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**Project Document template for nationally implemented projects  
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<b>Project title:</b> Conservation, management and rehabilitation of fragile lomas ecosystems in Lima		
<b>Country:</b> Peru	<b>Implementing Partner:</b> National Service of Natural Protected Areas (SERNANP)	<b>Management Arrangements:</b> National Implementation Modality (NIM)
<b>UNDAF/Country Programme Outcome:</b> Outcome 4. The State, with the participation of civil society, the private sector, scientific and academic 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.		
<b>UNDP Strategic Plan Output:</b> Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.		
<b>UNDP Social and Environmental Screening Category:</b> low	<b>UNDP Gender Marker:</b> 2	
<b>Atlas Award ID number:</b> 00094204	<b>Atlas Project ID number:</b> 00098384	
<b>UNDP-GEF PIMS ID number:</b> 5845	<b>GEF ID number:</b> 5458	
<b>Planned start date:</b> September 2016	<b>Planned end date:</b> September 2021	
<b>LPAC date:</b>		
<b>Brief project description:</b> The objective of the project is to protect, conserve and sustainably manage the lomas ecosystems in the Province <sup>1</sup> of Lima. The project aims to promote improved conditions for the conservation of these rare and fragile ecosystems which support a number of globally significant species and to decrease the risks of their degradation. In doing this, the project will work with local stakeholders to formalize and strengthen successful local community ecosystem management efforts, as well as promoting the replication of these to other loma sites. To achieve these objectives, the project is structured along a series of strategic initiatives. An urgent first step is to establish protected areas for the core lomas ecosystems located within the Province of Lima. The protected areas will be complemented by extensive buffer zones demarcation and the provision of low impact recreational facilities between urban fringes of the city and the protected areas, as well as investments in vegetation recovery in key areas of the lomas' area of influence. Finally a series of governance tools will be developed to further encourage a participatory approach to an integrated management of the lomas. These activities will be supplemented by a monitoring component.		

<sup>1</sup> Per the 2002 Organic Law of Regional Governments (Ley Orgánica de Gobiernos Regionales) and the 2003 Organic Law of Municipalities (Ley Orgánica de Municipalidades), the Metropolitan Lima Municipality (Municipalidad Metropolitana de Lima-MLM) is the regional and provincial government of Lima Province. As such, to avoid confusion to the reader, this document will refer hereafter to the Province of Lima.

<b>FINANCING PLAN</b>		
GEF Trust Fund	USD1,983,799	
UNDP resources	USD 135,000	
<b>(1) Total Budget administered by UNDP</b>	<b>USD 2,118,799</b>	
<b>PARALLEL CO-FINANCING</b> <i>(all other co-financing that is not cash co-financing administered by UNDP)</i>		
SERNANP	USD 178,174	
District Municipalities	USD 12,611,688	
NGO	USD 375,000	
CSO	USD 223,753	
<b>(2) Total co-financing</b>	<b>USD 13,388,615</b>	
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD 15,507,414</b>	
<b>SIGNATURES</b>		
<b>Signature:</b> print name below	<b>Agreed by Implementing Partner</b>	<b>Date/Month/Year:</b>
<b>Signature:</b> print name below	<b>Agreed by UNDP</b>	<b>Date/Month/Year:</b>

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## I. TABLE OF CONTENTS

I.	Table of Contents.....	3
II.	Development Challenge.....	5
III.	Strategy.....	11
IV.	Results and Partnerships.....	14
V.	Feasibility.....	29
VI.	Project Results Framework.....	35
VII.	Monitoring and Evaluation (M&E) Plan.....	40
VIII.	Governance and Management Arrangements.....	45
IX.	Financial Planning and Management.....	48
X.	Total Budget and Work Plan.....	51
XI.	Legal Context.....	59
XII.	Mandatory Annexes.....	59
	A. Characterization of Lomas Selected for Project Intervention	
	B. Multi year Workplan	
	C. Monitoring Plan	
	D. Evaluation Plan	
	E. GEF Tracking Tools at baseline (provided in a separate file)	
	F. Terms of Reference for Project Board, Project Manager, Chief Technical Advisor and other positions as appropriate	
	G. UNDP Social and Environmental and Social Screening Template (SESP)	
	H. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)	
	I. UNDP Risk Log (to be completed by UNDP Country Office)	
	J. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)	
	K. DPC Letter of Agreement between UNDP and SERNANP	
	L. Supplemental Provisions to the Project Document: The Legal Context	
	M. Co-Financing Commitment Letters (provided in a separate file)	

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## **ACRONYMS AND ABBREVIATIONS:**

BD	Biodiversity
CAM	Municipal Environmental Council
CAR	Regional Environmental Council
CBD	Convention on Biological Diversity
CC	Climate Change
CICCA	Center for Investigation and Farmer Training
EEZ	Economic and Ecological Zoning
EU	European Union
FAO	Food and Agricultural Organization
FSP	Full Sized Project
GEB	Global Environmental Benefits
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
GoP	Government of Peru
IA	Implementing Agency
INERA	National Institute of Natural Resources
INIA	National Institute for Agricultural Innovation
LAC	Latin America and the Caribbean
LD	Land Degradation
MEC	Municipal Environmental Commissions
MEF	Ministry of Economy and Finance
M&E	Monitoring and Evaluation
MINAM	Ministry of the Environment
MINAGRI	Ministry of Agriculture
MLM	Metropolitan Lima Municipality
MSP	Medium Sized Project
NGO	Non-Governmental Organization
NIM	National Implementation Modality
PIF	Project Identification Form
PIR	GEF Project Implementation Report
POPP	Programme and Operations Policies and Procedures
PPG	Project Preparation Grant
PDC	Communal Development Plan
PIR	Project Implementation Review
POT	Territory Organization Plan
PSC	Project Steering Committee
SENASA	National Service of Agrarian Security
SERFOR-MINAGRI	Forestry and Wildlife National Service from the Ministry of Agriculture
SERNANP	National Service of Natural Protected Areas
STAP	GEF Scientific Technical Advisory Panel
UNCCD	United Nations Convention to Combat Desertification and Drought
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP-GEF	UNDP Global Environmental Finance Unit

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## II. DEVELOPMENT CHALLENGE

### Context

1. Peru is one of the top ten biodiversity hot spots in the world. Among the diversity of ecosystems present in the country, the *lomas* ecosystems are unique. Along Peru's coastal desert, pockets or islands of vegetation can be found separated by the hyper-arid habitat of the desert. During the winter months, a fog zone develops when thick stratus cloud banks below 1,000 m.a.s.l. moving in from the Pacific Ocean are intercepted by isolated mountains or steep coastal slopes. The moisture from these fog zones allows the development of fog-zone plant *lomas* communities, located between sea-level and 1,000 m.a.s.l.

2. Growth in these isolated islands of vegetation is dependent upon available moisture, where topography and substrate combine to influence patterns of moisture availability and the area of suitable habitat. While climatic patterns determine plant distributions, ecological requirements and tolerances of individual species determine community composition. These factors, together with the hyper-arid desert, devoid of vegetation, surrounding the *lomas*, make for a high level of endemism, which has been estimated at over 40%,<sup>2</sup> and include some of the following genera: *Stenomesson*, *Ismene*, *Senecio*, *Tillandsia*, *Haageocereus*, *Mila*, *Cleistocactus*, *Cyclanthera*, *Acacia*, *Caesalpinea*, *Loasa*, *Oxalis* and *Nicotiana*. Among the *Solanaceae* found in the *lomas*, approximately 70% are considered endemic.<sup>3</sup> Endemism can be spread across several *lomas* locations or confined to one formation. Depending on their degree of development and degradation, *lomas* can include relatively dense stands of small trees. For example, in Lomas de Lachay, in the department of Lima, *Caesalpinia spinosa*, *Capparis prisca*, *Senna birostris* and *Carica candicans* are found, together with a dense accumulation of epiphytes. *Lomas* also contain a number of threatened species, as described below. Furthermore, they are key components of migratory bird corridors (e.g. *Athenecunicularia*, *Nothoprocta pentlandii*, *Sparverius peruvianus*, etc.) and their genetic information could prove valuable for understanding resilience to arid conditions.<sup>4</sup>

3. Their restrictive distribution, high levels of endemism, presence of threatened species and genetic value make these ecosystems globally important. However, their distribution is dwindling. Available literature on the *lomas* ecosystems suggest that these covered an area of 600,000 ha over 60 years ago, 250,000 ha 23 years ago, and are likely limited to about 200,000 ha or less at present, with between 10-30% of these located in the Province of Lima. The literature and official statistics suggest that the number of *loma* communities in Peru range from 53 to 80. Though *lomas* are categorized as fragile systems in Peru's environmental law, very few areas have formal protection status. In particular, no formal protection status exists for those found in the Province of Lima.

4. Based on recent studies, 20 *loma* communities have been identified in the Province of Lima, which is administered by the Metropolitan Lima Municipality (MLM).<sup>5,6</sup> In the Province, the potential winter vegetation cover in high moisture years (for example, during the occurrence of an El Niño–Southern Oscillation – ENSO - event) has been estimated at over 120,000 ha, while the core year-to-year vegetation cover is 21,000 ha. The *lomas* in the Province include the Atocongo *lomas* (situated within the districts of Villa Maria del Triunfo, Lurin and Pachacamac), which are part of the Alliance for Zero Extinction portfolio. These *lomas* are the last remaining habitat of *Melanomys zunigae* (Zuniga's Dark Rice Rat) which is listed as Critically Endangered (possibly extinct). Recent studies for two *lomas* in the Province of Lima

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<sup>2</sup> Müller, G. 1985. Zur floristischen Analyse der peruanischen Loma – Vegetation. *Flora*. 176: 153 – 165.

<sup>3</sup> Dillon, M.O. 2005. Solanaceae of the Lomas formations of Coastal Peru and Chile. Pp. 131–155. In: Hollowell, V., T. Keating, W. Lewis & T. Croat (eds.), "A Festschrift for William G. D'Arcy: The Legacy of a Taxonomist". *Mono. Syst. Bot. Ann. Missouri Bot. Gard.* 104.

<sup>4</sup> Peru. 2010. Cuarto Informe Nacional sobre la Aplicación del Convenio de Diversidad Biológica. Ministerio de Ambiente.

<sup>5</sup> Mamani Coto, J.M. 2011. *Visión espacial de la estructura ecológica de Lima Metropolitana*. SERPAR. Mimeo.

<sup>6</sup> Falconí, D.V. and C. Santana. 2012. *Expediente técnico para el establecimiento del Sistema Regional de Conservación de las lomas de Lima*. Mimeo.

found an 18% endemism rate, including *Senecio abadianus*, which is only present in the Province of Lima.<sup>7</sup> These studies identified ten species included in Peru's official list of threatened plant species (EN = 4, VU = 3, NT = 2 and CR = 1)<sup>8</sup>. Furthermore, the study identifies possible local extinction of several plant species. This data on endemism is consistent with endemism findings for the Province of Lima, which is ranked fifth among Peru's 24 departments in terms of density of endemic flowering plants.<sup>9</sup> Most of the lomas in the Province are either located on public land or land whose tenure belongs to traditional rural communities (*Comunidades Campesinas*<sup>10</sup>).

### **Threats**

5. While year to year measurements of lomas coverage area will vary depending on moisture availability, the overall trend in decrease in its coverage and degradation can be attributed to a series of factors. For the lomas in the Province of Lima, three main threats are identified:

- a. The spread of urbanization has progressively encroached on *lomas* ecosystems. The *lomas* are surrounded by human settlements that have developed through the years, especially in the north and center-south of Lima, and less so in the south because the land there is owned by estate developers. These areas have been opened up by highways built to facilitate access to the settled population and also to extract construction material in areas such as Carabayllo, Villa Maria del Triunfo, Manzano, Jatosisa, among others. It is estimated that in Lomas de Amancaes, there are 14 human settlements within the limits of Independence municipality, and 34 settlements on the side of Rimac municipality. This situation is prevalent throughout the northern Lomas, while in the southern Lomas the main problem is real estate developments that acquire large tracts of land surrounding the Lomas.

The clearing of land for human settlements is exacerbated by the fact that housing construction tends to be very poor in all areas of influence of the *lomas*, resulting in health problems especially among children, accumulation of trash, and odors due to lack of sewage and other services. The situation in the southern lomas is different because higher income families live there and build higher-quality and better-equipped housing in the area of influence of the *lomas* there, but the threats associated with waste management remain, as well as the clearing of globally-important endemic species and further erosion of the lomas.

This increase in infrastructure has made the *lomas* more accessible, thereby creating both a threat by facilitating further encroachment/invasion, as well as an opportunity to generate tourism services. For example, in the *lomas* of Lucmos, over 17,000 people visited the hills in 2015, and Carabayllo, Villa Maria del Triunfo and Amancaes have also reported an increasing number of visitors.

- b. Non-mineral mining activity, mainly related to the extraction of materials for the construction industry, has impacted some loma areas. Almost all the lomas of Metropolitan Lima have concessions for non-metallic mining, except for Lomas Amancaes. Therefore, this activity poses a permanent threat to the lomas. Lomas Lurin and Lomas Pachacamac have the largest number of mining concessions (16 and 26 respectively), while the concessions for Cementos Lima Company are located in Lomas Lucmos. The materials extracted by formal and informal businesses are coarse

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<sup>7</sup> Trinidad, Huber; Elluz Huamán-Melo, Amalia Delgado and Asunción Cano. 2012. *Flora vascular de las lomas de Villa María y Amancaes, Lima, Perú*. Rev.peru.biol. 19(2): 149-158.

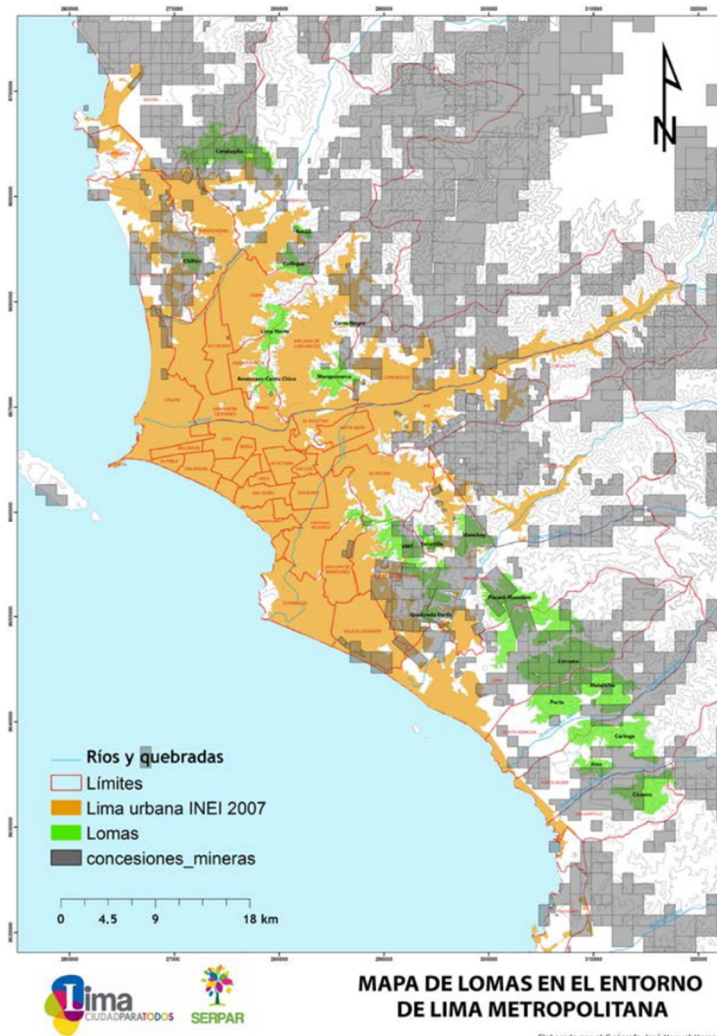
<sup>8</sup> EN = endangered; VU = vulnerable; NT = near threatened; and CR = critically endangered

<sup>9</sup> Van der Werff, Henk; and Trisha Consiglio. 2004. *Distribution and conservation significance of endemic species of flowering plants in Peru*. Biodiversity and Conservation 13: 1699-1713.

<sup>10</sup> *Comunidades Campesinas* are long-standing traditional rural Andean communities that have a relationship with the land for economic activities related to agriculture and livestock: each family usually has a plot of land where they practice agriculture for their livelihood as well as fodder for livestock which serve as a savings and exchange mechanism.

sand, fine sand, gravel, crushed stone - all in significant volumes to supply the real estate growth of the city of Lima. The largest impact generated by current mining practices is the change in topography and landscape of the surrounding lomas, as well as particulate matter pollution that extends to some of the lomas. The map below shows how several lomas coincide with mining concessions that are characterized/designated for materials, primarily for the abovementioned construction.

