan for the areas agreed and planned by the actors. Therefore, the **rating for this result is "Moderately Satisfactory"**.

Finally, **the achievement of Result 4 (Knowledge Management and M&E) also its achievement is "partial"**. 4 surveillance points were placed (without services such as electricity and water) with 2 monitors each, and the Geolomas and the App were developed. The GEO Lomas system and the Satlomas API are valuable contributions of the project and are used by different actors as a source of information on the activities carried out in the Lomas, the growth or reduction of them and for surveillance purposes, but according to interviews and the revised documentation, these systems are complementary and are not yet recognized when making legal decisions, as is the case with SERFOR. It was further reported that GEO Lomas and Satlomas would continue in the MML, which is currently using these tools. The biodiversity indicator and its monitoring could not be implemented, but the baseline for biodiversity could be developed. The original objective of the result was to have a monitoring system of flora and fauna that would allow to see the situation of the Lomas. With the satellite system, the Lomas can be observed on a large scale only, without the necessary resolution to follow species. Based on the reasons explained above, the **rating of this result is "Moderately Satisfactory"**.

### ***Gender and indigenous peoples***

The project approached gender issues through the participation and empowerment of women leaders of community organizations, while at the same time being beneficiaries of the project's small investments and activities.

However, from the review of documentation and the interviews carried out, it is not appreciated that there has been an explicit strategy that addressed the main issues specific to the women of the Lomas, as well as the systematic collection of information regarding this dimension of the project. The exception to this is the percentages of participation and the number of beneficiaries of the project.

## **Conclusions**

### ***Project Design***

Although the issue Lomas of Lima is highly relevant to the country, the project document needed to have had a better estimate of the existing risks such as the magnitude of the invasions and the

problems of legal ownership of the land and existing community organizations, as well as the commitment of MINEM in this project. In addition, indicators that were inaccurate, difficult to measure or some outside the scope of the project (e.g. IRRF indicators) were used. The design of the project suffers from defects that imply that some results and their attribution cannot be measured correctly (mainly statements of results and indicators).

On the other hand, the approach to the problem for the ecosystems of Lomas had a very local scope, although the complexities existing in these territories and their proximity to a large metropolis such as the city of Lima cannot be underestimated.

### *Achievements*

Although the rating of the overall result of the project is considered as ***"Moderately Satisfactory"*** if based on the expectations of Prodoc, the project obtained achievements that are considered very important because it raised awareness about the importance of Lomas and was able that approximately 60% of them were declared as ACR, along with the recognition of an ACP. It was also possible to strengthen the management and knowledge capacities about the Lomas to the MML, district municipalities and local organizations and benefited from small investments for entrepreneurship and protection of the Lomas. However, all these important achievements were not sufficient to meet the expected results established by Prodoc, mainly those related to the protected and reforested areas, as well as the scope of the partnerships achieved to protect the Lomas, which must now be operational and effective.

### *Implementation*

The execution of the project, especially of the field activities, was strongly affected by the pandemic and by the lack of security in some localities in which it was intervened, where the infrastructure was vandalized by third parties. On the other hand, the double role played by some district municipalities also affected the execution of the project, as it was noted that on the one hand they participated in the activities of protection of the Lomas, but on the other hand they were tolerant of land occupations.

The adaptation management was regular, in the sense that the important changes were not made at the beginning of the project, where the CDN and the starting workshop made some criticism about the logic, indicators and risks of the project, despite the fact that insecurity and land invasions were recognized as the main problem of the Lomas. In addition, the project was overly focused on its relationship with the MML, the district municipalities and the beneficiaries, but it would have been advisable to have developed a communication strategy aimed at decision-makers from key ministries such as MINEM, Housing, MINAM and MEF, for example.

The UGP properly handled the pandemic situation, where virtual activities, such as training, planning and coordination with other project actors, were prioritized.

### *Financial management*

It is considered that the financial management was correct and according to the standards required by UNDP. Disbursements reached 91% leaving a remainder of USD 177 thousand approximately. The UGP had a weight of 56% in the general budget of the project, a situation considered correct considering its size and its vocation of technical assistance to third parties. With regard to co-financing, it was possible to raise about USD 11 million, a little below what was originally committed in the Prodoc (USD 13.5 million).

### *Relevance and ownership*

The issue addressed by the EbA Lomas project is "Highly Relevant" to support the design and implementation of public policies and programs that are needed to effectively protect not only the Lomas of Lima, but for all the coastal ecosystems existing in the country and that are in a state of fragility.

With regard to the appropriation of the results of the project, it should be mentioned that this has been mixed, only five of the 10 participating district municipalities elaborated local ordinances to declare as an area of interest the Lomas within their jurisdictions. On the other hand, several of these municipalities have played a double contradictory role in supporting the project: on the one hand, they cooperated to elaborate the ordinances, receive training and support some field actions of the project, but in turn, they also favored or tolerated land invasions, which caused damage to the occupied areas. In addition, the issue of the rotation of municipal officials and their authorities was not clearly addressed in the Project Document (Prodoc).

With regard to the private sector, the ACP recognized the ACP created has a horizon of at least 10 years, so it can be said that this area is appropriated by the company that currently manages it.

MINAM also achieved a good appropriation of the project's activities by discussing and elaborating, together with the community organization "Red de Lomas del Perú", the National Strategy of Lomas del Perú.

### **Sustainability**

***Sustainability is considered moderately likely***, since there are serious threats to the ecosystem of the Lomas of Lima, mainly those coming from land invasions, the lack of physical security on the territory, the uncertainty in the legal ownership of the land and the increase in mining activities in the area.

In addition, the lack of permanent funding to develop the basic management activities of the Lomas (demarcation, surveillance, monitoring) is not assured and the institutional arrangements to protect the Lomas must be clarified and formalized the responsibilities of each actor in the management of the ACR.

### **Recommendations**

<b>Rec #</b>	<b>Recommendation of the final evaluation</b>	<b>Responsible Entity</b>	<b>Período de aplicación</b>
A.1	As an exit strategy, it is recommended to develop a work agenda with key actors such as MINAM, MEF, the MML and local municipalities that integrate explicit commitments related to the financing of the master plan., the determination of the costs of delimitation, monitoring and management of the ACR and unification of criteria with respect to invasions, in addition to a schedule of transfer of powers from the ministries, which grant powers to the MML to manage and guarantee the security of the ACR.	SERNANP, MML	Immediate
A2	The interviews conducted with the beneficiaries of the project indicate that they want and need to finish implementing the project pending activities (e.g. pigs, fog traps, nurseries, irrigation systems), so it is suggested to look for financing alternatives for them in conjunction with the MML, the municipalities, in order to avoid frustrations of these actors	MINAM, MML	Immediate
A3	MINEM had little involvement in the project, despite its importance in the control of mining activities in the ACR and in the Lomas in general, so it is suggested to establish a specific working table between MINAM-SERNANP-MML-MINEM to avoid new concessions and control the existing illegal mining in the area.	MINAM- SERNANP	Immediate
A4	The experience on the implementation of the project indicates little involvement of key actors such as MEF because – among other causes– the communication of the objectives of the project and its benefits needed concrete messages adjusted for this type of actors. Therefore, it	MINAM, UNDP	Immediate

<b>Rec #</b>	<b>Recommendation of the final evaluation</b>	<b>Responsible Entity</b>	<b>Período de aplicación</b>
	is recommended that for any project that includes policy reforms and establishment of regulations, targeted scenario analysis studies be developed that show the social and economic benefits and costs associated with the continuation of ecosystem management as described in the baseline (business as usual) compared to the change proposed by the specific intervention towards an integrated and sustainable management of the use of these territories.		
A5	Because the Inter-Institutional Protocol does not have operational rules that regulates the responsibilities and actions of the relevant actors, it is suggested that a working group led by MINAM and SERFOR be created to elaborate this regulation and its extended operation for all the Lomas of the country.	MINAM- SERNANP Y SERFOR	Immediate
A6	It is recommended that UNDP, in its capacity as a representative agency of the UN and implementer of GEF projects, can convene and lead these coordination efforts between the different ministries to promote the agenda for the protection of the Lomas, both those of Lima and those of the country.	UNDP	Immediate
A7	there is a rich archaeological and cultural heritage in Lomas, so it is recommended the establishment of a cooperation agreement between MML and MINCUL to protect this heritage	MML	Immediate
A8	It was detected that in the Prodoc there was a district municipality that committed about 90% of the total co-financing, which was not fulfilled. Therefore, it is recommended that future projects carry out a more exhaustive review of the feasibility and realism of these commitments, in order to avoid commitments that cannot subsequently be fulfilled.	UNDP	Immediate
A9	For the design of future UNDP projects, it is recommended to pay attention to the preparation of the SESP in a way that correctly reflects the risks of the projects. It would be advisable for the SESP to be made by a third party independent of the person or team that prepares the project, with the aim of improving the objectivity of this analysis.	UNDP	Immediate
A10	Related to the above, it is advisable not to introduce an exaggerated number of indicators to a project and in addition, the use of IRRF indicators should be avoided, since the use of UNDP global indicators does not seem to be a good tool to monitor projects with eminently local actions. Finally, these parameters and the strategy should be analyzed and updated during the initiation phase of the project (within the first 6 months) with the participation of the relevant actors.	MINAM, UNDP	Immediate

## Main lessons learned

When preparing a development project, special care should be taken to use clear language that communicates the benefits and costs of the results to be achieved and how they will be measured. The use of appropriate and specific indicators will facilitate adequate monitoring, as well as allowing better communication with project partners and beneficiaries.

The current pandemic situation suggests that in the design of future projects there will be an exercise to identify and evaluate types of risks that apparently could have a very low probability, but a relevant impact on the execution of any project. At the very least, doing this type of exercise could allow the identification of key mitigation measures that could give an indication of how to deal with types of catastrophic situations such as the current ones.

In reference to the categorization of risks during the formulation stage of projects, it seems that these are estimated by the same formulator of the projects under elaboration, so that the objectivity and / or rigor in the analysis that an independent part of the formulation of the projects could have would be lost.

Although there is a perception that a project does not have sufficient progress to carry out the MTR, its value lies precisely in analyzing the causes of the lack of these advances and proposing recommendations in this regard, so the mid-term evaluation should be carried out as close as possible to the deadlines stipulated in the Prodoc and not wait for greater progress to carry it out. Another possibility would be to carry out an early pre-assessment to identify the main problems of project execution.

There are projects that due to their long process of formulation and approval could be out of line with the reality found at the beginning of their implementation, so it is essential that the national executing unit carry out an in-depth analysis of the strategy, indicators and goals of the project in order to update the main parameters with which the project will finally be evaluated, in order to avoid situations of impossibility of fulfilling certain results and objectives.

Although the institutions seem to be represented in the steering committees of the projects, this does not mean that they are internally coordinated to share information and implement the institutional commitments emanating from this type of instances, so it would be required that the project execution teams carry out a mapping of the internal actors of the participating institutions, in order to keep them informed about the resolutions adopted and the progress of the project in question.

# 1. Introduction

## 1.1. Purpose and scope of the evaluation

This consultancy corresponds to the Final Evaluation of the medium-sized GEF project called "Conservation, management and rehabilitation of fragile ecosystems of Lomas in Lima" (hereinafter EbA Lomas project), which was requested by the country office of the United Nations Development Program (UNDP), which acts as an implementing agency of the Global Environment Facility (GEF), while the National Service of Natural Protected Areas (SERNANP) is the national executing entity and responsible for the project.

The final evaluation covers the regular aspects to be evaluated in a GEF project, i.e. its design (indicators, intervention logic, stakeholder consultations, etc.), implementation (financial aspects, M&E, reports, etc.), integration with other development activities (government priorities, UNDP country programme), sustainability and achievement of the desired results of the project.

Correspondingly, based on the analysis of the evaluation, it is desired to extract the findings, conclusions, recommendations, and lessons learned from the project and verify the achievements of the implementation of the project.

In addition, the final evaluation aims to promote responsibility, accountability and transparency; Identify good practices and lessons learned that could be useful in improving the sustainability of project benefits and assist in the overall improvement of UNDP programming and contribute to the overall assessment of the achievement of GEF strategic objectives aimed at benefiting the global environment.

This evaluation analyzes and weighs the criteria of relevance, effectiveness, efficiency, sustainability and probability of impact, using the scorecard established in the evaluation methodology of UNDP-GEF projects.

The evaluation covered the review of activities implemented by the project from August 22, 2016 to November 30, 2021 (including an extension of the project).

Finally, the final evaluation took place between October 11 and December 15, 2021.

## 1.2. Work Plan

The evaluation had five stages that can be clearly distinguished:

**Stage 1 (October 2021):** Inception meeting with UNDP and the project implementation team, where the main scope of the evaluation and the dates of the main milestones and deliverables are discussed. On this occasion, the main stages of project implementation and its challenges were also discussed in general terms.

**Stage 2 (October-November 2021):** Receipt and review of documentation provided by UNDP and the project implementation team. At this stage, the final methodology and the sample of actors for the interviews were defined. This stage included the inception report of the final evaluation and the final agenda of interviews to be carried out.

**Stage 3 (17 October -08 November 2021):** Round of interviews, starting with an in-depth discussion with UNDP and project officials (approx. one day for design analysis, indicators, mid-term evaluation and progress by product, project closure, etc.). Then interviews with the different actors began, according to the topics included in the evaluation matrix.

**Stage 4 (08-17 November 2021):** Preparation of the draft report of the final evaluation followed by a round of comments and adjustments of the text to deliver the final version of the report.

**Stage 5 (November 29 – December 27, 2021):** Preparation of the final report of the evaluation considering the comments received and adjustments of the text to deliver the final version of the report.

**Stage 6 (January 14 December 2021):** Translation of the report into the English language.

### *1.3. Methodology used*

According to the consulting ToR, the final evaluation seeks to verify if the expected results of the project were achieved, as established in its logical framework. It is worth mentioning that, although the project had a Mid-Term Evaluation (MTR) in December 2019, the scope, activities and objectives of the final evaluation are "self-contained", that is, this evaluation is carried out in a complete and extensive way, considering the changes introduced in the previous evaluations and the response delivered by the EbA Lomas project to the changes proposed in them.

The general objective of the evaluation is to assess the design and implementation of the project, in terms of relevance, effectiveness, efficiency, sustainability and probability of impact, and to contrast the expected results in the Project Document (Prodoc) with those actually achieved. Adaptive management - changes introduced to the project - is part of this analysis and is developed in the corresponding section of the report.

The specific objectives of the evaluation are as follows:

1. Assess the relevance of the original project design;
2. Analyze and evaluate the relevance, effectiveness, efficiency and sustainability of the results;
3. Identify adaptive management strategies implemented by the project to adapt the project intervention to changes in the national context;
4. Evaluate the elements that could promote the replicability and scalability of the project results;
5. Document and feedback on lessons learned;
6. Document the institutionalization of project-driven processes;
7. Assess the role and contributions of the partners and their influence on the achievement of the objectives.

The methodology used is that included in the UNDP Independent Evaluation Office document "Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed projects", published in 2020<sup>1</sup>.

The methodology is based on results and Theory of Change, where it is about obtaining a direct relationship between the inputs, products and results obtained, in addition to identifying the contribution of the intervention in the improvement of the intervened systems, whether in environmental, financial, regulation and control terms, strengthening, etc. The ToRs expect the evaluation process to follow a participatory and consultative approach that ensures close collaboration with the project team, government counterparts (the GEF operational focal point), implementing partners, UNDP country offices, the regional technical adviser, direct beneficiaries and other stakeholders.

As a result, all those involved in the process were able to deliver their perspectives on the design and execution of the project, as well as identify areas for improvement. The criteria used to guide interviews can be found in the evaluation questions matrix (Annex 3) and in the interview agenda (Annex 5).

On the other hand, specific questions were also included to verify how the project incorporated - both in its design and implementation - the inclusion issues of Gender, Human Rights, marginalized groups and Indigenous Peoples, in accordance with UNDP guidelines.

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<sup>1</sup> [http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

Additionally, the different stages of the project were analyzed, as well as the financial and adaptive management, use of M&E tools, planning using an analysis plan that can be found in detail in Annex 3, which integrates all the dimensions of the project.

For the analysis of the achievement of results, a matrix was prepared with the indicators and final goals of the project and were evaluated according to what is indicated in the GUIDE of final evaluations of UNDP, in the format shown in Table No. 1.

Table 1: Valuation matrix for the achievement of results

Goal/Objective/ Result	Indicator	Baseline	Final Goal project (PRODOC)	Target situation during evaluation	Final evaluation comments	Rating for achievements
Objective:						
Result 1						
Result 2						
Result 3						
Result 4						

The criteria of relevance, efficiency, effectiveness and sustainability were determined according to the scale developed by the UNDP methodology, which is shown in Table No. 2. The concepts associated with each scale can be found in Annex 11.

Table 2: General assessment of the project and its criteria

Criteria	Feedback	
Monitoring and Evaluation: Highly Satisfactory (AS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MI), Unsatisfactory (I), Highly Unsatisfactory (IA)		
Overall M&E quality	(rate with a 6-point scale)	(Description of achievements)
M&E design at entry	(rate with a 6-point scale)	(Description of achievements)
Implementation of the M&E plan	(rate with a 6-point scale)	(Description of achievements)
Implementation Agency and Executing Partner Agency Execution: Highly Satisfactory (AS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MI), Unsatisfactory (I), Highly Unsatisfactory (AI)		
Overall quality of project implementation and execution	(rate with a 6-point scale)	(Description of achievements)
Implementation Agency Execution	(rate with a 6-point scale)	(Description of achievements)
Execution of the Executing Agency	(rate with a 6-point scale)	(Description of achievements)
Results: Highly satisfactory (AS), Satisfactory (S), Moderately satisfactory (MS), Moderately unsatisfactory (MI), Unsatisfactory (I), Highly unsatisfactory (AI)		
Overall quality of project results	(rate with a 6-point scale)	(Description of achievements)
Relevance: relevant (R) or non-relevant (NR)		(Description of achievements)
Effectiveness	(rate with a 6-point scale)	(Description of achievements)
Efficiency	(rate with a 6-point scale)	(Description of achievements)
Sustainability: Probable (P), Moderately Probable (MP), Moderately Improbable (MI), Improbable (I)		
General probability of sustainability risks	(rate with a 6-point scale)	(Description of achievements)
Financial resources	(rate with a 6-point scale)	(Description of achievements)
Socioeconomic	(rate with a 6-point scale)	(Description of achievements)
Institutional framework and governance	(rate with a 6-point scale)	(Description of achievements)
Environmental	(rate with a 6-point scale)	(Description of achievements)
Impact: Considerable (C), Minimum (M), Insignificant (I)		
Overall results of the project	(rate with a 6-point scale)	(Description of achievements)

## Methods and procedures for collecting and analyzing information

The type of information that is analyzed corresponds to the common practice for this type of evaluation:

1. The one delivered by the project team (reports, studies carried out, interviews, among others);
2. Contextual information (government policies and plans, institutional programs, studies carried out on the topics of interest of the project, among others);
3. Information integrated with other activities and policies (similar complementary projects under implementation, UNDP and government policies, municipal policies, budgets of organizations, municipalities and ministries);
4. Baseline and status information regarding the project.
5. Reports and studies from other independent entities that served as a means of triangulation.

The methods for collecting the information are described below:

**Document review:** analysis of the project document, as well as project progress reports and other publications derived from project activities (consultancies, baseline studies, technical publications, media publications, etc.). Annex 4 provides an overview of the scope of the preliminary documentation requested from the project team and UNDP;

**Interviews with key informants:** interviews were conducted with the project team, UNDP, government officials involved in the project, participating NGOs, municipalities and community organizations, among others. To this end, a series of open and semi-structured questions were elaborated that were formulated to the interviewees.

**Interviews in focus groups:** because the project includes various groups of key actors, it was tried to conduct interviews by group, however, this type of interview could not be carried out.

Due to the current situation arising from the COVID-19 pandemic, the interviews were conducted online or by telephone, so there was no possibility of field visits to a sample of pilot projects.

For the analysis of the information collected, triangulation or crossing of information was used in order to verify key situations in the context of project execution, with that information provided in interviews and progress reports and other publications, so that the conclusions obtained are balanced and as objective as possible to avoid bias of the informants.

Interviews with key project stakeholders provided alternative information and insights to what was delivered by the project team and UNDP. These interviews were conducted with as many actors as possible with the aim of partially compensating for the subjectivities and bias of the informant. The opinions expressed by the informants were contrasted with other sources of information, such as reports from other institutions, background information and differences found with other informants. It is worth mentioning that the interviews conducted (individual and group) were of a reserved nature and did not involve project staff or UNDP in order to protect the confidentiality of the source.

To visualize the adaptive management of the project, PRODOC and its assumptions, risks, indicators, results, etc., were contrasted with the actual progress of the project and with the strategies developed to face the changing context of the country, in order to verify that the necessary adjustments have been made to be able to meet the objectives and expected results of the project. This same exercise was carried out to determine the relevance and participation of actors.

Un detalle de las preguntas de evaluación utilizadas en este proceso, se pueden encontrar en el Anexo xxx3.

## Criteria for sampling actors and project sites

The project includes a variety of actors related to the administration, protection, planning and surveillance of the lomas of Lima. Annex 5 shows the actors interviewed during the round of virtual

interviews and whose number reached 40 people, covering 12 public and private institutions, among which were the project execution team, officials from SERNANP, MINAM, UNDP, district municipalities, the Municipality of Lima and a private company (UNACEM).

The main criterion for selecting the informants was their degree of authority and involvement regarding each specific issue addressed by the project, whether as local and provincial government, cultural and natural heritage care, biodiversity planning and monitoring, partners from private sector companies, academia experts and implementing partners at the field level and community organizations. All these testimonies provided an overview of the level and approach of implementation of the different activities of the project, whether at the national, provincial and local levels.

Finally, the selection of interviewees also covered different locations, such as, for example, Lima as the center of execution and decision-making of the national and provincial actors involved in the project, as well as local actors such as the district municipalities of Villa María del Triunfo (VMDT), with the aim of interviewing local authorities and beneficiaries of the project.

### Gender Inclusion, Human Rights, Indigenous Peoples and Marginalized Groups

Evaluation questions and interviews included specific topics affecting women, indigenous peoples and other marginalized groups benefiting from the project. The analysis was not limited to the number of these actors participating in the project activities, but also focused on how specific issues that can be addressed within the framework of the project are answered and on the development of a strategy and planning for these types of actors. In addition, it was analyzed whether the project developed a specific approach for these groups and whether the necessary information was collected to follow up on the activities scheduled to address these issues.

### Financial analysis

The financial analysis was based on the expenditure and co-financing figures provided by the project team, contained in the annual CDRs and also on the information from the UNDP ATLAS system for the period August 2016 - October 2021. This exercise attempted to capture general aspects of budget execution, such as the weight of project staff expenditure within the total budget, the evolution of expenditure per year and by product, expenditure on consultants, etc. UNDP procurement rules were also verified through interviews with UNDP and project procurement staff, along with the review of some major procurement.

The matrix of evaluation questions (Annex 3) presents an approximation of the type of information to be reviewed and its sources.

### Ethics of evaluation

The evaluator signed a code of conduct upon acceptance of the assignment, and the evaluation was conducted in accordance with the principles outlined in the United Nations Evaluation Group's "Ethical Guidelines for Evaluations"<sup>2</sup>. Interviews were conducted in such a way that the evaluator did not include questions or comments that would result in biased responses and interviewees were given assurance that all their statements would be kept confidential and that no specific citations would appear in the evaluation report to maintain that confidentiality.

### Strengths and limitations of the methodology

One of the main limitations for this evaluation, due to the COVID-19 pandemic, was the impossibility of carrying out field visits to the different Lomas to the ground to directly observe the achievements and investments of the project and interview face to face with all the relevant actors. On the other

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<sup>2</sup> <http://www.unevaluation.org/document/detail/2866>

hand, because rural beneficiary communities generally have limited internet access, not all the desired interviews were conducted, due to poor internet or cell phone signal.

On the other hand, because many testimonies are qualitative and subjective, there is a risk of "informant bias" that could distort the reality of the project.

To mitigate these risks, a large number of people with different roles within the project were interviewed, whether they are part of its management, collaborators, complementary partners or final beneficiaries. On the other hand, the testimonies were confronted with secondary information such as, for example, publications in various media and project reports, etc. It was possible to triangulate the information from the different sources consulted, which allowed to reduce the bias of the informant and at the same time ensured a representative number of actors.

For gender and indigenous groups issues, specific questions were asked about: (i) how the project addressed these dimensions; (ii) whether demands from these groups were collected in order to be incorporated into the project; and (iii) whether there were specific activities for them and whether gender-specific information was collected.

The evaluator decided not to develop online questionnaires, because in his experience it is appreciated that, in general, the response ratio is relatively low (about 20%) and probably these questionnaires would be answered only by those who have stable access to the internet.

#### 1.4. Structure of the evaluation report

*The present report has five sections. Its cover shows a general information of the project (amounts, identification codes, implementing and executing agencies, deadlines, etc.), followed by an executive summary where the reader can find a synthesis of the project, the main findings, recommendations and conclusions, in addition to the general qualification of the project and a list of abbreviations used in this report.*

*In Section 1: Introduction, the scope and objectives of the evaluation work can be found, as well as a detail of the methodology used and the main milestones of this work.*

Later, *Section 2 focuses on the analysis of the country's development context regarding the problem to be addressed and how to address it, detailing the deadlines for the execution of the project, its global and development objectives, the expected results and key indicators, as well as the coordination and associativity arrangements with key actors involved.*

Section *3 shows the findings of the*evaluation, which cover the *design, execution* (financial and activities), the results *obtained* and their sustainability. At the end of this section the project *ratings are shown.*

*Section 4 shows all the conclusions, recommendations and lessons learned.* Finally, *Section 5 corresponds to the annexes (10)*, where appear - among others- the ToR of the consultancy (Annex 1), Matrix of Logical Framework of the project (Annex 2), matrix of evaluation questions (Annex 3), the list of revised documents (Annex 4), the people interviewed and the agenda of interviews (Annexes 5 and 6), the evaluation trail (Annex 8) and the analysis of the indicators (Annex 10).

## 2. Project description and development context

### 2.1. Project start and duration

The project was approved by the GEF Director General in June 2016, while PRODOC was signed by the Government of Peru on August 28, 2016. According to this last document, the EbA Lomas project would have a planned duration of 60 months; that is, it would end on August 28, 2021, but for management reasons and the pandemic, the project was extended until January 31, 2022, that is, the total duration of the project was 65 months. Implementation would be the national execution modality (NIM), in which SERNANP would be the national executing entity, while UNDP would be the executing agency of the GEF. The project coordinator was hired in September 2016.

### 2.2. Problems the project sought to address

Peru is a signatory to the Convention on Biological Diversity and is also one of the ten biodiversity hotspots in the world. Among the diverse ecosystems present in the country, the hill ecosystems are characterized by being unique. Along the coastal desert there are pockets or islands of vegetation separated by the hyper-arid desert, which present a restrictive distribution, high levels of endemism, presence of threatened species and genetic value, so they are considered ecosystems of global importance. Although Peru's environmental law categorizes the Lomas as fragile ecosystems, very few areas have a formal protection status, specifically the Lomas that are in the province of Lima lacked a formal protection status and there is currently a process of decrease in the distribution of this type of ecosystems in the country.

There are 20 Lomas in the province of Lima, with an area of approximately 22,000 hectares (Ha) distributed in 19 district municipalities and 20 communities, where the administration of the Lomas falls on the Metropolitan Municipality of Lima (MML). Most of the province's Lomas are located on public land or on land owned by peasant communities.

The main threats to biodiversity and the maintenance of its ecosystem services are found in the invasions and usurpations of land for housing use or speculative activities, the existence of mining concessions and unregulated agricultural and grazing activities and the lack of plans and regulations for land use, which has impacted the quality of the soils of these Lomas.

### 2.3. Project description

#### 2.3.1 Immediate and project development objectives

The project seeks to protect, conserve and sustainably manage the hill ecosystems in Peru, to improve their resilience to the impacts of climate change. Specific objectives include: i) achieving greater resilience to climate change in Natural Protected Areas (ANPs) of fundamental importance (establishment of protected areas in Lomas ecosystems, recreational infrastructure supervision and control) and ii) productive landscapes resilient to Climate Change (CC) cushion the ANP (governance, planning, establishment of community production systems, reforestation).

To achieve its mission, the project contemplated 4 results:

1. System for the conservation and protection of hill ecosystems,
2. Territorial management tools,
3. Productive diversification and low-impact territorial planning and,
4. Monitoring and Evaluation (M&E)

For the purposes of the project, the identified communities have been subdivided into 2 groups according to the type of land tenure:

Group 1: lomas de Ancón, lomas de Carabayllo, lomas de Amancaes and lomas de Villa María,

Group 2: lomas de Mangamarca, lomas de Lúcumo, lomas de Manchay, lomas de Pachacamac, lomas de Pacta, lomas de Lurín, and lomas de Caringa.

The implementation of the project required coordination with several key institutions, of which we can mention the SERNANP attached to MINAM, district municipalities, the municipality of Lima, NGOs, the Ministry of Foreign Trade and Tourism, local ranchers, the General Directorate of Valuation and the General Directorate of Biological Diversity of MINAM, the Directorate of Strategic Development, Cementos Lima (ACP Lomas de Quebrada Ríos Seco in Pachacamac and Lurín in Achacamac), eco-tourism initiatives, the Branch of Natural Resources and Environment, dependent on the Government Management Program of the Regional Government of Metropolitan Lima.

The EbA Lomas project should have achieved the following goals during its 5 years of implementation:

Table 3: Components and products to be achieved established in the Prodoc

<b>Result</b>	<b>Target</b>
1	Creation and implementation of formal PAs with management plans (12 formal ACRs and 1 ACP in 21K Ha
	Creation and implementation of low-impact recreation zones in PAs buffer areas (with management plans)
	Baselines, technical reports for the creation of ACRs, management plan and financing for ACRs in 14 Lomas.
	Participatory identification of control points and their construction.
	Elaboration of agreements for the uses and maintenance of ACRs between the district municipalities of Lima, civil society and the Municipality of Lima.
	Financial sustainability plans and monitoring strategy (agreed with municipalities)
2	Participatory development of a Lomas Conservation Strategy and zoning proposals
	Elaboration of comprehensive local policies - with a gender focus - of territorial management in at least 9 local governments (8 district municipalities and the Municipality of Lima)
	Development of a control mechanism and creation of a Control Committee for ACRs and buffer zones.
	Evaluation of current public-private partnerships involved in the care, maintenance and use of Lomas and creation of at least 2 new alliances (SERFOR and SERNANP)
	Training of key actors to facilitate public-private partnership processes
3	Reforestation of 1,000 Ha of degraded lomas, construction of fog water collectors and small reservoirs
	Elaboration of an analysis of vulnerability of the Lomas to Climate Change and its impacts
	Assessment of grazing patterns and the role of lomas in the livelihood of families dependent on this activity.
	Identification of alternative grazing techniques to reduce their impact on the buffer zones of lomas ecosystems in 8 of the 14 selected Lomas
	Identification of non-metallic mining concessions in lomas ecosystems and estimation of their impact, as well as measures to reduce this impact
	Evaluation of tourism opportunities, development of tourism plans and identification of the needs of the selected Lomas
	Elaboration-with a gender focus- of a study to identify the needs of tourism operators and suppliers, estimate the potential increase in tourism activity in the selected lomas and the carrying capacity of the ecosystems.
	Construction of low-impact tourist facilities on the selected lomas
Training and capacity building	

<b>Result</b>	<b>Target</b>
4	Formulation of a participatory monitoring plan for the conservation and sustainable use of lomas ecosystems.
	Installation of 14 permanent monitoring points (one per loma)
	formulation and implementation of a comprehensive communication strategy on Lomas
	Implementation of a citizen mobilization campaign with a gender and youth focus, with the participation of schools in the 14 selected lomas.
	Implementation of M&E activities of the project.