**Map: Mining concessions in relation to lomas**



- c. Use of lomas species for forage and fuelwood: Depending on the degree of vegetation formation during the winter months, livestock grazing contributes to the degradation of the ecosystem. For example, approximately 250 animals graze on Loma Lucmos-Quebrada Verde, including goats and cows, while on Loma Pacta, 500 head of goats and 200 head of cows graze seasonally. While this threat is mostly seasonal, it has a high impact on endemic species (*Vasconselles candicans*, *Begonia octopetala*, *Caesalpinia spinosa* y *Vachellia Macracanta*). This practice is more serious during El Niño years due to the abundance of vegetation, where larger number of livestock may be brought into the lomas, with significant detrimental effects on perennials. With regards to gathering woody species for fuelwood,<sup>11</sup> currently, itinerant shephards are more likely to use woody species

<sup>11</sup> Cano, A. et.al. 2001 *Flora vascular en las lomas de Ancón y Carabayllo, Lima, Perú, durante El Niño 1997-98.*

(*Caesalpinia spinosa*, *Acacia macracantha*) as a source of energy than villagers in the buffer zones because it is no longer readily available – sources near settlements have already been depleted.

6. These threats affect the loma sites differently according to their location in the Municipality, and thus, their closeness to its urban areas. These factors are compounded by weak or non-existent appropriate land use policies and regulations, land tenure uncertainty and lack of enforcement of land tenure rights.

### **Baseline scenario**

7. The baseline investment for this project consists of approximately US\$ 21.5 Million, which corresponds to investment projects to be implemented in the buffer zones of the “lomas” by local governments (1 municipality and 8 municipal districts) and/or other state entities (SERPAR). A large portion of these will serve as part of the project’s co-financing.

<b>Municipal District</b>	<b>SNIP amount in Soles S/.</b>	<b>USD \$</b>	<b>Type of Investment</b>
Ancón	S/. 9,971,168.00	3,021,566	Creating an ecological park in the buffer zone of Lomas de Ancon
Carabayllo	S/. 3,722,850.00	1,128,136	Construction of vehicular and pedestrian routes in the buffer zone of Lomas de Carabayllo 2
Comas	S/. 1,653,858.00	501,169	Construction of vehicular and pedestrian routes in the buffer zone of Lomas de Collique
Independencia	S/. 4,825,641.20	1,462,316	Installation of protective services (retaining walls) and improving vehicle and pedestrian routes in the buffer zones of Lomas de Amancaes
Pachacamác	S/. 29,410,744.70	8,912,347	Expanding water storage capacity in reservoirs, expansion and rehabilitation of vehicular access in the buffer zones of Lomas de Lucumo
Puente Piedra	S/. 2,699,401.00	818,000	Improvement of alternate access routes in buffer zones of Carabayllo 2
Rímac	S/. 1,080,621.73	327,461	Construction of retaining walls and paving urban roads in the buffer zones of Lomas de Amancaes
San Juan de Lurigancho	S/. 2,236,635.00	677,768	Improving parks and retaining walls in the buffer zones of Lomas de Mangomarca
Villa María del Triunfo	S/. 15,634,022.38	4,737,582	Several projects aimed at road infrastructure, drinking water, embankments and health modules in the buffer zones of the Lomas del Paraiso.
<b>TOTAL</b>	<b>S/. 71,234,942.01</b>	<b>\$ 21,586,345</b>	

8. The Lomas fall under the joint jurisdiction of MLM, MINAM and SERNANP. MINAM, in its role as the national environmental authority, oversees the general policy of the management of fragile lomas

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En J.Tarazona, W. Arntz y E. Catillo de Maruenda (eds). El Niño en America Latina: Impactos Biológicos y Sociales. CONCYT.



ecosystems as established in the General Environmental Law (Law No. 28611) in Article 99, while Article 35 of DS No.007-2008- MINAM's rules of organization and functions (ROF) - provides functions to the Department of Biological Diversity to formulate, conduct and supervise, policies, plans, strategies and tools for ecosystem management in the country, especially fragile ecosystems, developing the National List of the fragile ecosystems of Peru for approval on the basis of the relevant sectoral lists. Meanwhile, the management of the lomas is the responsibility of the Metropolitan Lima Municipality and District Municipalities as established by the Organic Law of Municipalities (Ley Orgánica de Municipalidades No. 27972). Articles 9, 73 and 79 of the Law indicate the function of approval of plans for territorial conditioning at provincial and district levels (Chapter II), which identify urban areas and urban sprawl; the areas of protection or security from natural hazards; agricultural areas and areas of environmental conservation declared in accordance with the law; and SERNANP as the National Authority to define policies of conservation of natural protected areas that the State considers crucial to the protection of fragile lomas ecosystems.

9. Under the institutional umbrella of MINAM, SERNANP has the responsibility to approve the rules and establish the technical and administrative criteria and procedures for the establishment and management of Natural Protected Areas (ANP), as well as to guide and support the management of ANP that are administered by regional/local governments and land owners of recognized private conservation areas. In this framework, SERNANP has been carrying out coordination actions with the local governments to promote conservation of the lomas and has given support by establishing technical criteria for the creation of Regional Lomas Conservation Areas. Both the coordination efforts and technical criteria will be essential to the project's efforts to formalize the creation of Conservation Areas in the Lomas of Lima under Component 1.

10. The Metropolitan Lima Municipality (MLM) together with the District Municipalities is responsible for environmental management in its jurisdiction. At the level of the Municipality of Lima, unlike the previous administration, there is no specific lomas program. Both MLM and the district municipalities have made efforts to tackle the lomas invasions/human settlements by strengthening the legal framework and the adoption of new ordinances, in an effort to avoid permanent threats that affect all the lomas. These initiatives have had greater reach in the municipalities of Carabayllo, Independencia and Villa Maria del Triunfo. The adoption of Ordinance No. 1628-2012 - MLM that defines the metropolitan environmental policy, Ordinance No. 1640-2012 MML establishing the metropolitan environmental agenda and Ordinance No.1853 which establishes the Principles of Organic Structure of Metropolitan Lima all consider the priority of addressing the fragile ecosystems of lomas<sup>12</sup>.

11. Despite the number of legal provisions for lomas conservation, to date, there are no formally-recognized Conservation/Protected Areas in the Lomas of Lima. This lack of formal protection status has raised concerns among a variety of stakeholders that are interested in protecting the lomas. Consequently, several local citizen groups, NGOs, and, to a lesser extent the private sector, have initiated efforts to work on the protection, management and recreation development of selected lomas in Lima. However, some district municipalities have undertaken important initiatives to conserve the lomas, such as the Municipality of Ancon, Carabayllo, Independencia, San Juan de Lurigancho, Villa Maria del Triunfo and the Municipality of Pachacamac and Lurin. In these district municipalities, tourism ventures are in varying degrees of implementation, delimitation of some of the lomas has been achieved with the support of SERFOR, and a basic inventory has been done of the lomas' flora and fauna. These actions have been complemented by lomas conservation and protection workshops promoted by the SERNANP. As a result of this effort, the Ministry of Agriculture and Irrigation (MINAGRI), recognized 9 lomas of the Province of Lima in the National List of fragile ecosystems. These lomas represent an area of 12,569.41 ha.

12. Furthermore, the Metropolitan Environmental Agenda 2015-2017 was approved within Ordinance No. 1934, expressing the need to develop investment projects for the conservation and protection of the

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<sup>12</sup> <http://www.munlima.gob.pe/images/descargas/gobierno-abierto/transparencia/mml/informacion-adicional/estudios-ambientales/DiagnosticoAmbientalProvinciaDeLima.pdf>

lomas. Likewise local district municipalities have passed ordinances to declare lomas slopes as untouchable and as protection areas for environmental conservation and tourism (Municipal Ordinance No. 437 / OM), thereby offering initial co-managed protection of the slopes with actors from civil society implementing awareness actions directed to the general public and students of the lomas buffer zones located in their jurisdiction. Tree planting campaigns are implemented with native species at in the lomas of Carabayllo, Amancaes, Paraiso and Lucumo; and in Lomas Lucumo, drip irrigation systems were installed to ensure survival of the trees that were planted.

13. Ecotourism committees have been formed in some lomas, as in the case of the Primavera Lomas in Carabayllo, to conduct cleanups with the help of colleges and universities and promote an ecotourism circuit supported by the local district municipality. Meanwhile, the District Municipality of Independencia has embarked on the creation of a management committee for the Lomas of Amancaes and Bella Durmiente. The committee has a formal structure and identified conservation areas along transit routes for tourism promotion and visits to the lomas. In the lomas of Pacta, Quebrada Verde and Lucumo, local organizations have developed basic infrastructure for visitors (trails, bathrooms and restaurant), charge entry fees, and work on informal reforestation initiatives (the fourth reforestation campaign was conducted in June 2013). These efforts have intensified in recent years with increasing involvement of the local governments and heightened visibility of the importance of the lomas and its conservation.

14. The District Municipality of Ancon has the greatest potential for conservation of the lomas. Ancon joined forces with the Ministry of Environment (MINAM) to declare on September 14, 2010 by Supreme Decree No. 013-2010-MINAM a Special Project for the creation of the Antonio Raimondi National Ecological Park (PEPENAR). This Park directly involves the lomas of Ancon (1,320 ha), with a total area of 8,130.26 ha., and has already developed a comprehensive plan for long-term implementation. The area promotes sustainable and concerted action for the entire region of Lima. The area will benefit Lima, a megalopolis where there has never been an intervention of this magnitude and where the experience in models of sustainable environmental and land management has not been developed. This model can serve as an important contribution to the sustainable management of the other lomas selected for this project.

15. A private sector company, Cementos Lima SA, has worked on promoting the conservation of *Ismene amancaes* in collaboration with local organizations.<sup>13</sup> This company has established an unofficial private protected area called "The Amancay Sanctuary" 8 km from the village of Pachacamac within the Cristina concession owned by the company. This Sanctuary covers 70 hectares, of which 30 ha are untouchable, and is designed to recover *amancaes* flowers and sustainably use the vegetation of the lomas. There are also NGOs, such as the Center for Studies and Disaster Prevention (PREDES), Cooperazione Internazionale (COOPI), Sustainable Development Group (GEA) and the Center for Research, Documentation and Population Consulting (CIDAP), that have been working in the buffer zones of the Amancaes lomas (districts of Independencia and Rimac), and the loma of Lucumo (District of Pachacamac) and Carabayllo, whose actions are related to reducing disaster risk, with the improvement of living conditions of the populations living in the areas surrounding the lomas, environmental protection and support for the development of tourist circuits as in the case of Lucumo lomas in the town of Quebrada Verde. The estimated ongoing projects of these organizations' investment is: PREDES (US\$1 million funded by USAID), COOPI IRD-CARE Peru (US\$1,152,262 funded by USAID) ending in 2017 and running the project CIDAP the Right to Live Better in the buffer zone of Carabayllo. Projects have also been implemented in the lomas of Lucumo by the GEA Group with Peruvian/Italian funding.

16. This GEF project was originally conceived under the previous MLM administration, whose main contribution was the development of the technical dossier for the creation of a Regional Conservation Area for lomas and actions to develop participatory management of these fragile ecosystems. With the change in administration came a change in ownership of the project to SERNANP, due to its expertise in establishing and supporting protected areas and the relevant management mechanisms (i.e. Management Plans).

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<sup>13</sup> *Ismene amancaes* was listed as Endangered in the 1997 IUCN red list of threatened species and is currently listed as Vulnerable in Peru's legislation (2006).

However, district municipalities with lomas in their jurisdiction have become very active and surpassed the commitment originally envisioned of the MLM administration in pursuing this initiative. Indeed, the contribution of local governments through public investment programs (PIP) is approximately \$21.5 million dollars, which will be a very valuable contribution to the achievement of project objectives (i) to conserve the ecosystems of lomas, (ii) development of tools for managing land use and (iii) economic diversification and land uses of low impact.

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### III. STRATEGY

#### **Long-term Solution/Theory of Change**

17. The long-term solution to the degradation of the lomas ecosystems is the formalized protection through conservation and permitted mixed uses of the areas, with regard to established thresholds and carrying capacity. Considering the context presented in the development challenge section, the Project defines a Theory of Change (TC) as follows. First it acknowledges the direct causes of *lomas ecosystem degradation and loss of biodiversity and ecosystem services in lomas*. As presented earlier, there are three types of direct causes that promote *BD loss and degradation*: (i) spread of urbanization, which has progressively encroached on lomas ecosystems, (ii) non-mineral mining activity, mainly related to the extraction of materials for the construction industry, and (iii) unregulated use of lomas species for forage and fuelwood. The underlying causes of degradation include: demographic factors; economic factors; and political - institutional factors.

#### **Expected change**

18. The expected changes (or impacts) are the following:

- a) to contribute to the establishment of formally-recognized conservation areas (public and private) so as to safeguard globally-important biodiversity and ecosystem services in the fragile lomas ecosystems of Lima;
- b) to contribute to the capacity of local governments, MLM and SERNANP to plan and manage in a participatory manner the conservation, restoration and sustainable use of fragile lomas ecosystems; and
- c) in the context of a) and b) to contribute to the capacity of local users to adopt sustainable economic practices in agricultural/livestock, mining and ecotourism sectors.

19. The Theory of Change revolves around the expectation that by laying down the foundations of the long-term public policy regarding the use and conservation of fragile lomas ecosystems, and encouraging specific activities that restore degraded areas, the project will ensure long-term survival of the lomas and the ecosystem services they provide. Currently, as described in detail in the Barriers below, the institutional and regulatory framework do not attend the needs of the Lomas of Lima in a cohesive way. Furthermore, there are a number of individual initiatives in local communities to deal with specific local use and degradation issues, but no overarching guidance and support mechanisms to ensure an integrated approach. The project has been elaborated to provide a cohesive legal and institutional foundation with an emphasis on active participation of the local communities and users to generate an enduring change in the planning and management of these fragile lomas ecosystems.

20. Additionally, it is envisioned that the changes generated by the regulatory and administrative measures arising from this Project will establish a favorable regulatory environment so that current and future development is done in harmony with the unique characteristics of the lomas ecosystems, thereby ensuring the conservation of globally-important biodiversity, the ecosystem services they provide, and viable low-impact economic activities for local communities.

#### **Barriers**

21. The barriers to achieve this long-term solution include legal, institutional and capacity weaknesses:
22. No formal protection of lomas ecosystems: While *lomas* are categorized as fragile ecosystems in Peru's environmental law, very few areas have formal protection status. In particular, no formal protection status exists for those *lomas* found in the Province of Lima.
23. There are protected areas of *lomas* outside Lima, such as Lachay (in Huaral province) and Atiquipa (in Arequipa province), both created under the National System of Natural Protected Areas by the State - SINANPE under National Reserve and Private Conservation Area (ACP) categories. The Lachay Lomas ACR (DS No. 310-77-AG.) was established with the aim of restoring and conserving wild flora and fauna, conducting research on rational use of the *lomas*, and promoting recreation in harmony with nature, as well as protecting archaeological remains of Teatino culture, an ancient pre- Inca culture, unique in its development of ceramics. Meanwhile, the Atiquipa Lomas ACP (Ministerial Resolution No. 165-2011-INAM) was established in order to protect and conserve the biodiversity, ecosystem services provided, and cultural heritage through sustainable management activities with community participation –a public-private partnership. Unlike these two examples, to date, the Lomas of Lima have not been afforded any formal protection and are at risk from the Threats mentioned in the previous section.
24. Currently, there are a number of individual civil society initiatives with varying levels of support from local governments to defend the Lomas of Lima from the invasion dynamics of new human settlements, the installation of informal non-metallic quarrying mining enterprises, and construction of unauthorized roads, among other threats. However, these are dispersed and their success is limited by the lack of formal protection of these fragile *lomas* ecosystems. Without formal protection for *lomas* conservation, institutions lack the authority and resources to pursue partnerships and develop coordination mechanisms to conserve the *lomas* and the ecosystem services they provide. The lack of formal protection also inhibits the access to and application of adequate management tools for the sustainable use of *lomas* buffer zones. Consequently, there is a low valuation of the *lomas* among stakeholders and an absence of incentives to invest in sustainable management of the Lomas.
25. Given these circumstances, there is an urgency to establish formal protection mechanisms to conserve and protect these valuable arid ecosystems for their biodiversity and ecosystem services values in a metropolis that does not have enough green areas. The *lomas* are the "lung for the city" and a last relic to improve its environmental quality. Without formal protection mechanisms and accompanying sustainable management and use practices, the endemic species of flora and fauna that inhabit these areas are at risk of disappearing. Based on the Lachay and Atiquipa experiences, the Regional Conservation Area (ACR) model would be best suited for the north and south central Lomas of Lima, while the ACP model would be best suited to protect the southern *lomas* of Lima.
26. Inadequate land use management tools: As mentioned in the Threats section, Lima's fragile *lomas* ecosystems are highly vulnerable to urban pressures. Lima is a megacity with a population of 9 million people, and due to the demand for housing, poor migrants often settle in slums in the areas surrounding the *lomas*. Current zoning and land-use management tools do not properly recognize and manage this human settlement dynamic in the *lomas* areas, as they lack adequate zoning regulations and criteria specific to the distinctive features of these areas. Present zoning regulations are limited to traditional residential or productive use modalities without any criteria related to the conservation and sustainable use of biodiversity and ecosystem services provided by fragile *lomas* ecosystems. This is due, in part, to overlapping institutional mandates and a lack of detailed information regarding the unique characteristics of the *lomas* biodiversity and ecosystem services.
27. There are a variety of institutions at the national, regional and local levels that have overlapping mandates with regards to the management and use of the *lomas* and their resources. The Ministry of Agriculture and Irrigation (MINAGRI) governs land use and management since 1943; in 2008, the Ministry of Environment (MINAM) was established with the duty to "design, establish and implement environmental policies," while the Ministry of Energy and Mines (MEM) was charged with concession permits. These three ministries each play a role in classifying land in terms of function for potential use, such as:

agriculture, forests, protected areas, mining, and forestry concessions, among others. MINAGRI determines the optimal suitability of land use, while subnational governments (i.e. MLM and municipal districts) under the guidance of MINAM have the responsibility of land use planning (via territorial ordinance or zoning), which aims to guide decision makers in determining the most appropriate set of uses in the territory. A key component of this process is Ecological and Economic Zoning (EEZ), which identifies potential use activities within the territory by collecting and modeling of physical, environmental, social, ecological and cultural data. However, even though the regulatory and legislative framework states that land use should be defined by subnational governments based on the land administration system approved by MINAM to harmonize land management plans with related social and development plans, this land use planning does not have a "legally binding" character and its application is only referential.

28. Indeed, without clear definition of roles and responsibilities among different stakeholders, the lomas are susceptible to competing and oftentimes contradictory decisions, creating a quagmire for planning, management and conservation efforts. In particular, competences regarding the role of public institutions to conserve and manage the Lomas are not clearly defined, as management mechanisms are not regulated. Consequently, there is an urgent need to generate concerted mechanisms between MINAM, SERNANP, MLM, and local district governments to establish a single legal framework for intervention in the conservation of the Lomas, and define the specific roles of each in their conservation.

29. There is also a general lack of information that is crucial to establishing effective management plans related to Lima's lomas. Without sufficient relevant information for proper decision-making, current management plans do not take into account the variability of lomas ecosystems and their sensitivity to certain activities. There have been basic cadastral surveys performed on several lomas, but none include information regarding biodiversity and ecosystem services provided by the lomas, nor the carrying capacities associated with different activities.

30. Current management plans are defined differentially in the agenda of Provincial and Municipal Government, but these efforts have been scattered without a comprehensive vision of sustainable development of the City of Lima and its surroundings. The task of conserving the lomas is included in the Lima Metropolitan Environmental Agenda 2015-2017 (Ordinance No. 1934 MLM) as well as in the principles of Lima's Metropolitan Ecological Structure (Ordinance No. 1853 MLM). However, while these ordinances define general guidelines for Lomas conservation, they do not have sufficient mandate to implement conservation measures and sustainable management of the Lomas.

31. Furthermore, local governments have relatively few planning tools related to land use, with the exception of providing agricultural extension services. Indeed, they are ill-equipped to regulate small-scale mining, artisanal and informal; and to issue binding opinions for mining concessions in areas of urban sprawl. This is exacerbated by the difficulties regarding land tenure as the lomas areas are considered to be under public ownership by the State and the Communities of Jicamarca, Collanac, Chilca and Cucuya. The continuous invasions of State- and Community-owned land reveal a complete lack of capacity to control public property, as evidenced by some people having illegally obtained Deed certificates with the complicity of corrupt officials from municipal districts, while other Communities have rented or sold their lands to different real estate companies or individuals.

32. The available land use management tools need to be adjusted to the unique characteristics that distinguish Lima's fragile lomas ecosystems, especially those related to urbanization pressures resulting from their proximity to such a densely populated city. Current conservation efforts for these fragile ecosystems are being implemented in a dispersed manner through the goodwill of individual institutions and civil society stakeholders. Without adequate land use management tools, these individual efforts have limited impact and the lomas are increasingly at risk from urban pressures such as quarrying of non-metallic materials, road construction related to the installation of electrical networks, waste (solid and liquid) from human settlements and visitors, overgrazing, and real estate developments (especially in the southern lomas).

33. Prevalence of high-impact economic activities: Given the current zoning regulations, the lomas ecosystems are under constant siege by grazing livestock, non-mineral mining activities, and urban encroachment that is gradually advancing changes in land use.

34. Peru's economic growth has promoted urban construction, which has led to road construction and the authorization of concessions for quarrying of construction materials in the areas surrounding the lomas, causing soil degradation of these fragile lomas ecosystems. The extraction of construction material by formal and informal non-metallic mining is critical to the real estate boom and is already changing the topography and landscape of buffer zones of Lima's lomas. These activities are generally concentrated in the slopes of Lomas Ancon and Carabayllo in the north. Informal access roads accompany the change in land use in the southern Lomas under the jurisdiction of the municipalities of Lurin, Pachacamac, Punta Hermosa, Punta Negra and San Bartolo.

35. Similarly, cement factories, brick kilns and small industry have been installed informally in the buffer zones and have had significant environmental impacts on these fragile ecosystems. Specifically, dust deposition may affect photosynthesis, respiration, transpiration and allow the penetration of phytotoxic gaseous pollutants; as well as cause visible injury and generally lead to decreased productivity<sup>14</sup>. Given that most of the plant communities are affected by dust deposition, the community structure of the lomas is ultimately altered.

36. In addition, farming and livestock grazing are unregulated and improperly managed in the lomas. Chicken farms have been installed in the buffer zones and are a source of contamination and odors. Meanwhile, livestock grazing of goats and cattle by nomadic families has a particularly high impact on fragile lomas ecosystems. Overgrazing in the lomas jeopardizes the survival of highly palatable plants; the absence of regulations and lack of control results in farmers keeping their animals longer than they should in an area. This unregulated itinerant grazing causes soil erosion and is especially damaging in the bloom season when it affects flora reproduction, especially endemic species. This problem occurs mainly in the southern Lomas that are extensive and attractive for grazing. Approximately 500 heads per year graze in the lomas.

37. The absence of alternative sustainable production practices means current economic activities will continue to jeopardize the health and survival of Lima's fragile lomas ecosystems.

38. Scarce capacity of relevant stakeholders to monitor and evaluate lomas conditions: Local municipal authorities, from Ancon to San Bartolo, with jurisdiction over the 20 lomas registered by Lima Municipality and the Ministry of Environment, are in charge of monitoring the health of the environment at municipal and national scales. However, there is a lack of key indicators to gauge the health of the *Lomas* ecosystem. Indeed, they rely on criteria and tools that are not adapted to the particular conditions associated with *Lomas*. In particular, EEZ management tools, concerted development plans and environmental strategies do not prioritize or include criteria regarding the conservation of the Lomas. Furthermore, since 2012, some have been initiated to conserve these fragile ecosystems but there is no permanent mechanism for participatory monitoring with relevant local and institutional stakeholders.

#### **Selected approach**

39. To address this, the project will support a multi-pronged approach in collaboration with key local, regional and national stakeholders comprised of the strengthening of the institutional framework related to the conservation and sustainable use of fragile lomas ecosystems, the establishment of conservation areas, and economic diversification including low-impact productive activities (e.g. ecotourism, sustainable agriculture/pastoral practices, and low-impact mining).

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## **IV. RESULTS AND PARTNERSHIPS**

### **i. Expected Results:**

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<sup>14</sup> Farmer, A. (1993) "The Effects of Dust on Vegetation." Environmental Pollution Vol 79 pp.63-75

## **Project Objective and Components.**

40. The objective of the project is to protect, conserve and sustainably manage the lomas ecosystems in the Municipality of Lima<sup>15</sup>. With GEF support and cofinancing, the project aims to promote improved conditions for the conservation of these rare and fragile ecosystems which support a number of globally significant species and to decrease the risks of their degradation. In doing this, the project will work with local stakeholders to formalize and strengthen successful local community ecosystem management efforts, as well as promoting the replication of these to other loma sites. To achieve these objectives, the project is structured along a series of strategic initiatives. An urgent first step is to establish protected areas for the core lomas ecosystems within the Province of Lima. The protected areas will be complemented by extensive demarcation of the buffer zones and the provision of low impact recreational facilities between urban fringes of the city and the protected areas, as well as investments in vegetation recovery in key areas of the lomas' area of influence. A series of governance tools will also be developed in parallel to further encourage a participatory approach to an integrated management of the lomas and will be accompanied/ supported by an Interinstitutional Alliance<sup>16</sup> for the Conservation of Lomas with roles and responsibilities articulated and functioning. These activities will be supplemented by a participatory monitoring component.

### **Outcome 1. Lomas ecosystems conservation and protection system.**

41. The aim of this component is to support the creation and implementation of formalized protected areas and low impact recreational areas in the buffer zones as a means of diminishing the threats to Lima's core priority lomas ecosystems. The component will support the creation of Lomas Conservation Areas (Regional Conservation Area-ACR and other modalities, i.e. Private Conservation Area-ACP) covering approximately 21,000 ha by project end, each with their corresponding Management Plan, Financial Sustainability Plan and Surveillance Strategy (as defined with the communities).

42. In order to identify and prioritize the lomas to be supported by the Project, a list of criteria was established and information was gathered on the 20 lomas that are registered within the Province of Lima (see Table 1 and Annex A). As part of this exercise, meetings were held with officials of the corresponding municipal districts and 2 workshops were held to determine their level of interest and involvement in the conservation of the lomas and surrounding buffer zones. Meetings with civil society stakeholders were also held to inform them of the activities being carried out in the different lomas. The following 7 criteria were applied with a rating of 1 to 3 to prioritize the lomas to be selected for the project:

Criteria 1: Level of biodiversity hosted in the loma.

- 1: Little variability of flora and fauna
- 2: Average variability of flora and fauna
- 3: High variability of flora and fauna

Criteria 2: Potential threat from human settlements

- 1: High density of population in the buffer zone.
- 2: Sparse population in the buffer zone.
- 3: No presence of population in the buffer zone.

Criteria 3: Non-metallic mining in the buffer zone.

- 1: Presence of extractive activity.
- 2: Absence of extractive activity.

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<sup>15</sup> Per the 2002 Organic Law of Regional Governments (Ley Orgánica de Gobiernos Regionales) and the 2003 Organic Law of Municipalities (Ley Orgánica de Municipalidades), the Metropolitan Lima Municipality (Municipalidad Metropolitana de Lima-MLM) is the regional and provincial government of Lima Province. As such, to avoid confusion to the reader, this document refers to the Municipality of Lima.

<sup>16</sup> Possible members of the Alliance could include: UNDP, SERNANP, Municipality of Lima, MINAM, MINCU, MINCETUR, MINAGRI, MINEDU, local government officials, private sector, academia, NGOs and civil society.

Criteria 4: Ecotourism potential.

- 1: No initiative of ecotourism services.
- 2: Initiatives ecotourism services without implementation
- 3: Ecotourism services in place and functioning.

Criteria 5: Degree of interest of key stakeholders (municipalities, civil society and business).

- 1: The key players have no conservation initiatives
- 2: The key players have conservation initiatives without implementation
- 3: The key players have implemented conservation initiatives

Criteria 6: Public and private investment in the buffer zone.

- 1: No proposed public investment.
- 2: Public investment proposals in the buffer zone.
- 3: Public investment proposals in the buffer zone and in the hills.

Criteria 7: Degree of conflicts over property and land use.

- 1: With property disputes and land use in the area of asset hills.
- 2: With property disputes and land use in the area of latent hills.
- 3: No conflicts of property and land use in the area of the hills.

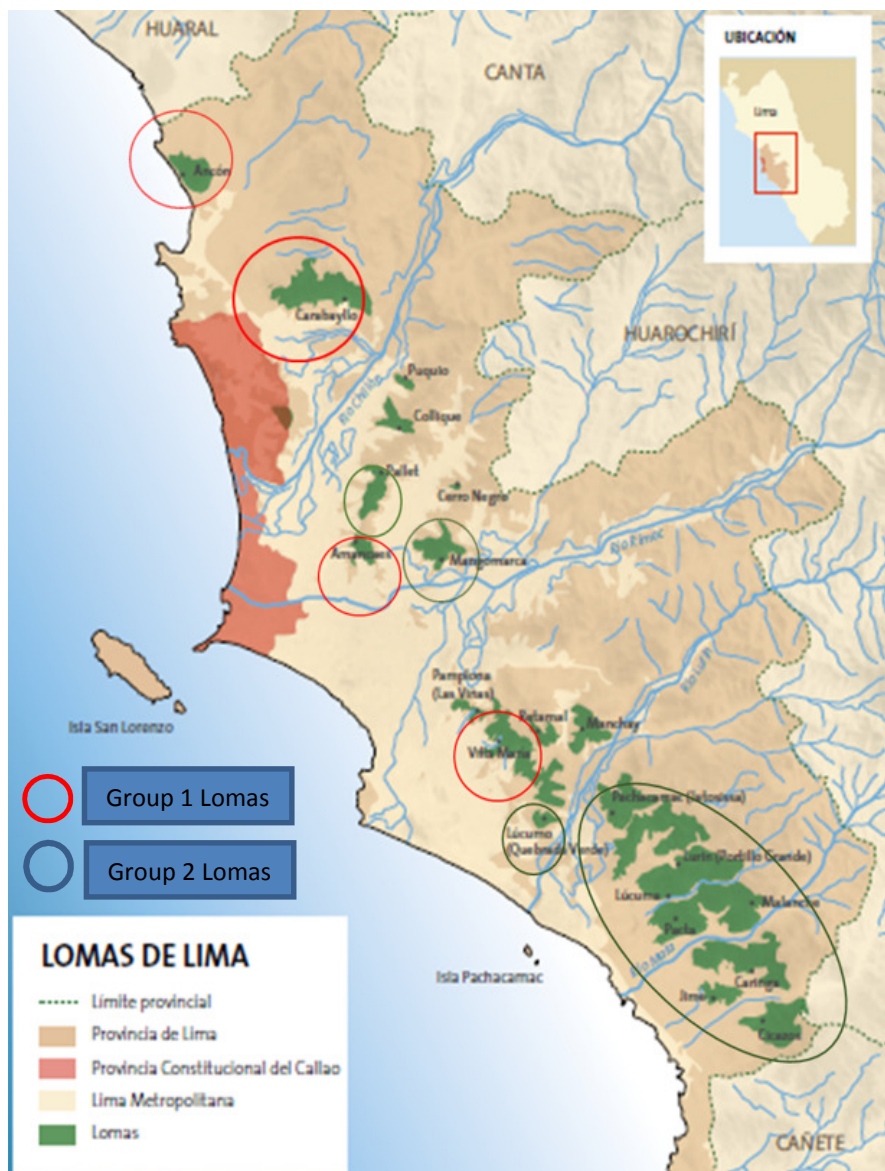


**Table 1. Results of the Prioritization and Selection Exercise of Lomas**

Loma	Criteria							Average	Result
	1	2	3	4	5	6	7		
01. Ancón	3	3	2	3	2	3	3	2.7	Selected
02. Carabayllo	3	1	1	3	2	2	2	2.0	Selected
03. Kilómetro 22	1	1	2	1	1	1	2	1.3	
04. Collique	1	1	2	1	1	2	2	1.4	
05. Lima Norte	2	1	2	1	1	1	2	1.4	
06. Amancaes	3	1	2	2	3	2	1	2.0	Selected
07. Mangamarca	3	1	1	2	2	2	1	1.7	Selected
08. Cerro Negro	1	1	2	2	2	1	1	1.4	
09. Villa María del Triunfo	3	1	1	3	3	3	1	2.1	Selected
10. Yanavilla	2	2	1	2	1	1	2	1.6	
11. Manchay	2	2	1	1	1	1	2	1.4	
12. Quebrada Verde (Lúcumo)	3	2	2	3	3	2	2	2.4	Selected
13. Manzano	3	3	1	1	1	1	1	1.6	This group of lomas should be worked in as one unit due to their shared characteristics.
14. Pucará	3	3	1	1	1	1	1	1.6	
15. Lúcumo	3	3	1	1	1	1	1	1.6	
16. Malanche	3	3	1	1	1	1	1	1.6	
17. Pacta	3	3	1	1	1	1	1	1.6	
18. Caringa	3	3	1	1	1	1	1	1.6	
19. Jime	3	3	1	1	1	1	1	1.6	
20. Cicasos	3	3	1	1	1	1	1	1.6	

Source: PPG Field visits

43. Based on the results of this prioritization exercise, and taking into account the Lachay and Atiquipa experiences, it was determined that the project would support the creation of two conservation areas, as depicted in the following map. The Regional Conservation Area (ACR) model would be best suited for the north and south central Lomas of Lima (Group 1), while a Private Conservation Area (ACP) or similar modality would be best suited to protect the southern lomas of Lima (Group 2).