### 2.3.3 Established reference indicators

The project contains a portfolio of 15 indicators (plus sub-indicators) that make up the results framework, which are shown in Table No. 4, as they appear in the Prodoc. As discussed in Section 3.1.2 of this report, these indicators do not meet the SMART criterion because they are very ambiguous and general, some correspond to products and cannot be reliably measured. A detailed analysis of the indicators can be found in Annex 10.

Table N° 4: Main indicators of the EbA Lomas project

<b>Objective/result</b>	<b>Nº</b>	<b>Indicator</b>
Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.	1	# of new collaboration mechanisms with budget for the sustainable management of natural resources, ecosystem services, chemicals and waste at national and/or subnational level; disaggregated by type of alliance.
	2	# of jobs and livelihoods created through the management of natural resources, ecosystem services, chemicals and waste; disaggregated by sex and urban and rural area.
	3	# of direct beneficiaries of the project
	3.1	# of direct beneficiaries of the project: Ecosystem restoration
	3.2	# of direct beneficiaries of the project: livestock/sustainable agriculture
	3.3	# of direct beneficiaries of the project: Sustainable tourism services
	4	Capacity level of sustainable management of hill ecosystems, as measured by the UNDP Capacity Development Scorecard, with emphasis on:
	4.1	Indicator #2 "existence of operational co-management mechanisms"
	4.2	#9 "Degree of environmental planning process and strategy development
R1: Conservation of lomas ecosystems	5	# of hectares protected through the creation of Lomas Regional Conservation Areas (or other figure, institutionalized modality/option of effective management) with income stream from the selected Lomas (measured by the GEF monitoring instrument for BD)
	5.1	Punctuation TT ACR
	5.2	Punctuation TT ACP
	6	% lomas ecosystems impacted by activities and pressures originating in buffer zones
	6.1	% North Lomas
	6.2	% South Lomas
	7	# of lomas sites included in the BD inventory with detailed studies and characterization of biodiversity in Lomas ecosystems and potential use.
	7.1	ACR Group 1
7.2	ACR Group 2	
R2:	8	# of planning instruments for hill ecosystems established in a participatory manner

<i>Objective/result</i>	<i>Nº</i>	<i>Indicator</i>
Land use management tools	9	# of local governments that include biodiversity and conservation of hill ecosystems, and integrated natural resource management (INRM) criteria in their management policies, including land use zoning.
	10	# of public-private partnerships (PPPs) implemented for the management of lomas
	10.1	APP of ecotourism services in Lomas
	10.2	Private Protected Area
R3: Economic diversification and low-impact land use	11	# of hectares of degraded lomas reforested with native species
	12	# of hectares/areas where friendly models of lomas production are executed:
	12.1	Sustainable ranching
	12.2	Low-impact mining
	13	Increase in tourist activity in the selected lomas sites, measured by:
	13.1	# of public and/or private projects investing in the improvement of tourism services (including the strategy for proper waste management) generated during the project
	13.2	# of visitors in selected lomas sites
	13.3	# of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender
	13.4	\$ generated by tourism activities (differentiating the income generated for men and women and by type of income)
R4: Knowledge Management and M&E	14	# of permanent monitoring systems established through partnerships with local authorities, NGOs and universities, to monitor the presence of endemic flora, as well as the annual population of migratory birds
	14.1	individual fact sheets of the flora and fauna of lomas (SERFOR)
	14.2	Baseline of indicators of BD species, to be determined in Year1
	15	Communication and citizen mobilization strategy with a gender and youth focus:
	15.1	# of schools involved in conservation activities (adopting a tree, photo monitoring of species, etc.)
	15.2	# organized groups that are active (identifying the role of men and women in each identified group)
	15.3	# events (communal cleanup, parade reforestation campaigns)

## 2.4. Key stakeholders

Although the main recipients of the project are the Municipality of Lima and SERNANP, there are a number of public bodies, community organizations, universities, NGOs and private sector companies that have their roles in the project, who are shown in Table No. 5.

Table N° 5: Main actors involved

<i>Nº</i>	<i>Entity</i>	<i>Type</i>	<i>Role in project</i>
1	MINAM	Public	GEF Focal Point, responsible for the country's environmental sector and developer of environmental policies and monitoring to ensure the sustainable use of natural resources and environmental quality for the benefit of people and the environment. Its Directorate-General for Biological Diversity (DGDB) promotes the conservation, sustainable use and fair and equitable distribution of biodiversity. One of its technical bodies attached is SERNANP.
2	SERNANP	Public	Executing agency of the project, is the entity in charge of ensuring the conservation of the Protected Natural Areas, their biological diversity and the maintenance of their environmental services, within the framework of their participatory management and articulated to a comprehensive policy of sustainable development of the country
3	MINEM	Public	Entidad que se encarga de otorgar las licencias mineras en todo el país. El tipo de minería que se encuentra en las lomas es de materiales no metálicos para la construcción.
4	UNDP	International	GEF implementing agency and responsible for overseeing the project.
5	MINCUL	Public	One of its main functions is to carry out actions for the conservation and protection of cultural heritage. It supports the project in the monumentation of archaeological finds found in the lomas.
6	Metropolitan Municipality of Lima (MML)	Lima Provincial Government Authority	It is the administrative body of the province of Lima. It is the only provincial municipality in the country that is not confined to a regional government, as it directly administers the province with powers similar to those of regional governments.
7	Regional Government Program of Metropolitan Lima (PGRLM)	Lima Provincial Government Authority	Decentralized body in the MML, whose purpose is to coordinate, organize, create and manage the necessary conditions for the efficient development of the transfer process and the orderly reception of sectoral functions and competences from the National Government to the Municipality. This entity would be in charge of administering the new ACR and is preparing the Master Plan of the new ACR, in coordination with the relevant territorial actors.
8	Territorial organizations	CSOs	In the area of Lomas de Lima there are a dozen community organizations that carry out ecotourism, conservation and agricultural activities among others. His relationship with the project has been one of collaboration and strengthening of these organizations.
9	SERFOR	Public	It exercises the technical and regulatory leadership to manage and promote the sustainability and competitiveness of the forestry and wildlife sector. It monitors the situation and status of wild flora and fauna and can declare those degraded ecosystems fragile areas.
10	District municipalities	Local governments	Although the total number of lomas in Lima comprises about 19 district municipalities, the relevant ones for the new ACR and the project are 10 (Ancón, Carabaylo, Independencia, San Juan de Lurigancho, Rímac, Villa María del Triunfo, San Juan de Miraflores, Santiago de Surco, La Molina). Its main mission will be to improve territorial planning and exercise control over the lomas.
11	Andean Cement Union	Private company	It carries out extraction and manufacture of cements in the Lomas of Lima. It is implementing a Private Conservation Area (ACP) covering 787.82 Ha.

## 3. Findings

### 3.1 Design and formulation of the project

***This section will discuss only the aspects of the project design, as described in the Prodoc, without considering the changes introduced during the execution of the project, which will be addressed in Section 3.2.***

The project was designed between 2013 and 2016, so it corresponds to a GEF-5 and was originally conceived as of interest to the administration of the MLM, who prepared the technical documentation for the establishment of an ACR for the Lomas of Lima. The Prodoc identifies the direct causes of degradation and loss of biodiversity and ecosystem services in the lomas ecosystems, which can be synthesized in 3 points: (i) urban expansion, which has progressively invaded lomas ecosystems; (ii) mining of non-mineral resources, mainly related to the extraction of materials for the construction industry; and (iii) the unregulated use of lomas species for fodder and fuel. The underlying causes of the degradation would be demographic, economic and political-institutional factors.

In addition, these causes would also be a consequence of structural flaws in the institutions, the legality related to planning and territorial powers, together with the limited capacities of the institutions that should manage the fragile ecosystem of the Lomas of Lima. It is worth mentioning that, although the scope of the project is limited in its geographical coverage (only a part of the lomas of Lima), it presents a great complexity for its design and implementation, mainly due to the fact of the proximity of the Lomas to the most populous city of the country, where the greatest economic interests and contradictions are concentrated, both political and social, in addition to being a seat for the main government institutions, universities and private sector organizations.

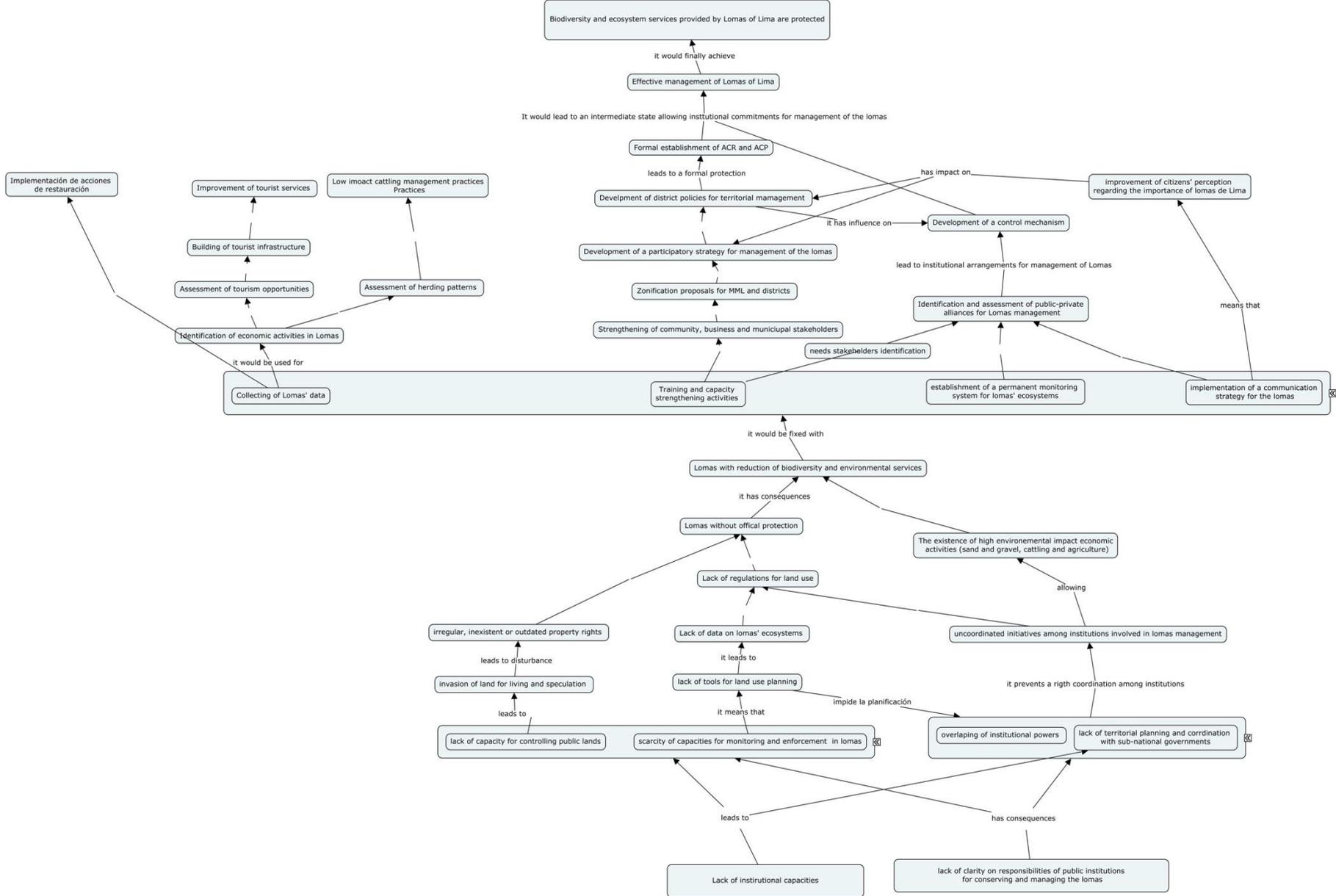
The explicit expectations of the theory of change raised in the Prodoc were to lay the foundations of a long-term public policy for the use and conservation of the Lomas of Lima, promote specific restoration activities and strengthen the capacities of local authorities and actors to carry out actions of protection and conservation of the Lomas within their territories. In this way, the project postulates that by establishing a formal ACR, for example, and training the actors involved, the area could be protected<sup>3</sup>. However, it does not propose substantive measures such as the elaboration of legislative changes that could resolve the overlap of powers of the different institutions involved in aspects of harmonization of local plans and zoning with national and regional plans, sanitation of domain titles and surveillance, to mention some issues.

Fig.1 shows a simplified scheme of the causes of the problem to be solved and the actions to be taken to achieve the desired effect according to the logic established in the Prodoc, it should be mentioned that this document does not contain a theory of change expressed in a scheme that shows the assumptions and drivers involved in the subject.

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<sup>3</sup> Section III, Prodoc, p. 10.

Fig. 1: Simplified ToC conceptualization of the project model and strategy according to Prodoc.



### 3.1.1. Analysis of the logical framework and the Results Framework

This project can be considered as a pilot project that seeks to explore the possibilities of cooperation between the different governmental bodies at the national level, regional and local authorities and organized actors of civil society and private sector companies existing in the different territories involved, in order to carry out a coordinated management to protect the Lomas of Lima. To achieve this goal, the Lomas of Lima were categorized into two groups according to the land ownership scheme existing in them: a group where the State is the majority owner (group 1) and another where the property is mainly private and is in the hands of community, individual and business owners (Group 2).

With regard to the statements for the objective and expected results of the project, it can be said that the objective of the GEF is to promote actions that reduce the damage caused by climate change in different dimensions of the global environment (biodiversity of global importance, for example), a situation that is not reflected in the stated objective, which appears very local and unrelated to climate change.

The declarations of desired results of the project do not consider a fundamental aspect that characterizes an outcome, which is the expression of a change of situation through a specific action of the actors involved. As an example of the above, outcome 2 focuses on the development of tools to manage land use (these tools can be considered a product), but not on their use by regional and local actors (MML, municipalities or CSOs) to effectively manage territories.

The management of the knowledge and lessons learned from EbA Lomas does not appear in the monitoring and evaluation result, so there is no clear visualization of how knowledge sharing, or systematization of the lessons learned from the project would be implemented. Nor does Prodoc include the requirement to develop an exit strategy that could build on achievements and address remaining challenges once the project is completed. It is worth mentioning that the GEF projects of this generation present the result of M&E referring mainly to their management and achievements and not to the monitoring of biodiversity as in this case.

Table N°6 shows the analysis carried out for the declarations of results of the project, according to the understanding of the evaluator.

Table No. 6: Analysis for the prodoc results statement

<i>Prodoc Strategy</i>		<i>Comment</i>	<i>Recommendations for the Result</i>
<b>Objective</b>			
<b>O.1</b>	<i>Contribute to the integrated management and protection of fragile lomas ecosystems in the Province of Lima.</i>	The primary objective of the GEF is to promote actions that reduce environmental damage and the consequences of climate change at a global level, through various types of interventions (strengthening, investment, dissemination and awareness-raising, among others). Therefore, the primary objective of the project would be to improve the state and resilience of fragile ecosystems and the communities associated with them.	Contribute to improving the resilience to climate change of globally important ecosystems and communities, through the integrated management of fragile hill ecosystems in the province of Lima.
<b>Resultados</b>			
<b>R1</b>	<i>Conservation of lomas ecosystems</i>	The fundamental objective of the result is to conserve the biodiversity of the lomas, either under an ACR and ACP, as well as to reduce the pressures on this type of ecosystem. The result statement is not correct, as it does not indicate a change in the initial situation of the problem.	It would be advisable to prepare declarations of results such as the following example: "The biodiversity and ecosystem services of the Lomas are preserved by the formal protection of this area and the adoption of a comprehensive, sustainable and participatory territorial management scheme by the Municipality of Lima, government agencies, district municipalities and civil society organizations."
<b>R2</b>	<i>Land use management tools</i>	The objective of this component is to develop tools for comprehensive territorial management and participatory processes for effective management of the main conservation areas of Lima Lomas and their adjacent buffer zones with a focus on biodiversity, ecosystem services, the integral management of natural resources and competition for land use. Apparently, it would be part of result 1 and could be overlapping with it.	This result could be better reflected as follows: "Key actors at the provincial and local level plan, monitor and monitor their lomas territories using previously agreed territorial development strategies and methodologies, with clearly established responsibilities and roles."
<b>R3</b>	<i>Economic diversification and low-impact land use</i>	The main objective of this result is to restore and implement low-impact sustainable activities in the lomas of Lima, so economic diversification is only one aspect in this equation.	This result could be better reflected as follows: "Lima's lomas ecosystems are restored and pressures are reduced by the adoption by key actors at the provincial and local levels of sustainable economic activities with low environmental impact."
<b>R4</b>	<i>Gestión del Conocimiento y M&amp;E</i>	This outcome statement is not well defined, as in general, GEF projects use this type of outcome to reflect the use of project M&E plans and the collection of lessons learned, monitoring information that feeds indicators, replication and sustainability of project actions. Therefore, the M&E function of the hill ecosystems could well fit into outcome 1 or 2.	This result could be better reflected as follows: "The sustainability, scaling and replication of project actions ensured by the application of a project M&E system, the dissemination and application of lessons learned at the national, provincial and local levels."

### 3.1.2. Indicators

The Prodoc contains 15 indicators which, in turn, have a number of sub-indicators. As a first comment on this topic, it should be mentioned that it is not advisable to have so many sub-indicators that bulge the number of indicators, which in turn leads to its difficult measurement and also represent a risk of redundancy and little specificity in what you want to measure.

It was also noted that the logical framework presents indicators used by UNDP country offices, called the "Integrated Results and Resources Framework (IRRF) Methodology". Specifically, this is an indicator for IRRF output 1.3: "Number of new partnership mechanisms with funding for sustainable management solutions for natural resources, ecosystem services, chemicals and wastes at the national and/or subnational levels" and corresponds to outcome 1 thereof: "Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded<sup>4</sup>." This indicator is not appropriate for the project, as it is a standard indicator used to measure an output obtained by a UNDP office at the country level, so its specificity is doubtful and does not correspond to an indicator at the target level for a particular project and limited in its scope. A better practice would be to indicate in the results matrix that a particular project objective/outcome points to or contributes to an IRRF indicator used by UNDP to measure the achievement of a particular country office result/output.

Inconsistencies were also detected of some main indicators with their sub-indicators, such as "# of beneficiaries (main indicator) and "21,000: restored ecosystems", not being the main indicator adequate or clear in what it intends to measure. First, apparently what you want to measure is the area restored, along with the number of beneficiaries carrying out agriculture/livestock and sustainable tourism activities. In this case there is no consistency between the main indicator (# of beneficiaries) and the sub-indicators (area and # of activities).

Indicators based on UNDP's "Capacity Development Scorecard matrix are also observed, whose function is to provide a relationship between the strategies defined for a problem with concrete actions to achieve the desired results for the projects. The qualification of these indicators is a self-assessment process, so a deeper specialized external evaluation would be needed to verify their compliance.

There are indicators that do not correspond to the actions of the project, such as, for example, "increase in tourist activity in the selected hill sites" or "increase in income" of the people of the Lomas. This increase is not directly determined by the activities of the project, but has increased on its own in recent years, so its compliance would not be attributable only to the activities of EbA Lomas<sup>5</sup>.

Also, some medium-term goals are diffuse, such as, for example, "each actor fulfills its role and responsibility...", "% ecosystems of lomas impacted by activities...." and difficult to measure, since it is not specified who they are and their responsibilities in the first case, or that in reality what is intended to measure is the reduction of pressures on ecosystems in the second case.

Finally, several of these indicators do not present units of measurement, others have not measured their baselines or correspond rightly to product indicators. Therefore, as had been anticipated in the previous section, the project indicators are not SMART. A detailed analysis of these can be found in Annex 10.

### 3.1.3 Assumptions and risks

Prodoc identifies seven risks for the implementation of EbA Lomas<sup>6</sup>, among the most important is urban expansion, with an impact probability of 3 (medium). The declaration of this risk also includes

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<sup>4</sup> Annex 2: Integrated Results and Resources Framework (IRRF) Methodology and 2015 Results

<sup>5</sup> Informe de Progreso del Proyecto, 2019.

<sup>6</sup> Project Risks, Prodoc p. 28.

the invasions of the lands of the Lomas of Lima and that has been identified by the key actors as the main problem that this ecosystem is facing. Regarding this issue, it is worth mentioning that the district municipalities have the competence to recognize tenure rights to the invaders, if they are established for a short period on the occupied land (which can be a few days or a couple of weeks), a situation that has been observed during the execution of the project.

Therefore, the probability of this risk was underestimated in the Prodoc.

The same goes for the risk of mining concessions in the area, the probability of which is classified as medium. This risk does not clearly show the illegal activities of extraction of materials for construction, where key actors also syndicate it as a main problem for the biodiversity of the area.

On the other hand, it rests on the assumption that with the strengthening and coordination of actors the conservation of the lomas in each district involved could be ensured, but it was not considered that this strengthening is not a sufficient condition when there is no capacity to guarantee the security of these actors, who have witnessed the usurpation of land in recent years.

Therefore, the situations described above highlight the importance of updating the risks and assumptions of the project – together with the relevant actors – during its initiation stage.

### 3.3.4 Lessons from other relevant projects incorporated into the project design

The project document repeatedly emphasizes that the lessons learned from the experiences in the Lomas de Atiquipa and Lachay, which were protected under the figures of ACRAC and ACP, whose planning and management was with community participation<sup>7</sup>, will be used and soils were restored with reforestation with fences to avoid grazing pressure. In addition, it is proposed to take advantage of the existence of complementary projects in progress, such as BIOFIN and other UNDP/GEF projects<sup>8</sup>.

### 3.1.5 Planned stakeholder engagement

The project contains a section where stakeholders and their relationship to the project are analyzed, as well as identifying their roles in the different outcomes<sup>9</sup>. The actors identified cover a wide range of institutions, community organizations, NGOs, businesses, the MML and district municipalities. However, the details of their specific responsibilities and forms of participation were not well established, keeping in generality, for example, key actors such as district municipalities, private companies, MML, MINAM and MINEM, and further specifying the roles for others, such as some universities<sup>10</sup>. In this regard, it would be expected that there would be more details about the partner agencies responsible for each of the results and products of the project, a situation that is not observed in the project document, so the involvement of the municipalities occurred gradually during the execution of the project.

#### 3.2.1. Gender and Human Rights Approach

The Prodoc includes an exclusive section for the gender approach<sup>11</sup>. This section contains a brief diagnosis of the role of women but does not mention how the project would affect their living conditions and does not define strategies to address this dimension of the project. Some indicators and targets of women's participation are included for outcomes 2 and 3. On the other hand, the gender baseline in the Prodoc is not specified nor is there information that information has been collected to create it during the implementation of the project.

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<sup>7</sup> Prodoc párrafos 23, 48

<sup>8</sup> Prodoc, párrafo 80.

<sup>9</sup> Prodoc, párrafos 46, 89

<sup>10</sup> Prodoc, párrafos 82-89.

<sup>11</sup> Integración del enfoque de género, Sección IV pag. 28 Prodoc

### 3.1.7 Replication approach

The approach of replicability and scalability of the results of the project is one of the parts that presents greater weaknesses, since it largely assumes that the strengthening of capacities of the district municipalities will lead to institutional sustainability<sup>12</sup>, this being a dubious result considering the large turnover of personnel in this type of institution. The same goes for community organizations and NGOs, which would also be strengthened.

A positive aspect is that the Prodoc stipulates the elaboration of a "Sustainability Plan" in conjunction with the actors before the mid-term evaluation. However, the aspects of replicability are confusing and associated with diagnostic activities and studies of tourism needs, as well as the execution of a communication campaign at the level of children and young people (activities in schools mainly) that by itself does not point to a more specific group at the level of decision makers that could influence the continuity of the results of the project once it is finished.

### 3.1.8 UNDP comparative advantage

Although the advantage of having UNDP services is not discussed directly in Prodoc, a list of the projects managed by this institution in the country is made, showing its experience in the knowledge of the institutions and the various topics covered in each of the initiatives listed. It would have been interesting if a section with UNDP's strengths in the development initiatives implemented in Peru had been further developed.

### 3.1.9 Links between the project and other interventions within the sector

As mentioned above, Prodoc lists a number of projects implemented mainly by UNDP, indicating possible partnerships that may emerge. However, it does not describe how and with whom it could be formed as and with whom these alliances could be formed and to which component of the project they could contribute. An example of this is the BIOFIN project, whose focus was on the financing of protected areas and support for the integration of policy guidelines in the National Public Investment System to facilitate public investment in the conservation and sustainable use of biodiversity and ecosystem restoration.

### 3.1.10 Administrative Arrangements

The implementation of the project includes institutional arrangements that include a National Steering Committee of the project (CDN) made up of SERNANP who chairs it, UNDP, MINAM and representatives of district municipalities and local organizations. Considering the importance of the MML and its Regional Government Program (PGRLM), it would have been preferable that – from the beginning – this institution was also part of this instance, since more than a beneficiary, it is a key partner that will give sustainability to the management of the ACR. An Advisory Committee would also be constituted, made up of the members of the CDN, the district municipalities, the MML, SERFOR and representatives of the local organizations and NGOs involved in the project. It is worth mentioning that the role of this Advisory Committee is a somewhat redundant instance since it is also made up of members of the CDN. On the other hand, the role of this Advisory Committee was not specified, nor how it would meet.

SERNANP would be the entity responsible for the national execution of the project (NIM modality), while UNDP would manage the financial resources according to its rules regarding the acquisition of goods and services and would also monitor progress in the implementation of EbA Lomas activities<sup>13</sup>. The implementation of the project would be in charge of a Management Unit (UGP) located in the UNDP units, but dependent on a National Director appointed by SERNANP, which would also have a coordinator who would carry out the daily management of the project activities and would also have

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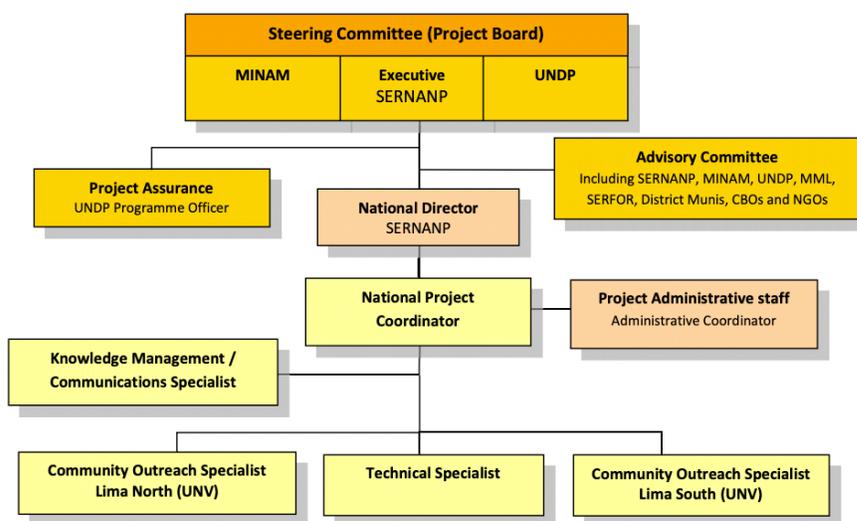
<sup>12</sup> Prodoc, párrafo 93.

<sup>13</sup> Idem, párrafo 130, pág 48.

seven support professionals. The UGP would have 4 professionals located in Loma and one for each group of Lomas, who would carry out the day-to-day activities in the field.

Fig. No. 2 shows the scheme of institutional arrangements for the execution of the project.

Fig. 2: project governance scheme according to the prodoc.



### 3.1.11 Additionality of the GEF project

The project presents additionalities in the field of governance of the Lomas of Lima, as it promoted a series of partnerships with key actors, both institutional and regional and local community that must agree on the sustainability plan of the project and the management strategy to effectively protect the ecosystem of Lomas.

On the other hand, the implementation of sustainable tourism, livestock and agriculture activities could bring benefits in living and employment conditions to the populations and community organizations existing in the Lomas, which are generally people with a high level of social and economic vulnerability. The introduction of new technologies would also bring new jobs for the installation, maintenance and repair of these systems.

However, from the point of view of the design of the project, an outcome is not contemplated that means that a formal mechanism of governance of the Lomas that can be maintained over time will be ensured, but rather it is assumed that the responsibility for the management of the ACR lies with the MML rather than with a permanent mechanism of consultation and coordination.

### 3.1.12 Environmental and Social Safeguards

The "Social and Environmental Risk Screening Procedure (SESP)" is a tool that UNDP uses during the design of GEF projects. It consists of a checklist form with a series of questions where the environmental and social risks of the projects are identified during the formulation stage and the corresponding measures to mitigate them during the execution. If new information is available during project implementation or substantive changes are made during the project cycle, this tool should be updated, and the risk should be reassessed (Low, Moderate, High)<sup>14</sup>.

This tool was applied in the process of developing EbA Lomas, resulting in a low-risk project. However, this instrument could not capture the serious problem of land invasions and usurpation, nor

<sup>14</sup> "Guidance Note UNDP Social and Environmental Standards (SES), Social and Environmental Screening Procedure", Updated procedure, OPG approved in 2019.

the existence of fraudulent, irregular or non-existent property titles in the area. In this regard, risk 1.7: "Is there a risk that right holders do not have the ability to claim their rights?" could have come closer to the problem (rating = moderate), if the State, which has not had the capacity to maintain its property rights and protect the Lomas, had been included in this category.

## 3.2 Project implementation

### 3.2.1 Adaptive management

The project began in August 2016 and would last for five years. The executing unit did not make changes in the strategy or design of the project, which is not ideal, because one of the first activities should involve an analysis of the strategy and the results framework of the project, in order to update them to the current reality, considering that this project had a preparation cycle between 2013 and 2016 (almost four years). The inception workshop, therefore, did not include this update in its agenda, where the main problems of the Lomas are confirmed<sup>15</sup>, but neither did the CDN in its first meeting<sup>16</sup>.

In 2018, the CRC approved a change in the project's goals regarding the number of hectares reforested (indicator No. 11), lowering expectations from 1000 Ha to 100 Ha reforested due to direct actions of the project and an additional 900 Ha as a result of public-private partnerships<sup>17</sup>. This reduction in targets was due to the fact that there were not enough means to reforest, therefore, the goal was unrealistic considering the existing conditions. Another important management was the hiring of an expert to support the PGRLM to accelerate the preparation and processing of the file for the ACR during 2017<sup>18</sup>.