44. **Group 1:** A first group of lomas has been identified that covers an area of 10,524 ha. (Table 2) to be protected through a Regional Conservation Area. This group of lomas forms part of what was originally considered for the establishment of a Lomas Park by a previous municipal administration, but was ultimately abandoned during a change of administration. As such, a draft of the technical dossier has already been developed, thereby facilitating the efforts of the project to establish this ACR. The project will therefore support the updating of this dossier as well as the development of its respective management plan.

**Table 2. Priority sites for Lomas conservation: Group 1**

Name	Area (ha)	District
Lomas de Ancon	9196.82	Ancon
Lomas de Carabayllo 1	287.92	Ancón, Puente Piedra, Carabayllo
Lomas de Carabayllo 2	218.07	Carabayllo
Lomas de Amancaes	227.02	Rímac, Independencia, San Juan de Lurigancho
Lomas de Villa Maria Triunfo	595.12	Santiago de Surco, La Molina, San Juan de Miraflores, Villa María del Triunfo
<b>Total area proposed for ACR</b>	<b>10,524.95</b>	

Source: ACR Proposal MLM, 2014

45. **Group 2:** A second group will be proposed for the establishment of a new conservation area in the southern lomas, covering approximately 11,205 hectares (Table 3). This would serve as a means to create buffer zones between threats (urbanization, mining concessions, etc) and fragile lomas ecosystems. The project will work with the local communities in these lomas and SERNANP to determine the appropriate modality for a private/ co-managed Conservation Area and develop the technical dossier and management plan accordingly.

**Table 3. Priority sites for Lomas conservation: Group 2**

Name	Area (ha)	District
<b>Lomas de Mangamarca</b>	516.1	San Juan de Lurigancho
<b>Lomas de Lucmos :</b> including Quebrada Verde, Guayabo, Picapiedra and Manchay.	1597.36	Villa María del Triunfo, Pachacamác and Lurín
<b>Lomas de lurin :</b> including Flor de nieva, Quebrada leña and Pucará	1372.07	Lurin
<b>Lomas de Pachacamac :</b> including Punta Blanca, Manzano and Pucará	4,547.69	Pachacamac
<b>Lomas de Pacta</b>	993.47	Punta Hermoza
<b>Loma de Caringa</b>	2178.6	Punta Hermoza
<b>Total area proposed for Conservation Areas</b>	<b>11,205</b>	

Source: SERFOR/ LM, 2014

46. To this end, component financing will include: (i) biodiversity baseline studies (biodiversity inventory, threatened species, and socioeconomic value of biodiversity); (ii) technical dossiers for the creation of the ACs; (iii) management plan for lomas conservation areas; (iv) financing plan for the lomas conservation areas; (v) participatory identification of checkpoint locations; (vi) and construction of checkpoints.

47. Critical to the establishment of these Conservation Areas is a detailed characterization of the biodiversity and ecosystem services of each lomas. Currently, there is a set of cadastral surveys that provides basic information on 10 lomas. The project will collaborate with local universities and research institutions that are committed to providing detailed characterizations of the 14 lomas prioritized by the project. This data will be compiled in a biodiversity inventory and made readily available for decision-making, especially in defining the management and sustainable use of the lomas that form part of the project's components.

48. The Conservation Areas will require a concerted collaboration between civil society, district municipalities and the municipality of Lima in order to establish arrangements for their use and upkeep. The project will support the definition of these arrangements through the elaboration and implementation of management plans for each Conservation Area. Within SERNANP, the Directorate of Strategic Development is comprised of three operating units. Of particular importance to this project is the support of the Physical Base Functional Operations Unit, including a specialist in forestry who is responsible for the Macroregion comprised of Lima Province, Lima Municipality, Ancash, Ica and Callao. This forestry specialist will be working directly with the project in the management of the fragile ecosystems of the Lomas of Lima. Meanwhile, the Deputy Directorate of Natural Resources and Environment, which depends on the Management Program of the Regional Government of Lima, is directly responsible for addressing the Lomas of Lima. Additionally, the management plans will take into account lessons learned from the Lachay (ACR) and Atiquipa (ACP) experiences, and be linked to the Lomas Conservation Strategy and

land use management tools to be developed in Component 2. To ensure the conservation of the lomas, intensive work will also be done with the local stakeholders/communities located in the buffer zones, organizing conservation committees with the opportunity to provide ecotourism services from Component 3.

49. Furthermore, a crucial component of these management plans will be the inclusion of a Financial Sustainability Plan and Surveillance Strategy (defined with the communities) to support the conservation and surveillance efforts. An important foundation of the financing plan is the Public Investment Plans (PIPs) already approved and programmed for different complementary initiatives in the lomas. Furthermore, the project will engage MINAM's General Directorate of Valuation as well as the General Directorate of Biodiversity during the elaboration of these plans to consider potential compensation and incentive mechanisms for lomas conservation.

### **Outcome 2. Land use management tools.**

50. A number of threats to Lima's fragile lomas ecosystems are related to the lack of adequate zoning regulations, lack of information and management plans related to the lomas, and unclear definition of roles and responsibilities among different stakeholders, among others. The objective of this component is to develop integrated land use management tools and participatory processes for an effective management of the Lima's core lomas ecosystems conservation areas and their adjacent buffer zones, taking into consideration biodiversity aspects, ecosystem services, integrated natural resources management (INRM) and competing land uses.

51. Activities to be financed by the component include: (i) a participatory process involving civil society, private sector and local governments towards developing a lomas ecosystem management strategy (Lomas Conservation Strategy) and zoning proposals (to be approved by local municipalities and MLM); (ii) development of an oversight mechanism, including the creation of an oversight committee, to monitor and take action on activities in the ACR and its adjacent buffer zones; and (iii) evaluation of current public-private partnerships involved in the care, restoration and use of lomas and promoting similar and improved initiatives.

52. In particular, the project will support the elaboration of a Lomas Conservation Strategy and management policy for lomas ecosystems with a strong focus on integrated biodiversity conservation and ecosystem services management. An important foundation for this is the Metropolitan Environmental Agenda 2015-17 of which Strategic Action 2.2.4 states the need of MLM to work in lomas. The project will build upon this to define a conservation strategy to enable MLM to fulfill its mandate in collaboration with other relevant institutions (MINAM, SERNANP, SERFOR) and civil society stakeholders. Furthermore, the Vulnerability and Impact Analysis to be conducted through Component 3 regarding the impacts of climate change on fragile lomas ecosystems, will provide important information to guide the articulation of some of the conservation and management strategies to be considered in the overall Lomas Conservation Strategy.

53. The Lomas Conservation Strategy will be bolstered by the development of local integrated land use management policies, e.g. integrated natural resources management (INRM) and land use zoning, that include biodiversity and lomas ecosystem conservation criteria for at least nine local governments (8 district municipalities plus the Municipality of Lima). Villa María el Triunfo, Comas and Carabayllo already have local ordinances but lack the resources and/or roadmap to implement them adequately for conservation of BD and ecosystem services. Meanwhile, all local governments have (or are in the process of elaborating) a Concerted Development Plan that provides basic guidance for local development initiatives. These provide an important foundation upon which to develop effective BD-friendly INRM-based land use tools.

54. It is also important to note that local youth and women are crucial actors in the implementation of conservation and surveillance efforts (e.g. within current grassroots organizations doing surveillance activities, 60% are women and 40% are men). As such, the definition of both the Lomas Conservation Strategy and local land use management tools will be done in a participative and gender-sensitive manner.

55. Finally, as a means of implementing the Strategy and testing the BD-sensitive land-use tools, the project will seek to strengthen existing public-private partnerships for lomas management, as well as support the creation and implementation of at least two new public-private partnerships. Between SERFOR and SERNANP, there are several partnership modalities to consider:

- a. SERFOR modalities:
  - i. Ecotourism Concessions (Public-Private Associations –APP)
  - ii. Conservation (no-use) Concessions
- b. SERNANP modalities:
  - i. Regional Conservation Areas (ACR),
  - ii. Private Conservation Areas (ACP),
  - iii. Natural Protected Areas (ANP)
  - iv. Environmental Conservation Area (ACA) which is yet to be legally recognized.

56. Currently, there are a few formal and informal public-private partnerships aligned with lomas conservation and management. These include ecotourism initiatives in Carabayllo, Villa María del Triunfo, Mangamarca, Mancaes, and Independencia. Lomas de Lucumos, VMT and Carabayllo are officially-recognized APPs for ecotourism, while Mancaes and Independencia are not fully registered. Meanwhile Cementos Lima is carrying out the equivalent of an ACP in Lomas Pachacamac (although officially still not recognized) and could potentially develop something similar in Collanac and Cucuya. The project will collaborate with the relevant parties to determine which modalities to pursue based on these experiences and taking into account who has property rights for the selected areas.

57. To facilitate this, personnel from municipalities, civil society organizations and private sector will be trained in biodiversity and ecosystem services management, and land use planning.

### **Outcome 3. Economic diversification and low-impact land use.**

58. The threats of over-grazing, unregulated mining concessions and other activities have an important impact on the quality of the lomas ecosystems. Through this component, the project will work hand in hand with local stakeholders to reforest degraded loma areas with native flora; develop and promote sustainable animal husbandry and grazing practices; as well as develop regulation and enforcement mechanisms for mining concessions, and thereby support the adoption of low-impact practices. (See Annex A for more detailed information regarding specific interventions in each of the selected lomas.) Experiences with reforestation and grazing management in the lomas of Lachay and Atiquipa will be integrated into the design of specific interventions, per the specific characteristics of the selected lomas.

59. The component will finance: (i) reforestation, building of water fog-catchers and small reservoirs; (ii) evaluation of grazing patterns and the role of lomas for sustaining grazing dependent families; (iii) identification of alternative grazing management techniques to lower its impact on the lomas ecosystems; (iv) identification of non-metallic mining concessions in the lomas ecosystems and estimation of their impact, as well as measures to reduce such impact; (v) evaluation of tourism opportunities and development of tourism plans and needs for selected loma sites; (vi) construction of low impact tourism facilities in selected loma sites, and (vii) training and capacity building activities.

60. As part of the LD portion of GEF support, the Project will support the reforestation (see Annex A) of approximately 1,000 hectares of degraded lomas areas with native species, particularly economically important trees, such as the tara (*Caesalpinia spinosa*). A Vulnerability and Impact Analysis will be conducted regarding the impacts of climate change on fragile lomas ecosystems to guide the design of the restoration and management strategies mainstreaming ecosystem-based disaster risk reduction and climate change adaptation. Consultations with local communities during the PPG indicate a strong commitment of local stakeholders to get involved in the labor of restoration activities, e.g. establish nurseries of native species, participate in reforestation and ensure vigilance of restored areas. As such, the Project will support

the adaptation of at least one municipal nursery to reproduce and grow native forest species and bolster it with a Market Analysis and Business Plan to ensure its financial sustainability beyond the project’s funding period. The findings of this Analysis will facilitate the processes to acquire public and private investment in the establishment of similar nurseries in other lomas. Furthermore, water fog-catchers and small reservoirs will be built to facilitate the reforestation efforts, providing a source of water for newly planted tree seedlings to increase their survival rates.

61. The project’s restoration (reforestation) efforts consider two actions that will contribute to the conservation of the lomas of Lima:

- Reforestation with native species in the buffer zone in coordination with grassroots groups and the support of the municipal districts, such as Lomas de Amancaes, Carabayllo, Villa Maria del Triunfo and Lucumos. While the extension is not large in terms of hectares, the work must be done in a comprehensive and coordinated manner between the project and the local stakeholders.
- The other task is the repopulation with native species of trees on the same lomas. This will be done in lomas where there used to be good density of trees but are currently at risk of disappearing due to misuse/ mismanagement.

62. The design and implementation of these actions will consider the experience acquired through similar efforts in the Lomas of Atiquipa (Arequipa). Repopulation was done with trees by closing areas temporarily to avoid pressures from livestock grazing, which not only helped the success of reforestation but also helped a rapid recovery of plant biomass. Another option is to fence the individual trees to a height beyond the reach of the livestock.

63. The project will also work with local and itinerant ranchers to reduce the impact on lomas ecosystems from grazing and other livestock activities. Small poultry and pig farms are found in 8 of the 14 selected lomas and will receive support to improve the management of their waste and odors to decrease their impact in the buffer zones. Lomas de Lucumos, for example, has already established criteria regarding the use of Lomas resources and animal husbandry, but it needs to be strengthened and enforced. The project will work with this and other lomas communities to determine the most effective strategy to engage the ranchers and help them adopt sustainable, low-impact practices.

64. Additionally, further opportunities will be sought for expanding tourism in Lima’s lomas. As mentioned in the Baseline and Component 2, there are several lomas communities that are already engaged in a variety of tourism services, including tour guides and restaurants. The project will work with tourism agencies and local lomas tourism service providers (guides) to develop BD-friendly/low-impact tourism activities and packages. The experiences generated from developing tourism in Lomas of Lucumos will be important in guiding the project’s support in strengthening and promoting ecotourism options and capacities in other lomas communities. In Lomas of Lucumos, for example, grassroots groups organized themselves and have been offering lomas-based ecotourism services since 2000. As shown in Table 4 below, Lucumos received 17,000 visitors in 2015 and generated an income of approximately \$21,200 dollars. There are similar initiatives on a smaller-scale in the Lomas of Villa Maria del Triunfo (Loma de Paraiso) which recorded 2,000 visitors in 2015, as well as in the Lomas of Carabayllo, Amancaes and Mangomarca.

**Table 4. Number of visitors to the lomas during 2014-2015 that used local tourism services**

<b>Lomas</b>	<b>2014</b>	<b>2015</b>
Lucumos	15000	17800
Villa Maria del Triunfo	1800	2000
Carabayllo	530	750
Amancaes	No registry	1000
Mangomarca	900	700

65. These grassroots examples demonstrate the increasing interest and value placed on the tourism potential of these fragile ecosystems, thereby presenting an important opportunity for the project to support the establishment of criteria and guidelines to ensure the tourism services are developed in a way that both conserve and promote the important biodiversity and ecosystem services provided by these unique lomas ecosystems. A survey will be conducted to determine the needs of tourism operators and service providers, for example, taking into account particular needs of women and young people to develop their livelihoods, as well as calculate the potential increase of tourism activity in selected lomas and the carrying capacity limits of the ecosystem with regards to increased activity. The results of this survey will guide the project's efforts to provide training of local tourism organizations with an emphasis on gender and youth, including training and exchange of experiences of local artisans, tour guides, business administrators, restaurateurs, etc.

#### **Outcome 4. Monitoring and evaluation.**

66. Working together with local universities and NGOs, the project will monitor key indicators to gauge the health of the lomas ecosystem and establish a permanent mechanism for participatory monitoring, in conjunction with local municipal district authorities and the Ministry of Environment. The project will build upon the dispersed efforts of individual institutions and organizations, i.e. SERFOR has 9 individual factsheets on lomas flora and fauna. To accomplish this, the project will support the elaboration of a participatory Monitoring Plan for the conservation and sustainable use of lomas ecosystems, as well as vulnerability/impact from CC. This will be followed by the establishment of 14 permanent monitoring sites (one per lomas), training of local monitors, and periodic monitoring of BD indicator species to be determined in Year 1. It is envisioned that this participatory M&E system would monitor the presence of endemic flora as well as annual populations of migratory birds and determine if new birds are coming to the lomas in response to the restoration and conservation activities implemented in the above components and post-project.

67. This component will also finance the development and implementation of an integral lomas communication strategy (paper and virtual) and citizen mobilization campaign with a gender and youth focus. Specifically, a variety of awareness activities will engage schools in citizen conservation activities (adopt-a-tree, photo monitor of species, etc). Currently, there are a few organized groups that are active in the lomas that are linked to one or two schools. The project will support the implementation of these activities in all of the selected lomas, thereby establishing the experience to replicate these activities in more schools in the surrounding buffer zone or beyond. The project will also support events such as community cleanups, reforestation campaigns, and parades. Each year there are a handful of events at the beginning of the lomas' flowering season that are distributed through various media. The project will work to enhance and expand these events each year, as well as complement them with academic events and possibly one international event.

68. This component will also finance the terminal evaluation of the project and ensure the compilation and distribution of lessons learned for future replication in other priority lomas areas.

#### **Consistency of the project with National strategies and plans or reports and assessments under relevant conventions, i.e. NBSAPs, national communications, etc.:**

69. The Convention on Biological Diversity was ratified by Peru in 1993. Over the next several years a series of legislation was enacted related to the protection, management and sustainable use of biodiversity: Law for Conservation and Use of Biodiversity (1997), Law of Protected Areas (1997), National Biological Diversity Strategy (2001), Environmental Law (2005), National Environmental Policy (2009) and its 2011 – 2021 Action Plan.

70. Under Chapter 2 (Conservation of Biological Diversity) of Peru's Environmental Law (2005), Article 99 defines lomas as fragile ecosystems, further indicating that special protection measures need to be adopted for these types of ecosystems. In Peru's fourth national communication on the application of

the Convention on Biological Diversity (2010), lomas are highlighted for their species richness and endemism. Since neither provides specific examples of measures to employ in order to protect lomas, the project will be instrumental in defining and implementing practical strategies to complement these.

71. The project is aligned with the following strategic objectives of the National Biological Diversity Strategy (NBDS) Action Plan, approved in 2014<sup>17</sup>: (i) SO1: Improve the state of biodiversity and maintain the integrity of the ecosystems services it provides, (ii) SO3: Reduce direct and indirect pressures on biological diversity and its ecosystem processes, (iii) SO4: Strengthen the sustainable management of biodiversity capacities at the three levels of government, and (vi) SO6: Strengthen cooperation and participation of all sectors of society in the governance of biological diversity.

**GEF focal area and/or fund(s) strategies, eligibility criteria and priorities:**

72. The project is seeking to incorporate into protection status critical lomas ecosystems from which important global environmental benefits are derived. These actions, together with the design and implementation of management plans, financing plans, and mainstreaming loma biodiversity considerations into sub-national land use plans are consistent with the core outputs of GEF 5 focal areas BD-1 and BD-2.

73. The project is consistent with BD Objective 1's focus to improve sustainability of protected area systems with an emphasis on expanding the area under protection, improving financial sustainability and effective management of the national ecological infrastructure. In particular, GEF support will focus on strengthening the legal framework and corresponding institutional capacity to establish a Regional Conservation Area as well as a Private Conservation Area and the corresponding Management Plan, Financial Sustainability Plan and Surveillance Strategy. As such, the project will provide the legal, financial and institutional foundations to expand the cohort of protected areas in Peru and thereby ensure that globally-significant biodiversity and ecosystems in 21,000 hectares of the lomas of Lima will be conserved and sustainably used.

74. With regards to BD-2, Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors, the project will support the elaboration of sub-national land-use plans (9) that incorporate biodiversity and ecosystem services valuation through the following suite of activities:

- a) Developing policy and regulatory frameworks that provide incentives for biodiversity-friendly land and resource use in the fragile lomas ecosystems of Lima that remains productive but that does not degrade biodiversity;
- b) Spatial and land-use planning to ensure that land and resource use is appropriately situated to maximize production without undermining or degrading biodiversity in Lima's lomas;
- c) Improving and changing production practices to be more biodiversity friendly with a focus on sectors that have significant biodiversity impacts (animal husbandry, tourism, and mining).

75. The results of the project's BD focus will ultimately contribute to Peru's achievement of Aichi Targets 5, 11, 12 and 14. Specifically, Peru has committed in its NBSAP to reducing the degradation of its fragile ecosystems, including lomas, as a means to contribute to Aichi Target 5. This project will also contribute to Aichi Target 11 by increasing area of the lomas ecosystem under formal protection. Through initially supporting the conservation of pre-identified endemic species, as well as supporting biological inventories and monitoring, the project will contribute to conserving threatened species (Aichi Target 12). Particularly through the project's Component 3, local communities will benefit from the enhancement of ecosystem services, including water resources, fodder for livestock and ecotourism (contribution to Aichi Target 14).

76. In relation to GEF 5's land degradation focal area, the project is aligned with LD-2 and LD-3 core outputs by seeking to generate sustainable flows of lomas ecosystem services and reduce pressures on lomas from competing land uses, particularly through interventions aimed at increasing forest and vegetation

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<sup>17</sup> DS N° 009-2014-MINAM



cover, development of integrated land management plans, dissemination of good practices and management technologies, and improved livestock management.

77. For LD-2, GEF support will focus specifically on land management options that increase and maintain agricultural productivity and deliver multiple environment benefits at the landscape scale in the lomas (Component 3), particularly in the context of addressing food security and livelihood needs of affected communities with an emphasis on the different gender roles between women and men and the important role of women, e.g.:

- (a) Sustainable management of the lomas for increased ecosystem services (e.g. food resources, reduced land and soil degradation, diversification) in agriculture;
- (b) Landscape regeneration through use of native forest species, including farmer/rancher-managed natural regeneration;
- (c) SLM approaches to avoid deforestation and forest degradation in production landscapes;
- (d) Good practices in community and small-holder land management, including exchange of local knowledge.

78. With regards to LD-3, GEF support will focus on the mainstreaming of integrated natural resources management criteria in the land use tools adopted by 9 local governments (Component 2) in coordination with efforts to scale-up policies, practices, and incentives for improving production landscapes with environmental benefits, and will encourage wider application of innovative tools and practices for natural resource management at scale (Component 3). This includes innovations for improving soil health, water resource management, and vegetation cover in production landscapes systems in Lima's lomas to benefit land users most vulnerable to land degradation. Women are often the most vulnerable to such degradation, but are also the most active in some lomas and can therefore offer local innovations for sustainability. Therefore the specific roles of men and women in these systems will be considered. Support activities include:

- (a) Institutional capacity development and institutional finance for sustainable land management in fragile lomas ecosystems of Lima;
- (b) Multi-stakeholder landscape planning involving both public and private sectors to inform decision-making on integrated management of ecosystem services;
- (c) Improving agricultural/livestock land management near protected areas in the lomas, including through empowerment of local communities.

79. Finally, this project will contribute to multiple SDGs, including those related to environmental well-being, sustainable cities and communities, poverty reduction and job creation, and gender equality. For example, the project's indicators related to increased areas of lomas under protection and the reduction of pressures and threats to their well-being, are aligned with SDG 15's focus on halting and reducing land degradation as well as biodiversity loss. The project will also support the concept of Sustainable Cities and Communities by promoting strategies to incorporate the lomas ecosystem and the services it provides into local integrated, sustainable development plans. In addition, the project's local beneficiaries will be engaged in sustainable economic activities through which historically marginalised communities can perceive social and economic benefits from the sustainable management of lomas (SDG 8: Sustainable economic growth and employment).

## ii. **Partnerships:**

80. The project will take advantage of a wide range of existing, well-established mechanisms to ensure that it coordinates effectively with other initiatives at national and local levels, in relation to key issues such as territorial planning (EEZ), climate change management, ecosystem and biodiversity management, risk management and the integrated planning of territories at regional and local levels. These include the following (many of the same actors are involved in these different mechanisms, including representatives

of regional and local governments, of sector-specific public entities, grassroots federations and organizations, academia and civil society, and several are funded through the GEF):

- The UNDP/GEF project “Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience” (5152) will provide support so that climate change effects are adequately addressed through the management of the National Protected Areas System. As a complement to the Lomas Conservation project, capacities will be strengthened at the national level within SERNANP to improve planning and monitoring instruments for protected areas.
- The UNDP/GEF project “NAP Alignment LD Enabling Activity” (5417) aimed to develop a National Action Plan to address desertification through a strengthened policy framework that would guide land use management decisions in the Lomas ecosystem. Therefore, the Lomas Conservation project provides an opportunity for implementing the NAP.
- The UNDP/ BMUB project “Ecosystem Based Adaptation in Amazonia” (5021) is an International Climate Initiative-financed project that generates lessons learned as well as methodologies for how to incorporate ecosystem-based climate adaptation measures into protected areas management. In addition, a co-management model is being developed that can provide inputs into participatory and co-management of other ecosystems in Peru, such as the fragile ecosystems of the Lomas of Lima.
- The UNDP/EU/ Governments of Germany and Switzerland, Biodiversity Finance Initiative – “Building Transformative Policy and Financing Frameworks to Increase Investment in Biodiversity Management (BIOFIN).” BIOFIN has supported the introduction of policy guidelines into the National Public Investment System that facilitates public investment in biodiversity conservation and sustainable use, as well as ecosystem restoration. BIOFIN will design pilot public investment projects to apply the new policy guidelines as well as generate lessons learned. One of these pilots will focus on the conservation of the Lomas ecosystem, providing experience that can be built upon in this GEF Lomas Conservation project.
- IDB GEF6 initiative “Sustainable Cities – Lima” envisages establishing environmental corridors through an urban green areas system allowing connectivity of biodiversity and ecosystems between the Costa and Loma border. Both projects are complementary in time, as well as focus in terms of connecting biodiversity/ecosystems and collaborating in the promotion of ecofriendly activities to boost sustainable local development of Lima Province.

81. The project will also build on the institutional and financial bases established through the following closed GEF projects:

- The IBRD/GEF project “National Trust Fund for Protected Areas” (GEF ID 438), which provided the seed money for the Trust Fund for Conservation of Peru's Parks and Protected Areas (FONANPE)
- The IBRD/GEF project “Strengthening Biodiversity Conservation through the National Protected Areas Program” (GEF ID 2693).

iii. **Stakeholder engagement:**

82. The Ministry of Environment, **MINAM**, is environment sector head: its purpose is environmental conservation so as to foster and ensure rational, sustainable and ethical use of natural resources thereby ensuring that present and future generations enjoy a balanced environment suitable for the development of life. MINAM includes a number of institutions of key importance for the project, particularly SERNANP. SERNANP coordinates closely with other MINAM institutions such as the General Directorate of Climate Change, Desertification and Water Resources and the General Directorate of Biological Diversity<sup>18</sup>, which are responsible for the national policies on climate change and biodiversity, and are linked to regional and

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<sup>18</sup> <http://www.minam.gob.pe/cambioclimatico/>, <http://www.minam.gob.pe/diversidadbiologica/>

local governments in relation to the promotion of climate change and biodiversity management within the frameworks of regional CC and BD strategies with the aim of supporting the scaling up of measures of resilience, adaptation and risk management, as well as the lessons that will be learnt by the project. The National Meteorological Service (SENAMHI) and the IGP also play important roles in relation to information management and research. As GEF focal point, and responsible party for national environmental and natural resource policy, MINAM will provide guidance on participatory management of lomas ecosystems, as well as technical input on conservation and sustainable use of biodiversity, all key elements for the design of the project.

83. Attached to MINAM, **SERNANP** is responsible for directing and establishing technical and administrative criteria for PA conservation and for the maintenance of biological diversity. SERNANP is the governing body of the National System of Protected Areas (SINANPE) and works in coordination with regional and local governments and private conservation areas. It has generated significant experience and lessons learnt in relation to PA management and CC adaptation. In its role as Normative Technical Authority, it coordinates with regional and local governments and the owners of private conservation areas. It executes Budget Programme 0057 (Conservation of biological diversity and sustainable use of natural resources in Protected Natural Areas). SERNANP is the principal implementation partner of the Project and as such will be responsible for general oversight of project execution.

84. The Ministry of Energy and Mines (MINEM) is responsible for awarding mining licenses throughout the country. The type of mining found in the lomas is of non-metallic material for construction. The materials extracted by formal and informal businesses are coarse sand, fine sand, gravel, crushed stone - all in significant volumes to supply the real estate growth of the city of Lima. The project consulted MINEM during the design of activities related to managing mining permits and reducing its impact on the lomas ecosystems. MINEM, specifically the Directorate of Mining Environmental Affairs, is fully aware of the project's intent to establish an ACR of 10,540 hectares. The Ministry understands the threats and degradation occurring in and around the lomas, and is supportive of the need to conserve the lomas, including the delimitation of the areas selected by the project. Discussions will be ongoing to ensure proper coordination with the project in recognition that it is a key player in the consolidation of ownership of the lomas due to the existence of mining concessions in most of the lomas selected by the project.

85. The Metropolitan Lima Municipality (MLM) is responsible for environmental management in its jurisdiction and will provide technical inputs to some of the project components, e.g. guidance on land use zoning requirements, and dialogues with other District governments with co-management responsibilities over the lomas ecosystem areas.

86. There are 19 District Municipalities with management responsibilities over lomas ecosystems in their jurisdictions. They will play a key role in bringing together local stakeholders (citizen groups and private sector) to identify key needs and constraints for implementing local participatory mechanisms for lomas ecosystem management and conservation.

87. Several citizen groups and private sector companies (for example, Conservación de Lomas de Villa María del Triunfo, Cementos Lima, Fundación Atocongo, San Fernando, Grupo Comando Ecológico, Conciencia para el Desarrollo Sostenible and Asociación Circuito Turístico de Lomas de Lúcumo) are already involved or have potential to be involved in the co-management of lomas ecosystems. During design these groups and others were invited to participate in discussions related to co-management and sustainable use of lomas ecosystems, identifying opportunities for collaboration and actions needed by municipal authorities, civil society and the private sector to implement co-management arrangements.

88. Two universities in Lima (Universidad Nacional Agraria – La Molina and Universidad Nacional Mayor de San Marcos) have prior research experience in the lomas ecosystem and will be involved in the design of biodiversity studies and monitoring arrangements for the lomas ecosystems. In particular, their involvement will be related to the detailed characterization to be done of the 14 lomas that have been prioritized by the project in Outcome 1. It is envisioned that these interventions will include assessments

performed as part of university theses and/or research required to support the creation of areas of conservation.

89. Furthermore, there are a number of NGOs and CBOs that are active in the Lomas:

NGO	Lomas Site	Activities
Center for Studies and Disaster Prevention (PREDES)	Lomas de Amancaes (Sector Independencia)	Focus disaster risk reduction in the buffer zone through reforestation and protection infrastructure. Implementing a project ending in March 2017, granted with 1M USD supported by USAID.
Ecotourism Association of Lomas de Lúcumo (ACELL):	Lomas de Lúcumo, Pachacamác	Successfully implementing a tourism experience based on public - private management of 150 ha since 2003.
Cooperazione Internazionale (COOPI)	Lomas de Amancaes en el Rímac.	Member of CARE Peru and IRD French Research Institute; focus on disaster risk management based on territory, population and governance, in Rimac and in the buffer zone of Lomas Amancaes.
Grupo GEA Desarrollo Sustentable	Lomas de Lurín y Pachacamác	Experience in strengthening the management of Lomas of Lucumo and training of the populations of the buffer zone, building basic infrastructure to provide tourism services, with the support of Italy and Peruvian Funds.
Centro de Investigación, documentación y asesoría poblacional los (CIDAP):	Lomas de Carabayllo	Focus on resolving Water and Sanitation issues linked to environmental matters. Promoted the "green lomas", and elaborated the first Lomas diagnosis in 2008, in collaboration with other stakeholders.
CBO	Lomas sites	Activities
Comité de Gestión Bella Durmiente	Amancaes	Experience in reforestation in buffers zones, and the vision to provide tourism services
Comité Ecoturístico de Lomas de Mangamarca	Mangamarca	Aims at raising awareness of the importance of San Juan de Lurigancho Lomas, joint efforts with municipality to prevent human settlement and invasions
Comite Ecoturistico de Lomas de Paraíso	Villa María del Triunfo	Provide ecotourism service and visitor guides during the Spring season since 2013; in 2015 received 2,000 visitors.
Comité Ecoturistico de Lomas de Primavera	Lomas de Carabayllo	Provide guide service in Loma del Paraíso, in 2015 received 750 people
Asociacion Protectoras Ambientales de la Flor y la Loma de Amancaes	Lomas Amancaes- Distrito Rímac	Perform advocacy at the local government level to defend the lomas from invasions; flora restoration and reforestation activities

- iv. **Mainstreaming gender:** This project strives to be “gender responsive”<sup>19</sup> in as much as it has a strong base to implement a highly participatory approach and incorporates actions to promote gender equality and women’s empowerment. In the project’s scope of action, women participate in a variety of functions, including guardians of their local lomas, tourism operators, and agriculture/livestock management, among others. During the dialogue processes and field visits of the PPG, the communities stressed the active participation of women in the conservation of lomas. Furthermore, most civil society groups are led by women and are instrumental in including the issue of lomas conservation in the local

<sup>19</sup> Per the gender results effectiveness scale included in the UNDP evaluation of gender mainstreaming in UNDP: **Gender responsive:** results addressed differential needs of men or women and equitable distribution of benefits, resources, status and rights but did not address root causes of inequalities in their lives.

agendas. Organized communities of Lomas of Amancaes (District Rimac) and the Lomas of Mangamarca (San Juan de Lurigancho) are headed by women and in the other lomas they serve as part of the board/governance structure (Lomas de Lucumos, Villa Maria del Triunfo and Amancaes-Independencia). In fact, within current grassroots organizations doing surveillance activities, 60% are women and 40% are men. In general, the current work strategy to strengthen the active participation of women in the selected lomas places a strong emphasis on initiatives related to tourist services. As such, the project will work to encourage their continued engagement in lomas governance. The integration of women in the communities of practices, as well as their integration into decision-making processes will be promoted in the project. For example, as part of Outcome 2: Land Use management tools, the planning instruments (Policies, Plans and budgeting) for Lomas conservation will incorporate a gender responsive approach by ensuring that vulnerable groups' and women' needs and perspectives are reflected in decision-making processes. As part of Outcome 3, a survey will be conducted to determine the needs of tourism operators and service providers, taking into account particular needs of women and young people to develop their livelihoods, as well as calculate the potential increase of tourism activity in selected lomas and the carrying capacity limits of the ecosystem with regards to increased activity. Women are often the most vulnerable to ecosystem degradation, but are also the most active in some lomas and can therefore offer local innovations for sustainability. Therefore, the specific roles of men and women in these systems will be considered in the development of the Lomas Conservation Strategy and local management plans/planning mechanisms. Furthermore, the project has a gender-sensitive project results framework with specific gender markers included in Indicators #2, #15, and related markers in #8, #9, #13.