Another important milestone in adaptive management was the mid-term evaluation (MTR) carried out between November and December 2019, that is, it had an approximate lag of 8 months with respect to the dates of the Prodoc (March 2019), which apparently was organized in this way, since no major difficulties are indicated in its hiring<sup>19</sup> process. It is important to note that although there is a perception that a project does not have sufficient progress to carry out the MTR, its value lies precisely in analyzing the causes of the lack of progress and proposing recommendations in this regard, so the mid-term evaluation should be carried out as close as possible to the deadlines stipulated in the Prodoc and not wait for more concrete progress. Another possibility would be to carry out an early pre-assessment to identify the main problems of project execution.

The MTR identified several points of improvement in the management of the project, the most important being those related to the structure of the results and indicators of the project, which were not precise and complicated the description and subsequent monitoring of these, the articulation of actions between the relevant actors, the need for greater articulation between the different GEF projects. At the same time, the statement of the ACR and the positive perception of the management and support made by the project professionals are considered valuable<sup>20</sup>.

The MTR delivered 17 recommendations for the second half of the implementation of the project, where the most relevant are the adjustments to the matrix of results of the project, the elaboration of an exit strategy, the articulation with the actors of the Lomas not included in the ACR and linkage with other GEF projects<sup>21</sup>.

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<sup>15</sup> Abides by the Project's Inception Workshop.

<sup>16</sup> Instalación del Comité Directivo del proyecto, 12 de abril 2017.

<sup>17</sup> CDN Meeting, 30 May 2018.

<sup>18</sup> PIR 2018

<sup>19</sup> PIR 2019

<sup>20</sup> Evaluación de Medio Término (MTR) del Proyecto, Pág. 48-50, noviembre 2019, Lima.

<sup>21</sup> Idem, pág. 51-52.

With regard to the change or adaptation of the project indicators, the positive decision of the CDN taken in February 2021 to make the necessary adjustments, comes late and perhaps will not mean a great difference in the final results, since there is no longer time to introduce appreciable changes in the management and strategies followed by EbA Lomas<sup>22</sup>. It is worth mentioning that any change introduced to the indicators requires the approval of the GEF and requires several months of processing, so care must be taken with the language used, since in this project, the changes were made mainly to the goals established in the indicators and not to the declarations of these.

In this regard, the project has made progress in the elaboration of the exit strategy (still in process), the formulation of the ACR Master Plan, the formulation of the Lomas conservation strategy and its action plan and coordination with institutional actors. However, considering the high political volatility and constant changes of national and local authorities, in addition to the continuous rotation of key personnel in district municipalities, high-level coordination efforts have been very difficult to implement. This forced the project to maintain a highly technical profile and institutional coordination with personnel of medium profiles that could be maintained over time until the situation of the country is normalized, and the appropriate transformations could be carried out and the projection of the project actions in the future could be achieved.

The interaction with the key private sector has been of cooperation and advice to UNACEM (a cement company located in the Lomas), where it was possible to achieve the official recognition of an ACP with an area of 787.82 Ha.

Finally, it should be noted that the project implementation team responded adequately to the COVID-19 pandemic, privileging online communication in the realization of coordination meetings and in all those activities such as training and workshops. Field activities such as the promotion of tourism and investments, such as the completion and maintenance of fog traps have had to be suspended due to the restrictions caused by the pandemic.

As a conclusion of this section, it can be concluded that the *adaptive management of the project* was "**Moderately Satisfactory**" considering that there were decisions that depended only on the project but were not taken in time and that were independent of the conditions of political crisis, high turnover of authorities and key personnel and the limitations to mobility resulting from the global pandemic.

### 3.2.2 Partnership Agreements

The implementation of the project was focused on the actors of the government sector - such as SERFOR, SERNANP, the MML and the district municipalities and local community organizations, mainly those dedicated to the conservation and tourism of Lomas.

Most of these allies were the members of the CDN chaired by SERNANP, which met 5 times in the period 2017-2021, so some actors interviewed would have liked these meetings to be more frequent.

It is worth mentioning that the Advisory Committee was not implemented. Despite sounding redundant, its members could have been purged and the scope of their actions agreed, so that it could have been an instance that functioned more frequently than the CDN and that provided inputs to the executing unit and the CDN itself.

### 3.2.3 M&E of the project

*Design at entry (\*)*

**Rating: Moderately Satisfactory:**

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<sup>22</sup> Minutes of the Steering Committee 2021, 8 February 2021

The Prodoc contains a series of milestones, a follow-up plan and a budget to monitor the progress of the project<sup>23,24</sup>. This plan contains all the standard elements for this type of activities, such as installation of the CDN, inception workshop, quarterly reports, annual reports, PIR, audits and mid-term and final evaluations. Mid-term and final evaluations of the project are also contemplated. It is necessary to mention that an activity of the M&E plan was to discuss the role of the operational focal point of the GEF in the implementation of the aforementioned plan, although it is not assigned any role in the evaluation processes<sup>25</sup>. A key monitoring milestone was to define - during the first year of implementation - the baseline for indicator No. 14 (indicators of BD species)<sup>26</sup>, which is fundamental to define the conservation object that would later be monitored by EbA Lomas.

The M&E plan of the project also defines the use of several tracking tools such as the GEF Tracking Tools (TT) for BD<sup>27</sup> and the use of IRRF indicators.

Finally, the deficiencies found in the project's results statements and indicators made it difficult to keep an adequate follow-up to measure the achievement of the results and objectives of the project, so it should be noted that this situation also negatively impacts the M&E plan.

For the above reasons, the project's **M&E entry design** is rated as "**Moderately Satisfactory**".

#### *Implementation of the M&E Plan (\*)*

**Rating: Satisfactory**

The UGP implemented the M&E plan as initially stipulated. On the one hand, UNDP carried out the general supervision of the project and its promotion at the level of the authorities involved. In this regard, it should be mentioned that the ACR, the Environment and Energy Officer, as well as M&E managers monitored the activities of the project.

The UGP issued a series of semi-annual and annual progress reports, as well as the RIPs (2018, 2019, 2020 and 2021), which were reviewed by UNDP and ACR officials. These reports described the activities carried out, the barriers encountered and updated the risks that threatened the progress of the activities.

The indicators and the methodological tool "Integrated Results and Resources Framework (IRRF)" were also used, the use of which is reserved for UNDP country offices to report corporately on their cumulative progress towards achieving UNDP's overall corporate results<sup>28</sup>. As discussed earlier in Section 3.1, the use of UNDP global indicators does not appear to be a good tool for tracking projects with eminently local actions.

The other M&E tool used was the "Tracking Tools" (TT), which is used by the GEF to track the biodiversity protection activities of its GEF-3, GEF-4 and GEF-5 projects. This tool tries to visualize the threats, the level of management of the protected areas, use of resources, etc. This tool was applied at the beginning, mid-term and at the end of the project, noting progress in the scores for the area of Lomas de Lima (16, 41 and 58 respectively).

The other tool used was the UNDP Capacity Development Scorecard, which is a self-assessment exercise that qualitatively measures capacity development through five criteria that are valued on scales of 0,1,2 and 3, with 3 being the highest score<sup>29</sup>. This tool was used to measure progress towards

<sup>23</sup> Prodoc : "Marco de Seguimiento y Evaluación", párrafo 99-118, pags 40-45.

<sup>24</sup> IDEM: "Plan de Monitoreo, Anexo 6, pág.73.

<sup>25</sup> Idem, págs. 44-45

<sup>26</sup> Prodoc: Marco de resultados del proyecto

<sup>27</sup> Prodoc, Paragraph 114, p. 42

<sup>28</sup> Annex C: Integrated Results and Resources Framework (IRRF) Methodology and 2015 Results.

<sup>29</sup> Monitoring Guidelines of Capacity Development in GEF Operations, Capacity Development Initiative Global Support Programme, National Capacity Self-Assessment.

the goal (indicator #4) and outcome 2 and was applied at the beginning, mid-term and end of the project).

With regard to the follow-up carried out by the National Steering Committee of the Project (CDN), it met five times: 2016, 2018, 2019, 2020 and 2021. It was made up of UNDP, SERNANP (who chaired it), MINAM, MML and representatives of the district municipalities. In these meetings, the goals of indicator #11 were adjusted (Reforested Ha were lowered from 1,000 to 100 Ha in it ACR and 900 Ha by private companies). In general terms, this body approved the operational plans and annual budgets and the extension and change of targets for some indicators and was a valuable support for the project. According to the interviews conducted, it would have been preferable for this body to have met more frequently, especially during the first half of the project, in order to provide it with greater strategic support.

The project did not have a technical advisory committee that had met between meetings of the CDN, in order to give continuity and follow-up to the decisions taken by that body.

Finally, the mid-term (2019) and final (2021) evaluations of the project were also carried out, where no considerable delays were observed for its implementation. Unfortunately, the MTR was carried out in December 2019, but the institutional, political and health framework changed abruptly from March 2020, the date on which the COVID-19 pandemic began, and which disrupted the functioning of all the country's institutions, whether public or private.

For the aforementioned reasons and considering the unusual situations of national and international context that the project has had to overcome, **the M&E system during implementation is rated as "Satisfactory"**.

The rating of the overall design and implementation of the M&E system is considered as **"Satisfactory"**.

#### *UNDP implementation/oversight (\*)*

**Rating: Satisfactory**

UNDP's role in the project was to provide administrative services and management of project funds, as well as to monitor its progress and provide technical advice based on its own professionals or others integrated into its knowledge network.

With regard to the project design and development process, it can be mentioned that UNDP made representations to the GEF in the review and approval processes, as well as identified suitable consultants to carry out the preliminary studies that would give foundation to the project.

It is worth mentioning that the concept of the project and its preparation stage were led by the Inter-American Development Bank (IDB) as the implementing agency and the MML as the national executing entity, so UNDP decided to continue with the preparation and final arrangements for approval of the Prodoc by the GEF, deciding that SERNANP would be the national executing agency in 2015. The preparation of the project and its approval lasted approximately 4 years (2013-2016).

In relation to the role of UNDP during the implementation phase, it is worth mentioning that the UGP was hosted at UNDP offices and supported the project in technical and management aspects before high-level authorities in the country. For example, the Regional Technical Advisor (RTA) followed-up and had continuous communication with the project coordinator. For his part, the Technical Advisor of Environment of the UNDP country office acted as the program official and participated in the CDN, advised the executing unit of the project, MML and SERNANP to facilitate the implementation of the project. In general terms, the supervision and support to the project has been constant on the part of UNDP, an entity that also carried out the administrative and procurement procedures according to the rules of this entity. It is worth mentioning that the executing unit of the project was located in the UNDP offices, so the exchange with UNDP was permanent.

For the reasons described above, a **rating of "Satisfactory" is considered for this section.**

### *Quality of Implementing Partner Execution (\*)*

***Rating: Moderately Satisfactory***

According to the information gathered, the Project Executing Unit operated stably between 2016-2021. This unit consisted of 6 professionals whose coordinator remained in charge throughout this period. This qualified team focused on obtaining the expected results of the project in the assigned times, maintaining inter- and intra-institutional links. The National Project Director (DNP) was an official appointed by SERNANP whose responsibility was to supervise activities and at the same time maintain communications within SERNANP and with other institutions.

The UGP served within a critical institutional context, where it tried to update the new authorities and reconcile with the priorities and agendas they brought. Although there is no formal strategy or analysis of actors, the path followed was to develop a series of technical products and to interact with mid-level peers of the institutions involved, in order to advance in the technical and management proposals to achieve the declaration of the ACR. In this aspect, the identification, design and implementation of products and activities were carried out following an orderly scheme of annual planning of activities, budgets and reports.

The UGP maintained a close collaboration with the main actors of the project, whether ministries such as MINCUL and some MINAM directorates, as well as with SERNANP, SERFOR, the MML and the PGRML. It also achieved close collaboration with local community organizations to implement the projects on the ground and achieve their participation in the conservation of the Lomas of Lima.

However, as discussed in Section 3.2.5 (Risk Management), it would have been desirable for the project to have had a strategy of addressing the main risks (invasions, land tenure, legal informality of community organizations) instead of dealing with some actions to solve some specific problems, in addition to working more on the safety of personnel, consultants and communities that worked in dangerous territories.

For the aforementioned reasons and considering the general context of the country and its institutions (pandemic included), **the quality of implementation of the executing entity can be considered as "Moderately Satisfactory"**.

### *Overall quality of implementation/oversight and execution (\*)*

***Rating: Moderately Satisfactory***

Balancing the successes and challenges identified during the execution of the project, as well as the difficult context it has faced, the overall quality of execution and supervision can be considered as "***Moderately Satisfactory***".

#### 3.2.4 Financing and Co-financing of the project

At the time of project approval, the financing included USD 1,983,799 contributed by the GEF and USD 13,388,615 for co-financing, making a total amount of USD 15,507,414 as shown in Table No. 7.

Table No. 7: Total financing of the EbA Lomas project, according to Prodoc (USD)

Result	GEF Grant (USD)	Co-financing (USD)		Total (USD)
		In-cash	In-kind	
<i>1: Conservation of Lomas ecosystems</i>	469.000			469.000
<i>2: Land Use Management Tools</i>	292.234			292.234
<i>3: Economic diversification and low-impact land use</i>	654.500			654.500
<i>4: Knowledge Management and M&amp;E</i>	387.720			387.720
<i>5: Project management</i>	180.345			180.345
<b>Total</b>	<b>1.983.799</b>	<b>-</b>	<b>13.388.615</b>	<b>15.372.414</b>

Likewise, the accumulated expenses of the project amount to USD 1.81 million (91% of the GEF budget), whose breakdown and comparison with respect to the expected disbursements in the Prodoc are shown in Table N°8.

It can be seen that in 2016 there were almost no disbursements, because the project began in August and the main activity of that year was the installation of the UGP. During 2017 only results 1 (System of conservation and protection of hill ecosystems), 4 (M & E) and 5 (project management) could comply with the schedule with the Prodoc., while in the years 2018 and 2019 a recovery of expenditure is observed, noticing an over expenditure in almost all the results, being result 3 the most notorious with 218% over-execution in 2019. In March 2020, the crisis unleashed by the pandemic begins, but the impact on disbursements does not seem as serious as could be expected, achieving expenses between 61%-98% compared to what was expected. Finally, in 2021, it can be seen that the accumulated expenses per result are between 81% and 96% of execution, without presenting budget relocations of any kind. It is worth mentioning that the distribution of resources stipulated in the Prodoc is very even for each result, being therefore quite balanced.

Fig. 3 shows the annual evolution of the total expenditure of the project compared to what was expected in the Prodoc. With regard to personnel expenditure, the analysis of the figures provided by UNDP yields USD 1.07 million until September 2021 and was intended to finance the seven professionals of the UGP for approximately 60 months. The weight of the UGP within the general budget of the project then reaches 56%, which apparently appears to be high, but it must be remembered that it is facing a small project and that it is also intended more as technical support for the beneficiaries, than in the realization of investments.

Most of the expenses in consultancies are of smaller amounts, there is only one contract close to USD 67,000 (biological study of the Lomas), there are only 6 contracts between USD 24 thousand and 40,000, while the rest are all amounts less than USD 20,000, totaling about USD 641 thousand distributed in 164 accounting movements.

Fig. 3: Comparison of total actual project expenses versus what is planned in Prodoc.

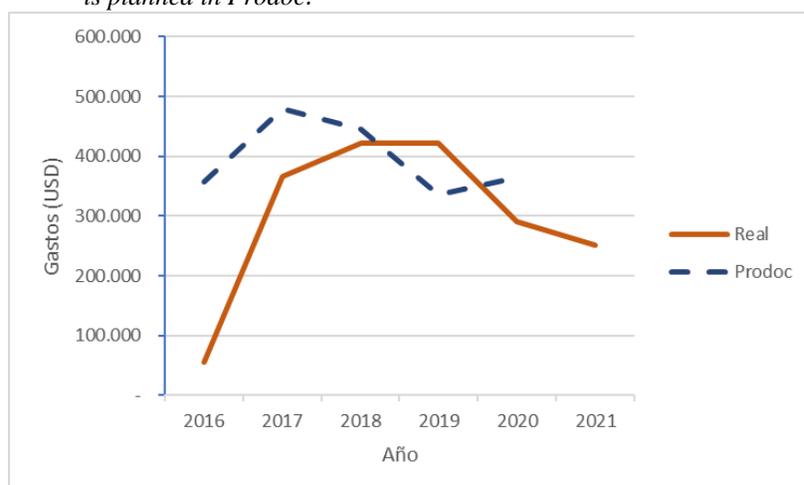


Table 8: evolution of project expenses (in USD) versus the prodoc signed for the period 2016-April 2021

Component/year	Execution Level	Result 1	Result 2	Result 3	Result 4	Result 5	Cumulative Total per year
2016	Prodoc	90.000	53.807	109.500	68.000	36.069	357.376
	Real	25.933	15.095	485	1.073	12.211	54.796
	% (Prodoc/real)	29%	28%	0%	2%	34%	15%
2017	Prodoc	111.000	63.607	201.500	68.000	36.069	480.176
	Real	115.775	14.055	117.680	69.245	50.366	367.121
	% (Prodoc/real)	104%	22%	58%	102%	140%	76%
2018	Prodoc	93.000	65.607	172.500	79.000	36.069	446.176
	Real	82.165	92.060	140.126	94.905	12.025	421.282
	% (Prodoc/real)	88%	140%	81%	120%	33%	94%
2019	Prodoc	84.000	60.607	84.500	70.500	36.069	701.000
	Real	60.566	38.507	184.401	107.252	30.592	1.051.692
	% (Prodoc/real)	72%	64%	218%	152%	85%	150%
2020	Prodoc	91.000	48.606	86.500	102.220	36.069	364.395
	Real	55.621	37.757	84.908	83.394	29.283	290.964
	% (Prodoc/real)	61%	78%	98%	82%	81%	80%
2021	Prodoc	N/A	N/A	N/A	N/A	N/A	
	Real	64.416	48.054	93.122	18.268	27.584	251.443
	%	86%	84%	95%	96%	90%	91%
Accumulated by component (USD)	Prodoc	469.000	292.234	654.500	387.720	180.345	1.983.799
	Real	404.477	245.528	620.721	374.136	162.061	1.806.922
	%	86%	84%	95%	96%	90%	91%

N/A: not applicable

Balance as of 30-Sept 2021 (USD)=

176.877  
9%

With regard to co-financing, the commitments made in Prodoc are broken down in the form indicated in Table No. 9.

Table 9: Co-financing commitments according to Prodoc.

<b>Entity</b>	<b>Amount (USD)</b>	<b>%</b>
SERNANP	178.174	1,3%
District municipalities	12.611.688	93,3%
NGOs	375.000	2,8%
CSO	223.753	1,7%
UNDP	135.000	1,0%
<b>Total</b>	<b>13.523.615</b>	<b>100,0%</b>

As can be seen, the district municipalities would contribute 93% of all the co-financing committed, with the largest contributor being the Municipality of Pachacamac with about USD 9 million (66% of the total). The type of works to be implemented would be located in the Lomas of Lúcumo and would cover water storage, road works, sports services, vehicular access to tourist areas and communal facilities of multiple use among others<sup>30</sup>.

At the time of the final evaluation, it had not been possible to estimate the amount of co-financing carried out, due to the fact that the different parties have not reported their contributions. The UGP carried out an approximation by collecting the information existing in the public databases of the MEF referring to the existing investment projects in the different districts related to the Lomas. These selected projects correspond to the status categories "active", "temporarily suspended", "temporarily deactivated", "100% executed", "direct execution" and "direct management to be executed". The total sum of all these projects is approximately USD 11 million, slightly below what was originally committed in Prodoc. This estimate was made by deleting the data of those projects "temporarily deactivated" and "permanently deactivated".

With regard to UNDP contributions, these would come from technical support from projects such as BIOFIN, "Integrated Climate Change Management in Communal Reserves in the Amazon Rainforest", "Transforming Management of Protected Areas/landscape Complexes to Strengthen Ecosystem Resilience", but the Prodoc does not indicate single co-financing sources, and there is no information on the assessment of the contributions of these initiatives to the project or if these interactions existed. Finally, there are currently no data on the contributions of NGOs and community organizations.

Table N°10: Detail of the co-financing achieved<sup>31</sup>.

<b>Status/amount</b>	<b>soles</b>	<b>USD</b>
Active	20.831.839	6.312.679
Direct administration in execution	4.075.883	1.235.116
Direct management to be executed	3.178.270	963.112
Executed	8.797.610	2.665.942
<b>Total</b>	<b>36.883.602</b>	<b>11.176.849</b>

Estimated exchange rate 1USD=3.3 soles

Table N°11: Detail of the projects executed and in execution by the different districts

<sup>30</sup> Prodoc, Annex Letter commitment District Municipality of Pachacamac.

<sup>31</sup> Own elaboration based on the co-financing reports delivered by the project

<i>District/status</i>	<i>Active</i>	<i>Direct management in execution</i>	<i>Direct management to be executed</i>	<i>Executed 100%</i>	<i>Total (USD)</i>
Ancón	643.466	-	-	-	643.466
Carabayllo	518.742	-	-	238.892	757.634
Independencia	1.245.309	-	-	135.689	1.380.999
Pachacámac	44.794	-	-	42.986	87.780
Puente Piedra	1.241.269	1.235.116	963.112	2.248.375	5.687.872
Rimac	735.655	-	-	-	735.655
Rímac	850.140	-	-	-	850.140
San Juan de Lurigancho	120.116	-	-	-	120.116
Villa María del Triunfo	913.188	-	-	-	913.188
<b>Total (USD)</b>	<b>6.312.679</b>	<b>1.235.116</b>	<b>963.112</b>	<b>2.665.942</b>	<b>11.176.849</b>

Table No. 12: Summary of co-financing

<i>Co-financing (type/source)</i>	<i>UNDP own funding</i>		<i>Government</i>		<i>Beneficiaries</i>	
	<i>Planned</i>	<i>Real</i>	<i>Planned</i>	<i>Real</i>	<i>Planned</i>	<i>Real</i>
In Cash	135,000	S/I				
In kind			12,789,862	11,176,849	598,753	S/I
<b>Total</b>	<b>135,000</b>	<b>S/I</b>	<b>12,789,862</b>	<b>11,176,849</b>	<b>598,753</b>	<b>S/I</b>
%				87%		

### 3.2.5 Risk Management

As mentioned above, Prodoc underestimated the risks associated with land invasions, the issue of community titles, and the legal status of community organizations that supported the project's activities.

In this regard, from the interviews and documentation reviewed during the final evaluation, no clarity was observed in the way to address the risks of the project, mainly in the issue of invasions, where the focus was on supporting specific actions of some municipalities to evict the occupants of land in some district municipalities. It would also have been desirable if more work had been done on the safety of project personnel, consultants and the population exposed to such problems, despite the fact that the project team always made efforts to minimize the risks at the intervened sites.

There was also a need for better planning in terms of knowing in advance the problems associated with land tenure and the legal status of the community organizations participating in the project, a situation that ultimately meant that some microfinance projects will abort due to problems when signing formal agreements and contracts with UNDP.

With regard to the high turnover of officials, the project and UNDP carried out the usual actions of sensitization of the new authorities, both ministerial and provincial and local, in order to achieve adherence to the objectives of the project.

### 3.2.6 Environmental and Social Standards

The project has developed the analysis of the Environmental and Social Standards (SES), where the possible negative and positive effects that its activities could have on the communities where the

interventions were developed were evaluated. The result of the SES showed that the project had a low risk, a situation that finally did not turn out to be true with respect to the property rights of land in the Lomas, which permanently suffer illegal occupations to later settle definitively or speculate with these lands. The main affected by these illegal occupations is the Peruvian state, which has not been able to exercise its rights on the land of the Lomas or guarantee the safety of the communities near these occupations.

### 3.3 Project results

#### 3.3.1 Overall results (\*)

*Rating: Moderately Satisfactory*

##### *Achievement of objectives*

With regard to institutional alliances to protect Lomas, the project had an effective impact on the approval of an inter-institutional protocol that was created mainly to prevent and evict invasions of public lands, according to the legal attributions of each institution. However, this institutional arrangement lacks an operating mechanism, nor does it have a budget, so the achievement is considered partial, but in the near future the way this protocol operates could be strengthened.

With regard to the direct beneficiaries of the project, as well as the increase in income or jobs and the number of visits, with the available information, the evaluator considers that it is not possible to attribute these achievements to the activities of the project, because the flow of tourism in the Lomas had increased in recent years without the intervention of the project.

Finally, the analysis of the project's indicators determined that some were not very useful in measuring their achievements. An example of this is found in the use of indicators, such as IRRF and the UNDP capacity development scorecard, both of which are applicable at larger scales at the country level, self-evaluated, lacking the specificity necessary to measure the achievements of smaller scale projects, as is the case of EbA Lomas. In spite of the above, the evaluator classified the achievements as fulfilled, with the reservations indicated above.

Table No. 13 below shows a perspective of the achievement of the objectives of the project and its qualification, according to the stipulations of the Prodoc and the adjustments introduced by the project team, the CDN and the MTR.

Table 13: Summary of physical achievements of the project (Green = achieved, Yellow: on track to be achieved, Red: not achieved)

Physical goals of the project				
No.	Description of the indicator in Prodoc	Adjusted goal	Reported achievements	Qualification
<b>Project objective: To contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.</b>				
O.1	IRRF Indicator 1: # new collaboration mechanisms with budget for the sustainable management of natural resources, ecosystem services, chemicals and waste at national and/or subnational level; disaggregated by type of alliance.	1 Inter-institutional alliance for the Conservation of Lomas with articulated and functioning roles and responsibilities	2 new alliances were established and are in operation. The first is the approval of Supreme Decree No. 007-2020-MINAGRI, which establishes the "Inter-institutional Protocol to Manage and Protect Ecosystems Included in the Sectoral List of Fragile Ecosystems". The institutions that are part of this protocol are, among others, MINAM, SERNANP, SERFOR, MML, PGRML, MVCS and the police. The second alliance is between MINAM and the Nebilna Oasis Network of Peru.	<b>Satisfactory</b> Partial: The objective of this protocol is to articulate the competences of public institutions to prevent and mitigate the impacts generated by illegal or informal activities, promote the legal physical sanitation of the corresponding area, generate legal certainty, and establish a clear procedure to act against any affectation due to anthropic cause, including that related to extrajudicial recovery. At the moment, the inter-institutional protocol does not contemplate an operating mechanism nor has it established a budget to implement its activities, being so far a list of institutions with their respective attributions.
O.2	IRRF Indicator 2: # of jobs and livelihoods created through the management of natural resources, ecosystem services, chemicals and waste; disaggregated by sex and urban and rural area.	This goal did not have LDB in the Prodoc, which was estimated as: 74 CSO partners (53% women), 95 residents of nearby areas involved in the provision of services and others and 23 groups of tour operators. Final goal project: 15% Increase in total beneficiaries: 85 associates 110 beneficiaries for services or attention 27 tour operators	A 27.6% increase in employment and livelihoods (income from temporary employment or tips) from natural resource management and ecosystem services for 6 civil society organizations (CSOs): - 82 people belonging to the organizations (53.7% women). -140 beneficiaries of the provision of tourist services. -23 tour operators mapped. - This is in addition to a total of 245 people in 6 CSOs working in 5 Lomas (Carabayllo, Amancaes, Mangomarca, Villa María and Lúcumo). - 121 additional beneficiaries in 2 Lomas (more than 75% women), in 2021, through the government strategy "Work Peru", for local economic reactivation. The funds went to support the improvement of tourist routes.	<b>Moderately Unsatisfactory</b> It cannot be determined: So far, the evaluator has not been able to find evidence to support the achievements attributed by the project, with the exception of the beneficiaries of the "Work Peru. Similarly, the increase in the flow of tourists cannot be attributed to the activities of the project, since this activity has been increasing in recent years regardless of the existence of the project.
O.3	Mandatory indicator 3: # direct beneficiaryors of the project: Ecosystem restoration (42,000 people)	No Change	At least 34,346 people have been directly benefited by project activities aimed at the sustainable management of hill ecosystems (for example, restoration activities and capacity building to improve tourism services).	<b>Moderately Satisfactory</b> It cannot be determined: The project reports that they are the beneficiaries of the training carried out to social organizations and other actors, but these do not reach this number. On the other hand, there is no information on whether the practices taught by the project are really used by the beneficiaries, because the monitoring has not been able to be carried out properly due to the problems of the pandemic.

<i>Physical goals of the project</i>				
<i>No.</i>	<i>Description of the indicator in Prodoc</i>	<i>Adjusted goal</i>	<i>Reported achievements</i>	<i>Qualification</i>
<b>0.4</b>	Mandatory indicator 3: # direct beneficiaries of the project: livestock/sustainable agriculture (50 families)	No Change	40 families with strengthened capacities to practice sustainable agriculture	<b><u>Moderately Unsatisfactory</u></b> Partial Achievement: The project trained 5 producers in sustainable practices for pig breeding, which have been applied by the beneficiaries, but with little potential for replication.
<b>0.5</b>	Mandatory indicator 3: # beneficiaryordirect s of the project: Sustainable tourism services (610)	No Change	620 people benefited from 54 virtual training workshops to strengthen sustainable tourism services and provide better quality services, in 2021.	<b><u>Moderately Satisfactory</u></b> Achieved: 620 people were trained as providers of sustainable tourism services, but due to pandemic restrictions and other factors, it cannot be known whether these services improved their quality over the baseline.
<b>0.6</b>	Indicator 4: Capacity level of sustainable management of hill ecosystems, as measured by the UNDP Capacity Development Scorecard (Total=25.5)	No Change	The self-assessment was applied using the capacity development scorecard, achieving a rating of 32.5	<b><u>Satisfactory</u></b> Accomplished As discussed in the report, this type of indicator is not suitable for application to a particular project.
<b>0.7</b>	Indicator 4: Capacity level of sustainable management of hill ecosystems, as measured by the UNDP Capacity Development Scorecard, with emphasis on:Indicator #2 "existence of operational co-management mechanisms" ( I2=3)	No Change	The self-assessment was applied using the capacity development scorecard, achieving a rating of I2=2	<b><u>Moderately Satisfactory</u></b> Partial: As discussed in the report, this type of indicator is not suitable for application to a particular project.
<b>0.8</b>	Indicator 4: Capacity level of sustainable management of hill ecosystems, as measured by the UNDP Capacity Development Scorecard, with emphasis on: #9 "Degree of the environmental planning process and strategy development	No Change	The self-assessment was applied using the capacity development scorecard, achieving a rating of I9=2.5	<b><u>Moderately Satisfactory</u></b> Partial: Apparently there is an error in the rating, since it should be 1,2 or 3 and not a decimal number

### *Achievements by Result (\*)*

It should be mentioned that, despite the difficulties derived from the country's institutional crisis, COVID-19, lack of security in the field and the high turnover of authorities, the progress of the project in terms of deadlines was not significantly affected by these factors.