- v. **South-South and Triangular Cooperation (SSTrC)**: While the project does not directly seek to establish South-South and Triangular Cooperation, the land management tools established through the components could serve as a model for other countries facing similar challenges, particularly Chile, which also has lomas in its northern region. Additionally, the project will consider the possibility to forge partnerships with other biodiversity rich desert ecosystems that are famous for endemic plants for exchange and global awareness raising – e.g. Namibia's Sperrgebiet, Nama-Karoo in South Africa, etc.

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## V. FEASIBILITY

- i. **Cost efficiency and effectiveness**: In line with the GEF Council's guidance on assessing cost-effectiveness of projects (Cost Effectiveness Analysis in GEF Projects, GEF/C.25/11, April 29, 2005), the project development team has taken a qualitative approach to identifying the alternative of best value and feasibility for achieving the project objective. Cost-effectiveness will be promoted through a range of strategies, including the following:
  - Working with existing organizations (especially NGOs) in the project areas, as delivery mechanisms for project support to local stakeholders. This will take advantage of the capacities that these partners have already installed in the target areas, and their established relations with local stakeholders and regional institutions, which will mean that the project will not have to invest from scratch in the establishment of these capacities and relations.
  - Promoting the active and real participation of local stakeholders and their organizations, both in the project itself and in the land management and monitoring strategies that it will seek to establish, with an emphasis on the win-win of the project's interventions in support of ecosystem stability. This will result in these stakeholders collaborating with the project rather than entering into a costly and unproductive adversarial relation in which conservation goals are viewed as externally imposed and contradictory to their needs and priorities.
  - Wherever possible, developing the capacities of existing entities (such as SERNANP and MLM) and mainstreaming issues of BD conservation and Lomas ecosystem integrity, as well as GEBs into

existing instruments and mechanisms (such as development and spatial plans), rather than developing new entities or instruments specifically aimed at these issues.

- Promoting inter-institutional collaboration and joint planning in order to realize opportunities for synergies and reduce inefficiencies associated with duplication of effort or contradictions in approaches.
- Lessons learned from baseline projects will be incorporated so that GEF resources can be targeted in the most efficient manner.
- Cost effectiveness will be monitored as an integral part of the monitoring and evaluation process. The project budget provides for independent financial auditing on a yearly basis.
- Finally, cost effectiveness is ensured through a prescribed project management process that will seek the best-value-for-money. UNDP rules employ a transparent process of bidding for goods and for services based on open and fair competition and selection of best value and best price alternatives. Procurement will be managed by UNDP in coordination with SERNANP to ensure the application of all effective regulations. An independent committee is utilized for all procurement of personnel and selection of contractors.

ii. **Risk Management:** The following table presents the Risks identified as well as the Mitigation measures to be implemented by the project.

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Urban encroachment continues to affect lomas ecosystems	Regulatory Environmental	P = 3 I = 4	Creation of 2 lomas conservation areas (Regional Conservation Area in Group 1 and Private Conservation Area in Group 2) in will limit the expansion of urban areas in strategic fragile lomas ecosystems.  The capacity of local (regional, municipal/ district) authorities of 9 local governments will be strengthened to implement rigorous land use regulations which limit impact on lomas ecosystems.	PMU	Increasing
An increasing number of non-metallic mining permits are authorized by the Ministry of Mines and Energy and district municipalities leading to further degradation of lomas ecosystems.	Regulatory Strategic Environmental	P = 3 I = 3	Mining concessions are required to develop an EIA and implement mitigation actions in compliance with the permit granted by MINAM. The project will promote coordination between the Ministry of Energy and Mines, Ministry of Environment, Metropolitan Lima Municipality and district municipalities in order to ensure the effective implementation of existing regulations for mining activities in the lomas areas of influence.	PMU	Increasing
Local authorities do not promote a sustainable	Political Regulatory	P = 2 I = 3	A series of activities will be promoted by the project in order to	PMU	TBD

management of the lomas ecosystems.			engage local authorities, along with concerned citizen groups, to increase awareness and empowerment with the issues surrounding lomas management. The project will facilitate the development of land use policies, management plans and other tools. For example, Component 2 will support the elaboration of a Lomas Conservation Strategy, as well as local planning and management mechanisms.		
Carrying capacity of lomas ecosystems surpassed by tourism interest generated.	Environmental	P=1 I=2	As part of Component 3, the project will support the elaboration of an analysis of the tourism potential of the lomas ecosystems and the corresponding carrying capacity to ensure adequate strategies and plans for public use of the areas.	PMU	TBD
Climate related disasters affect livelihoods and fragile ecosystems in lomas	Environmental	P=2 I=2	The project will promote measures to decrease the negative impact of climate related events through the improved ecosystem services associated with disaster reduction. For example, the reforestation and restoration of 1000 hectares of degraded areas in Component 3 will prevent “huaycos” (landslides) and/or decrease their impact.	PMU	Increasing

90. As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

iii. **Social and environmental safeguards:** The following table presents the Risks identified in the SESP as well as the Mitigation measures to be implemented by the project. Based on the results of the SESP exercise and consultations held during the PPG, this project is considered low risk. Furthermore, any and all environmental and social grievances that arise during the implementation of this project will be reported to the GEF in the annual PIR.

Risks identified in SESP	Impact & Probability	Mitigation Measures
1.5. Are there measures or mechanisms in place to respond to local community grievances?	P = 1 I = 1	Environmental and social grievances will be reported to the GEF in the annual PIR.
1.7. Is there a risk that rights-holders do not have the capacity to claim their rights?	P = 3 I = 3	The project will facilitate legal support to attend to land tenure issues that could affect the establishment of the Conservation Areas.
2.3 Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the	P = 2 I = 2	The project acknowledges the interest of local women in lomas conservation and sustainable use, and the project’s potential to promote gender equality in its activities. The communities already have certain established mechanisms for participation of women in

overall Project proposal and in the risk assessment?		ecotourism and surveillance (including older women taking surveillance positions). The project also takes into account the question of youth and the opportunity to engage youth in restoration activities, as well as lomas management and economic diversification.
3.1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	P=1 I=2	The project focuses on conservation, restoration and sustainable use of fragile lomas ecosystem resources. Activities in all components are developed and implemented in conjunction with local communities to strengthen their capacity to manage these resources and ensure sustainability.
3.1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	P=2 I=2	The project includes activities for restoration and reforestation of selected lomas ecosystems with native species. To facilitate this, the project will support the establishment of a local nursery with native forest species.
3.2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	P=2 I=2	The El Nino effect increases the vegetation of the lomas. The project will promote measures to decrease the negative impact of climate related events through the improved ecosystem services associated with disaster reduction. For example, the reforestation and restoration of degraded areas will prevent “huaycos” (landslides) and/or decrease their impact.
3.5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	P=2 I=2	The Project’s Lomas Conservation Strategy would have a positive impact on ecotourism concessions as well as the sustainable management of local stakeholders’ land and resources through the establishment of Conservation Areas and corresponding management modalities. Furthermore, the project will support the elaboration of an analysis of the tourism potential of the lomas ecosystems and the corresponding carrying capacity to ensure adequate strategies and plans for public use of the areas.

iv. **Sustainability and Scaling Up:**

91. This project’s design has been carefully developed to ensure environmental, social, institutional and financial sustainability as explained in the following paragraphs. Specifically, the project will ensure the proponents and relevant stakeholders have the necessary capacity to continue to implement the interventions without GEF financing once the project is completed, as well as ensure lessons learned are incorporated into broader stakeholder initiatives. A Sustainability Plan will be prepared before the mid-term review so that stakeholders can agree on the plan and focused capacity development activities can be carried out with sustainability of different specific components in mind.

*Environmental Sustainability*

92. The project will promote practices that reduce the threats to the fragile lomas ecosystems of the Province of Lima. The project will support a Lomas Conservation Strategy and land use management tools to establish conservation areas covering 21,000 ha. and sustainable practices in the buffer zones of the lomas, with consideration for the lifecycles of endemic flora and fauna, as well as the carrying capacity limits of the ecosystem with regards to productive activities. Furthermore, 1,000 ha. that have already suffered degradation will be restored through reforestation of native lomas species. As such, the unique biodiversity of the lomas and ecosystem services that they provide will be safeguarded.

*Institutional Sustainability*



93. Institutional sustainability will be supported by building the capacity of at least 9 local governments to elaborate and implement land use management mechanisms that include criteria for the conservation and sustainable use of biodiversity and ecosystem services provided by fragile lomas ecosystems. SERNANP and MLM will gain experience and capacity in the process of managing the design, approval and implementation of different modalities of conservation areas as well as their monitoring.

#### *Social Sustainability*

94. The project design includes various elements to ensure social sustainability. The project will seek an agreement (i.e. Memorandum of Understanding) with local municipalities to implement specific activities in the priority lomas, as well as with grassroots organizations and NGOs. Their involvement in key project activities ensures greater potential for sustainability. Capacity building at the local level will focus on training tourism service providers, livestock ranchers, local monitors, surveillance groups, and others. A survey will be conducted to determine the needs of tourism operators and service providers, for example, taking into account particular needs of women and young people to develop their livelihoods. The results of this survey will guide the project's efforts to provide training of local tourism organizations with an emphasis on gender and youth, including training and exchange of experiences of local artisans, tour guides, business administrators, restaurateurs, etc. In this regard, the project has a strong base to implement a highly participatory approach and incorporates actions to promote gender equality and women's empowerment. In addition, the project will fund the production and dissemination of user-friendly material on the environmental regulations and codes of practice in place.

#### *Financial Sustainability*

95. An important focus of the project is creating an enabling environment for alternative economic activities and enhanced monitoring that is financially sustainable and realistic. As such, the project will facilitate the promotion and adoption of low-impact grazing and mining practices, as well as calculate the potential increase of tourism activity in selected lomas with respect to the carrying capacity of the lomas biodiversity and ecosystems. Furthermore, the Conservation Areas will include a Financial Sustainability Plan to accompany their Management Plans.

#### *Innovativeness*

96. The project is innovative due to its multi-focal, integrated approach to conserving the fragile lomas ecosystems while promoting economically viable sustainable practices for local communities to maintain their livelihoods. Additionally, while individual lomas communities have pursued separate initiatives to conserve, protect and manage their local lomas, this project is the first of its kind to bring together 14 lomas in a coordinated effort.

### v. **Global Environmental Benefits:**

97. The project seeks to reduce the pressure on the lomas ecosystems in the Province of Lima. The impacts of the project on global environmental benefits include the protection of unique, scarce and highly endemic vegetation communities in Peru's hyper-arid desert environment. The project will support a Lomas Conservation Strategy and land use management tools to establish conservation areas covering 21,000 ha. and sustainable practices in the buffer zones of the lomas, with consideration for the lifecycles of endemic flora and fauna, as well as the carrying capacity limits of the ecosystem with regards to productive activities. Furthermore, 1,000 ha. that have already suffered degradation will be restored through reforestation of native lomas species. As such, the unique biodiversity of the lomas and ecosystem services that they provide will be safeguarded.

98. For example, one of the selected lomas - Lomas de Lachay - is home to *Caesalpinia spinosa*, *Capparis prisca*, *Senna birostris* and *Carica candicans*, together with a dense accumulation of epiphytes. At the same time, the lomas are important components of migratory bird routes (e.g. *Athenecunicularia*, *Nothoprocta pentlandii*, *Sparverius peruvianus*, etc.). Furthermore, their genetic information could prove

valuable for understanding resilience to arid conditions.<sup>20</sup> An Alliance for Zero Extinction site is one of the lomas included in the project (Atocongo is situated within the districts of Villa Maria del Triunfo, Lurin and Pachacamac). These lomas are the last remaining habitat of *Melanomys zunigae* (Zuniga's Dark Rice Rat) which is listed as Critically Endangered (possibly extinct). Ultimately, in addition to improving the protection of threatened species, the project also aims to reduce local species extinction.

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<sup>20</sup> Peru. 2010. Cuarto Informe Nacional sobre la Aplicación del Convenio de Diversidad Biológica. Ministerio de Ambiente.

## VI. PROJECT RESULTS FRAMEWORK

<p><b>This project will contribute to the following Sustainable Development Goal (s):</b>            SDG 1: End poverty in all its forms everywhere            SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable            SDG13: Take urgent action to combat climate change and its impact            SDG 15: Protect, restore and promote sustainable use of terrestrial ecosystem, sustainably management forest, combat desertification, and halt and reverse land degradation and halt biodiversity loss</p>					
<p><b>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</b>            Outcome 4. The State, with the participation of civil society, the private sector, scientific and academic 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.</p>					
<p><b>This project will be linked to the following output of the UNDP Strategic Plan:</b>            Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.</p>					
	<b>Indicators</b>	<b>Baseline</b>	<b>Mid-Term Target</b>	<b>End of Project Target</b>	<b>Assumptions</b>
<p><b>Project Objective:</b>            Contribute to an integrated management and protection of fragile lomas ecosystems in the Province<sup>21</sup> of Lima.</p>	IRRF Indicator 1: # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type	Key stakeholders in selected lomas identified  There are disperse/ separate conservation and/or restoration efforts	Each actor fulfills their role and responsibilities in the conservation and restoration of lomas	1 Interinstitutional Alliance for the Conservation of Lomas with roles and responsibilities articulated and functioning	Political will, interest and active participation of public and private sector stakeholders, as well as civil society.
	IRRF Indicator 2: # of jobs and livelihoods created through management of natural resources, ecosystem services, chemicals and waste, disaggregated by sex, and rural and urban	TBD in Yr 1	TBD in Yr 1	TBD in Yr 1	Interest and commitment of producers to adopt sustainable practices.  Interest of local stakeholders to engage in tourism activities.  Interest of local and foreign tourists to visit the lomas.

<sup>21</sup>Per the 2002 Organic Law of Regional Governments (Ley Orgánica de Gobiernos Regionales) and the 2003 Organic Law of Municipalities (Ley Orgánica de Municipalidades), the Metropolitan Lima Municipality (Municipalidad Metropolitana de Lima-MLM) is the regional and provincial government of Lima Province. As such, to avoid confusion to the reader, this document refers to the Municipality of Lima.

	<p><u>Mandatory Indicator 3</u>: # direct project beneficiaries<sup>22</sup>:</p> <ul style="list-style-type: none"> <li>- ecosystem restoration</li> <li>- sustainable ranching/ agriculture</li> <li>- sustainable tourism services</li> </ul>	<ul style="list-style-type: none"> <li>- 0: ecosystem restoration</li> <li>- 0: sustainable ranching/ agriculture</li> <li>- 310: sustainable tourism services</li> </ul>	<ul style="list-style-type: none"> <li>- 21,000: ecosystem restoration</li> <li>- 25: sustainable ranching/ agriculture</li> <li>- 310: sustainable tourism services strengthened and providing better quality services</li> </ul>	<ul style="list-style-type: none"> <li>- 42,000: ecosystem restoration</li> <li>- 50: sustainable ranching/ agriculture</li> <li>- 610: sustainable tourism services</li> </ul>	<p>Interest and commitment of producers to adopt sustainable practices.</p> <p>Interest of local stakeholders to engage in tourism activities.</p> <p>Interest of local and foreign tourists to visit the lomas.</p>
	<p>Indicator 4: Level of capacity to sustainably manage lomas ecosystems (as measured by UNDP Capacity Development Scorecard with emphasis on Indicators #2 “Existence of operational co-management mechanisms” and #9 “Extent of the environmental planning and strategy development process”)</p>	<p>Total: 19.5</p> <p>I2:1</p> <p>I9: 1</p>	<p>Total: 22</p> <p>I2:2</p> <p>I9: 2</p>	<p>Total: 25.5</p> <p>I2:3</p> <p>I9: 3</p>	<p>Political will and commitment of local governments, civil society and SERNANP</p> <p>Commitment of local stakeholders to the conservation of selected areas.</p>
<p><b>Component/Outcome 1</b></p> <p><b>Conservation of lomas ecosystems</b></p>	<p>Indicator 5: # hectares protected through the creation of Regional Lomas Conservation Area (or other figure/ modality/ institutionalized option of effective management) with revenue stream from selected lomas sites (as measured by the GEF Tracking Tool for BD)</p>	<p>0</p> <p>TT Score:</p> <ul style="list-style-type: none"> <li>- 16 (ACR)</li> <li>- 9 (ACP)</li> </ul>	<p>10,540 (corresponding to the ACR planned for Group 1)</p>	<p>21,000 (corresponding to Group 1 ACR + Group 2 comprised of lomas in the south conserved via Private AC or other modality for private land)</p> <p>TT Score:</p> <ul style="list-style-type: none"> <li>- 70 (ACR)</li> <li>- 70 (ACP)</li> </ul>	<p>Political will and commitment of local governments and SERNANP</p> <p>Commitment of local stakeholders to the conservation of selected areas.</p>

<sup>22</sup> The project considers direct beneficiaries as those people living in the buffer zone of the lomas actively in project activities, while indirect beneficiaries are human settlements that are located near the hills, who would benefit from improvements in basic services designed to serve visitors to the lomas (i.e. improved sanitation infrastructure for visitors improves the general environment of nearby settlements).

	Indicator 6: % lomas ecosystems impacted by activities and pressures originating in buffer zones	- 30-45% North Lomas - 10-20% South Lomas	- 20% Reduction of degradation in North Lomas - 10% Reduction in South Lomas	- 50% Reduction of degradation in North Lomas - 50% Reduction of degradation in South Lomas	Local stakeholders adopt sustainable practices promoted in the other components and comply with the legal framework to regulate use of resources in lomas buffer zones.
	Indicator 7: # lomas sites included in BD inventory with studies and detailed characterization of biodiversity in Lomas ecosystems and potential use.	10 sites have general information	14 with detailed characterization (6 from ACR Group 1; 8 from AC Group 2)	14 with detailed characterization (6 from ACR Group 1; 8 from AC Group 2)	Collaboration mechanisms established and interest of academic institutions to collaborate in the detailed characterization of selected lomas.
<b>Component/ Outcome 2</b> <b>Land use management tools</b>	Indicator 8: # of planning instruments for lomas ecosystem established in participative manner	0 Conservation Strategy for Lomas (Metropolitan Environmental Agenda 2015-17 includes Strategic Action 2.2.4 which states the need of MLM to work in lomas)	1 Draft of Lomas Conservation Strategy	1 Lomas Conservation Strategy	Political will of local stakeholders.
	Indicator 9: # of local governments that include biodiversity & lomas ecosystem conservation and integrated natural resources management (INRM) criteria in their management policies, including land use zoning	3 Local Governments (Villa María el Triunfo, Comas and Carabayllo already have local ordinances but without the resources or roadmap to implement them adequately for conservation of BD and ecosystem services)	9 Local governments have developed ordinances with ecosystem conservation and INRM criteria in a participative and gender-sensitive manner	9 Local governments implementing integrated land management tools (1 provincial and 8 districts)	Political will and commitment of local governments to adopt sustainable integrated land management tools for the lomas and assign resources for their application.

		Local governments also have a Concerted Development Plan			
	Indicator 10: # of public-private partnerships for lomas management implemented	6 partnerships: - 5 Ecotourism Services APP in Lomas - 1 Private Protected Area	6 existing partnerships evaluated and strengthened	8 partnerships recognized	Local governments officially recognize the management committees established through public-private partnerships.
<b>Component/ Outcome 3 Economic diversification and low impact land use</b>	Indicator 11: # hectares of degraded lomas reforested with native species	3 hectares reforested	500 ha	1000 ha	Commitment of local stakeholders to get involved in the labor of restoration activities, e.g. establish nurseries of native species, participate in reforestation and vigilance of restored areas. Nurseries successfully reproduce and grow native forest species.
	Indicator 12: # of hectares/zones where lomas-friendly production models are implemented: - Sustainable ranching - Low-impact mining	- 1,597 ha sustainable ranching - 0 sites low-impact mining	- 5,343 ha sustainable ranching - 2 sites low-impact mining	- 10,686 ha sustainable ranching - 4 sites low-impact mining:	Interest and commitment of producers to adopt sustainable practices.
	Indicator 13: Increase in tourism activity in selected lomas sites, as measured by: - # of public and/or private projects that invest in improving tourism services (including proper waste management strategy) generated during the Project - # of visitors in selected lomas sites	- 0 Investment Projects - 21,000 Visitors in 2015 - 310 direct beneficiaries - \$23,000 (78,000 soles) generated (50-100% reinvested in maintaining infrastructure)	- 3 Investment Projects - 10% Annual increase in visitors - 310 direct beneficiaries strengthened - 10% increase in income generated	- 6 Investment Projects - 20% Annual increase in visitors - 610 direct beneficiaries - 20% increase in income generated	Interest of local stakeholders to engage in tourism activities. Interest of local and foreign tourists to visit the lomas.

	<ul style="list-style-type: none"> <li>- # of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender</li> <li>- \$ generated by tourism activities</li> </ul>				
<b>Component/ Outcome 4 Knowledge Management and M&amp;E</b>	Indicator 14: # of permanent monitoring systems established with partnerships with local authorities, NGOs, and universities, to monitor the presence of endemic flora as well as annual populations of migratory birds	0 systems– there are 9 individual factsheets on lomas flora and fauna (SERFOR). -BD Indicator species Baseline TBD Yr 1	-1 Monitoring System with information from 6 permanent monitoring sites -BD indicator species maintained or increase	-1 Monitoring System with information from 14 permanent monitoring sites -BD indicator species maintained or increase	Interest and active participation of public and private sector stakeholders, as well as civil society. Availability of a standard guide for collecting data on the status of lomas ecosystems.
	Indicator 15: Communication and citizen mobilization strategy with gender and youth focus: <ul style="list-style-type: none"> <li>- # schools involved in citizen conservation activities (adopt-a-tree, photo monitor of species, etc)</li> <li>- # organized groups that are active</li> <li>- # events (community cleanups, reforestation campaigns, parades)</li> </ul>	(2) Schools (5)Groups (1)Events	(30) Schools (7) Groups (3)Events	(60) Schools (14) Groups (6)Events	Interest and active participation of public and private sector stakeholders, as well as civil society.

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## VII. MONITORING AND EVALUATION (M&E) PLAN

99. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

100. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). The UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies<sup>23</sup>.

101. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.<sup>24</sup>

### **M&E Oversight and monitoring responsibilities:**

102. **Project Manager:** The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

103. The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis.

104. **Project Board:** The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

105. **Project Implementing Partner:** The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

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<sup>23</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

<sup>24</sup> See [https://www.thegef.org/gef/gef\\_agencies](https://www.thegef.org/gef/gef_agencies)



106. **UNDP Country Office:** The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

107. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

108. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

109. **UNDP-GEF Unit:** Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

110. **Audit:** The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.<sup>25</sup>

**Additional GEF monitoring and reporting requirements:**

111. **Inception Workshop and Report:** A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

112. The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

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<sup>25</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

113. GEF Project Implementation Report (PIR): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

114. The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

115. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

116. GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results: *list the required GEF Tracking Tool(s), as agreed with the UNDP-GEF Regional Technical Advisor*. The baseline/CEO Endorsement GEF Focal Area Tracking Tool(s) – submitted as Annex D to this project document – will be updated by the Project Manager/Team and shared with the terminal evaluation consultants before the required evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed Terminal Evaluation report.

117. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Key stakeholders will be involved and consulted during the mid-term review process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

118. Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the

UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

119. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

120. **Final Report:** The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

#### **Mandatory GEF M&E Requirements and M&E Budget:**

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>26</sup> (US\$)		Time frame
		GEF grant	Co-financing	
<b>Inception Workshop</b>	UNDP Country Office	USD 4,000	<i>None</i>	Within two months of project document signature
<b>Inception Report</b>	Project Manager	None	None	Within two weeks of inception workshop
<b>Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP</b>	UNDP Country Office	None	None	Quarterly, annually
<b>Monitoring of indicators in project results framework</b>	Project Manager	USD 1,000 Per year: USD 5,000	<i>USD 2,000 Per year: USD 10,000</i>	Annually
<b>GEF Project Implementation Report (PIR)</b>	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
<b>NIM Audit as per UNDP audit policies</b>	UNDP Country Office	USD 1,500 Per year: \$6,000	<i>add</i>	Annually or other frequency as per UNDP Audit policies
<b>Lessons learned and knowledge generation</b>	Project Manager	<i>None</i>	<i>add</i>	Annually
<b>Monitoring of environmental and social risks, and corresponding management plans as relevant</b>	Project Manager UNDP CO	<i>None</i>	<i>USD 2,000</i>	On-going
<b>Addressing environmental and social grievances</b>	Project Manager UNDP Country Office BPPS as needed	<i>None for time of project manager, and UNDP CO</i>	<i>add</i>	<i>Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.</i>
<b>Project Board meetings</b>	Project Board	USD 5,000	<i>add</i>	At minimum annually

<sup>26</sup> Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>26</sup> (US\$)		Time frame
		GEF grant	Co-financing	
	UNDP Country Office Project Manager			
<b>Supervision missions</b>	UNDP Country Office	None <sup>27</sup>	<i>add</i>	Annually
<b>Oversight missions</b>	UNDP-GEF team	None <b>Error! Bookmark not defined.</b>	<i>add</i>	Troubleshooting as needed
<i>Knowledge management as outlined in Outcome 4 (1% of GEF grant)</i>	Project Manager	USD15,000	<i>add</i>	<i>On-going</i>
<b>GEF Secretariat learning missions/site visits</b>	UNDP Country Office and Project Manager and UNDP-GEF team	None	None	To be determined.
<i>Mid-term GEF Tracking Tool to be updated</i>	<i>Project Manager</i>	<i>None</i>	<i>USD 3,000</i>	<i>Before mid-term review mission takes place.</i>
<i>Independent Mid-term Review (MTR) and management response</i>	<i>UNDP Country Office and Project team and UNDP-GEF team</i>	<i>USD 10,000</i>	<i>None</i>	<i>Between 2<sup>nd</sup> and 3<sup>rd</sup> PIR.</i>
<b>Terminal GEF Tracking Tool to be updated</b>	Project Manager	USD 5,000	<i>add</i>	Before terminal evaluation mission takes place
<b>Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response</b>	UNDP Country Office and Project team and UNDP-GEF team	USD 30,000	<i>USD 2,000</i>	At least three months before operational closure
<i>Translation of MTR and TE reports into English</i>	<i>UNDP Country Office</i>	<i>USD 5,000</i>	<i>None</i>	<i>As required. GEF will only accept reports in English.</i>
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<b>\$85,000</b>	<i>\$17,000</i>	

<sup>27</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

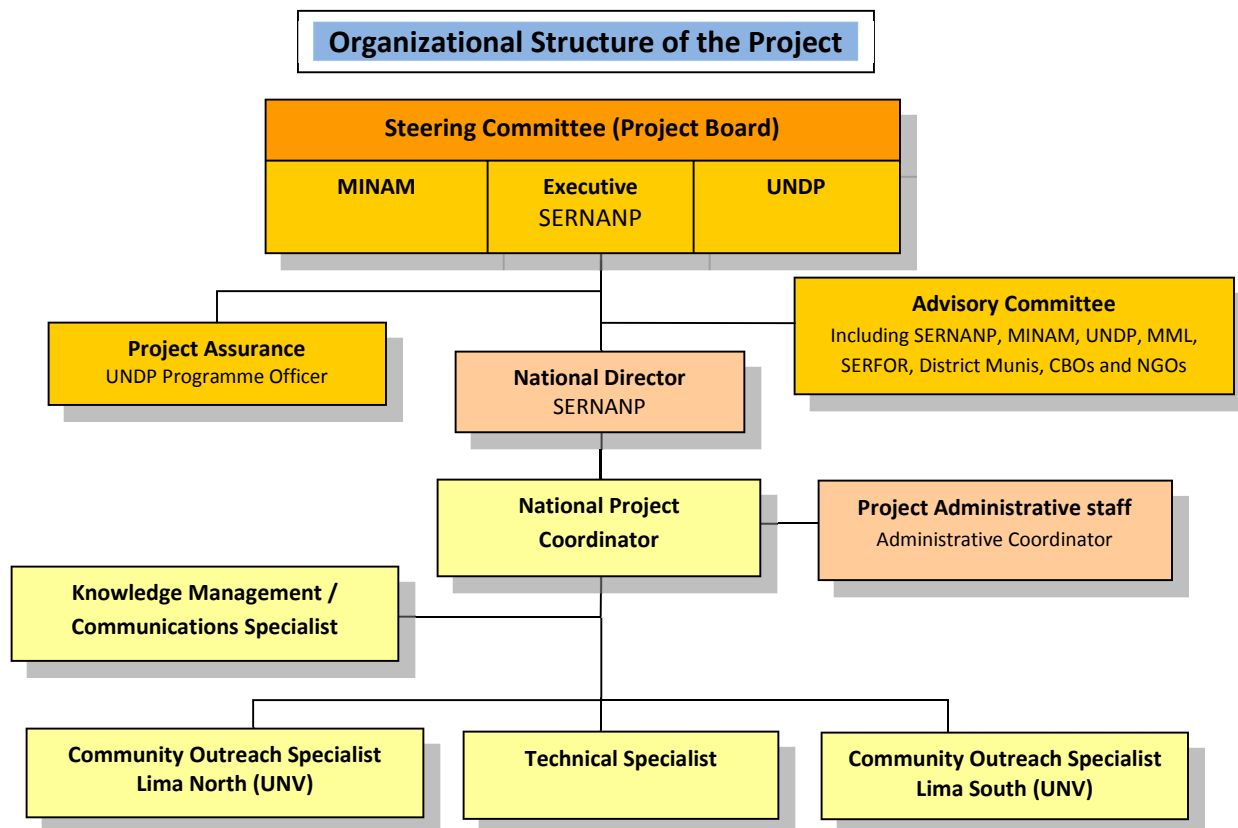
121. Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's National Implementation modality (NIM), according to the Country Programme agreed upon between UNDP and the Government of Peru. The **Implementing Partner** for this project is the National Service of Natural Protected Areas (SERNANP), given its role as the national public entity responsible for protected areas establishment and administration. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

122. The United Nations Development Programme (UNDP), as a counterpart with fiduciary responsibility, will support the implementation of the project by providing the necessary technical and operational assistance. Likewise, it will be responsible for high-level monitoring of the project and all necessary reporting to GEF. All actions will be planned and conducted in close collaboration between the SERNANP, UNDP, and the other members of the Project Board.

123. In addition, at the request of the Implementing Partner, UNDP will function as Responsible Party for Outcomes 1, 2, 3, and 4, as well as for Project Management, and as such will be responsible for the selection, appointment and oversight of consultants and contractors, and for the procurement of other goods and services necessary under these components. For these services, a Letter of Agreement will be signed between UNDP and SERNANP, through which the Implementing Partner will request UNDP to put in place and directly oversee the Project Management Unit, and provide the services required for the implementation of activities indicated in the multi-annual work plan. In this context, UNDP's rules and regulations will apply, and will include direct cost recovery; it will charge Direct Project Services (DPS) as shown in the Total Budget and Workplan in Section X.

124. Considering the kind of results, activities and actions proposed, the implementation of the project involves the participation of various public and private institutions: a) the Ministry of Environment (MINAM), b) the Metropolitan Lima Municipality, c) district-level municipalities, d) the National Forest and Wildlife Service (SERFOR), and e) community-based organizations and non-governmental organizations, among others. The expected participation of each institution in the project's implementation is described below.

125. The project will be governed by a National Steering Committee, known as the **Project Board**. The Board shall be composed of: SERNANP, the MINAM and UNDP. In addition, an Advisory Committee will be convened for the project, and will include, in addition to the NSC members, the district-level municipalities and the Municipality of Metropolitan Lima, SERFOR, and representatives of community-based and non-governmental organizations. Terms of reference shall frame both Committees' functions and ensure that their focus remains on issues directly associated with the Project.



126. Implementation of the project will be carried out under the general guidance of the **Project Board**. The composition, responsibilities and rules of operation of the Board will be confirmed during its first meeting. Subject to the decision of this meeting, it is proposed that the Board will be responsible for approving the operational plans and annual reports of the project. The Board will meet at least one time per year and in addition could be convened extraordinarily by the Chair, on the request of individual members.

127. The Project Board will be responsible for making executive decisions for the project, in particular when guidance is required by the National Project Coordinator. The Project Board will play a critical role in facilitating inter-ministerial coordination, project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It will ensure that required resources are committed and will arbitrate on any conflicts within the project or negotiate a solution to any problems with external bodies.

128. In order to ensure UNDP's ultimate accountability for the project results, Project Board decisions will be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with UNDP.

129. The Board will consist of the following members:

- 1) The Executive, who will chair the Board. This role will be filled by a representative of SERNANP, as Implementing Partner.
- 2) A representative of the Senior Supplier, who will provide guidance regarding the technical feasibility of the project. This role will be filled by UNDP.
- 3) A representative of MINAM, which will represent the interests of those who will ultimately benefit from the project and ensure the realization of global, national and local environmental benefits.

130. The project will be under the overall leadership of a **National Director (ND)**, who will be designated by SERNANP, and will be responsible for orienting and advising the National Project Coordinator on Government policy and priorities. The ND is responsible for project management and decision-making on a daily basis, in representation of the Project Board and within the limits established by it. The principal responsibility of the ND is to guarantee that the results set forth in the Project Document are obtained, with the approved resources and the level of quality that is required. The Implementing Partner – SERNANP – designates the ND, who cannot be the same representative designated by SERNANP for the Project Board. The ND will also be responsible for maintaining regular communication within SERNANP and with the lead institutions at the national and local levels, thereby ensuring that their interests are communicated effectively to the National Project Coordinator.