The period 2016-2017 focused on the installation of the project, knowledge of the relevant actors and planning of the activities. Subsequently, during the 2018-2019 the greatest activity of the project takes place, determining baselines of biological diversity, archaeological and cultural assets, as well as the association with different local and municipal organizations with activities in the 8 districts involved to execute small investments in tourism initiatives, restoration and good practices for agricultural and catling activities.

The 2020-2021 biennium was marked by the pandemic, where all field activities were paralyzed, such as the installation of fog traps and their maintenance, field monitoring activities. This was also true in the nurseries built and due to the surveillance and irrigation fata, a lot of mortality of the plants used for reforestation was observed.

In terms of individual results, it can be mentioned that for **result 1 the achievement is "partial"** if its indicator is considered, since only about half of the surface of the Lomas was protected (5 of the 19, about 50% of the total surface of the Lomas). Portions that failed to protect themselves have property problems, invasions, and economic activities that will need a much deeper strategy than EbA Lomas.

However, this is a very important achievement, since it is the first kick to begin to carry out a real management of this area with, in addition, a clear responsible for doing so (the MML), which will have to install the appropriate alliances and financing for each territory involved. Therefore, the rating assigned for this result is **"Moderately Satisfactory"**.

For **result 2 (conservation strategy and 9 district governments with management tools), it is concluded that the achievement is also "partial"**, since the Plan document has already been finalized and launched at an event organized by the Project and MINAM in June 2021. The Municipality of Lima reactivated the metropolitan environmental commission and socialized the contents of the Lima ecosystem ordinance that was prepared at the CAMET level. In the same way, work is being done on the design of the ecosystem map of the province of Lima. The strategy remains under discussion, with no dates specified for its approval. 5 district ordinances were passed: i) Villa Maria del Triunfo (Ordinance N°272-2019-MVMT), ii) Pachacamac (Ordinance N° 234-2019-MDP), iii) Punta Hermosa (Ordinance N°403-2019-MDPH); iv) Carabayllo (Ordinance N°397-2018-MDC) and v) San Bartolo (Ordinance 305 declaring the Lomas of Cicasos of district interest). Therefore, the rating assigned for this result is **"Moderately Satisfactory"**.

**The achievement of Outcome 3 (Economic Diversification)** is also "partial". At the time of the final evaluation, only about 6 Ha had been restored and pig rearing practices were implemented in 5 groups of beneficiaries, whose land extension is not enough to meet the goal. Regarding the increase in visitors, a 27% increase was reported and an investment close to USD 11 million according to the PIP. The number of tourism services did not reach the goal, nor could small and medium-sized miners – formal and informal – be integrated to implement low-impact practices. In this case, a greater involvement of the MINEM becomes key to be able to order the sector in the Lomas.

Public investments in the area are by far the most significant result achieved, although 100% of these investments cannot be attributed to the project, if it can be concluded that it supported and encouraged these projects so that the district municipalities and the MML could make them. The main challenge for the future is to achieve an investment plan for the areas agreed and planned by the actors. Therefore, the rating assigned for this result is **"Moderately Satisfactory"**.

Finally, **the achievement of Result 4 (Knowledge Management and M&E) also its achievement is "partial"**. It was possible to place a surveillance point (without services such as electricity and water) and the Geolomas and the App were developed. The GEO Lomas system and the Satlomas API are

valuable contributions of the project and are used by different actors as a source of information on the activities carried out in the Lomas, the growth or reduction of them and for surveillance purposes, but according to interviews and the revised documentation, these systems are complementary and are not yet recognized when making legal decisions, as is the case with SESFOR. The biodiversity indicator and its monitoring could not be implemented, but the baseline for biodiversity could be developed. The original objective of the result was to have a monitoring system of flora and fauna that would allow to see the situation of Lomas. With the satellite system you can only observe the Lomas on a large scale, without the necessary resolution to monitor biodiversity species.

It also managed to involve 60 schools in conservation activities, while 15 received an environmental education guide and 70 trained their teachers. Finally, it was possible to have 19 organized and active groups for the conservation of haze oases and 17 events were held during the implementation of the project.

The next step will be to implement this monitoring system and define the biological indicators to observe its performance. In addition, environmental guidelines could also receive approval from MINEDUC as official ministry documents. Therefore, the rating assigned for this result is **"Moderately Satisfactory"**.

Table 14 shows a summary of the ratings for each project outcome.

Table 14: Detailed qualification for each result of the project stipulated in the Prodoc

Result	Physical goals of the project			Qualification
	Description	Adjusted goal	Achievements	
R1	Conservation of hill ecosystems	21,000 (corresponding to the ACR of Group 1 + Group 2 comprised of Lomas in the south preserved via private AC or other modality for private property)	100% progress of the ACR group 1 is reported, increasing the area of the ACR from 10,540 ha. to 13,460. 788Ha for ACP.	<b><u>Moderately Satisfactory</u></b> Partial: Very important result, the formal protection of a part of the Lomas of Lima was achieved (5 of the 19, about 50% of the total surface of the Lomas. Portions that failed to protect themselves have property problems, invasions, and economic activities that will need a much deeper strategy than EbA Lomas. The great future challenge to protect this area is that the existing mining activity in the areas that are not currently protected, are regularized and implement less harmful practices in the Lomas.
R2	Land use management tools	1 Strategy for Conservation of Lomas. 9 Local governments implement integrated land management tools (1 provincial and 8 district)	The Plan document has already been finalized and launched at an event organized by the Project and MINAM in June 2021. The Municipality of Lima reactivated the metropolitan environmental commission and socialized the contents of the Lima ecosystem ordinance that was prepared at the CAMET level and published in El Peruano. In the same way, work is being done on the design of the ecosystem map of the province of Lima. The strategy remains under discussion, with no dates specified for its approval. 5 district ordinances have been approved: Villa Maria del Triunfo (Ordinance No. 272-2019-MVMT), Pachacamac (Ordinance No. 234-2019-MDP), Punta Hermosa (Ordinance No. 403-2019-MDPH), San Bartolo (Ordinance 305 declaring the Lomas of Cicasos of district interest) and Lomas de Carabayllo (Ordinance No. 397-2018-MDC).	<b><u>Moderately Satisfactory</u></b> Partial: the strategy is still under discussion and has not been approved until the time of the final evaluation. With regard to local governments, although district ordinances have been passed, there is no evidence that integrated land management plans are being implemented.
R3	Economic diversification and low-impact land use	1,000 Ha restored, 10,686 Ha with sustainable livestock, 4 mining sites with low impact, 6 projects with public private investment, 20% increase in visitors, 610 tourism service providers, 20% increase in income.	At the time of the final evaluation, only about 6 Ha had been restored and pig rearing practices were implemented in 5 groups of beneficiaries, whose land extension is not enough to meet the goal. Regarding the increase in visitors, a 27% increase was reported and an investment close to USD 11 million according to the PIP. The number of tourist services did not reach the goal.	<b><u>Moderately Satisfactory</u></b> Partial: Although the land restorations stipulated in the Prodoc were not achieved, there are structural problems in which their solutions are beyond the scope of the project. However, public investments in the area are by far the most significant result achieved, although 100% of these investments cannot be attributed to the project, if it can be concluded that it supported and encouraged these projects so that the district municipalities and the MML could make them. The main challenge for the future is to achieve an investment plan for the area, agreed and planned by the actors.
R4	Knowledge Management and M&E	1 monitoring system with 14 permanent sites, biodiversity indicators, 60 schools in conservation activities, 14 organized groups, 6 events.	It was possible to place a surveillance point and the Geolomas and the App were developed. The biodiversity indicator and its monitoring could not be implemented, but the baseline for biodiversity could be developed. It was possible to involve 60 schools in conservation activities, while 15 received an environmental education guide and 70 trained their teachers. Finally, it was possible to have 19 organized and active groups for the	<b><u>Moderately Satisfactory</u></b> Partial: The next step will be to implement this monitoring system and define the biological indicators to observe its performance. In addition, environmental guidelines could also receive approval from MINEDUC as official ministry documents.

		conservation of haze oases and 17 events were held during the implementation of the project.	
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### 3.3.2. Relevance (\*)

**Rating: Highly Relevant**

The project corresponds to a GEF-5 and is part of the GEF Biodiversity Focal Area. This project is justified by the existence of a type of a unique and endemic type of biological diversity existing in the Lomas of Lima, a situation that had been collected by the Peruvian state when declaring this entire area as a fragile ecosystem<sup>32</sup>, which is supervised by MINAM according to the General Law of the Environment<sup>33</sup>.

In addition, Peru has been a party to the Convention on Biological Diversity since 1993, which obliges the conservation of biodiversity, its sustainable use and the fair and equitable sharing of benefits resulting from the utilization of genetic resources.

In addition to the national context, the MML and the district municipalities had already been making efforts to protect the Lomas, where it can be noted the Metropolitan Environmental Agenda 2015-2017 to promote investment projects to conserve and protect the Lomas and the approval of local ordinances issued by district municipalities that, in addition to conservation, include their interest in sustainable tourism activities.

On the other hand, MINAM also has an interest in the conservation of hill ecosystems nationwide, of which 45 have already been declared fragile<sup>34</sup>ecosystems. It is estimated that in the country there are about 67 coastal Lomas that cover an approximate area of 783 thousand hectares, so MINAM is preparing a proposed strategy for the protection of coastal ecosystems, in conjunction with some citizen organizations<sup>35</sup>.

The project is also part of the UNDP country programme (outcome 4 on environmental sustainability policies and plans and output 1.3 on solutions for the sustainable management of natural resources of its strategic plan).

With regard to the Sustainable Development Goals (SDGs), the project contributes to Goals 1, 11, 13 and 15.

Therefore, it can be concluded that the issue addressed by the EbA Lomas project is **"Highly Relevant"** to support the design and implementation of public policies and programs that are needed to effectively protect not only the Lomas of Lima, but for all the coastal ecosystems existing in the country and that are in a state of fragility.

### 3.3.3. Effectiveness and efficiency (\*)

#### Effectiveness (\*)

**Rating: Moderately Satisfactory**

With regard to the achievement of the relevant objectives of the project, it can be affirmed that it was effective in achieving the alliances foreseen in the project, where 2 were achieved. These alliances (institutional protocol and that of MINAM-Red de Oasis del Perú) do not have an effective functioning as soon as the first one needs to clarify how its operating mechanism will be, while the other is still in formation.

For the increase in jobs, it is not possible to attribute it directly to the project, mainly because the field activities related to the productive means could not be carried out due to the restrictions imposed by

<sup>32</sup> Lomas de Lima, Future City Parks, SERPAR, Metropolitan Municipality of Lima, June 2014.

<sup>33</sup> Law 28611, art 99 and DS 007-2008 of the Regulation of organization and functions (ROF) of MINAM.

<sup>34</sup>"Sectoral List of Fragile Ecosystems" of SERFOR: <https://www.serfor.gob.pe/portal/wp-content/uploads/2018/07/Lista-de-Ecosistemas-Fr%C3%A1giles-19-07-2018.pdf>

<sup>35</sup> [https://www.minam.gob.pe/proyecolegios/Curso/cursos-virtual/Modulos/modulo2/3Secundaria/Actividades-Aprendizaje/CTA\\_1/S11/anexo11/CTA\\_S11\\_Anexo\\_4.pdf](https://www.minam.gob.pe/proyecolegios/Curso/cursos-virtual/Modulos/modulo2/3Secundaria/Actividades-Aprendizaje/CTA_1/S11/anexo11/CTA_S11_Anexo_4.pdf)

the COVID-19 pandemic and the lack of security existing in several of these Lomas. In any case, the project had an impact because it promoted and carried out public awareness activities both in Lima and in the district municipalities.

With regard to the increase in the management capacity of the ACR, the implementation of the capacity self-assessment increased from 16 to 31.5 between 2016 and 2021, the co-management mechanisms went from 1 to 2, while the degree of improvement in the process of environmental planning and development of strategies went from 1 to 2.5 (it should not have a decimal value) in the same period, the latter two being a partial achievement.

With respect to achievements by results, a protected area of approximately 14K Ha could be achieved, this is 67% of the goal stipulated in the Prodoc (Result 1). In this regard, the approval of 1 ACR and one ACP was very important, but their demarcation for three Lomas was partial and it would be expected that the Lomas would be demarcated when the master plan of the ACR comes into force.

As discussed in Section 3.3.1, results 2,3 and 4 also had a partial achievement, with result 3 (reforestation) presenting the largest gap mainly due to factors such as the pandemic, plant shortages, irrigation and vandalization of infrastructure related to water collection for nurseries.

Considering the aforementioned factors and making a balance between the difficult and extremely changing context (institutional, health, insecurity) with which the project had to deal, it is considered that its effectiveness was "Moderately Satisfactory". The achievements made are important for the current and future conservation of the Lomas of Lima, but the expectations placed on the Prodoc could not be met.

#### Efficiency (\*)

**Rating: Satisfactory**

As mentioned before, the weight of the UGP was 56% of the project budget, a situation that is not abnormal in a medium-sized project, whose main concern was promotion and technical assistance so that key actors could carry out their activities with objective planning and execution tools that would allow them to achieve their respective objectives.

At the time of the final evaluation there was a balance of USD 177 thousand (9% of the total budget). The resources provided by the GEF produced a large number of studies and small investments that have been the basis for the MML to support its request for the creation of the ACR and the district municipalities to develop local ordinances to protect Lomas. Similarly, investments in the field generated infrastructure and strengthening for local enterprises, while the importance of the Lomas was disseminated through campaigns with schools and local actors. The existing balance is mainly explained by the impact of the pandemic on field activities and the insecurity present in some areas of intervention of the project.

Therefore, efficiency understood as the ability to convert the available resources of the project into products and applied knowledge is estimated to be "Satisfactory".

#### 3.3.4. Overall project Rating

Following UNDP guidelines for this section, Table No. 15 shows the qualification for the result of the project.

Table 15: Overall rating of the project result.

<i>Evaluation of results</i>	<i>Qualification</i>
Relevance	<i>Highly Satisfactory</i>
Effectiveness	<i>Moderately Satisfactory</i>
Efficiency	<i>Satisfactory</i>
Overall project outcome rating	<i>Moderately Satisfactory</i>

### 3.3.5. National ownership

The support provided by the project to the main beneficiaries (MML, district municipalities, local community organizations) has been well received by them. For example, MML was one of the main drivers of the ACR alongside local community organizations.

An example of the above can be found the presentation and approval of the technical file for the establishment of the declaration of this area and the elaboration of the master management plan in conjunction with some district municipalities.

With respect to the latter, it is worth mentioning that the appropriation has been mixed, only five of the 10 participating district municipalities elaborated local ordinances to declare as an area of interest the Lomas within their jurisdictions. On the other hand, several of these municipalities have played a double contradictory role in supporting the project: on the one hand, they cooperated to elaborate the ordinances, receive training and support some field actions of the project, but in turn, they also favored or tolerated land invasions, which caused damage to the occupied areas.

With respect to the private sector, the ACP created has a horizon of at least 10 years, so it can be said that this area has appropriation in the company that currently manages it.

MINAM also achieved a good appropriation of the project's activities by discussing and elaborating, together with the community organization "Red de Lomas del Perú", the national strategy of lomas del Perú.

With regard to SERNANP, it is worth mentioning that the UGP was housed in the UNDP units and not in the executing institution. The interviews carried out indicate that the appropriation by SERNANP is still an evolving process, since there is - in part - the perception that the institution can deploy its attributions once the ANP has been declared and not before, so that the type of activities of the project would not have a very comfortable position in it. It is also necessary to emphasize that -without prejudice to recognizing the limitations of SERNANP infrastructure-, the fact that the UGP is physically installed in a place other than that of the executing agency, may have problems of installation and collaboration with the permanent staff of the institution, so it is not an ideal situation to promote appropriation within it.

With respect to SERFOR, this institution uses the project products as complementary tools (GeoLomas and SatLomas), but these have not been recognized by this institution as official management tools of the institution, so officials cannot use them to justify legal decisions of SERFOR.

Finally, with respect to community organizations and beneficiaries, the appropriation has been positive but partial, because mainly these organizations do not have the resources to continue applying what they have learned and continue the necessary investments to reforest or maintain water accumulation and irrigation systems, for example.

For the above reasons, ***national ownership is considered moderately satisfactory.***

### 3.3.6. Cross-cutting issues

The project has additional edges covering social, cultural and economic issues. In this regard, it is complementary to areas of action of the UNDP country programme in terms of enabling inclusive and sustainable development and combating external poverty. Indeed, training and productive projects and nurseries support the economies of the poorest households in the Lomas of Lima without distinguishing ethnicities or gender. The actions focused on the promotion of tourism and the economic reactivation program favored mostly women, who have been the subject of training to improve ventures in tourism, animal husbandry and management of community organizations.

### 3.3.7 Sustainability (\*)

**Overall Rating for sustainability: Moderately Likely**

#### *Financial Resources (\*)*

**Rating: Moderately Likely**

Peru, like all countries in the region, has been strongly impacted by the COVID-19 pandemic, meaning an 11% drop in GDP and a decrease in tax revenues in 2020, which has led to poverty for 2 million people. It was estimated that by 2021 there will be a strong rebound that would translate into accelerated public investment, with a GDP that would not return to pre-pandemic levels and also with low recovery of private spending<sup>36</sup>. This rebound would be temporary, since the growth projections for 2022 are estimated at only 2%<sup>37</sup>.

In this context, it is expected that the country's priorities will be focused on economic recovery, overcoming the health crisis and the creation of jobs, so the probability of maintaining or increasing investments in hill protection projects would be rather discreet.

Regarding the permanent financing of the ACR, the MML has not allocated resources for the management, demarcation and surveillance of the protected area. Nor is it visualized that it will have additional public resources, because the establishment of the declaration of the ACR indicates exhaustively that the costs fall on the MML, which also does not have sufficient resources, both financial and personnel and territorial presence.

The district municipalities, who are co-responsible for the management of the ACR, also do not have the financial and human resources to carry out procedures in it ACR, aggravated by this with that double role they have played in the past of allowing or tolerating land invasions, to which must be added to constant rotation in environmental management.

The financing of the ACR is mainly contingent on the approval of individual public investment projects that improve the infrastructure of the Lomas, but do not ensure permanent financing for basic operations such as surveillance. Currently, the MML cannot transfer resources to the PGRLM due to internal administration issues, so the former will have to improve this situation probably by implementing its own leadership for the ACR.

Therefore, the financial sustainability for the main results of the project is estimated as **"Moderately Likely"**.

#### *Socio-political/economic (\*)*

**Rating: Moderately Likely**

As mentioned before, public investment projects are the largest source of resources for the MML and the districts but given the low economic growth of the country that is forecast for 2022, there is no certainty that this flow of resources can be maintained or increased, also considering that the application process is long and requires many antecedents to be processed successfully.

With regard to the continuity of the project's actions in the promotion of tourism and pig breeding, it can be concluded that there are already five producers who have financed good pig breeding and processing practices, so it is very likely that these will continue, but the remaining ones (about 45) have no possibility of applying business plans unless they receive donation resources to implement these practices. Groups dedicated to tourism in the Lomas are highly likely to continue with their ventures, since the investments necessary to promote tourism have been made through public investments in infrastructure.

<sup>36</sup> <https://www.bancomundial.org/es/country/peru/overview>

<sup>37</sup> <https://gestion.pe/economia/sni-proyecta-que-el-pbi-del-2021-tendra-un-crecimiento-de-126-y-el-2022-de-apenas-2-economia-noticia/>

Therefore, **the rating is estimated as "Moderately Likely"** in the medium term if efforts are made to involve more actors to support these initiatives.

*Institutional framework and governance (\*)*

**Rating: Moderately Likely**

One of the main risks in this regard is the uncertainty generated by the pandemic and by the current political scenario, where a new government is just beginning its term, so it is estimated that instability and changes in public institutions will remain for a while longer. On the side of the MML and the district municipalities, 2022 will be a year of elections of new authorities, so a very high priority is not foreseen for the lomas of Lima.

With respect to institutional coordination to ensure ownership and security on the land in las Lomas, the Institutional Protocol in force does not ensure that the actors actually coordinate since there is still no operational and operating regulation that makes viable the commitments to protect the Lomas of Lima. Special mention should be made of the role of MINEM in the mining of the resources of the Lomas, which has increased mining concessions in the sector despite having been declared recognized as fragile ecosystems for a long time (approx. from 2013). To the above, it should be mentioned that most of the mining activity in the Lomas of Lima is informal and of small to medium size.

It should also be mentioned that the competences of other agencies and ministries for full management of ACRs have not yet been transferred to the MML. An example of this is MINAGRI, which must transfer some powers of SERFOR to supervise the ACR in terms of affecting wild flora and fauna. It is also necessary to clarify that district authorities should formalize their commitments to protect the ACR, having a policy and plans consistent with the protection of the lomas, including the allocation of resources for this purpose.

However, the institutional capacities installed by the project in SERNANP, SERFOR and the municipalities have a high probability of continuing despite the institutional changes mentioned above. The same can be concluded regarding the social organizations that have been supported by the project, these organizations being the most stable element in this whole equation and that are carrying out actions to preserve and protect the Lomas of Lima.

Given the above, **this dimension is qualified as "Moderately Likely"**.

*Environmental (\*)*

**Rating: Moderately Likely**

The project does not have negative impacts on the environment, but carries numerous benefits, which have already been discussed in previous sections. However, there are clear threats to the environment of the Lomas of Lima, especially those derived from invasions, increased mining, unregulated tourist activities and the lack of guarantees of physical and legal security of land domains that can secure the communities and legitimate owners of the land in<sup>38</sup>question. Therefore, serious threats are visualized in this dimension of the project both in the short and medium term, so the **rating is "Moderately Likely"**.

***Overall probability of sustainability (\*)***

Table 16: Evaluation for sustainability

<i>Sustainability</i>	<i>Qualification</i>
Financial	Moderately Likely
Socio-political	Moderately Likely
Institutional Framework and Governance	Moderately Likely

<sup>38</sup> Technical File Proposal for Regional Conservation Area "Sistema de Lomas de Lima", MML, 2019

Environmental	Moderately Likely
Overall probability for sustainability	Moderately Likely

The consolidated of all project ratings can be seen in Table No. 17 below.

**Table N°17: Consolidated assessment of project ratings**

<b>Project's dimension</b>	<b>Rating</b>
<b>Monitoring and evaluation (M&amp;E)</b>	
M&E Design at entry	Moderately Satisfactory
Implementation of the M&E Plan	Satisfactory
<b>M&amp;E Overall Quality</b>	<b>Moderately Satisfactory</b>
<b>Implementation &amp; Execution</b>	
Quality of UNDP implementation/oversight	Satisfactory
Quality of implementing partner execution	Moderately Satisfactory
<b>Overall quality of implementation/execution</b>	<b>Moderately Satisfactory</b>
<b>Evaluation of results</b>	
Relevance	Highly Relevant
Effectiveness	Moderately Satisfactory
Efficiency	Satisfactory
<b>Overall rating of the project result</b>	<b>Moderately Satisfactory</b>
<b>Sustainability</b>	
Financial Resources	Moderately Likely
Socio-political/economic	Moderately Likely
Institutional framework and governance	Moderately Likely
Environmental	Moderately Likely
<b>Overall likelihood for sustainability</b>	<b>Moderately Likely</b>

## Gender equality and women's empowerment

The project approached gender issues through the participation and empowerment of women leaders of community organizations, while at the same time being beneficiaries of the project's small investments and activities.

However, from the review of documentation and the interviews carried out, it is not appreciated that there has been an explicit strategy that addressed the main issues specific to the women of the Lomas, as well as the systematic collection of information regarding this dimension of the project. The exception to this is the percentages of participation and the number of beneficiaries of the project.

### GEF additionality

The main additionality of the project is to have advised and installed management capacities to plan and implement the actions of protection of the Lomas by the municipal authorities, ministerial and the beneficiaries of the project.

In addition, it also has the potential to improve the living conditions of the populations of the Lomas, by generating spaces for participation and development of tourism ventures, plant nurseries and livestock breeding existing in the area.

In addition, the figure of official protection of the Lomas helps to maintain the environmental services provided by the Lomas to the entire province of Lima and its inhabitants. In this aspect, the project has done a great job in the promotion of the Lomas at all levels, be they government, private sector and regional, municipal and local school authorities.

## Catalytic role / Replication effect

At the time of the closing of the final evaluation, the project was developing the exit strategy, but there is still no formal document on this. In any case, the main actors that must promote the replication effect are the MML, conservation organizations and district municipalities, who must allocate the necessary resources to manage the ACR, which represents approximately 50% of the total ecosystem of Lomas de Lima.

The main actors to promote the replication and scaling of the experience of the Lomas of Lima will be the Metropolitan Municipality of Lima, the Lomas network of Peru and MINAM, who are developing the national strategy for the country's coastal ecosystems and who must achieve the necessary alliances both at the national, regional and local levels.

Another key actor will be the role of MINEM who should establish a mechanism or strategy to regulate and regularize the existing mining activity in the Lomas, in order to avoid illegal activities in the area.

In addition, it will be key to operationalize the inter-institutional inter-ministerial protocol in order to establish commitments on improvements such as preventing invasions and regularizing existing domain titles, through explicit agreements by the police and the ministries responsible for the surveillance and control of the land of the Lomas; as well as local governments.

## 4. Main conclusions, recommendations and lessons

### 4.1. Conclusions

#### Design

Although the issue of the Lomas of Lima is highly relevant to the country, the project document needed to have had a better estimate of the existing risks such as the magnitude of the invasions and the problems of legal ownership of the land and existing community organizations. In addition, indicators that were inaccurate, difficult to measure or some outside the scope of the project (e.g. IRRF indicators) were used. The design of the project suffers from defects that imply that some results and their attribution cannot be measured correctly (mainly statements of results and indicators).

Related to the above, most of the indicators of the project are not SMART, there are too many sub-indicators that bulge their number unnecessarily and sometimes they are difficult to measure. On the other hand, the use of IRRF indicators does not seem appropriate for very local projects.

On the other hand, the approach to the problem for the ecosystems of Lomas had a very local scope, although the complexities existing in these territories and their proximity to a large metropolis such as the city of Lima cannot be underestimated.

#### Implementation

The execution of the project, especially of the field activities, were strongly affected by the pandemic and by the lack of security in some localities in which it was intervened, where the infrastructure was vandalized by third parties. On the other hand, the double role played by some district municipalities also affected the execution of some activities programmed as part of the project, as it was noted that on the one hand they participated in the activities of protection of the Lomas, but on the other hand they were tolerant of land occupations.

The adaptation management was regular, in the sense that the important changes were not made at the beginning of the project, where the CDN and the starting workshop made some criticism about the logic, indicators and risks of the project, despite the fact that insecurity and land invasions were recognized as the main problem of the Lomas. In addition, the project focused a lot on its relationship with the MML, district municipalities and beneficiaries, but it would have been advisable to have developed a communication strategy aimed at decision-makers from key ministries such as MINEM, Housing, MINAM and MEF, for example. In this regard, it would have been positive to develop

scenario studies that showed the social and economic benefits and costs (Targeted Scenario Analysis) associated with the continuation of the management of the Lomas as they were in the baseline (business as usual) versus the change towards an integrated and sustainable management of the use of these territories.

The UGP properly handled the pandemic situation, where virtual activities, such as training, planning and coordination with other actors, were prioritized.

### Financial Management

It is considered that the financial management was correct and according to the standards required by UNDP. Disbursements reached 91% leaving a remainder of USD 177 thousand approximately. The UGP had a weight of 56% in the general budget of the project, a situation considered correct considering its size and its vocation of technical assistance to third parties. With regard to co-financing, about USD 11 million was achieved, slightly below what was originally committed in the Prodoc (USD 13.5 million).

### M&E System

The M&E system implemented was the standard for GEF-UNDP projects, however, greater involvement of the GEF focal point in the CRC would have been desirable, as well as promoting better coordination with MIMAN.

Monitoring tools required by the GEF such as TTs and annual and semi-annual reports to UNDP were also used. Finally, the deficiencies found in the project's results statements and indicators made it difficult to carry out adequate monitoring to measure the achievement of the results and objectives of the project, so it should be noted that this situation also negatively impacts the M&E plan.

### Achievement of Results

Although the rating of the overall result of the project is considered as ***"Moderately Satisfactory"*** based on the expectations of Prodoc, the project obtained achievements that are considered very important because it raised awareness about the importance of the Lomas of Lima and was able to achieve that approximately 60% of the Lomas are part of the ACR, together with the declaration of an ACP. It was also possible to strengthen the management and knowledge capacities of the mml Lomas, district municipalities and local organizations, strengthen the MML, district municipalities and local organizations who were strengthened in their capacities for management and knowledge of the Lomas and benefited from small investments for entrepreneurship and protection of the lomas. However, all these important achievements were not enough to meet the expected results established by Prodoc, mainly those related to the protected and reforested area, as well as the scope of the partnerships achieved to protect the Lomas, which must now be operational and effective.

### Gender and indigenous peoples

The project benefited all the social groups that intervened in the Lomas, especially women. However, there is no evidence of an explicit strategy towards these groups or a policy of the kind of information that would be necessary to adequately monitor these achievements.

### Sustainability

Sustainability is considered moderately likely, since there are serious threats to the ecosystem of the lomas of Lima, mainly those coming from land invasions, the lack of physical security on the land, the uncertainty in the legal ownership of the land and the increase in mining activities in the area.

In addition, the lack of permanent funding to develop the basic management activities of the Lomas (demarcation, surveillance, monitoring) is not assured and the institutional arrangements to protect the Lomas must be clarified and formalized the responsibilities of each actor in the management of the ACR.

## 4.2. Recommendations

<b>Rec #</b>	<b>Recommendation of the final evaluation<sup>1</sup></b>	<b>Responsible Entity</b>	<b>Período de aplicación</b>
A.1	As an exit strategy, it is recommended to develop a work agenda with key actors such as MINAM, MEF, the MML and local municipalities that integrate explicit commitments related to the financing of the master plan., the determination of the costs of delimitation, monitoring and management of the ACR and unification of criteria with respect to invasions, in addition to a schedule of transfer of powers from the ministries, which grant powers to the MML to manage and guarantee the security of the ACR.	SERNANP, MML	Immediate
A2	The interviews conducted with the beneficiaries of the project indicate that they want and need to finish implementing the project pending activities (e.g. pigs, fog traps, nurseries, irrigation systems), so it is suggested to look for financing alternatives for them in conjunction with the MML, the municipalities, in order to avoid frustrations of these actors	MINAM, MML	Immediate
A3	MINEM had little involvement in the project, despite its importance in the control of mining activities in the ACR and in the Lomas in general, so it is suggested to establish a specific working table between MINAM-SERNANP-MML-MINEM to avoid new concessions and control the existing illegal mining in the area.	MINAM- SERNANP	Immediate
A4	The experience on the implementation of the project indicates little involvement of key actors such as MEF because – among other causes - the communication of the objectives of the project and its benefits needed concrete messages adjusted for this type of actors. Therefore, it is recommended that for any project that includes policy reforms and establishment of regulations, targeted scenario analysis studies be developed that show the social and economic benefits and costs associated with the continuation of ecosystem management as described in the baseline (business as usual) compared to the change proposed by the specific intervention towards an integrated and sustainable management of the use of these territories.	MINAM, UNDP	Immediate
A5	Because the Inter-Institutional Protocol does not have operational rules that regulates the responsibilities and actions of the relevant actors, it is suggested that a working group led by MINAM and SERFOR be created to elaborate this regulation and its extended operation for all the Lomas of the country.	MINAM- SERNANP Y SERFOR	Immediate
A6	It is recommended that UNDP, in its capacity as a representative agency of the UN and implementer of GEF projects, can convene and lead these coordination efforts between the different ministries to promote the agenda for the protection of the Lomas, both those of Lima and those of the country.	UNDP	Immediate
A7	there is a rich archaeological and cultural heritage in Lomas, so it is recommended the establishment of a cooperation agreement between MML and MINCUL to protect this heritage	MML	Immediate
A8	It was detected that in the Prodoc there was a district municipality that committed about 90% of the total co-financing, which was not fulfilled. Therefore, it is recommended that future projects carry out a more exhaustive review of the feasibility and realism of these commitments, in order to avoid commitments that cannot subsequently be fulfilled.	UNDP	Immediate

<b>Rec #</b>	<b>Recommendation of the final evaluation</b>	<b>Responsible Entity</b>	<b>Período de aplicación</b>
A9	For the design of future UNDP projects, it is recommended to pay attention to the preparation of the SESP in a way that correctly reflects the risks of the projects. It would be advisable for the SESP to be made by a third party independent of the person or team that prepares the project, with the aim of improving the objectivity of this analysis.	UNDP	Immediate
A10	Related to the above, it is advisable not to introduce an exaggerated number of indicators to a project and in addition, the use of IRRF indicators should be avoided, since the use of UNDP global indicators does not seem to be a good tool to monitor projects with eminently local actions. Finally, these parameters and the strategy should be analyzed and updated during the initiation phase of the project (within the first 6 months) with the participation of the relevant actors.	MINAM, UNDP	Immediate

### 4.3 Lessons Learned

When preparing a development project, special care should be taken to use clear language that communicates the benefits and costs of the results to be achieved and how they will be measured. The use of appropriate and specific indicators will facilitate adequate monitoring, as well as allowing better communication with project partners and beneficiaries. It would be desirable that when selecting indicators and their metrics, global corporate-type indicators should be avoided in case their application is outside the scope of the intervention.

The current pandemic situation suggests that in the design of future projects there will be an exercise to identify and evaluate types of risks that apparently could have a very low probability, but a relevant impact on the execution of any project. At the very least, doing this type of exercise could allow the identification of key mitigation measures that could give an indication of how to deal with types of catastrophic situations such as the current ones.

In reference to the categorization of risks during the formulation stage of projects, it seems that these are estimated by the same formulator of the projects in question, so that the objectivity and / or rigor in the analysis that an independent part of the formulation of the projects could have would be lost.

There are projects that due to their long process of formulation and approval could be out of line with the reality found at the beginning of their implementation, so it is essential that the national executing unit carry out an in-depth analysis of the strategy, indicators and goals of the project in order to update the main parameters with which the project will finally be evaluated, in order to avoid situations of impossibility of fulfilling certain results and objectives.

Although there is a perception that a project does not have sufficient progress to carry out the MTR, its value lies precisely in analyzing the causes of the lack of these advances and proposing recommendations in this regard, so the mid-term evaluation should be carried out as close as possible to the deadlines stipulated in the Prodoc and not wait for greater progress to carry it out. Another possibility would be to carry out an early pre-assessment to identify the main problems of project execution.

Although the institutions seem to be represented in the steering committees of the projects, this does not mean that the institutions are internally coordinated to share information and implement the institutional commitments emanating from this type of instances, so it would be required that the project execution teams carry out a mapping of the internal actors of the institutions, in order to keep them informed about the resolutions adopted and the progress of the project in question.

## 5. Annexes

## Annex 1: ToR

## TERMS OF REFERENCE (TOR)

### UNDP/IC-474-2021 – Final Evaluation of the Project Conservation, Management and Rehabilitation of the Fragile Ecosystems of Lomas in Lima - EbA Lomas

#### 1. General Information

Project name and number	Project 0005845 - Conservation, management and rehabilitation of the fragile ecosystems of Lomas in Lima - EbA Lomas"
Place of destination:	Home based
Term:	65 calendar days
Supervision	Strategic Planning Officer and Environment Program Officer

#### 2. Introduction

According to the UNDP/Global Environment Facility (GEF) Monitoring and Evaluation Policies and Procedures, all regular and medium-sized geF-funded and UNDP-supported projects must undergo a Terminal Assessment (TE) at the end of the project. These Terms of Reference (TDR) establish the requirements of the TE of the project "Conservation, management and rehabilitation of the fragile ecosystems of Lomas in Lima - EbA Lomas" (PIMS#5845) implemented through the National Service of Natural Areas Protected by the State (SERNANP). The project began on August 22, 2016, the date of signature of the Project Document and is in its fifth year of implementation. The TE process should follow the guidance outlined in the document "Guide to Conducting Final Evaluations of GEF-Funded and UNDP-Supported Projects" ([http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEFfinancedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEFfinancedProjects.pdf)).

#### 3. Background of the Project

Peru is one of the ten biodiversity hotspots in the world. Among the diverse ecosystems present in the country, the hill ecosystems are characterized by being unique. Along the coastal desert are pockets or islands of vegetation separated by the hyperarid desert. During the winter months, a zone of fog develops as banks of dense stratum clouds below 1,000 meters above sea level move from the Pacific Ocean that are intercepted by isolated mountains or steep coastal slopes. The humidity of these areas of fog allows the formation of communities of hills located between sea level and 1,000 meters above sea level.

Due to their restrictive distribution, high levels of endemism, presence of threatened species and genetic value, these ecosystems are of global importance, but their distribution is declining. While Peru's environmental law

categorizes hills as fragile ecosystems, very few areas have formal protection status, specifically hills that are in Lima province lack formal protection status.

20 hill communities have been identified in the province of Lima, which is under the administration of the Metropolitan Municipality of Lima (MML). Most of the province's hills are located on public land or on land owned by peasant communities. The hills of the province include the Lomas de Atocongo (located in the districts of Villa María del Triunfo, Lurín and Pachacamac), which are part of the portfolio of the "Alliance for zero extinction".

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In this context, the objective of the project "Conservation, management and rehabilitation of fragile ecosystems of hills in Lima" - EbA Lomas is to protect, conserve and sustainably manage the ecosystems of Lomas de Lima in a context of dynamic and complex climate and social change.

The project, which is funded by the GEF, with the National Service of Protected Areas by the State (SERNANP) as a national counterpart, works with local governments and civil society where hill ecosystems are present. 20 hill communities have been identified in the province of Lima, which is under the jurisdiction of the Metropolitan Municipality of Lima (MML). Most of the province's hills are located on public land or on land owned by peasant communities. For the purpose of implementing the project, hills have been prioritized, grouping them according to the type of land tenure. Group 1, which corresponds to hills on state soils, includes the hills of Ancón, lomas de Carabayllo, lomas de Amancaes and lomas de Villa Maria. On the other hand, the hills of group 2 that are located on land of communal or private property, groups the hills of Mangomarca, hills of Lúcumo, hills of Manchay, hills of Pachacamac, hills of Pacta, hills of Lurín, and hills of Caringa.

The project at the beginning of its actions found an institutional and regulatory framework that does not meet the needs of the hills of Lima in a coherent manner. It also identified a number of individual initiatives in local communities that address specific issues related to local use and degradation, but there were no general guidance and support mechanisms to ensure a comprehensive approach.

The EbA Lomas project seeks to promote better conditions for the conservation of these rare and fragile ecosystems that are home to various species of global importance, and reduce the risks of their degradation. The project works with local actors to formalize and strengthen successful community ecosystem management initiatives, and to promote replication of these initiatives in other hill areas.

To achieve the objective of the project, it was structured into a series of strategic initiatives (components). An urgent first step was to establish protected areas in the main hill ecosystems of the province of Lima and the implementation of low-impact recreational facilities between the urban edges of the city and protected areas, as well as investments to recover vegetation in key areas of the area of influence of the hills (Component 1). In parallel, a set of governance tools would be developed to promote a participatory approach to comprehensive hill management, which would be complemented by an inter-institutional alliance for hill conservation that will articulate roles and responsibilities (Component 2). Finally, through Component 3, the project would work closely with local actors to reforest degraded hills with native flora; develop and promote sustainable livestock and grazing practices; develop regulatory and enforcement mechanisms for mining concessions, which would allow the adoption of low-impact practices in the hills. These expected results would be complemented by a participatory monitoring component.

The expected changes or impacts are as follows:

- a) Contribute to the establishment of formally recognized public and private conservation areas to safeguard biodiversity and ecosystem services of global importance in the fragile ecosystems of Lima's hills.
- b) Strengthen the capacity of local governments, MML and SERNANP to plan and manage in a participatory manner the conservation, restoration and sustainable use of fragile hill ecosystems.
- c) In the context of (a) and (b), strengthen the capacity of local users for the adoption of sustainable productive practices in the agriculture/livestock, mining and tourism sectors.

This project was approved for a duration of 60 months by the GEF, starting in August 2016 with an end date of August 2021. After requesting a no-cost extension, it was approved as a new closing date, January 22, 2022. The amount of investment contributed by the Global Environment Facility (GEF) is US\$ 1,983,799 million, and the co-financing amounts to US\$ 13,075,441.

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As for the institutional arrangements, the project is implemented in the modality of National Execution (NIM, for its acronym in English), being the executing partner the National Service of Natural Areas Protected by the State (SERANP), who is also in charge of the National Directorate of the project.

The implementation of the project is in charge of the Management Unit (UGP), led by the National Coordinator of the project, with the technical assistance of the United Nations Development Program (UNDP), being UNDP in turn the implementing agency in charge of the financial administration and obtaining the expected results of the project.

The National Project Directorate chairs the Project Directing Council (CDP), which is also composed of accredited representatives of UNDP, the Ministry of the Environment (MINAM), the beneficiaries of the project, represented by the District Municipalities with hills, the Municipality of Metropolitan Lima and the Regional Program of Metropolitan Lima. The implementation of the project is carried out under the supervision and assurance of UNDP, including the monitoring and evaluation mechanisms established by the GEF and UNDP, such as periodic reports, audits, the mid-term evaluation (MTR) and this terminal evaluation (TE).

Summary table of the project

Project title:	"Conservation, management and rehabilitation of the fragile ecosystems of Lomas in Lima - EbA Lomas"			
GEF Project ID (GEF ID):	5458		<u>At the time of approval (Millions US\$)</u>	<u>At completion (MILLION US\$)</u>
UNDP Project ID (PIMS):	5845	GEF financing:	1.983.799	1.983.799
Country:	Peru	UNDP	135.000	To be confirmed during the evaluation final
Region:	LAC	Government:	178.174	
Focal Area:	Multi Focal Area Biodiversity Land degradation	Other:	13.075.441	
FA Objectives, (OP/SP):	GEF-5 BD-1 and BD-2	Co-financing or Total:	13.388.615	
GEF Agency:	United Nations Development Programme (UNDP)	Total Cost Project	15.507.414	
Other partners involved:	Ministry of the Environment	ProDoc Signature Date (project start date):		22/08/2016
		(Operational) Closing Date:	Suggested: 22/08/2021	Revised Date: 22/01/2022

The Project Document can be found at the following link:

[PRODOC Lomas fdo. Part I of II.pdf \(undp.org\)](#)

[PRODOC Lomas fdo. Part II of II.pdf \(undp.org\)](#)

### 3. Evaluation

### 3.1 Objectives of the TE

The objective of the TE is to provide an independent assessment of the achievement or otherwise of the results of the project compared to what was expected, critically examining the causal chains, including context, determining the relevance, impact, effectiveness, efficiency and sustainability of the project in order to improve future contributions to development.

The complementary purposes of the TE are as follows:

- Promote responsibility, accountability and transparency;
- Identify good practices and lessons learned that could be useful in improving the sustainability of project benefits and assist in the overall improvement of UNDP programming
- Contribute to the overall assessment of the achievement of geF strategic objectives for the benefit of the global environment; and
- Assess the degree of convergence of the project with respect to other UN and UNDP priorities

The end users of the evaluation will be government counterparts (the GEF operational focal point), implementing partners, UNDP country offices and other project stakeholders for decision-making in future formulation and implementation of development projects.

### 3.2 Approach and methodology of the TE

The TE report should provide evidence-based information that is credible, reliable, and useful.

The consultant is expected to follow a participatory and consultative approach that ensures close collaboration with the project team, government counterparts (the GEF operational focal point), implementing partners, UNDP country offices, the regional technical adviser, direct beneficiaries and other stakeholders.

In addition, the TE consultant should use gender-sensitive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues such as the project's contribution to CPD and UNDAF and the SDGs are incorporated into the TE report.

The TE consultant should review all relevant sources of information, including documents prepared during the preparation phase (i.e. PIF, UNDP initiation plan, UNDP social and environmental assessment procedure -SESP), project document, project reports, including annual RIPs, project budget revisions, lessons learned reports, national strategic and legal documents, and any other material that the TE consultant deems useful for evidence-based assessment. The TE evaluator will review the baseline and mid-term GEF core indicators/tracking tools presented to the GEF in the mid-term review (MTR) and CEO Endorsement approval stages as well as the core indicators/tracking tools (Core Indicators/tracking tools) terminals that must be completed before TE's field mission begins. The full list of documents to be reviewed can be found in Annex B of the TDRs.

Regarding the other methods of information collection, these may be quantitative and/or qualitative. At a minimum, interviews are expected to be conducted with direct project stakeholders (those who have responsibilities in the project, including but not limited to product approval), as well as executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, implementing partners, Project Board of Directors, beneficiaries, strategic allies, academia, local government and civil society organizations, among others), so that they contribute to the evaluation of the progress of the project and provide suggestions to increase the probability of achieving the proposed goals as well as their sustainability. Likewise, the evaluator may apply surveys and questionnaires or group discussions to the stakeholders of the project, as he deems necessary for the best development of the evaluation.

As for the analysis of the information, this must be done using the triangulation between the information collected through interviews and other tools, and the revised documentation. In this way, the findings, conclusions, lessons learned and recommendations obtained from the analysis of this information must have a solid basis in evidence and maintain the same logic among themselves.

Faced with the COVID context, the consultant must submit a proposal to adapt the methodology as appropriate, considering travel restrictions, security guidance, virtual meetings, among others. Such a proposal, in addition to any limitations faced during the TE process, should be detailed in the TE's **initial report** as well as in the final report.

The final methodological approach, including the interview schedule and the data to be used in the evaluation, should be clearly described in the initial TE report and should be discussed and agreed in full between UNDP, stakeholders and the TE evaluator. Likewise, the initial report must present the Matrix of Evaluation Criteria, which must be reviewed, adjusted and completed by the TE evaluator (see Annex D of the TDRs).

The final report should describe the comprehensive approach taken to TE and the rationale for it, making explicit the assumptions, challenges, strengths and weaknesses underlying the methods used in the assessment, as well as their limitations.

### 3.3 Scope of the TE

The TE will evaluate the performance of the project against the expectations set out in the Logical Framework / Results Framework of the project (see Annex A of the ToR). The TE will evaluate the results of the project according to the criteria described in the Guide for TTs of UNDP-supported GEF-funded projects (relevance, effectiveness, efficiency, sustainability and impact). The Findings section of the TE report will cover the topics listed below<sup>39</sup>:

#### Finds

- i. **Project Design/Formulation**
  - Analysis of the Results Framework: project logic and strategy, indicators
  - Assumptions and Risks
  - Lessons from other relevant projects (e.g. the same focal area) incorporated into the project design
  - Planned stakeholder engagement
  - Links between the project and other interventions within the sector
  - Social and Environmental Safeguards
  - Gender mainstreaming
  
- ii. **Project implementation**
  - Adaptive management (changes in project design and project outcomes during implementation)
  - Real stakeholder engagement and implementation agreements
  - Financing and co-financing of the project
  - Monitoring and evaluation: initial design (\*), implementation (\*) and overall evaluation of the M&E (\*)

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<sup>39</sup> The asterisk "(\*)" indicates the criteria for which a qualification is required. A full outline of the contents of the TE report is provided in Annex C to the terms of reference.

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- Implementing Agency (UNDP) (\*) and Executing Agency (\*), supervision, implementation and general execution of the project (\*)

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- Risk management, including social and environmental standards

### iii. Project Results

- Evaluate the achievement of results against indicators by reporting on the level of progress of each objective and outcome indicator at the time of TE and noting final achievements. □ Relevance (\*), Effectiveness (\*), Efficiency (\*) and the overall result of the project (\*)
- Sustainability: financial (\*), socio-political (\*), Institutional framework and governance (\*), environmental (\*), general probability of sustainability (\*)
- National appropriation
- Gender equality and women's empowerment
- Cross-cutting themes (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity building, South-South cooperation, knowledge management, volunteering, etc.)
- GEF additionality
- Catalytic role / replicability effect
- Progress towards impact

### iv. Main findings, conclusions, recommendations and lessons learned

- The TE consultant will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on data analysis.
- The conclusions section will be drafted in the light of the findings. Conclusions should be comprehensive, balanced statements that are well-grounded with evidence and logically connected to TE's findings. Both conclusions and findings should highlight the strengths, weaknesses and results of the project, answer key evaluation questions (see section 4. Guide to conducting Terminal Evaluations of UNDP-GEF Projects) and provide information on the identification and/or solutions to important problems or issues relevant to project beneficiaries, UNDP and GEF.
- Recommendations addressed to intended users of the evaluation should be concrete, practical, feasible and specific. These should focus on what decisions and actions can be taken with a view to ensuring the sustainability of the results achieved by the project and for future projects. Recommendations should be specifically supported by evidence and linked to findings and conclusions around the key questions addressed by the assessment.
- The TE report should also include lessons that can be drawn from the evaluation, including best and worst practices for addressing issues related to relevance, performance and success, so that they can provide insights gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leverage, etc.) that are applicable to other GEF and UNDP interventions. Where possible, the TE consultant should include examples of good practice in the design and implementation of projects.
- It is important that the conclusions, recommendations and lessons learned from the TE report include outcomes related to gender equality and women's empowerment.

The TE report will include a table of assessment scores, as shown below:

Table 2: Evaluation Scores Table

Monitoring & Evaluation (M&E)	Qualification
M&E Plan Design	(Score from 1 to 6)
Implementation of the M&E Plan	
M&E General Quality	
Implementation & Execution	Qualification
Quality of UNDP implementation/oversight	(Score from 1 to 6)
Quality of implementing partner execution	
Overall quality of implementation/execution	
Evaluation of results	Qualification
Relevance	(Score from 1 to 6)
Efficiency	
Efficiency	
Overall rating of the project result	
Sustainability	Qualification
Financial	(Score from 1 to 4)
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall probability of sustainability	

The rating scale is as follows:

The categories of Results, Effectiveness, Efficiency, Monitoring & Evaluation, Implementation & Execution and Relevance are rated on a 6-point rating scale, where: 6 = Very satisfactory (MS), 5 = Satisfactory (S), 4 = Moderately satisfactory (MS), 3 = Moderately unsatisfactory (MI), 2 = Unsatisfactory (I), 1 = Very unsatisfactory (MI). Sustainability is rated on a 4-point scale, where: 4 = Probable (P), 3 = Moderately probable (MP), 2 = Moderately improbable (MI), 1 = Improbable (I).

#### 4. Term of service

The total duration of the TE will be 65 calendar days, counted from the day following the signing of the contract. The tentative TE timeline is as follows:

Table 3. Provisional schedule of execution of the TE

EXECUTION PERIOD	ACTIVITY
1 day after contract signing	Delivery of documentation to the evaluator
Within 7 days of signing the contract	Presentation of the TE Initiation Report
Within 10 days of contract signing	Completion and validation of the initial TE report

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Within 14 days of signing the contract	TE Mission: Virtual Stakeholder Meetings, Interviews, Among Others
35 days after signing the contract	Mission wrap-up meeting and presentation of initial findings
45 days after the signing of the contract	Delivery of the draft TE report including Annexes (according to the content template in Annex C of the TDRs)
52 days after the signing of the contract	Circulation of the draft TE report for comments
60 days after the signing of the contract	Preparation and issuance of management response
65 days after signing the contract	Incorporating comments on the draft TE report into the audit trail and finalizing the TE report (in English and Spanish)
65 days after signing the contract	Expected completion date of full TE
Depending on the date that is coordinated with the Project's Board of Directors and UNDP.	Virtual presentation of the findings and conclusions to the Adjudicator Unit and other interested parties.

### 5. Products

The evaluator will be responsible for delivering the following products:

No.	Product	Description	Term	Responsibilities
1	Initiation Report	The TE consultant details the TE objectives, methodology and timetable	Within 7 calendar days of the start of the consulting service and once the review of the documentation	The evaluation consultant presents it virtually to the Adjudicator Unit and the Project Team
2	Presentation of Results Initial	Initial Findings	35 days after the start of the consulting service and once the TE mission is over	The evaluation consultant presents it virtually to the Award unit, the project team and the interested parties

3	Draft Final Report	Draft Final Report complete with annexes (according to the content template in the Annex C of the TDR)	Within 45 calendar days of the start of the consulting service	The evaluation consultant presents the deliverable virtually to the Awarding Unit; the UNDP Regional Technical Adviser-GEF, project team, GEF Operational Focal Point and other project stakeholders
4	Final Report* + Audit Trail	Complete final report with revised annexes including the Audit Trail detailing how the evaluation has addressed (or not) in the report all comments received from partners and/or	Within 65 calendar days of the start of the consulting service and once the comments on the draft TE have been received	The evaluation consultant submits the deliverable to the Awarding Unit; the UNDP Regional Technical Adviser-GEF, project team, GEF Operational Focal Point and the
		key actors of the project (including English and Spanish version) (See template in Annex C of the SARD)		other project stakeholders

All products must be delivered virtually.

\*The quality of all TE final reports will be assessed by the UNDP Independent Evaluation Office (IEO). Details of the quality assessment of IEO decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>40</sup>

## 6. Payment Method

Payments will be made via bank transfer, to the account of the contract holder, within 10 calendar days following the receipt of the conformity by the Contracting Unit (UNDP Peru Office) upon delivery of the receipt for fee, invoice or document that makes its turn in its country of origin, Payment Certificate (annex 6), according to the following schedule:

Product	Payment	Payment Condition
First Product	20%	To the conformity of the Initial Report of the TE
Second Product	Not affected by payment	Presentation of first findings
Third Product	40%	To the approval of the draft report of the TE
Fourth Product	40%	To the approval of the final report of the TE in English and Spanish versions

<sup>40</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

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If there are observations on the reports submitted, the period shall be taken into account from the date on which they are drawn up. The consultant must submit the observations within a period not exceeding 5 calendar days.

Criteria for issuing the final payment of 40%:

- The TE final report includes all the requirements described in the TDRs and is in accordance with the TE guidance.
- The TE final report is clearly written, logically organized and specific to this project (i.e. the text of other TE reports has not been cut or pasted).
- Approval of the final report by the Contracting Unit.
- Virtual presentation of the findings and conclusions to the Adjudicator Unit and other interested parties.
- The Audit Trail includes responses and justification for each comment listed.

### 7. Arrangements for the TE

The main responsibility in the management of this Terminal Evaluation (TE) corresponds to the Awarding Unit of this project that is the UNDP Peru Office, which is made up of the Strategic Planning, Program and Procurement area. The Contracting Unit will hire the consultant, ensure the timely supply of the project information package and guarantee the timely payment of the delivered products, with prior agreement. The Adjudicating Unit will verify the products delivered by the consultant in a way that guarantees the required quality and compliance with the Guide for the Conduct of Terminal Evaluations.

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The Awarding Unit, with the support of the project team, shall prepare and provide the evaluator with an up-to-date list of project stakeholders with contact details (telephone and email). The Project Team will be responsible for keeping in touch with the evaluator to arrange interviews with stakeholders, drawing up a timeline.

The place of work will be remote and must have its own laptop.

Behind the "Guide to Conducting Final Evaluations of GEF-Funded and UNDP-Supported Projects" is a "do no harm" principle and a consideration that the safety of staff, consultants, stakeholders and communities is paramount and the primary concern of all when planning and implementing assessments during the COVID-19 crisis.

### 8. Characteristic profile of the Natural person(s) to be hired

The evaluator will be responsible for the overall design and drafting of the TE report, assess emerging trends regarding regulatory frameworks, budget allocations, capacity building, and also work with the Project Team in developing the TE pathway.

The evaluator may not have participated in the preparation, formulation and/or implementation of the project (including the drafting of the project document), nor have carried out the mid-term evaluation (MTR) of this project; nor should it have a conflict of interest with the actors related to the project.

The Evaluator will be subject to the highest ethical standards and must sign a code of conduct when accepting the assignment. This evaluation will be carried out in accordance with the principles described in the UNEG's "Ethical Guidelines for Evaluation". The evaluator should safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing data collection and reporting. The evaluator must also ensure the security of the information

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collected before and after the evaluation and protocols to ensure the anonymity and confidentiality of information sources when expected. Knowledge of the information and data collected in the evaluation process should also be used only for evaluation and not for other uses without the express authorization of UNDP and its partners.

In this regard, the Evaluator will sign the Evaluation Consultant Code of Conduct Agreement Form<sup>41</sup> (Annex E).

### Academic Background

- Bachelor's degree in environment, science, engineering, economics or other related field (if the degree is in another area, it may be valid if you have completed postgraduate studies in fields related to the environment).
- Desirable specialization, course, seminar related to: climate change, adaptation / mitigation, territorial planning, among others.
- Fluency of Spanish and English written and spoken.

### Professional experience

- Seven (7) years of experience in the identification, formulation, monitoring and/or implementation (including advice and/or technical assistance), management of projects or programs related to biodiversity, conservation, land degradation, REDD+ and/or environmental territorial governance. Experience with Territorial Development and urban populations of marginal areas will be valued.
- Experience in at least two (2) evaluations of GEF projects, similar to the present, related to mitigation/adaptation to climate change, sustainable productive projects, resilience of ecosystems, conservation of biodiversity and ecosystem and related services. It will be assessed whether any of the projects were implemented by UNDP.
- Desirable experience in the application of SMART indicators, either in the framework of the design, implementation and / or monitoring of projects, as well as in the reconstruction or validation of initial scenarios (baseline scenarios).
- Desirable experience in evaluations and analyses sensitive to interculturality and gender.

It is required that the selected candidate has immediate availability to carry out the consultancy.

## 9. Annexes

The following annexes are attached:

- TDR Annex A: Project Results Framework
- TDR Annex B: Documentation to be reviewed by the consultant
- TDR Annex C: Contents of the TE report
- TDR Annex D: Evaluation Criteria Matrix Format
- TDR Annex E: UNEG Code of Conduct of the Evaluator
- TDR Annex F: TE Rating Scale
- TDR Annex G: TE Report Approval Form
- TDR Annex H: TE Audit Trail

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<sup>41</sup> UNEG Code of Conduct for Evaluation in the United Nations System: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)



### Annex A: Project Results Framework

<p>The project will contribute to achieving the following Country Programme Outcome, as defined in the CPAP or THE CPD:                  The State, with the participation of civil society, the private sector and academic and scientific institutions, has designed, implemented and/or strengthened policies, programs and plans focused on environmental sustainability, for the sustainable management of natural resources and conservation of biodiversity.</p>									
Country Programme Outcome Indicators:									
Applicable key result of the area of environment and sustainable development (the same as listed on the cover page, mark with a circle):									
Objective and applicable GEF strategic programme: BD1, DT3, GFS-REDD1									
Applicable GEF expected results: <input type="checkbox"/> BD-1 Result 1.1: Greater effectiveness in the management of current and new ANPs <input type="checkbox"/> DT-3 Outcome 3.1: Better enabling environment across sectors for integrated landscape management <input type="checkbox"/> GFS-REDD-1 Outcome 1.3: Good management practices adopted by relevant economic actors									
Applicable GEF indicators: <b>BD1:</b> Product 1.1.1. New PNAs (5, to be confirmed during the preparation phase) and coverage of unprotected ecosystems (100,000 hectares) Product 1.1.3. Sustainable financing plans (9) T3D: Product 3.1.1. Comprehensive land management plans formulated and implemented Product 3.2.1. Tools and methodologies for the integral management of natural resources developed and proven <b>GFS-REDD1</b> Output 1.3(a): Forest-generated services Output 1.3 (b): Landscape-generated services									
	Indicator	Baseline			Goal			Verification source	Risks and assumptions
Objective: To improve resilience to	Q1. Reducing the rate of loss of the main habitat types (yungas,	Habitat	Annual loss	Total loss during the project period	Habitat	Total loss during the	Net loss avoided thanks to the project	Remote sensing	

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<p>cc impacts on vulnerable PNA ecosystems and landscapes surrounding areas in order to ensure their biodiversity and functionality, as well as ecosystem services such as greenhouse gas sequestration and emission reduction.</p>	<p>southern Amazon rainforest, and central puna) generates benefits for BD and prevents the loss of carbon sinks</p>		(ha)	(without the project)		period of the project (with the project)	(ha)	(tC)	(satellite images)	<p>There are no major changes in the context social economic and climatic (more beyond the projected trends of the CC)</p>
		Yunga	11.952	59.760	Yunga	44,699	4,967	367,620		
		Forest	20.585	102.925	Forest	95,760	10,640	1,083,790		
		Puna	0	0	Puna	148.5	17	512.82		
		Total	32.537	162.685	Total	140,607	15,623	1,451,924		
	Q2. Increase in connectivity of ecosystems within landscapes and with	XX has ecosystems in good condition within the corridors of		Creation of at least 100,000 ha of new conservation areas that include healthy ecosystems within the				Remote sensing		
	adjacent ecosystems, measured by the number of hectares of ecosystems in good condition, under some conservation regime, within the potential connectivity corridors in the landscapes.	connectivity of each landscape (data 2015)		connectivity corridors in the two landscapes.				(satellite images)		
		42 conservation areas in the two landscapes		Creation of at least 2 new conservation areas within the connectivity corridors in each landscape.						
	Q3. Reduction of prioritized ANP threats, as measured by the tool METT	ANP	Qualification	ANP	Qualification			The heads of ANP carry out the evaluation METT		
		PNYCH	19	PNYCH	14					
		RCY	23	RCY	19					
		BPSMSC	39	BPSMSC	30					
		RCES	26	RCES	21					
		PNM	26	PNM	23					
		PNAP	19	PNAP	14					
		CPR	14	CPR	12					
		RCA	23	RCA	19					
		SNM	18	SNM	16					
		Average	23	Average	18.7					
	Q4. Reduction of the probability of affectation of the ecosystem due to anthropic threats, as	ANP	Qualification	ANP	Qualification			The heads of ANP carry out the evaluation		
		PNYCH	1,70	PNYCH	1,28					
		RCY	15,29	RCY	11,47					

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	measured by the standard methodology of SERNANP	BPSMSC	13,36	BPSMSC	10,02		
		RCES	2,69	RCES	2,02		
		PNM	0,33	PNM	0,25		
		PNAP	7,55	PNAP	5,66		
		CPR	2,84	CPR	2,13		
		RCA	5,38	RCA	4,04		
		SNM	0,58	SNM	0,44		
		Average	5,52	Average	4,15		
Outcome 1: Increased resilience to climate change in key NPAs	1.1 Better management capacity of ANP, as measured by the METT tool	ANP	Qualification	ANP	Qualification	The heads of ANP carry out the evaluation METT	The current level of government financial and political support for the PNAs is at least maintained.
		PNYCH	55	PNYCH	69		
		RCY	60	RCY	71		
		BPSMSC	47	BPSMSC	65		
		RCES	57	RCES	69		
		PNM	75	PNM	80		
		PNAP	62	PNAP	68		
		CPR	55	CPR	66		
		RCA	44	RCA	60		
		SNM	60	SNM	71		
		Average	57,2	Average	68.8		
	1.2 Effectiveness in supervision and control in prioritized ANPs, measured according to compliance with surveillance and control strategies that include the context of CC and action at the landscape level (at least ANP+ ZA).	No ANP has a surveillance and control strategy that includes the context of CC and action at the landscape level (at least ANP+ ZA).		09 ANP have a surveillance and control strategy (covering 5,966,203 ha) that includes the context of CC and action at the landscape level (at least ANP+ZA). At least 04 ANP implement it.		SERNANP Facts	The communities locals remain willing to collaborate with the government and participate in environmental governance (

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1.3 Level of local participation in the supervision and control of PNAs, measured by the existence of conservation arrangements through which local communities complement the actions of the SERNANP	There are currently 02 conservation agreements in force in the prioritized ANPs (PNYCH and RCY)	At least one conservation agreement in place in each prioritized PNA, thanks to which local communities have more participation in the control and management of ANP	Reports of the heads of ANP	despite their reservations in as for conventional ANP models)	
1.4 Level of incorporation of resilience-related aspects to cc in CC management tools ANP, AC, and RT/RI	None of the prioritized ANPs or CA, RT/RI have incorporated resilience to cc in their analyses or master plans.	All prioritized ANPs, AC, RT/RI have incorporated resilience to the CC into their analyses and master plans, which is reflected in their management decisions	Revision of the instruments of the PNA		
1.5 Expanding the coverage of conservation areas to protect essential ecosystems	09 protected natural areas (5,966,203 ha), 08 private conservation areas (22,612 ha), 02 municipal conservation areas (15,238 ha), 09 conservation concessions (193,035 ha), 10 ecotourism concessions (25,774 ha) and 04 reserves territorial/indigenous (2,620,423 ha) in the two landscapes	100,000 ha new for the conservation of essential ecosystems through alternative modalities (in addition to SINANPE)	Instruments for declaring new conservation areas		
	Income (2014)	2.396.512	Revenue from current sources	2.396.512	
1.6 Availability of economic resources (US\$) for the management of prioritized PNAs taking into account the implications of the CC			Income from other financial strategies <sup>4</sup>	5.400.000	Data financial SERNANP
			Total income	7.796.512	
	Required resources (basic management scenario)	4.398.771	Required resources (basic management scenario) with CC <sup>5</sup> perspective	5.718.403	
	Required resources (optimal management scenario)	7.541.958	Required resources (optimal management scenario) with CC perspective	9.804.545	
Balance (basic management scenario)	-2.002.259	Balance (basic management scenario) with CC perspective	+2.078.109		

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		Balance (optimal management scenario)	-5.145.445	Balance (management scenario optimal) with CC perspective	-2.008.033		
Component 2. Productive landscapes resilient to CC cushion the ANP	2.1 Level of integration of the cc resilience perspective into the planning instruments articulated at the national and subnational levels in the prioritized provinces bordering the ANPs.	No prioritized province or its districts in the landscapes, incorporates in its planning instruments the perspective of resilience to the CC, nor is it articulated between the three levels of government.		At least 1 province of 02 prioritized regions, and 1 district in each of them, have regional and local planning instruments that incorporate the resilience perspective to the CC and are articulated between the three levels of government.		Review of EEZ instruments	THE GORE recognize the importance of address the CC  Agroforestry systems remain competitive in terms of the potential to support livelihoods, with respect to
	2.2 Greater potential of tree-based production systems (coffee, cocoa) to buffer PNAs against the direct and indirect effects of CC in the prioritized provinces surrounding them	49,914 ha of coffee <sup>42</sup> and 14,500 ha of cocoa <sup>43</sup> under shade in the province of La Convención; 7804 ha of coffee under shade <sup>44</sup> in the province of Oxapampa		The areas remain stable but in 10% of the area (7222 ha: 5771 ha of coffee and 1450 ha of cocoa) management systems are applied that promote resilience to the CC and cushion the ANPs contributing to the sustainability of local livelihoods and gender equality, which directly benefits		Data from MINAGRI, local governments and producer organisations	

<sup>4</sup> See section IV, part VIII.

<sup>5</sup> Under the assumption that by incorporating the climate change perspective (which will require more specialized personnel to address these issues as well as personnel to deal with the increased level of threats) the costs will increase by approximately 30%.

			18,050 poor inhabitants (of whom 8123 are women and 80% are indigenous).		
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<sup>42</sup> [http://www.expocafeperu.com/archivos/2012/Alternativas\\_de\\_produccion\\_Sostenible\\_de\\_Cafe\\_Reiles\\_Zapata\\_Comercio\\_y\\_Cia.pdf](http://www.expocafeperu.com/archivos/2012/Alternativas_de_produccion_Sostenible_de_Cafe_Reiles_Zapata_Comercio_y_Cia.pdf)

<sup>43</sup> [http://www.minag.gob.pe/portal/download/pdf/herramientas/organizaciones/dgpa/documentos/estudio\\_cacao/4\\_5\\_2cuzco\\_informe\\_final.pdf](http://www.minag.gob.pe/portal/download/pdf/herramientas/organizaciones/dgpa/documentos/estudio_cacao/4_5_2cuzco_informe_final.pdf)

<sup>44</sup> [http://www.expocafeperu.com/archivos/2012/Alternativas\\_de\\_produccion\\_Sostenible\\_de\\_Cafe\\_Reiles\\_Zapata\\_Comercio\\_y\\_Cia.pdf](http://www.expocafeperu.com/archivos/2012/Alternativas_de_produccion_Sostenible_de_Cafe_Reiles_Zapata_Comercio_y_Cia.pdf)

2.3 Community forest management promotes forest protection in the context of CC, and reinforces the land occupation rights of local communities	Community forest management plans that promote forest protection do not incorporate CC and resilience perspectives.	Management plans for at least two non-timber products, based on community forest management that promotes forest protection, incorporate CC perspectives and resilience, and reinforce the sense of ownership/ownership of the communal forest.	Management tools and reports, consultations with indigenous groups, field inspections	extensive production systems low in biodiversity  Continuous security in the exercise of
2.4 Agroforestry systems in the areas of Buffering contributes to global environmental benefits, stabilize landscapes and build resilience to CC	20,685 ha of agroforestry systems <sup>45</sup> in buffer zones, with a total of 3,092,200tC <sup>46</sup> and an average soil erosion rate of 2.64t per ha per year	Additional 2000 ha of agroforestry systems in buffer zones result in a total net increase in carbon sinks of 176,920tC <sup>47</sup> and a net reduction total erosion of 208,000t, benefiting 20,000 poor people (mostly indigenous and 9000 women) in 4000 families, through a greater	Consultations with extension agencies and indigenous groups, field inspections	rights of occupation, tenure and use of land in the areas of cushioning or

			productivity and sustainability of their production systems		
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<sup>45</sup> 41,371 rural families in the 20 prioritized (0.5 ha of agroforestry systems per family).

<sup>46</sup> Average 149.49 Tc/ha. Source: Gonzales, F. and Chávez, J. (2010). Estimation of carbon stored in a cocoa agroforestry system (*Theobroma cocoa*) compared to a three-age secondary forest. Thesis to opt for the title of agricultural engineer at the National Agrarian University of the Jungle (UNAS), Tingo Maria, Peru. (ASSOCIATED COCOA)

<sup>47</sup> Agroforestry systems will have 149.49tC/ha and will be established on arable and grazing land with an average of 61.03tC/ha, which will generate a net carbon gain of 88.46tC/ha. The rate of soil erosion with agroforestry systems is estimated at 2.64t/ha/year, compared to 23.44t/ha/year for cropland and grazing land to be replaced. The total loss of land to be avoided is calculated by multiplying the difference in percentages between the agroforestry system and the agricultural/grazing system by the number of hectares converted and the number of years between the conversion of each hectare and the end of the project (although the benefits will continue after the end of the project) [(23.44-2.64) t/ha/year x 2000 ha x 5 years = 208,000 t.

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2.5 Greater participation of local communities that promote gender equity in environmental governance in landscapes	No ECA of the 4 CRs, nor indigenous federation representing the CCNN in the ZA of the RC, intervene in the spaces of environmental governance.	04 RCTs and at least 01 indigenous federation representing the CCNN in the RC ZA, within the scope of the project, intervene in at least 01 space that promotes environmental governance	Field visits to the oversight offices	
2.6 Level of incorporation of aspects related to resilience to the CC and the biodiversity in rural extension programmes	No rural agricultural or forestry extension agency currently addresses the issues of climate change and biodiversity	18 extension agencies across the intervention area incorporate aspects of CC resilience and biodiversity conservation	Review of extension programmes and instruments	

## Annex B: Project information package to be reviewed by the Evaluator

#	Item
1	Project Identification Form (PIF)
2	UNDP Initiation Plan (PPG)
3	UNDP-GEF PRODOC signed with Annexes
4	Endorsement Request (CEO Endorsement)
5	UNDP Environmental and Social Diagnosis (SESP) and associated management plans (if any)
6	Report of the Project Initiation Workshop
7	Mid-Term Assessment (MTR) Report and Management Response to MTR Recommendations
8	All Project Implementation Reports (RIP)
9	Progress reports (quarterly, semi-annually or annually, with work plans and associated financial reports)
10	Monitoring mission reports
11	Minutes of meetings of the Project Board of Directors and other meetings (i.e. meetings of the Project Evaluation Committee)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF core indicators (from PIF, CEO approval, intermediate and final stages); only for GEF-6 and GEF-7 projects
14	Financial data, including actual expenditures per project outcome, including management costs and documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source and whether the contribution is considered as mobilised investment or recurrent expenditure
16	Audit Reports
17	Electronic copies of project results (brochures, manuals, technical reports, articles, etc.)
18	Sample project communication materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic and number of participants.
20	Any relevant socio-economic monitoring data, such as the average income/employment levels of stakeholders in the target area, the change in income related to project activities
21	List of contracts and procurement items over ~US\$5,000 (i.e., organizations or companies contracted for project products, etc., except in cases of confidential information)
22	List of related projects/ initiatives that contribute to project objectives approved/initiated after GEF project approval (i.e. any leveraged or "catalytic" outcomes)
23	Data on the relevant activity of the project website, p. E.g. number of unique visitors per month, number of page views, etc. during the relevant time period, if available
24	UNDP country/country programme document(s) (DPC)
25	List/map of project sites, highlighting suggested visits
26	List and contact details of project staff, key project stakeholders, including members of the Project Board of Directors, the RTA, Project Team members and other partners to be consulted.
27	Project deliverables that provide documentary evidence of the achievement of project results

## Annex C: Contents of the Terminal Assessment Report

The TE report must cover the following required content, and must be no longer than 50 pages (without attachments):

- i. Basic project information
  - Name of UNDP-supported and GEF-funded project
  - UNDP PIMS/GEF ID numbers
  - Period of execution of the TE and date of the report
  - Region and countries included in the project
  - GEF Strategic Program/Strategic Program
  - Executing agency/Implementing partner and other project partners
  - MTR ii. Equipment Components Acknowledgments iii. Index
- iv. Acronyms and Abbreviations
  1. Executive Summary (3-4 pages)
    - Project Information Table
    - Project description (brief)
    - Evaluation Scores Table
    - Concise summary of findings, conclusions and lessons learned
    - Summary Table of Recommendations
  2. Introduction (2-3 pages)
    - Purpose and objectives of the TE
    - Scope
    - Methodology
    - Data Collection & Analysis
    - Ethics
    - Limitations of evaluation
    - Structure of the TE report
  3. Project description (3-5 pages)
    - Start of the project and duration, including milestones
    - Development context: environmental, socio-economic, institutional and policy factors relevant to the objective and scope of the project
    - Issues the project sought to address: threats and barriers
    - Immediate and project development objectives
    - Theory of Change
    - Expected Results
    - Main stakeholders: summary list
  4. Findings

(in addition to a descriptive evaluation, all criteria marked with (\*) must receive a grade)

    - 4.1 Project Design/Formulation
      - Analysis of the Results Framework: project logic and strategy, indicators
      - Assumptions and Risks

- Lessons from other relevant projects (e.g. the same focal area) incorporated into the project design
- Planned stakeholder engagement
- Links between the project and other interventions within the sector
- Social and Environmental Safeguards
- Gender mainstreaming

#### 4.2 Implementation of the project

- Adaptive management (changes in project design and project results during execution)
- Effective stakeholder participation and partnership agreements (with relevant stakeholders involved in the country or region)
- Project Financing and Co-financing
- Monitoring and Evaluation: design at the entrance (\*), implementation (\*) and general evaluation of M&E (\*)
- UNDP implementation/monitoring (\*) and implementation of implementing partners (\*), overall project implementation/execution (\*)
- Risk Management and Social and Environmental Standards (SESP)

#### 4.3 Project results

- Overall results (achievement of objectives) (\*)
- Relevance (\*)
- Effectiveness (\*)
- Efficiency (\*)
- Overall Result (\*)
- National appropriation
- Other cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, among others, as appropriate).
- Environmental and Social Standards
- Sustainability: Financial (\*), socio-economic (\*), institutional framework and governance (\*), environment (\*) and overall probability (\*)
- Gender equality and women's empowerment
- GEF additionality
- Catalytic role / Replication effect
- Progress towards impact

### 5 Main Findings, Conclusions, Recommendations & Lessons

- Main findings
- Conclusions
- Recommendations
- Lessons learned

### 6 Annexes

- TE TDR (without annexes)
- Itinerary of the mission of the TE
- List of people interviewed

- List of documents examined
- Matrix of evaluation questions (evaluation criteria with key questions, indicators, data sources and methodology)
- Questionnaire used and summary of results
- Co-financing table (if it is not included in the body of the report)
- TE Rating Scales
- Signed Evaluation Consultant Agreement Form
- Signed UNEG Code of Conduct Form
- Signed TE Report Approval Form
- Attachment in a separate file: TE Audit Trail
- Annex in a separate file: relevant GEF/LDCF/SCCF/SCCF core indicators or monitoring tools, as appropriate

## Annex D: Evaluation Criteria Matrix Format

Evaluation Criteria Questions	Indicators	Sources	Data collection technique
<b>Relevance: How does the project relate to the main objectives of the GEF focal area and to environment and development priorities at the local, regional and national levels?</b>			
Was the project objective aligned with long-term national and local priorities, policies, plans and strategies?	Level of coherence between the project objective and national priorities, policies and strategies, as indicated in the documents Official	PRODOC, Report of Project Initiation Interviews with design participants Interviews with Implementing Partner and key actors of the project Review of official government documents	Analysis of documentation and other interviews
To what extent was the project aligned with the Undp Strategic Plan, the CPD, the UNDAF, the CcF of the United Nations for Sustainable Development (UNSDCF), the SDGs and GEF strategic programming?	Level of coherence between project objective and outcome frameworks: with UNDAF, CPD, UNDAF, UNSDCF and GEF strategic programming	UNDP strategic documents and GEF UNDP Officers UNDP-GEF Regional Technical Advisor	Documentation analysis, interviews
To what extent did the project address the needs and interests of all specific and/or relevant stakeholder groups?	Level of linkage between needs and interests of all specific and/or relevant stakeholder groups and those of the project	PRODOC Initiation Report of the Project PPG Validation Workshop Report Participants in the design Implementing partner and key actors of the project	Documentation analysis, interviews
To what extent was the involvement of key stakeholders incorporated into the project?	Degree of participation in the project of all specific stakeholder groups	PRODOC Initiation Report of the Project Key actors of the project Periodic reports and PIR.	Documentation analysis, data analysis, interviews
Were previous experiences and appropriate technical opinions adequately incorporated into the design of the project?	Level of incorporation of experiences and technical visions in the design of the project	PRODOC Participants in the design UNDP Officers	Documentation analysis, data analysis, interviews
Does the project provide relevant lessons and experiences for future similar projects?	Level Systematization of lessons learned  Degree of knowledge of key stakeholders of lessons learned	Project documentation Periodic reports, RIP Key players	Documentation analysis, data analysis, interviews
<b>Effectiveness: To what extent have the expected results and objectives of the project been achieved?</b>			
Are the project objectives likely to be achieved? To what extent are they likely to be achieved?	Level of progress towards goals of the project in relation to the expected level at the current point of implementation	Project documentation Periodic reports, PIR Key actors	Documentation analysis, data analysis, interviews

What are the key factors that contribute to the success or failure of the project?	Level of documentation and preparation for projects, assumptions and impact drivers	Project documentation Periodic reports, PIR Key actors	Documentation analysis, data analysis, interviews
What are the main risks and barriers that remain to achieve the project's objective and generate global environmental benefits?	Presence, assessment and preparedness to mitigate expected risks, assumptions and impact factors	Project documents Project Team Project stakeholders	Analysis of documentation, data analysis, interviews
To what extent are the main assumptions and drivers of impact relevant to achieving that the Global Environmental Benefits are met?	Actions undertaken to address key assumptions and drivers of target impact	Project documentation Periodic reports, PIR Key actors	Documentation analysis, data analysis, interviews
To what extent did M&E systems ensure effective and efficient project management?	Quality and adequacy of project monitoring mechanisms (oversight bodies, quality and timeliness of reporting, etc.)  Level of progress of the required Adaptive Management Measures related to the identified arrears	Project documents Project Team Key actors of the project	Documentation analysis, interviews
<b>Efficiency: Was the project implemented efficiently, in accordance with international and national norms and standards?</b>			
To what extent was there an efficient and economical use of resources and strategic allocation of resources (funds, human resources, time, etc.) to achieve results?	Financial Execution VS Budget  Actual vs Planned HR  Adequacy of the structure of coordination and communication  Quality of project monitoring mechanisms (supervisory bodies, quality and timeliness of the reporting, etc.)	Project documents Implementing Partner Project Team	Documentation analysis, interviews
To what extent were project funds and activities delivered in a timely manner?	Level of compliance with project activities in the planned times  Level of compliance with budgets and annual POAS	Project documents Project Team Project stakeholders	Documentation analysis, data analysis, interviews

Did the project efficiently use local capacity during its implementation?	Proportion of expertise used by international experts compared to national experts  Quantity/quality of analysis performed to assess the potential of local capacity and absorptive capacity	Project documents Project Team Project stakeholders	Documentation analysis, data analysis, interviews
What has been the cash contribution and in-kind co-financing for the implementation of the project?	% cash implementation and co-financing in kind vs at the expected level	Project documents Project Team	Analysis of documentation, data analysis, interviews
Have the expenses been made in accordance with international norms and standards?	Cost of project inputs and outputs in relation to norms and standards for donor projects in the country or region	Project documents Project Team	Documentation analysis, interviews
<b>Results</b>			
Have the planned products been produced? Have they contributed to the results and objectives of the project?	Level of progress of project output indicators in relation to those expected  Level of logical linkage between project outputs and expected outcomes/impacts	Project documents Project Team Key actors of the project Periodic reports PIR	Documentation analysis, data analysis, interviews
Were they achieved or is the expected results likely to be achieved? Have they contributed or are they likely to be able to contribute to the achievement of the project objectives?	Level of progress of indicators of project objectives and results in relation to those expected  Level of logical linkage between project results and impacts Expected	Project documents Project Team Key actors of the project Periodic reports PIR	Documentation analysis, data analysis, interviews
Are the impact level results likely to be achieved, and are they likely to be on a sufficient scale to be considered global environmental benefits?	Environmental Indicators Level of Progress of the Theory of Change	Project documents Project Team Key actors of the project Pir periodic reports	Documentation analysis, data analysis, interviews
Sustainability: To what extent are there financial, institutional, socio-political and/or environmental risks to sustain the results of projects in the long term?			

<p>To what extent are project outcomes likely to depend on continued financial support? What is the likelihood that financial resources will be available once GEF assistance ends to support the continuation of benefits (income-generating activities and trends that may indicate that adequate financial resources are likely to be available to sustain project results)?</p>	<p>Financial requirements for the maintenance of the benefits of project</p> <p>Level of expected financial resources available for maintain the benefits of the project</p> <p>Potential for additional financial resources to maintain and/or continue the benefits of the project</p>	<p>Project documents Project Team Key actors of the project</p>	<p>Analysis of documentation, interviews with the team and the key actors of the project, among others</p>
<p>Are stakeholders likely to have or achieve an adequate level of "ownership" of the results, and is there a commitment and interest in ensuring that the benefits of the project are maintained?</p>	<p>Level of initiative and involvement of relevant stakeholders in project activities and outcomes</p>	<p>Project documents Project Team Key actors of the project</p>	<p>Documentation analysis, interviews</p>

<p>In relation to the commitments assumed by the counterparts: SERNANP, GORE's, among others. What is the level of commitment assumed at the end of the project by each of the beneficiary counterparts of the project, based on the results achieved?</p>	<p>Level of commitment from project counterparts</p>	<p>Project documents Project Team Key actors of the project</p>	<p>Documentation analysis, interviews</p>
<p>To what extent do the results of the project depend on socio-political factors?</p>	<p>Existence of socio-political risks for beneficial projects</p>	<p>Project documents Project Team Key actors of the project</p>	<p>Documentation analysis, interviews</p>
<p>To what extent does the outcome of the project depend on issues in relation to institutional frameworks and governance?</p>	<p>Existence of institutional and governance risks for project benefits</p>	<p>Project documents Project Team Key actors of the project</p>	<p>Documentation analysis, interviews</p>
<p>Are there environmental risks that could undermine the future flow of project impacts and Global Environmental Benefits?</p>	<p>Presence of environmental risks for the benefits of the project</p>	<p>Project documents Project Team Key actors of the project</p>	<p>Documentation analysis, interviews</p>
<p>Do the relevant stakeholders have the technical capacity to ensure that the benefits of the project are maintained?</p>	<p>Level of technical capacity of relevant stakeholders in relation to the level required to sustain the benefits of the project</p>	<p>Project documents Project Team Key actors of the project Available capacity assessments</p>	<p>Documentation analysis, interviews</p>

What are the most important challenges that could hinder the sustainability of project results?	Presence of challenges that may affect the sustainability of the results	Project documentation Project Team Key project actors	Documentation analysis, interviews
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?			
To what extent did the project contribute to gender equality, women's empowerment and to what extent were these approaches incorporated into the project?	Level of progress of the Gender Action Plan  Level of progress on gender-related targets in the project results framework	PRODOC, Report of Project Initiation Reports of similar experiences Key players Periodic reports and PIR.	Documentation analysis interviews
How did the gender results advance or contribute to the results of the project on environment, and/or resilience?	Existence of logical links between gender outcomes and project outcomes and impacts	Project documentation Key players Project Team Periodic reports and PIR.	Documentation analysis, interviews
Impact: Are there indications that the project has contributed to or enabled progress towards reducing environmental stress and/or improving ecological status?			
To what extent did the project contribute to the results of the country programme, the SDGs, the UNDP Strategic Plan and the GEF strategic priorities?	Level of contribution to project results to the country programme, the SDGs, the UNDP Strategic Plan, GEF strategic priorities and the development of national priorities	Review of UNDP strategic documents Interviews with UNDP Officers Periodic reports.	Analysis of documentation and interviews
Did the project contribute to the reduction of environmental stress (e.g. reduction of GHG emissions)?	Level of reduction of environmental stress (GHG emission reductions) attributable to the project	Project documentation Implementing Partner, UNDP Officers and Technical Advisor Undp-GEF Regional and key project actors - Periodic reports and PIR.	Analysis of documentation, data analysis, interviews
Since the project, was there a contribution to changes in policy/legal/regulatory frameworks, including changes observed capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, trust-building and conflict resolution bodies, information exchange systems, etc.)?	Degree of changes in the frameworks of policies/legal/regulators attributable to the project	Project documentation Implementing Partner, UNDP Officers and Technical Advisor Undp-GEF regional and key actors of the Periodic Reports and PIR project.	Documentation analysis, data analysis, interviews
Since the project, was there a contribution to changes in the socio-economic situation (income, health, well-being, etc.)?	Degree of changes in the socio-economic situation (income, health, well-being, etc.) attributable to the project	Project documentation Implementing Partner, UNDP Officers and Technical Advisor Undp-GEF regional and key actors of the Periodic Reports and PIR project.	Documentation analysis, data analysis, interviews
Cross-cutting themes			

<p>To what extent did the project results contribute to climate change adaptation and mitigation?</p>	<p>Positive effects of the project on climate change adaptation and mitigation</p>	<p>Project documentation Key players Project Team Periodic reports and PIR.</p>	<p>Documentation analysis, interviews</p>
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## Annex E: UNEG Code of Conduct

Independence implies the ability to evaluate without undue influence or pressure from either party (including the procurement unit) and provide evaluators with free access to information on the subject matter of the evaluation. Independence provides legitimacy and guarantees an objective perspective of evaluations. An independent evaluation reduces the potential for conflicts of interest that could arise with self-reported qualifications by those involved in the management of the project being evaluated. Independence is one of the ten general principles for evaluations (along with internationally agreed principles, objectives and goals: usefulness, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capabilities and professionalism).

Evaluators/Consultants:	
1.	You must present complete and fair information in your assessment of strengths and weaknesses so that decisions or actions taken are well-founded.
2.	You must disclose the full set of assessment results along with information about its limitations and have this accessible to all those affected by the assessment with expressed legal rights to receive results.
3.	It must protect the anonymity and confidentiality of individual informants. They must provide maximum notice, minimize demands on time, and respect people's right not to participate. Evaluators must respect the right of individuals to provide confidential information, and must ensure that sensitive information cannot be traced back to its origin. Evaluators are not expected to evaluate people, and they must balance an evaluation of management functions with this general principle. 4. Sometimes they uncover evidence of wrongdoing while conducting assessments. Such cases shall be reported discreetly to the relevant investigative body. Evaluators should consult with other relevant supervisory entities when there is any doubt as to whether and how they should be reported.
5.	You must be sensitive to beliefs, manners and customs and act with integrity and honesty in your relationships with all stakeholders. In accordance with the United Nations Universal Declaration of Human Rights, evaluators must be sensitive and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those they come into contact with in the course of the assessment. Knowing that the evaluation could adversely affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the dignity and self-esteem of the stakeholders.
6.	They are responsible for their performance and their products. They are responsible for the clear, accurate and fair presentation, whether written and/or oral, of imitations, findings and study recommendations.
7.	It should reflect sound accounting procedures and be prudent in the use of evaluation resources.
8.	It should ensure that the independence of the trial is maintained and that the results and recommendations of the evaluation are presented independently.
9.	You must confirm that they have not been involved in the design, implementation or advice on the project being evaluated and that they have not carried out the mid-term evaluation of the project.
<p>Evaluation Consultant Agreement Form</p> <p>Agreement to abide by the Code of Conduct for Evaluation in the United Nations System:</p> <p>Evaluator Name: _____</p> <p>Name of Consulting Organization (where applicable): _____</p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Date of signature _____</p> <p>Signature: _____</p>	

### Annex F: TE Rating Scale

Ratings for Results, Effectiveness, Efficiency, M&E, Implementation/Supervision, Execution, Relevance	Sustainability Ratings
<p>6 = Highly Satisfactory (AS): exceeds expectations and/or has no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or minor or no deficiencies</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MI): somewhat below expectations and/or significant deficiencies</p> <p>2 = Unsatisfactory (I): substantially below expectations and/or major deficiencies</p> <p>1 = Highly Unsatisfactory (IA): with serious deficiencies</p> <p>Unable to evaluate (N/E): Available Information does not allow for evaluation</p>	<p>4 = Probable (P): Negligible risks</p> <p>3 = Moderately Probable (MP): moderate risks</p> <p>2 = Moderately Improbable (MI): significant risks</p> <p>1 = Unlikely (I): serious risks</p> <p>Cannot be evaluated (N/E): The expected incidence and magnitude of risks to sustainability cannot be assessed.</p>

## Annex G: TE Report Authorization Form

Terminal evaluation report for (Project Title & PIMS ID UNDP)

Reviewed and authorized by:

Award Unit (M&E Focal Point)

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

\_\_\_\_\_

GEF-UNDP Regional Technical Advisor (Focal Area)

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

\_\_\_\_\_

## Annex H: TE Audit Trail

To comments received on (date) of the Final Evaluation of (project name) (UNDP PIMS Project #)

The following comments were provided to the draft TE report; they are referenced by institution/organization (do not include the name of the commenter) and the comment number of the follow-up change (column "#"):

Institution/ Organization	#	Paragraph/ Location of Comment	Comment/feedback on the draft TE report	Response and actions taken by the evaluator

POSSIBLE LIST OF ACTORS TO INTERVIEW

No.	Actor
1	The National Project Directorate
2	Head of SERNANP
3	Directorate of Strategic Development of SERNANP
4	SERNANP Offices and Operating Units involved in the implementation of the project
5	Coordination of SERNANP's Financial Sustainability Initiative
6	Heads of Natural Protected Areas partners of the project
7	The Executors of the Contract for the Administration of Communal Reserves
8	ANECAP
9	Manu Biosphere Reserve Management Committee
10	Management Committee of the Oxapampa Asháninka Yánesha Biosphere Reserve
11	Management Committees of the 09 ANP
12	Regional Management of NRNN and MA of GORE Cusco
13	Regional Management of NRNN and MA of GORE Pasco
14	Regional Environmental Authority of Ucayali
15	Regional Management of NRNN and MA of GORE Huánuco
16	District Municipalities of Puerto Bermúdez, Villa Rica, Huancabamba and Palcazú
17	Provincial Municipality of Oxapampa
18	National University of San Antonio Abad del Cusco
19	Federations: URPIA, ANAP and FECONAYA
20	Producer Associations
21	Yurúa Conservation Association
22	Institute of the Common Good
23	ACCA
24	ProPurús
25	Pronature
26	San Diego Zoo
27	Rainforest Alliance

28	AFAPROCAP
29	The Project Team
30	The Project Board of Directors
31	Project design team
32	UNDP, Gender and Interculturality Specialist
33	UNDP, Technical Advisor/James Lesli
34	UNDP, M&E/Maria Cebrian Specialist
35	UNDP procurement staff
36	GEF Agrobiodiversity Project
37	Sustainable Productive Landscapes Project/Diana Rivera
38	EBA Amazonia/Carlos Hernandez Project

## Annex 2: Project Results Matrix

## VI. Project Results Framework

**The Project contributes to the following Sustainable Development Goals:**

SDG 1: End poverty in all its forms worldwide

SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable

SDG13: Take urgent action to combat climate change and its effects

SDG 15: Protect, restore and promote the sustainable use of terrestrial ecosystems, achieve sustainable forest management, combat desertification, halt and reverse land degradation and halt biodiversity loss

**This Project will contribute to the following country outcome included in the UNDAF/Country Programme Document:**

Result 4. The State, with the participation of civil society, the private sector, academic and scientific institutions will have designed, implemented and / or strengthened policies, programs and plans with a focus on environmental sustainability, for the sustainable management of natural resources and the conservation of biodiversity.

**The Project is linked to the following output of the UNDP Strategic Plan:**

Output 1.3: Solutions developed at national and subnational levels for the sustainable management of natural resources, ecosystem services, chemicals and waste.

	Indicators	Baseline	Midterm goal	Goal at the End of the Project	Assumptions
<b>Project Objective:</b> <b>Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.</b> <sup>48</sup>	IRRF Indicator 1: # of new collaboration mechanisms with budget for the sustainable management of natural resources, ecosystem services, chemicals and waste at the national and/or subnational level; disaggregated by type of alliance.	Key stakeholders identified in the selected lomas  There are scattered/separate conservation and/or conservation efforts restoration	Each actor fulfills his role and responsibilities in the restoration and conservation of lomas	1 Inter-institutional alliance for the Conservation of Lomas with articulated and functioning roles and responsibilities	Political will, interest and the active participation of public and private sector actors, as well as civil society.
	IRRF Indicator 2: # of jobs and livelihoods created through the management of natural resources, ecosystem services, chemicals and waste; disaggregated by sex and urban and rural area.	To be determined in Year 1	To be determined in Year 1	To be determined in Year 1	Interest and commitment of producers to adopt sustainable practices.

<sup>48</sup>For 2012 the Organic Law of Governments Regional and as of 2003 the Organic Law of Municipalities, the Metropolitan Municipality of Lima-MLM) is the regional and provincial government of the province of Lima. As such, to avoid confusion to the reader, this document refers to the Municipality of Lima.

					Interest of local stakeholders to link in tourism activities. Interest of local and foreign tourists in visiting the lomas.
	<u>Mandatory indicator 3: # direct beneficiaries of the project:</u> <sup>49</sup> - Ecosystem restoration - Livestock/sustainable agriculture - Sustainable tourism services	- 0: ecosystem restoration - 0: livestock/sustainable agriculture - 310: sustainable tourism services	- 21,000: restored ecosystems - 25: livestock/sustainable agriculture - 310: sustainable tourism services strengthened and providing better quality of services	- 42,000: restored ecosystems - 50: sustainable agriculture/livestock - 610: sustainable tourism services strengthened and better quality systems come	Interest and commitment of producers to adopt sustainable practices. Interest of local stakeholders to link in tourist activities. Interest of local and foreign tourists in visiting the lomas.
	Indicator 4: Capacity level of sustainable management of hill ecosystems (measured by the UNDP Capacity Development Scorecard, with emphasis on Indicator #2 "existence of operational co-management mechanisms" and #9 "Degree of the environmental planning and strategy development process)	Total: 19.5 I2:1 I9:1	Total: 22 I2:2 I9:2	Total: 25.5 I2:3 I9:3	Political will and commitment of local governments, civil society and SERNANP. Commitment of local stakeholders with the conservation of selected areas.
<b>Result 1 Conservation of hill ecosystems</b>	Indicator 5: # hectares protected through the creation of Lomas Regional Conservation Areas (or other figure, modality/institutionalized option of effective management) with income stream	0  TT score: - 16 (ACR) - 9 (ACP)	10,540 (corresponding to the planned RCA for Group 1 of Lomas)	21,000 (corresponding to the Group 1 + Group 2 RCA comprised of lomas in the south preserved via private	Political will and commitment of local government authorities, civil society and SERNANP

<sup>49</sup> The Project considers beneficiaries direct to people living in the areas of amortiguamiento of the lomas and participate actively of the activities of the Project, while beneficiaries Indirect are the human settlements that are located near the lomas, which would benefit from improvements in basic services designed to serve visitors to the lomas (i.e., by improving sanitation infrastructure for visitors the overall environment of nearby settlements is improved).

	from the selected lomas (measured by the GEF monitoring instrument for BD)			AC or other modality for private property) TT score: - 70 (ACR) - 70 (ACP)	Commitment of local stakeholders with the conservation of selected areas.
	Indicator 6: % hill ecosystems impacted by activities and pressures originating in buffer zones	- 30-45% Lomas del Norte - 10-20% Lomas del Sur	- 20% Reduction of degradation of Lomas del Norte - 10% Reduction in Lomas del Sur	- 50% Reduction of degradation of Lomas del Norte - 50% Reduction of degradation of Lomas del Sur	Local stakeholders adopt sustainable practices promoted in the other components and comply with the legal framework to regulate the use of resources in hill buffer zones.
	Indicator 7: # hill sites included in the DATABASE inventory with detailed studies and characterization of biodiversity in Lomas ecosystems and potential use.	10 sites have general information	14 with detailed characterization (6 of the ACR Group 1; 8 of the AC Group 2)	14 with detailed characterization (6 of the ACR Group 1; 8 of the AC Group 2)	Established collaboration mechanisms and interest of academic institutions in collaborating with the detailed characterization of the selected lomas.
<b>Result 2 Land use management tools</b>	Indicator 8: # of planning instruments for hill ecosystems established in a participatory manner	0 Conservation Strategy for Lomas de Lima (Metropolitan Environmental Agenda 2015-17 includes strategic action 2.2.4 that establishes the need for MLM to work on lomas)	1 draft of the Lomas Conservation Strategy	1 Strategy for Lomas Conservation	Political will of local stakeholders.
	Indicator 9: # of local governments that include biodiversity and conservation of hill ecosystems, and integrated natural resource management (INRM) criteria in their management policies, including land use zoning.	3 Local Governments (Villa María del Triunfo, Comas and Carabayllo already have local ordinances but without the resources or roadmap to implement them properly to properly	9 Local governments have developed ordinances with criteria of ecosystem conservation and Integrated Management of Natural Resources (INRM) in a	9 Local governments implement integrated land management tools (1 provincial and 8 district)	Political will and commitment of local governments to adopt integrated land management tools for lomas and allocation of resources for their implementation.

		implement them for the conservation of BD and ecosystem services) Local governments also have a Concerted Development Plan	participatory and gender-sensitive manner.		
	Indicator 10: # of public partnerships implemented for the management of lomas	6 alliances: - 5 APP of ecotourism services in Lomas - 1 Private Protected Area	6 existing partnerships evaluated and strengthened	8 recognized alliances	Local governments officially recognize management committees established through public-private partnerships.
<b>Result 3 Economic diversification and low-impact land use</b>	Indicator 11: # of hectares of degraded lomas reforested with native species	3 hectares reforested	500 ha Here it was changed to 50 Ha +450 for public-private partnerships (May 2018)	1000 ha Here it was exchanged for 100 Ha + 900 for public-private partnerships (May 2018)	Commitment of local actors to get involved in the work of restoration activities, for example, establishing nurseries of native species, participating in reforestation and monitoring of restored areas. Nurseries successfully reproduce and native forest species grow.
	Indicator 12: # of hectares/areas where friendly models of hill production are executed: - Sustainable livestock - Low-impact mining	- 1,597 ha of sustainable agriculture - 0 sites with low-impact mining	- 5,343 ha sustainable agriculture - 2 low-impact mining sites	- 10,686 ha Sustainable livestock - 4 sites with low-impact mining:	Interest and commitment of producers to adopt sustainable practices.
	Indicator 13: Increase in tourist activity in the selected hill sites, measured by: - # of public and/or private projects investing in the improvement of tourism services (including the strategy for	- 0 Investment projects - 21,000 visitors in 2015 - 310 direct beneficiaries	- 3 investment projects - 10% annual increase in visitors - 310 strengthened direct beneficiaries	- 6 investment projects - 20% annual increase in visitors - 610 direct beneficiaries	Interest of local stakeholders to link with tourism activities.

	<p>proper waste management) generated during the project</p> <ul style="list-style-type: none"> <li>- # of visitors to the sites of Lomas</li> <li>- # of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender</li> <li>- \$ generated by tourism activities (differentiating the income generated for men and women and by type of income)</li> </ul>	<ul style="list-style-type: none"> <li>- \$23,000 (78,000 soles) generated (50-100% reinvested in infrastructure maintenance)</li> </ul>	<ul style="list-style-type: none"> <li>- 10% increase in revenue generated</li> </ul>	<ul style="list-style-type: none"> <li>- 20% increase in revenue generated</li> </ul>	<p>Interest of local and foreign tourists to visit the lomas.</p>
<b>Result 4 Knowledge Management and M&amp;E</b>	<p>Indicator 14: # of permanent monitoring systems established through partnerships with local authorities, NGOs and universities, to monitor the presence of endemic flora, as well as the annual population of migratory birds</p>	<p>0 systems 9 individual fact sheets of the flora and fauna of lomas (SERFOR). -Baseline of indicators of BD species, to be determined in Year1</p>	<p>-1 monitoring system with information from 6 permanent monitoring sites -Indicators of biodiversity of species are maintained or increased</p>	<p>-1 monitoring system with information from 14 permanent monitoring sites -Indicators of biodiversity of species are maintained or increased</p>	<p>Interest and active participation of stakeholders from the public and private sectors, as well as civil society. Availability of a standard guide for the collection of data on the state of hill ecosystems.</p>
	<p>Indicator 15: Communication and citizen mobilization strategy with a gender and youth approach:</p> <ul style="list-style-type: none"> <li>- # of schools involved in conservation activities (adopting a tree, photo monitoring of species, etc.)</li> <li>- # organized groups that are active (identifying the role of men and women in each identified group)</li> <li>- # events (communal cleanup, reforestation campaigns, parades)</li> </ul>	<p>(2) Schools (5) Groups (1) Events</p>	<p>(30) Schools (7) Groups (3) Events</p>	<p>(60) Schools (14) Groups (6) Events</p>	<p>Interest and active participation of stakeholders from the public and private sectors, as well as civil society.</p>

## Annex 3: Final Evaluation Questions Matrix

Evaluation Criteria	Questions	Indicators	Sources
<p><b>Relevance</b> The extent to which an activity is adapted to local and national development priorities and organizational policies, including changes over time. The extent to which the project is in accordance with GEF operational programmes or the strategic priorities on which the project was funded. <u>Note:</u> In retrospect, the question of relevance often becomes a question about whether the goals of an intervention or its design are still adequate given changes in circumstances.</p>	How is the project located in the national priorities and the regions and municipalities where it is implemented?	i) Budget allocated by project partners for project-related activities; (ii) inclusion of the project theme in regional and municipal priorities; (iii) improvement of biodiversity monitoring data in the Lomas de Lima, improvement in ACR, ACC and ACP management plans.	Work plans SERNANP, MINAM, SERFOR and other project partners, budgets, interviews, regional documents and policies, minutes meetings Steering Committee.
	The project is aligned with the priorities of UNDP Peru and the GEF.	i) FMAM-5 operational planes targets; ii) UNDP-Peru country programme targets 2018-2021; iii) UNDAF Targets 2018-2021; (i v) UNDP corporate targets 2018-2021.	UNDP and UNDAF Peru work plans, budgets, interviews, national documents and policies, minutes, meetings and development reports.
	Is the project important for municipalities or provinces?	i) N° activities related to ACR, ACP and ACC by the project and supported by the gore, districts, municipalities and regional public bodies.	Work plans, budgets, interviews, regional and local documents and policies, minutes of meetings.
	How does the project fit into the priorities and activities of local beneficiaries?	i) AP management plans for local communities; ii) investments in conservation activities and sustainable tourism;iii) Number of ordinances for ACC.	Work plans and communal budgets and interviews, local documents and policies, minutes meetings.
	How did beneficiaries and key stakeholders participate in the design and implementation stage of the project? Were local priorities included?	i) N° consultations made; (ii) N° adjustments to the project resulting from the consultations; (iii) ownership of actors to the objectives of the project at national, regional and local level.	i) Project preparation documents; (ii) interviews; (iii) Regional, territorial and local development policy documents.
	Does the project take into account national realities (policy framework and institutional framework) in both its design and implementation?	i) Degree in which the project supports the management of PA, generation of management plans and technical standards and regulations for ACR and ACP; ii) Plans and programs of MINAM, SERNANP, MINEM, MEF and other partners; iii) Government policies and programmes for the articulation of territorial support or the integration of financial instruments and management plans for ACRs and ACPs; iv) Appreciation of key stakeholders regarding the level of adequacy of project design and implementation to existing national, local realities and capacities;	i) Government program 2018-2021; ii) Project documents; iii) Interviews with key project partners and stakeholders; iv) Plans, goals and budgets SERNANP, MINAM, MEF and other partners

Evaluation Criteria	Questions	Indicators	Sources
	<p>Are the objectives, results, outputs and activities still valid, given the current implementation context of the project?</p>	<p>v) Coherence between the needs expressed by national stakeholders and targets of the UNDP-GEF project;</p> <p>vi) Level of involvement of government officials, government entities, districts, municipalities and other partners in the project design process.</p> <p>i) Current environmental policy documents of MINAM, SERNANP, MINEM, MEF and beneficiaries among others; ii) elaboration of regulations related to the design, implementation and monitoring of ACR and ACP, iii) there are goals and lines of the national and institutional budget with criteria for the management and maintenance of ACR, biodiversity and Climate Change within MINAM, ERNANP and MEF; iv) N° communities or local organizations using implementing ACR and ACP; (vi) No local municipalities that have incorporated ordinances on zoning, ACR.</p>	<p>Work plans, budgets, interviews, local policy documents, minutes of meetings.</p>
<p><b><u>Effectiveness:</u></b> The extent to which a goal was achieved or the likelihood that it will be achieved.</p>	<p>Are there logical links between the expected results of the project and the project design (in terms of project components, choice of partners, structure, implementation mechanisms, scope, budget, resource use, etc.)?</p> <p>What would be the additional contribution of the project to the improvement activities in the management of the ACRs and ACP and sustainable productive activities within the intervened areas?</p> <p>Are education and awareness of sustainable practices within PAs a priority for actors, especially in areas where pilot projects and PAs are implemented?</p>	<p>i) Level of coherence between the expected results and the design of the internal logic of the project;</p> <p>ii) type of indicators to measure program success (SMART);</p> <p>iii) analysis of key actors;</p> <p>iv) Level of coherence between the expected results and the area covered by the selected actors;</p> <p>v) Increase in the number of ACRs, ACPs in the sectors covered by the project.</p> <p>i) Additional budget for PA management activities, technical support and capacity building; (ii) inclusion of project themes in local priorities of districts, municipalities, businesses and communities; iii) inclusion of techniques to verify improvements in management, maintenance and regulations to improve PAs at the national and regional level.</p>	<p>Project documents, key project stakeholders, annual reports and budgets, mid-term evaluation.</p> <p>Work plans, annual budgets, interviews, local documents and policies, minutes of meetings.</p>

Evaluation Criteria	Questions	Indicators	Sources
	Is there an observable improvement in the quality of biodiversity in the sectors involved?		
	Have the means of monitoring biodiversity improved in the areas of intervention of the project, especially where trainings and pilot projects are carried out?	i) Existence of coordinated strategies and actions to monitor biodiversity in the areas of intervention; ii) Level of participation in the project of the regions and regional offices of SERNANP and MINAM in the areas of intervention of the project; (iii) monitoring plans for approved ACRs and ACPs; (iv) improved management plans and financing mechanisms for new ACRs and ACPs.	Work plans, annual budgets, interviews, documents and policies, minutes meetings.
	To what extent are the objectives of the project, both national, regional and local, being met?	i) Involvement of actors in national strategies for the implementation of ACRs and ACP in the different areas of intervention with regional/municipal implementation; (ii) existence of national/regional master plans for ACRs; (iii) increased use and infrastructure for tourism and sustainable production activities; (iv) new equipment and processes for monitoring and auditing ACRs and ACPs.	Annual reports, activities, interviews.
	Was it possible to involve the relevant authorities and actors, both at national, regional and local level, to establish a management system for ACRs and ACPs and their follow-up? Has the training strengthened control and policy-making bodies, regulations and technical standards?	i) N° contacts national and local authorities; (ii) N° regional/local land use and zoning plans; (ii) the amount of resources allocated by actors to development and monitoring activities for ACRs and ACPs; (iii) No new ACRs and ACPs; (iv) Number of trainings for national and local actors	Reports, interviews, regional and local plans.

Evaluation Criteria	Questions	Indicators	Sources
	Was it possible to identify the needs for change/introduction of new regulations that facilitate the elimination of barriers to make an effective management of the ACR and ACP in the Lomas de Lima?	i) N° studies on institutional, technical and economic barriers and viable alternatives for PA management in Lomas de Lima; ii) N° agreements between authorities and relevant actors to promote and implement new measures and instruments; iii) N° draft regulations in process or identified to promote sustainable management and uses of the Lomas de Lima, iv) elimination of overlapping competences between different agencies and development of effective and permanent articulation mechanisms between government institutions and citizen organizations and the private sector.	Reports, studies, interviews, regional and national plans.
	It has been possible to incorporate women, youth and indigenous communities in activities specially designed for these groups	i) N° workshops and consultations with specific groups for the design of activities; ii) Percentage of projects and activities that are led by women, youth and indigenous people, iii) Gender inclusion strategies with their respective indicators and expected results.	Consulting reports, institutional and project plans and programs.
<b>Efficiency:</b> Is the project being implemented efficiently in accordance with international and national norms and standards?	Annual work plans in line with project resources and objectives?	iv) Plans and budgets according to expected results.	Annual plans, budgets, interviews.
	Were adjustments made to deal with different situations (adaptive management)?	i) Plans and budgets according to expected results	Annual plans, minutes, meetings, reports, mid-term evaluation, budgets, interviews, substantive review, risk analysis, PIR.
	Was an activity monitoring and evaluation system implemented?	i) N° indicators, ii) targets; (iii) No adjustments made; (iv) Number of meetings and strategic decisions taken by the Project Steering Committee; (v) elaborated monitoring plans.	Annual plans, reports, interviews.
	Were the activities, outputs and results carried out as planned?	i) N° activities; (ii) % progress; ii) Number of key actors involved in the project.	Annual plans, reports, interviews.

Evaluation Criteria	Questions	Indicators	Sources
	How were the risks and assumptions of the project managed?; What has been the quality of the mitigation strategies developed?	<ul style="list-style-type: none"> <li>i) Integrity of the identification of risks and assumptions during project planning and design;</li> <li>ii) Quality of information systems established to identify emerging risks.</li> </ul>	Project documents; quarterly and annual progress reports; project team, UNDP and key stakeholders.
	Was it possible to gather counterpart and/or additional resources for the objectives of the project?	<ul style="list-style-type: none"> <li>iii) Amount of resources allocated by project partners;</li> <li>iv) Level of involvement of project partners.</li> <li>v) Existence of budget items for complementary/project-related activities in partner organisations.</li> </ul>	Annual plans of the project and its partners incorporating resources into the project, budgets, reports of expenses in cash and in kind by the project partners, interviews, annual audits.
	What other projects with national and/or international funding are being executed in the same territories of EbA Lomas and how are they linked to it?	<ul style="list-style-type: none"> <li>i) Number and name of projects identified with national and/or international funding and;</li> <li>ii) Number of coordination actions established between the EbA-Lomas project and other complementary projects.</li> </ul>	Project progress reports, annual work plans, reported budgets and interviews with the project team and UNDP and stakeholders.
<p><b><u>Results:</u></b> The positive and negative, foreseen and unforeseen changes and the effects produced by a development intervention. In GEF terms, the results include the direct performance of the project, from short to medium term, and the longer-term impact that includes global environmental benefits, repeat effects and other local effects.</p>	The project is triggering and/or influencing management activities in ACRs and ACP?;	<ul style="list-style-type: none"> <li>i) N° financial instruments under implementation; (ii) Number of beneficiaries of financial instruments; (iii) No new ACRs, ACPs and sustainable management practices introduced; (iii) Number of institutional agreements to implement new ACP and PCA in Lomas de Lima; iv) amount of training to communities, municipal and regional employees on these new practices.</li> </ul>	Annual plans, budgets, reports, interviews.
	To what extent are the negative impacts of economic activities on hill ecosystems being minimized?	<ul style="list-style-type: none"> <li>i) Number and effectiveness of activities promoted by ACRs and ACPs;</li> <li>ii) number and effectiveness of activities that have led to land use planning and zoning in the Lomas de Lima; and</li> <li>iii) Number and effectiveness of advocacy activities that helped community, municipal and private actors to accept and implement new management plans in the areas of intervention</li> </ul>	Project progress reports, annual work plans, reported budgets and interviews with the project and UNDP team and project beneficiaries (e.g. trained national and regional authorities, collaboration with universities).

Evaluation Criteria	Questions	Indicators	Sources
	<p>Have it been possible to establish permanent networks for the exchange of experiences between the actors of the project?</p> <p>Has it been possible to sensitize national, regional and local actors to the effect of global environmental problems on their direct environment?</p>	<ul style="list-style-type: none"> <li>i) Number of stable coordination bodies between actors;</li> <li>ii) Number of training workshops conducted;</li> <li>iii) Number of practices implemented thanks to this exchange</li> </ul>	<p>Annual plans, budgets, reports, interviews, training reports, minutes of community meetings</p>
	<p>Has it been possible to verify the improvement of capacities to improve management in the Lomas de Lima area?</p>	<ul style="list-style-type: none"> <li>i) N° trainings carried out;</li> <li>ii) Number of public and private bodies with improved capacities</li> <li>iii) N° public institutions with responsibilities in monitoring, control strengthened.</li> </ul>	<p>Annual plans, budgets, reports, interviews, training reports</p>
	<p>Has a response – even if partial – been achieved to the specific needs and aspirations of women within the actors involved?</p>	<ul style="list-style-type: none"> <li>i) Consultations with women during the process of developing and implementing community plans and programmes;</li> <li>ii) Number of community management plans including aspirations of women and other vulnerable groups;</li> <li>iii) Change in the perception of women's role before and after the program</li> <li>iv) N° of studies carried out</li> </ul>	<p>Project work plans, progress reports, consultancy reports, interviews with communities and specifically women.</p>
	<p>Has a response – even if partial – been achieved to the specific needs and aspirations of indigenous communities?</p>	<ul style="list-style-type: none"> <li>i) Indigenous consultations during the project development and implementation process;</li> <li>ii) Number of plans including aspirations of indigenous communities and other vulnerable groups;</li> <li>iii) Change in the perception of the role of indigenous communities before and after the programme</li> <li>iv) N° of studies carried out</li> </ul>	<p>Project work plans, progress reports, consultancy reports, community interviews</p>
<p><b><u>Sustainability:</u></b> The likely ability for an intervention to continue to deliver benefits for a period after its completion. The project must be environmentally, financially and socially sustainable.</p>	<p>What are the most important challenges that could hinder the sustainability of project results?</p>	<ul style="list-style-type: none"> <li>i) Number of medium- and long-term activities related to the project objectives.</li> <li>ii) Number of stakeholders from the public and private sectors willing to continue management improvement actions and new PCAs and ACPs in the Lomas de Lima.</li> </ul>	<p>Policies/laws, annual plans for public and private organizations, budgets, reports, interviews</p>

Evaluation Criteria	Questions	Indicators	Sources
	Will relevant authorities and actors at the national and regional levels be able to continue implementing activities when the project is completed?	<ul style="list-style-type: none"> <li>v) Number of plans to identify opportunities for sustainable management of the Lomas de Lima in the medium and long term;</li> <li>vi) amount of permanent human and financial resources for training, planning, identification and monitoring of planning, control and management actions of the Lomas de Lima by national, regional authorities and companies;</li> <li>vii) budgets related to technical and financial support for local protected area management programs</li> </ul>	Policies/laws, annual plans, budgets, reports, interviews.
	Are relevant authorities and actors at the national, regional, district and local levels acquiring the skills and knowledge to manage and maintain a system of protected areas for the Lomas de Lima?	<ul style="list-style-type: none"> <li>i) N° trainings carried out;</li> <li>ii) N° medium and long-term plans</li> </ul>	Annual plans, budgets, reports, interviews.
	Are there any impediments to the continuity of the participation of women and indigenous people in the identification and implementation of management measures in the ACRs and ACPs?	<ul style="list-style-type: none"> <li>i) Number of women-led organizations;</li> <li>ii) Number of community organizations with permanent funding for management and training activities.</li> <li>iii) Number of women participating in community organizations at all levels of the Lomas de Lima system.</li> </ul>	Project progress reports, institutional support plans, projects presented by communities.
	To what extent are project outcomes likely to depend on continued financial support?	<ul style="list-style-type: none"> <li>i) N° of management activities with own resources.</li> <li>ii) Biodiversity monitoring, reports to the biodiversity convention with stable budgets for operation and updating.</li> </ul>	Annual plans, budgets, reports, interviews.
	Are there social, political, economic or technical factors that prevent the formulation of plans, policies and regulations and the maintenance of financing instruments to improve the management and status of biodiversity in the Lomas de Lima?	<ul style="list-style-type: none"> <li>iii) Number of agreements and/or cooperation between social and business actors; (ii) amount of resources allocated to the subject (human and financial); (iii) N° medium- and long-term institutional plans; (iv) long-term financing plans for ACRs and ACPs.</li> </ul>	Annual plans, budgets, reports, interviews.
	Are stakeholders likely to have or achieve an adequate level of "ownership" of the results, and is there a commitment and interest in	<ul style="list-style-type: none"> <li>iv) Number of agreements and/or cooperation between social, district and local actors and SERNANP and MINAM; (ii) amount of resources allocated to the subject by related</li> </ul>	Annual plans, budgets, reports, interviews.

Evaluation Criteria	Questions	Indicators	Sources
	ensuring that the benefits of the project are maintained?	communities and government entities (human and financial); (iii) N° medium and long-term institutional plans.	



## Annex 4: List of revised documents

**Project** Conservation, management and rehabilitation of the fragile ecosystems of Lomas in Lima (EbA-Lomas)

**Country** Peru

**Date** 20-10-2021

<i>Document</i>	<i>Guy</i>	<i>Comment</i>
Prodoc	prodoc	
Prodoc authorized and signed by the CEO of the GEF	Endorsement letter	
PIR/APR	Reports	
GEF tracking tools	Reports	all (initial, intermediate)
Core Indicators	Reports	all (initial, intermediate)
Annual project reports	Reports	internal and external
POAs	Reports	All
Annual budgets	Financial	All
CDR	Financial	All
UNDP ATLAS expenditures in excel	Financial	from the beginning of the project to date
Co-financing reports	Financial	from the beginning of the project
Audit reports	Financial	All
ToR	Strategy	(i) For the main products or those that mean about 25-30% of the budget; (ii) For the project implementation team; iii) current implementation organization chart
UNDP country programme	Strategy	2018-2021?
UNDAF	Strategy	2018-2021?
Country's development strategy, biodiversity protection and development of ACRs and ACP	Strategy	2018-2021?
Minutes of the Steering Committee	Strategy	all (if applicable)
Technical Committee Reports?	Strategy	all, are there meeting minutes?
Peer reviews reports or validation processes of main products (if applicable)	Reports	all
Technical reports all products	Reports	all
Minutes meetings with partners and beneficiaries	Reports	all (if applicable)
Table with main milestones of the project List of members of the executing team, main functions and organizational chart)	Reports	board

## Annex 5: List of interviewees

	NAME	POSITION/INSTITUTION	TELEPHONE	EMAIL
1	Mr. Benjamin Lau	Technical Advisor and Chairman of the Steering Committee, SERNANP	968218580	<a href="mailto:blau@sernanp.gob.pe">blau@sernanp.gob.pe</a>
2	Eng. Marcos Pastor Rozas	National Director of the EbA Lomas Project - SERNANP	964258742	<a href="mailto:mpastor@sernanp.gob.pe">mpastor@sernanp.gob.pe</a>
	Ing. Jessica Oliveros	National Alternate Director of the EbA Lomas Project - SERNANP	968218581	<a href="mailto:joliveros@sernanp.gob.pe">joliveros@sernanp.gob.pe</a>
3	Eng. Gabriel Quijandría	Former Minister of the Ministry of Environment		<a href="mailto:gabriel.QUIJANDRIA@iucn.org">gabriel.QUIJANDRIA@iucn.org</a>
4	Jorman Cabello,	President, Make Your World Green.	977694111	<a href="mailto:jormanalonso.c.a@gmail.com">jormanalonso.c.a@gmail.com</a>
5	Mr. Ascencio Vásquez	President of the Lomas del Peru Network.	976072529	<a href="mailto:avguila2376@hotmail.com">avguila2376@hotmail.com</a>
6	Ms. Yovita Barzola	President, Mangomarca Association.	983552000	<a href="mailto:mariadelosangeless@gmail.com">mariadelosangeless@gmail.com</a>
7	Mr. Noe Neira,	President, Ecotourism Circuit of Lomas de Paraiso.	990520062	<a href="mailto:noeneira@hotmail.com">noeneira@hotmail.com</a>
8	Francis Moreno Fuertes, Enma Fuertes,	Peasant Community of Jicamarca.	980601078	<a href="mailto:fransis.moreno@gmail.com">fransis.moreno@gmail.com</a>
9	Samuel YañezLomas of Carabayllo	CIDAP	987644448	<a href="mailto:sareyato@yahoo.com">sareyato@yahoo.com</a>
10	Daniel Abanto	Cost-Benefit Consultant	997094934	<a href="mailto:abantoqde@gmail.com">abantoqde@gmail.com</a>
11	Ms. Sandra Rospigliosi,	Educational Guide Consultant	999 290 297	<a href="mailto:srospigliosin@gmail.com">srospigliosin@gmail.com</a>
12	Karina Castaneda	Research and Institutional Relations Area INNOVA - PUCP	999044899	<a href="mailto:kcastaneda@pucp.edu.pe">kcastaneda@pucp.edu.pe</a>
13	Miss Pamela Bravo	Metropolitan Municipality of Lima, deputy manager of City Services and Environmental Management	994745872	<a href="mailto:pamela.bravo@munlima.gob.pe">pamela.bravo@munlima.gob.pe</a>
14	Mr. Vianca Madrid	Deputy Manager of Natural Resources Program Regional Government of Metropolitan Lima	998882550	<a href="mailto:vianca.madrid@pgrlm.gob.pe">vianca.madrid@pgrlm.gob.pe</a>
15	Jean Rivas	Area Services to the City and Environment, Punta Hermosa Municipality	955446868	<a href="mailto:jrleon992@gmail.com">jrleon992@gmail.com</a>

	<b>NAME</b>	<b>POSITION/INSTITUTION</b>	<b>TELEPHONE</b>	<b>EMAIL</b>
16	Gianfranco Perez,	Sub-management of Tourism, Municipality of San Bartolo.	986459011	<a href="mailto:clio_gianfranco@hotmail.com">clio_gianfranco@hotmail.com</a>
17	Aldo Saavedra	DESERT Expedition Manager	965336636	<a href="mailto:aldo.saavedra.romero@gmail.com">aldo.saavedra.romero@gmail.com</a>
18	Mr. James Leslie,	Technical Advisor on Ecosystems and Climate Change, UNDP	989254290	<a href="mailto:james.leslie@undp.org">james.leslie@undp.org</a>
19	Juan Neira	sub-management of green areas Municipality of Independencia	991 998 420	<a href="mailto:juanfraneira@gmail.com">juanfraneira@gmail.com</a>
20	Renzo Castagnino	UNACEM Legal Advisor	938263442	<a href="mailto:renzo.castagnino@unacem.com.pe">renzo.castagnino@unacem.com.pe</a>
21	Martha Cuba	Director of the Office of Cooperation and International Affairs		<a href="mailto:mcuba@minam.gob.pe">mcuba@minam.gob.pe</a>
22	Bilberto Zavala	Head of Heritage and Geotourism Project DGAR-INGEMMET		<a href="mailto:bzavala@ingemmet.gob.pe">bzavala@ingemmet.gob.pe</a>

## Annex 6: Evaluation Agenda

## Tentative Agenda

<i>Date</i>	<i>Actor</i>	<i>Duration</i>	<i>Topics to be discussed</i>
	UNDP Resident Representative Meeting (if applicable)	0.5 hr	<i>Explanation of the evaluation process and its agenda, what is intended to be done, specific issues that UNDP would like to highlight.</i>
Day 1: Morning	Implementing team, UNDP, DNP, other actors that are considered important to participate.	1 hr	Opening meeting. Discussion of the main points that will be covered in the evaluation, agenda adjustments, methodology, expectations, etc.
	UNDP: industry and M&E specialist	1-1,5 hr	UNDP role in project; support provided, challenges, pending actions to ensure sustainability of results.
	UNDP: Financial and Management Specialist	1hr	Tenderproposals, studies, expenses, main situations of the project. M&E System.
	UNDP Panama RTA	1 hr	Role of the RTA in the project; support provided, expectations about the evaluation, main situations of the project. M&E System.
Day 1: Afternoon	Project Execution Team	All afternoon	<p>Detailed presentation by the project team on:</p> <ul style="list-style-type: none"> <li>i) Internal institutional organization and main units of SERNANP.</li> <li>ii) level of inter-agency coordination,</li> <li>iii) each result and product;</li> <li>iv) relevant situations presented in the execution;</li> <li>v) monitoring and evaluation system implemented.</li> <li>vi) adaptive management and corrective measures implemented;</li> <li>vii) Mid-term evaluation, changes to the logical framework or goals.</li> <li>viii) procurement process,</li> <li>ix) execution of expenditure</li> <li>x) co-financing status;</li> <li>xi) projections for the sustainability of results obtained to date;</li> <li>xii) mainstreaming (gender, indigenous peoples),</li> <li>xiii) analysis of project indicators and level of progress towards its achievement.</li> <li>xiv) Logical Framework and ToC Analysis</li> <li>xv) Logres obtained to date.</li> <li>xvi) Pending actions to ensure sustainability of results.</li> </ul>
Day 2	Project Execution Team	All day	Continuation of the previous day and conclusions

Day 3 Morning: Interviews with key actors in public institutions	Punto Focal GEF	1 hr	<ul style="list-style-type: none"> <li>i) Briefing on the objective of the evaluation and activities to be carried out.</li> <li>ii) Role of the focal point in the project; support provided, expectations of the evaluation, main situations of the project.</li> <li>iii) M&amp;E system.</li> <li>iv) Alignment of the project with geF targets, the convention on biological diversity and other country obligations</li> <li>v) complementarity with other national and regional GEF initiatives;</li> <li>vi) Steering Committee role;</li> <li>vii) current project implementation status, lessons learned and sustainability perspectives</li> </ul>
	National Project Director	1 hr	<ul style="list-style-type: none"> <li>i) Explanation of the evaluation process and discussion of topics that the director wishes to raise.</li> <li>ii) Complementarity and alignment of the project with other initiatives of SERNANP, MINAM and other national and regional policies;</li> <li>iii) Challenges on regulations and other instruments for project achievements and meeting targets for the establishment in declaration of new ACRs;</li> <li>iv) Current situation of project implementation and sustainability perspectives;</li> <li>v) Coordination of the project with instances of SERNANP, MINAM, MINEM, MML, district municipalities and other institutional actors to promote regulatory changes and involve other national and departmental authorities.</li> <li>vi) Rol of the steering committee in the direction of the project;</li> </ul>
	High-level official of SERNANP	0.5 hr	Briefing on the objective of the evaluation and activities to be carried out during the mission.
Day 3 Afternoon: Interviews with key actors in public institutions	High-level official of MINAM	0.5 hr	<p>Briefing on the objective of the evaluation and activities to be carried out during the mission.</p> <p>Coordination with MINAM in territorial planning</p>
	MINAM: Directorate- General for Biological Diversity	1.0 hr	<ul style="list-style-type: none"> <li>i) Knowledge of the project;</li> <li>ii) role of the project steering committee,</li> <li>iii) Role with regional governments and municipalities</li> <li>iv) areas of cooperation between management and the project;</li> <li>v) main challenges encountered;</li> <li>vi) alignment of the project with management priorities, specifically in the implementation of ACRs and their financial mechanisms;</li> <li>vii) sustainability of the project;</li> </ul>

	MML: Some direction involved with ACRs	1.0 hr	(i) Knowledge of the project; ii) role of the project steering committee (iii) areas of cooperation between the MML and the project; (iv) main challenges encountered; (v) alignment of the project with the priorities of the MML, specifically in the management of ACRs; (vi) sustainability of the project; (vii) prospects for the implementation of new rules and mechanisms for managing and financing ACRs; (viii) Other cooperation required from the project (ix) Cooperation with other institutions and actors
	MINEM: Mining concessions in lomas	1.0 hr	(i) Knowledge of the project; (ii) areas of cooperation between MINEM and the project; (iii) type of support given to the project and main challenges encountered; iv) alignment of the project with minem's priorities, specifically on regulatory issues of concessions in Lomas; (v) sustainability of project actions; (vi) prospects for the implementation of regulations for hill concessions, (vii) Other cooperation required from the project viii) Cooperation with other institutions and actors.
	SERFOR: BD Monitoring: SATLOMAS	1.0 hr	(i) Knowledge of the project; (ii) areas of cooperation between SERFOR and the project; (iii) type of support provided to the project and main challenges encountered; iv) alignment of the project with SERFOR's priorities, specifically on monitoring issues in ACRs, (v) sustainability of project actions; (vi) Other cooperation required from the project (i) Cooperation with other institutions and actors.
Day 4: Morning  Interviews with key actors in public and private institutions		1.0 hr	(i) Knowledge of the project;  (iii) type of support provided to the project and main challenges encountered; iv) alignment of the project with the priorities of the partnership, specifically on regulatory, planning and financing issues of ACRs. (v) sustainability of project actions;

			vi) perspectives vii) Cooperation with other institutions and actors.
Day 4: Afternoon  Interviews with key actors in public and private institutions	Government of Ancon	1.0 hr	i) Brief overview of the functions of this entity ii) Knowledge of the project and its relationship with it; iii) project-related activities; i) New regulations for the sector that promote ACR and its management and financing. ii) Sustainability challenges for ACRs
	MINCUL	1 hr	i) Brief overview of the functions of the institution ii) Knowledge of the project and its relationship with it; iii) activities in conjunction with the project; iv) Sustainability and lessons learned from EbA Lomas pilot projects
	Any Lomas Tourism Group?	1 hr	v) Brief overview of the functions of the entity vi) Knowledge of the project and its relationship with it; vii) project-related activities; iv) challenges for sustainability.
	Andean Cement Union	1 hr	i) Brief overview of the functions of the company, ii) Knowledge of the project and its relationship with it; iii) project-related activities; iv) Financing Mechanisms for ACP sustainability and future prospects for implementation by private companies.
Day 5: Morning	Peruvian Association of Engineering in Ecotourism and Sustainable Development	1.0 hr	i. Brief overview of the functions of the entity, ii. Knowledge of the project and its relationship with it; project-related activities; v. Financing Mechanisms for sustainability of ACPs and ACRs and future prospects for implementation by private companies and regional governments
	Any relevant university or research entity that has participated in the generation of knowledge of the project?	1.0 hrs	
	Association ecotourism circuit lomas de lúculo	1.0 hrs	

Day 5: Afternoon	Community of Jicamarca (Lomas de Collique recognition project as ACP)	1.0 hr	<ul style="list-style-type: none"> <li>i) Knowledge of the project and its relationship with it;</li> <li>ii) project-related activities;</li> <li>iii) plans and programmes that are coordinated with the project;</li> <li>iv) lessons learned on project-driven coordination;</li> <li>v) outstanding issues, sustainability of ACP and community.</li> </ul>
	Lomas del Perú Network	1.0 hrs	
Day 6: morning	Make your Green World in lomas de Amancaes-Mirador Sector	1.0 hr	<ul style="list-style-type: none"> <li>(i) Knowledge of the project and its relationship to it;</li> <li>(ii) project-related activities;</li> <li>(iii) outstanding issues, sustainability, adaptation of current instruments to introduce greater participation of women and communities in non-conventional renewable energies.</li> </ul>
	Association "1ro de Mayo": pilot in Mangamarca with 5 families (pigs) implemented by the NGO SIMBA	1.0 hr	
Day 6: Afternoon	District Municipality G1: Lomas de Mangamarca	1.0 hr	<ul style="list-style-type: none"> <li>(i) relationship to the project;</li> <li>(ii) municipal ordinances</li> <li>(iii) strengthened partnerships</li> <li>(iv) sustainability and challenges</li> </ul>
	District Municipality G1: Lomas de Villa Maria	1.0 hr	<ul style="list-style-type: none"> <li>(i) relationship to the project;</li> <li>(ii) municipal ordinances</li> <li>(iii) strengthened partnerships</li> <li>(iv) sustainability and challenges</li> </ul>
	District Municipality G2: Pachamac	1.0 hr	<ul style="list-style-type: none"> <li>(i) relationship to the project;</li> <li>(ii) municipal ordinances</li> <li>(iii) strengthened partnerships</li> <li>(iv) sustainability and challenges</li> </ul>
Day 7: morning	District Municipality G2: Lomas de Collique	1.0 hr	<ul style="list-style-type: none"> <li>(i) relationship to the project;</li> <li>(ii) municipal ordinances</li> <li>(iii) strengthened partnerships</li> <li>(iv) sustainability and challenges</li> </ul>
	Executors of communal contracts of 2 reserves where the project has worked.	1.0 hr	One from Group 1
		1.0 hr	One from Group 2
Day 7: all afternoon	SERNANP Offices and Operating Units	1.0 hr	G1: 3
		1.0 hr	G2: 2
Day 9: morning	Presentation of preliminary findings		

Annex 7: UNEG signed

## UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professional

### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

### Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Evaluator: \_\_\_\_\_ Jorge Leiva Valenzuela \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at \_\_\_\_\_ Lima \_\_\_\_\_ (Place) on \_\_\_\_\_ October 7<sup>th</sup>, 2021 \_\_\_\_\_ (Date)

Signature: \_\_\_\_\_  \_\_\_\_\_



## Annex 8: Evaluation trail

Separate file

Anexo 9: Tracking Tools  
In separate Excel file.

## Annex 10: Analysis of Prodoc indicators

## Analysis of Prodoc indicators

Strategy	Indicators	Midterm Goal	Final Metal project	Comment	Smart Indicator Analysis					Recommendations/ examples for the indicator		
					Specific	Measurabl e	Attainable	Relevant	Temp oral			
<b>Objective</b>												
O.1	Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.	1	# new collaboration mechanisms with budget for the sustainable management of natural resources, ecosystem services, chemicals and waste at national and/or subnational level; disaggregated by type of alliance.	Each actor fulfills his role and responsibilities in the restoration and conservation of Lomas.	1 Inter-institutional alliance for the Conservation of Lomas with articulated and functioning roles and responsibilities	This indicator comes from those used by UNDP country offices, called the "Integrated Results and Resources Framework (IRRF) Methodology". Specifically, this indicator is for IRRF output 1.3: "Number of new partnership mechanisms with funding for sustainable management solutions for natural resources, ecosystem services, chemicals and wastes at the national and/or subnational levels" and	Not specific to the project objective	No, because the objective of the project is to make a contribution "to integrated management...", while this indicator measures an aggregate output that may be the result of various contributions, so it does not individualize the particular contribution made by the project.	It is not known, since the contribution of the project is not individualized, nor is it known what type of mechanism is involved.	Not for this project, it does not separate the contribution of the project or its degree of achievement.	Yes	If you want to integrate IRRF indicators into a specific project, it would be best to show that the project objective points to the IRRF indicator and place indicators more specific to the particular project and its story. An example of a more appropriate indicator could be the following: "# of Lomas that conserve the BD and improve the resilience of local communities, which are managed by successful partnerships between key actors".

						<p>corresponds to IRFF outcome 1: "Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded." This indicator is not appropriate for the project, as it is a standard indicator used to measure a product at the country level, so its specificity is doubtful and does not correspond to an indicator at the target level for a specific project. On the other hand, the intermediate goals and is diffuse ("actor fulfills his role and responsibility</p>					
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						...") and difficult to measure, since it is not specified who and their responsibilities .						
<i>O.1</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems</i>	2	# of jobs and livelihoods created through the management of natural resources, ecosystem services, chemicals and waste; disaggregated by sex and urban and rural area.	To be determined in Year 1	To be determined in Year 1	Like the previous one, this indicator is for UNDP IRRF output 1.3 and is consistent with indicator 1.3.2: "Number of new jobs and livelihoods created through the management of natural	Not specific to the project objective	No. The review of the documentation does not show that the intermediate and final targets for this indicator have been adjusted. In	No, as there are no goals.	Not for this project, it does not separate the contribution of the project or its degree of achievement.	Yes	If you want to integrate IRRF indicators into a specific project, it would be best to show that the project objective points to the IRRF indicator and place indicators more specific to the particular project and its story. An example of a more appropriate indicator could be the following: "%

	<i>in the Province of Lima.</i>					resources, ecosystem services, chemicals and waste, disaggregated by sex", to which the status of "urban and rural area" has been added.		addition, it is an indicator that does not individualize the specific contribution of the project.			improvement in the real income of the beneficiaries living in the Lomas intervened by the project".
<i>O.I</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.</i>	3	# direct beneficiaries of the project			This indicator is neither adequate nor clear in what it is intended to measure. First, apparently what you want to measure is the area restored, along with the number of beneficiaries carrying out agriculture/live stock and sustainable tourism activities. In this case there is no consistency between the main indicator (# of beneficiaries) and the sub-indicators (area	No. The main indicator and sub-indicators are inconsistent.	No, mainly because there are no units of measurement, which must be assumed.	We don't know.	The inconsistencies found make it irrelevant and clear.	Yes  In this case, it would be better to separate the surfaces under conservation into a separate indicator. On the other hand, the sustainable activities that appear in the sub-indicators could be redundant with indicator 2 (# jobs and livelihoods).

						and # of activities).						
<i>O.1</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.</i>	3.1	Ecosystem restoration	21,000: restored ecosystems	42,000: restored ecosystems	No measurement units and little clarity in what you want to measure.	Yes	Yes, in the case of the unit of measurement.	Yes	Yes	Yes	"# of hectares of degraded soils reforested".
<i>O.1</i>	<i>Contribute to the integrated management and protection of fragile hill</i>	3.2	Livestock/sustainable agriculture	25: livestock/sustainable agriculture	50: sustainable agriculture/livestock	No measurement units and little clarity in what you want to measure.	No	No	not known	No	No	"# of beneficiaries who apply sustainable practices in livestock/agriculture"

	<i>ecosystems in the Province of Lima.</i>											
<i>O.1</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.</i>	3.3	Sustainable tourism services	310: sustainable tourism services strengthened and providing better quality of services	610: sustainable tourism services strengthened and provide better quality systems	No measurement units and little clarity in what you want to measure.	No	No	not known	No	No	"# of beneficiaries who apply sustainable practices for the provision of quality tourism services"
<i>O.1</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems in the Provi</i>	4	Capacity level of sustainable management of hill ecosystems (as measured by the UNDP Capacity Development Scorecard)	Total: 22	Total: 25.5	This indicator - which includes 2 sub-indicators - could be useful if there were more precise definitions and requirements of what is meant by these mechanisms and what they should do. On the other hand, the qualification of	Due to the breadth of topics covered by the scorecard, where most of it is outside the influence of the project, it does not seem very specific, with	According to the modality of the scorecard, it is measurable , but it would not deliver a reliable or defining result, because it is a self-evaluation.	Doubtful, due to the multiplicity of issues involved in the scorecard that are outside the scope of the project.	Doubtful, due to the multiplicity of issues involved in the scorecard that are outside the scope of the project.	Yes.	It would be more appropriate to have an indicator more in line with the limited scope of the project. For example: "# of Lomas with management plans with responsibilities established and executed jointly by key actors of the territory at the provincial and district level."

	<i>n</i> <i>ce of</i> <i>Lima.</i>					these indicators is a self-evaluative process, so a deeper specialized external evaluation would be needed to verify their compliance. Finally, it seems that the approach of estimating the sum of all the indicators of the scorecard (9) is not very consistent, to finally concentrate on only 2.	perhaps sub-indicators 2 and 9 being more specific to the intervention in question.					
<i>O.1</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems in the Provi</i>	4.1	Indicator #2: "existence of operational co-management mechanisms"	I2:2	I2:3	In the case of the operational mechanisms of co-management, it is not known whether these are formal or informal, if clear commitments and responsibilities of each actor are needed in the different tasks to be	No, criteria for verifying the indicator are not clear.	According to the modality of the scorecard, it is measurable, but it would not deliver a reliable or defining result, because it is a self-evaluation and not	Doubtful, due to the few definitions on the mechanisms involved and their requirements to be considered as such.	Doubtful, due to the few definitions on the mechanisms involved and their requirements to be considered as such.	Yes	It would be more appropriate to have an indicator more in line with the limited scope of the project. For example: "# of Lomas with management plans with responsibilities established and executed jointly by key actors of the territory at the provincial and district level."

	<i>nce of Lima.</i>					carried out in the ACR.		very clear criteria.				
<i>0.1</i>	<i>Contribute to the integrated management and protection of fragile hill ecosystems in the Province of Lima.</i>	4.2	Indicator #9 "Degree of environmental planning process and strategy development	I9: 2	I9: 3	The scope of the planning process is well defined in the capacity development scorecard, but being self-assessment, this could reduce its usefulness.	Yes, well defined in the scorecard	Yes	Doubtful, changes in status may need time beyond the life of the project.	Doubtful within the framework of the project.	Yes	It would be more appropriate to have an indicator more in line with the limited scope of the project. For example: "an established and operational participation mechanism for the management of the ACR at the provincial and district levels"
<i>Results</i>												

<i>RI</i>	<i>Conservation of hill ecosystems</i>	5	# hectares protected through the creation of Lomas Regional Conservation Areas (or other figure, institutionalized modality/option of effective management) with income stream from the selected Lomas (measured by the GEF monitoring instrument for BD)	10,540 (corresponding to the planned ACR for Group 1 of Lomas)	21,000 (corresponding to the ACR of Group 1 + Group 2 comprised of Lomas in the south preserved via private AC or other modality for private property)	In this case it does not seem convenient to mix the ACR with the ACPs and in case of doing so, it would be advisable to separate the corresponding surfaces.	Specific when referring to surfaces, but not when identifying the surfaces in question.	Yes				
<i>RI</i>	<i>Conservation of hill ecosystems</i>	6	% hill ecosystems impacted by activities and pressures originating in buffer zones	See sub-indicators	See sub-indicators	This indicator is not clear on what it is trying to measure. On the other hand, it would be more in line as an indicator of result 3.	It does not clearly indicate what it is intended to measure.	No	Not known	Not as it is written.	Yes	The statement of the indicator should be more precise in what it intends to measure, <b>such</b> as: "% reduction in soil degradation/biodiversity of the Lomas intervened by the project".
<i>RI</i>	<i>Conservation of hill ecosystems</i>	6.1	% Lomas Norte	20% Reduction of degradation of Lomas del Norte	50% Reduction of degradation of Lomas del Norte							

<i>R1</i>	<i>Conservation of hill ecosystems</i>	6.2	% Lomas Sur	10% Reduction in Lomas del Sur	50% Reduction of degradation of Lomas del Sur							
<i>R1</i>	<i>Conservation of hill ecosystems</i>	7	# hill sites included in the DATABASE inventory with detailed studies and characterization of biodiversity in Lomas ecosystems and potential use.	14 with detailed characterization	14 with detailed characterization	This indicator is clear and adequate	Yes	Yes	Yes	Yes	Yes	
<i>R2</i>	<i>Land use management tools</i>	8	# of planning instruments for hill ecosystems established in a participatory manner	1 draft lomas Conservation Strategy	1 Strategy for Lomas Conservation	This is a product indicator, it does not measure a change introduced by a project result	Yes	Yes	Yes	Yes	Yes	A more appropriate outcome indicator to measure change would be "# of Lomas sustainably managed according to a participatory management plan".
<i>R2</i>	<i>Land use management tools</i>	9	# of local governments that include biodiversity and conservation of hill ecosystems, and integrated natural resource management (INRM) criteria in their management policies,	9 Local governments have developed ordinances with criteria of ecosystem conservation and <b>Integrated Management</b> of	9 Local governments implement integrated land management tools (1 provincial and 8 district)	This is a product indicator, it does not measure a change introduced by a project result	Yes	Yes	Yes	Yes	Yes	

			including land use zoning.	Natural Resources (INRM) in a participatory and gender-sensitive manner.								
<b>R2</b>	<b>Land use management tools</b>	10	# of public-private partnerships implemented for hill management	6 existing partnerships evaluated and strengthened	8 recognized alliances	The declaration of the indicator is for a product and is also not relevant to the result to be measured, which is the use of the tools provided by the project in the management of the Lomas, whether ACR or ACP. On the other hand, the final goal is not clear as the sub-indicators do not specify the type of alliances that you want to implement, or at least the 2 new ones.	Not for a result	Yes, for a product	Yes, for a product	Not for a result	Yes	Result 2 seeks to create alliances (serfor and SERNANP type) to introduce sustainable activities that protect biodiversity in the territories of intervention of the project, so a more appropriate indicator could be: "# of strengthened public-private partnerships that implement sustainable practices and protect biodiversity in the Lomas of Lima"
<b>R2</b>	<b>Land use management</b>	10.1	APP of ecotourism services in Lomas	5	No information	This sub-indicator has no end goal						

	<i>nt tools</i>											
<i>R2</i>	<i>Land use management tools</i>	10.2	Private Protected Area	1	No information	This sub-indicator has no end goal						
<i>R3</i>	<i>Economic diversification and low-impact land use</i>	11	# of hectares of degraded Lomas reforested with native species	500	1000	This is a suitable indicator for measuring restoration, although it is not very much in line with the statement of result 3, which is to introduce low-impact economic activities. This indicator would be better aligned with result 1.	Yes	Yes	Yes	Yes	Yes	
<i>R3</i>	<i>Economic diversification and low-impact land use</i>	12	# of hectares/areas where friendly models of hill production are executed:	See sub-indicators	See sub-indicators	This is an appropriate indicator to measure the result of economic diversification and introduction of practices with low environmental impact.	Yes	Yes	Yes	Yes	Yes	

R3	<i>Economic diversification and low-impact land use</i>	12.1	Sustainable livestock	5,343 Ha	10,686 Ha							
R3	<i>Economic diversification and low-impact land use</i>	12.2	Low-impact mining	2 low-impact mining sites	4 low-impact mining sites							
R3	<i>Economic diversification and low-impact land use</i>	13	Increase in tourist activity in the selected hill sites, measured by:	See sub-indicators	See sub-indicators	It is not appropriate to have an indicator with so many sub-indicators, especially when the sub-indicators are self-sufficient to measure the desired change, in this case, the increase in tourism in the Lomas. In addition, it would be necessary to include an indicator for nurseries,						

						which should be self-financing as a result of their commercial activities.						
R3	<i>Economic diversification and low-impact land use</i>	13.1	# of public and/or private projects investing in the improvement of tourism services (including the strategy for proper waste management) generated during the project	3	6	Adequate indicator to measure the improvement of tourism services, but it could not necessarily involve more visits.	Yes	Yes	Yes	Yes	Yes	
R3	<i>Economic diversification and low-impact land use</i>	13.2	# of visitors to the sites of Lomas	10% annual increase in visitors	20% annual increase in visitors	An indicator that is appropriate to measure the increase in visits, but does not necessarily indicate that they are the product of project activities.	Yes	Yes	Yes	Doubtful, because the increase in visits could be the product of various factors outside the project.	Yes	

R3	<i>Economic diversification and low-impact land use</i>	13.3	# of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender	310 strengthened direct beneficiaries	610 direct beneficiaries	This indicator seems redundant with 13.1, since the 610 "direct beneficiaries" could well fall into the category of investment projects. In addition, the direct beneficiaries of the project would be the inhabitants of the Lomas and not only the investors who place new restaurants and other tourist services.	Yes	Yes	Yes	It is not relevant in terms of measuring the number of beneficiaries of the project.	Yes	This indicator could be part of 13.1, apparently they are redundant with each other.
R3	<i>Economic diversification and low-impact land use</i>	13.4	\$ generated by tourism activities (differentiating the income generated for men and women and by type of income)	10% increase in revenue generated	20% increase in revenue generated	This indicator is relevant to measuring the result of low-impact activities, however, it omits the change to be measured (increase in income) and does not indicate the	Yes	Doubtful, a study would need to be carried out in all the Lomas that are part of the ACR and the ACP.	Yes	Yes	Yes	It would be good to specify the beneficiary group: "% increase in the income of the inhabitants of the Lomas intervened by the project".

						group of beneficiaries of the project, which are the inhabitants of each hill where the project interventions are carried out.						
R4	Knowledge Management and M&E	14	# of permanent monitoring systems established through partnerships with local authorities, NGOs and universities, to monitor the presence of endemic flora, as well as the annual population of migratory birds	1 monitoring system with information from 6 permanent monitoring sites	1 monitoring system with information from 14 permanent monitoring sites	This indicator is not adequate, it responds more to obtaining a product rather than a result. According to the narrative of the project, the desired result for this component is to carry out participatory monitoring among key actors, who will agree on a standardized and reproducible procedure over time to know the change in the biodiversity of the Lomas of Lima.	Yes, for a product	Yes, for a product	Yes, for a product	Not to measure the desired change in the state of biodiversity.	Yes	An example of an indicator in line with the narrative of result 4 would be, for example, the following: "# of organizations / key actors involved in the monitoring of the biodiversity of the Lomas of Lima, using a standardized procedure and agreed by the parties".

R4	Knowledge Management and M&E	14.1	individual fact sheets of the flora and fauna of lomas (SERFOR)	No information	No information	It does not seem well linked to the main indicator, has no goals and is also a product rather than a result. The desired result is to track the state of the biodiversity of the area, so the tokens would constitute a necessary product to determine the baseline of the monitoring system.	Yes, for a product	Yes, for a product	Yes, for a product	Yes, to determine the baseline of the area.	Yes	This sub-indicator should be removed and left as a product indicator.
R4	Knowledge Management and M&E	14.2	Baseline of indicators of BD species, to be determined in Year1	Indicators of species biodiversity are maintained or increased	Indicators of species biodiversity are maintained or increased	This does not seem to be an appropriate indicator, since it refers to the establishment of the biodiversity baseline and does not express any specific changes that you want to measure, as opposed to the intermediate and final targets, that do want to	Yes	Yes	Yes	No	Yes	This should remain as an activity to be carried out in result 4.

						measure a change. In addition, it is redundant with the main indicator, since to have a permanent monitoring system it is a "sine qua non" condition to have defined the baseline of what you want to monitor, so more than an indicator, this constitutes a <b>primary</b> activity of the desired result.						
R4	Knowledge Management and M&E	15	Communication and citizen mobilization strategy with a gender and youth approach:	See sub-indicators	See sub-indicators	This indicator is for obtaining a product (the strategy), so it does not correspond here. What is to be measured is a change in the attitude of young people and public opinion in general, about their perceptions about the use and importance of the ecosystem of	Yes, for a product	Yes, for a product	Yes, for a product	Not for a result	Yes	Indicators more in line with the narrative for this result 4 would be, for example, the following: "% of key actors and public opinion in general who appreciate the importance of the ecosystem services of the Lomas of Lima and carry out actions for their protection".

						Lomas of Lima and promote sustainable uses of them. In addition, it is incomplete, since in gef M&E project means the application of an M&E system for the management of the project and its achievements in terms of results.						
R4	Knowledge Management and M&E	15.1	# of schools involved in conservation activities (adopting a tree, photo monitoring of species, etc.)	30	60	This could be a good indicator to measure attitudinal change in schools.	Yes	Yes	Yes	Yes	Yes	
R4	Knowledge Management and M&E	15.2	# organized groups that are active (identifying the role of men and women in each identified group)	7	14	Specificity is missing in this sub-indicator: assets for what?, to monitor?, to raise awareness?, to implement sustainable economic activities?. This has a resemblance to the narrative in that you want	No	Yes	Yes	No, because of its lack of specificity.	Yes	It could be eliminated, as it seems to overlap with indicators on sustainable partnerships and activities.

						to have 14 permanent monitoring points in the Lomas of Lima, but it does not correspond to active groups.						
R4	Knowledge Management and M&E	15.3	# events (communal cleanup, reforestation campaigns, parades)	3	6	This indicator seems more like an activity than the measure of an outcome, it does not involve a change in attitude.	No	Yes	Yes	No, due to its lack of specificity and correspond to an activity.	Yes	It could be removed and placed as a product or activity indicator.

## Annex 11: Terminal Evaluation ratings scale, relevance, effectiveness, efficiency and sustainability

Rating	Description
6 = Highly Satisfactory (HS)	Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings
5 = Satisfactory (S)	Level of outcomes achieved was as expected and/or there were no or minor shortcomings
4 = Moderately Satisfactory (MS)	Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.
3 = Moderately Unsatisfactory (MU)	Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings
2 = Unsatisfactory (U)	Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.
1 = Highly Unsatisfactory (HU)	Only a negligible level of outcomes achieved and/or there were severe shortcomings
Unable to Assess (UA)	The available information does not allow an assessment of the level of outcome achievements

**Table 16. Sustainability Ratings Scale**

Ratings	Description
4 = Likely (L)	There are little or no risks to sustainability
3 = Moderately Likely (ML)	There are moderate risks to sustainability
2 = Moderately Unlikely (MU)	There are significant risks to sustainability
1 = Unlikely (U)	There are severe risks to sustainability
Unable to Assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability

## ANNEX J: SIGNED TE REPORT CLEARANCE FORM

**Terminal Evaluation Report for Conservation, management and rehabilitation of fragile lomas ecosystems in Lima - # PIMS: 5845**

**Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: Maria Cebrian

Signature: Maria Cebrian Date: 29/01/2022

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: Marlon Flores

Signature: Marlon Flores Date: 29/01/2022