131. The **project assurance** roll will be provided by the UNDP Country Office, specifically the UNDP Programme Officer. This function supports the role of the Project Board with regards to monitoring and objective and independent oversight. It aims to ensure the proper administration and conclusion of each of the stages in the project's management. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

132. Governance role for project target groups: The project will seek an agreement (i.e. Memorandum of Understanding) with local municipalities to implement specific activities in the priority lomas, as well as with grassroots organizations and NGOs. Their involvement in key project activities ensures greater potential for sustainability.

133. UNDP Direct Project Services as requested by Government: UNDP will maintain the oversight and management of the overall project budget. It will be responsible for monitoring project implementation, timely reporting of the progress to UNDP headquarters as well as to the GEF, as well as organizing mandatory and possible complementary reviews and evaluations on an as-needed basis. In addition, UNDP will provide overall technical backstopping to the project, engaging technical staff at the Country Office as well as technical advisors at the regional level. Furthermore, it will support the co-ordination and networking with other related initiatives and institutions in the country.

134. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>28</sup> and the GEF policy on public involvement<sup>29</sup>.

135. Project management: The Project Management Unit (PMU) – including National Project Coordinator (NPC), Administrative Coordinator, Communications and Knowledge Management Specialist, and Lomas Technical Specialist – will be based centrally in the UNDP offices in Lima. At a local level, (02) Community Outreach Specialists (UNV) will be located in the Local Governments of North and South Lima Municipalities, to provide implementation support engaging activities with community based association. The Project Management Unit will be contracted by UNDP to work under the direct supervision of the Project National Director.

136. The Project Management Unit will be directly responsible for securing the inputs required to deliver each of the outputs indicated in the Results Framework. Under the supervision of the National Project Coordinator, the PMU will ensure overall consistency of vision in the actions proposed under the different components, in coordination and with support from SERNANP (as Implementing Partner) and UNDP (as Responsible Party). There will also be close coordination with Local Governments, MLM, as well as

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<sup>28</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>29</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

SERFOR, in recognition of their institutional responsibilities regarding land titling and forest zoning, respectively. Specifically, the National Project Coordinator will:

- Ensure the logistical, administrative and financial effectiveness of the Implementing Partner in fulfilling its role
- To this end, provide monitoring, supervision and guidance to the technical teams based in the project areas
- Promote incidence in and coordination with MINAM, SERNANP, MLM, SERFOR and other key institutional stakeholders of the project, and the donor agencies that are supporting them
- Be responsible for overall conceptual, methodological, operational and strategic oversight of the project, ensuring the effective and timely delivery of the outputs.

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## IX. FINANCIAL PLANNING AND MANAGEMENT

137. The total cost of the project is USD \$15,507,414. This is financed through a GEF grant of USD 1,983,799, USD 135,000 in cash co-financing to be administered by UNDP and USD 13,388,615 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

138. Parallel co-financing: The actual realization of project co-financing will be monitored during the terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs
Muni. Carabayllo	Grant	\$1,128,136	Buffer zone management: Construction of vehicular and pedestrian routes in the buffer zone of Lomas de Carabayllo (C1, 3)
Muni. Rímac	Grant	\$321,401	Buffer zone management: Improvement of alternate access routes in buffer zones of Carabayllo 2 (C1, 2, 3);
Muni. Rímac	In-kind	\$ 6,060	Reforestation (C3)
Muni. Independencia	Grant	\$1,436,718	Buffer zone management: Installation of protective services (retaining walls) and improving vehicle and pedestrian routes in the buffer zones of Lomas de Amancaes (C1, C3)
Muni. Independencia	In-kind	\$ 25,598	Reforestation (C3)
Muni. San Juan de Lurigancho	Grant	\$ 677,768	Buffer zone management: Improving parks and retaining walls in the buffer zones of Lomas de Mangamarca (C1)
Muni. Villa María del Triunfo	In-kind	\$ 103,661	Buffer zone management: embankments and water services in the buffer zones of the Lomas del Paraiso; Workshops on lomas conservation and landslides. (C1, 2)
Muni. Pachacamac	Grant	\$ 8,912,347	Buffer zone management: Expanding water storage capacity in reservoirs, expansion and rehabilitation of vehicular access in the buffer zones of Lomas de Lucumo (C1)



Centro de Estudios y Prevención de Desastres (PREDES)	In-kind	\$350,000	Reforest, monitor restored areas, raising native forest species (C3)
Cooperazione Internazionale (COOPI)	In-kind	\$ 25,000	Reforest, monitor restored areas, raising native forest species (C3)
Asociación Ecológica Lomas de Primavera	In-kind	\$36,621	Reforest, monitor restored areas, raising native forest species and tourism. (C3)
Asociación Protectores de las Lomas y de la Flor de Amancaes	In-kind	\$28,833	Reforest, monitor restored areas, raising native forest species and tourism. (C3)
Comité de Gestión para la Promoción de las Lomas de Amancaes y la Bella Durmiente	In-kind	\$38,114	Reforest, monitor restored areas, raising native forest species and tourism. (C3)
Comité Ecoturístico de las Lomas de Mangamarca	In-kind	\$ 55,685	Reforest, monitor restored areas, raising native forest species and tourism. (C3)
Asociación Circuito Ecoturístico Lomas de Paraíso	In-kind	\$29,091	Reforest, monitor restored areas, raising native forest species and tourism. (C3)
Asociación Circuito Ecoturístico Lomas de Lúcumo (ACELL)	In-kind	\$ 35,409	Reforest, monitor restored areas, raising native forest species and tourism. (C3)
SERNANP	In-kind	\$178,174	Institutional support to the creation and management of the Conservation Areas and corresponding M&E system.
	<b>Total CoFin:</b>	<b>\$ 13,388,615</b>	

139. **Budget Revision and Tolerance:** As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

140. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP cash co-financing).

141. **Refund to Donor:** Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

142. **Project Closure:** Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>30</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

143. **Operational completion:** The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project

<sup>30</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

144. Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

145. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

## BUDGET AND WORK PLAN

00094204	Atlas Primary Output Project ID:	00098384
Conservation, management and rehabilitation of fragile lomas ecosystems in Peru		
PER10		
Conservation, management and rehabilitation of fragile lomas ecosystems in Peru		
5845		
SERNANP		

able / s ting )	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)	See Budget Note:	
	62000	GEF	71300	Local Consultants	20,000	20,000		24,000	24,000	88,000	1	
			72100	Contractual Services Companies			7,000				7,000	2
			71400	Contract Services Individual	40,000	40,000	40,000	40,000	40,000	40,000	200,000	3
			71600	Travel	9,000	12,000	3,000	3,000	3,000	3,000	30,000	4
			72800	Information Technology Equipment	15,000	30,000	25,000	4,000	1,000		75,000	5
			72300	Materials and Goods			10,000	10,000	20,000		40,000	6
			74200	Audio Visual&Print Prod Cost	3,000	6,000	5,000				14,000	7
			74500	Miscellaneous Expenses	500	500	500	500	500	500	2,500	8
			73100	Rental and Maintenance - Premises	2,500	2,500	2,500	2,500	2,500	2,500	12,500	9
						<b>Total Outcome 1</b>	<b>90,000</b>	<b>111,000</b>	<b>93,000</b>	<b>84,000</b>	<b>91,000</b>	<b>469,000</b>
				Contract Services								

<b>OUTCOME 2</b>				71600	Travel	2,000	2,000	2,000	2,000	0	<b>8,000</b>	11
				72100	Contractual Services Companies		10,000	10,000	10,000		<b>30,000</b>	12
				74200	Audio Visual&Print Prod Cost	200		2,000			<b>2,200</b>	13
				74500	Miscellaneous Expenses	500	500	500	500	500	<b>2,500</b>	14
				73100	Rental and Maintenance - Premises	2,500	2,500	2,500	2,500	2,500	<b>12,500</b>	15
				75700	Training, Workshops and Confer	5,000	5,000	5,000	2,000	2,000	<b>19,000</b>	16
					<b>Total Outcome 2</b>	<b>53,807</b>	<b>63,607</b>	<b>65,607</b>	<b>60,607</b>	<b>48,606</b>	<b>292,234</b>	
<b>COMPONENT/ OUTCOME 3</b>	<b>Party 1</b>	<b>62000</b>	<b>GEF</b>	71300	Local Consultants	20,000	20,000				<b>40,000</b>	17
				71400	Contract Services Individual	40,000	40,000	40,000	40,000	40,000	<b>200,000</b>	18
				71500	UNV	30,000	30,000	30,000	30,000	30,000	<b>150,000</b>	19
				71600	Travel	3,000	3,000	3,000	3,000	5,000	<b>17,000</b>	20
				72100	Contractual Services Companies	3,000	7,000	7,000			<b>17,000</b>	21
				72300	Materials & Goods		20,000	10,000	5,000	5,000	<b>40,000</b>	22
				74200	Audio Visual&Print Prod Costs	1,000	1,000	2,000	1,000	1,000	<b>6,000</b>	23
				74500	Miscellaneous Expenses	2,000	2,000	2,000	2,000	2,000	<b>10,000</b>	24
				73100	Rental and Maintenance - Premises	2,500	2,500	2,500	2,500	2,500	<b>12,500</b>	25
				72200	Equipment and Furniture	8000	1000	1,000	1000	1,000	<b>12,000</b>	26
				72600	Micro-grants		75,000	75,000			<b>150,000</b>	27
					<b>Total Outcome 3</b>	<b>109,500</b>	<b>201,500</b>	<b>172,500</b>	<b>84,500</b>	<b>86,500</b>	<b>654,500</b>	
<b>COMPONENT/ OUTCOME 4: KM and M&amp;E</b>	<b>Party 1</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	0	0	10,000	0	30,000	<b>40,000</b>	28
				71300	Local Consultants (M&E, web)	10,000	5,000	5,000	5,000	10,000	<b>35,000</b>	29

				71400	Contract Services Individual	33,000	33,000	33,000	33,000	33,000	<b>165,000</b>	30
				71600	Travel	4,000	4,000	4,000	4,000	4,000	<b>20,000</b>	31
				72800	Information Technology Equipment	5,000	1,000	1,000	500	500	<b>8,000</b>	32
				74100	Professional Services	1,500	1,500	1,500	1,500	1,500	<b>7,500</b>	33
				74200	Audio Visual&Print Prod Costs	5,000	7,000	10,000	10,000	10,000	<b>42,000</b>	34
				74500	Miscellaneous Expenses	2,000	2,000	2,000	2,000	2,000	<b>10,000</b>	35
				73100	Rental and Maintenance - Premises	2,500	2,500	2,500	2,500	2,500	<b>12,500</b>	36
				75700	Training, Workshops and Confer	5,000	12,000	10,000	12,000	8,720	<b>47,720</b>	37
					<b>Total Outcome 4</b>	<b>68,000</b>	<b>68,000</b>	<b>79,000</b>	<b>70,500</b>	<b>102,220</b>	<b>387,720</b>	
<b>PROJECT MANAGEMENT UNIT<sup>31</sup></b>	<b>Party 1</b>	<b>62000</b>	<b>GEF</b>	71400	Contract Services Individual	29,696	29,696	29,696	29,696	29,696	<b>148,480</b>	38
				74599	Direct project costs	6,373	6,373	6,373	6,373	6,373	<b>31,865</b>	39
					<b>Total Management</b>	<b>36,069</b>	<b>36,069</b>	<b>36,069</b>	<b>36,069</b>	<b>36,069</b>	<b>180,345</b>	
<b>PROJECT TOTAL</b>						<b>357,376</b>	<b>480,176</b>	<b>446,176</b>	<b>335,676</b>	<b>364,395</b>	<b>1,983,799</b>	

<sup>31</sup> Should not exceed 5% of total project budget for FSPs and 10% for MSPs. PMU costs will be used for the following activities: Full time or part time project manager (and or coordinator); Full time or part time project administrative/finance assistant; Travel cost of the PMU project staff; Other General Operating Expenses such as rent, computer, equipment, supplies, etc. to support the PMU; UNDP Direct Project Cost if requested by Government Implementing Partner; Any other projected PMU cost as appropriate. Audit should be funded under Outcome 4 on KM and M&E or under project outcomes.

Summary of Funds: <sup>32</sup>

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Total
<b>GEF</b>	357,376	480,176	446,176	335,676	364,395	1,983,799
<b>Carabayllo</b>	225,627	225,627	225,627	225,627	225,628	1,128,136
<b>Rímac</b>	65,492	65,492	65,492	65,492	65,493	327,461
<b>Independencia</b>	292,463	292,463	292,463	292,463	292,464	1,462,316
<b>San Juan de Lurigancho</b>	135,553	135,553	135,553	135,553	135,556	677,768
<b>Villa María del Triunfo</b>	20,732	20,732	20,732	20,732	20,733	103,661
<b>Pachacamac</b>	1,782,469	1,782,469	1,782,469	1,782,469	1,782,470	8,912,346
<b>Centro de Estudios y Prevención de Desastres (PREDES)</b>	70,000	70,000	70,000	70,000	70,000	350,000
<b>Cooperazione Internazionale (COOPI)</b>	5,000	5,000	5,000	5,000	5,000	25,000
<b>Asociación Ecológica Lomas de Primavera</b>	7,324	7,324	7,324	7,324	7,325	36,621
<b>Asociación Protectores de las Lomas y de la Flor de Amancaes</b>	5,766	5,766	5,766	5,766	5,769	28,833
<b>Comité de Gestión para la Promoción de las Lomas de Amancaes y la Bella Durmiente</b>	7,622	7,622	7,622	7,622	7,626	38,114
<b>Comité Ecoturístico de las Lomas de Mangomarca</b>	11,137	11,137	11,137	11,137	11,137	55,685
<b>Asociación Circuito Ecoturístico Lomas de Paraíso</b>	5,818	5,818	5,818	5,818	5,819	29,091
<b>Asociación Circuito Ecoturístico Lomas de Lúcumo (ACELL)</b>	7,081	7,081	7,081	7,081	7,085	35,409
<b>SERNANP</b>	35,635	35,635	35,635	35,635	35,634	178,174
<b>UNDP</b>	25,000	30,000	30,000	25,000	25,000	135,000
<b>TOTAL</b>	<b>3,060,095</b>	<b>3,187,895</b>	<b>3,153,895</b>	<b>3,038,395</b>	<b>3,067,134</b>	<b>15,507,414</b>

<sup>32</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

**Budget notes:**

<b>Budget Note</b>	<b>Atlas Code</b>	<b>ERP/ATLAS Budget Description/ Input</b>	<b>Amount (US\$)</b>	<b>Description</b>
<b>Component 1</b>				
1	71300	Local Consultants	<b>88,000</b>	National consultants (including DSA and travel) for: - Detailed characterization of the 14 lomas (Output 1.2) - Financial sustainability analysis and plan for Conservation Areas (Output 1.4) - Legal analysis of viable partnership options (Output 1.1)
2	72100	Contractual Services Companies	<b>7,000</b>	Contracts with NGOs and companies (Outputs 1.3 Demarcation of 14 loma sites; 1.5 Control and security plan; 1.6 Control posts)
3	71400	Contract Services Individual	<b>200,000</b>	- Project coordinator (pro rata) for supporting the approval process of the Conservation Areas (Output 1.1) - Social Communication Specialist for supporting the negotiations with private landowners to commit to being part of the Private Conservation Area (Output 1.1) - Administrative staff for supporting the approval process of the Conservation Areas (Output 1.1) and logistical support and oversight for project actions (acquisition and installation of infrastructure for Outputs 1.3, 1.6, 2 and 3)
4	71600	Travel	<b>30,000</b>	- Travel to lomas and Lima by team members
5	72800	Information Technology Equipment	<b>75,000</b>	Software, computers etc. for: - Development of monitoring/surveillance systems for ACs (Outputs 1.5 and 1.6) - Development of biodiversity inventory (Output 3)
6	72300	Materials and Goods	<b>40,000</b>	Materials for implementing the Conservation Areas - Demarcation (Output 1.3) - Control points (Output 1.6)
7	74200	Audio Visual&Print Prod Cost	<b>14,000</b>	Printing of communication and dissemination materials (pro rata) (Output 1.1 Management Plans, 1.5 Control and security plan, 3. BD inventory)
8	74500	Miscellaneous Expenses	<b>2,500</b>	Diverse materials for the daily operation and to facilitate the workshops
9	73100	Rental and Maintenance - Premises	<b>12,500</b>	Office rental for PMU (pro rata)
<b>Component 2</b>				
10	71400	Contract Services Individual	<b>218,034</b>	-Project coordinator (pro rata) to guide 9 local governments' elaboration of planning tools (Outputs 2.1 and 2.2) - Administrative staff logistical support and oversight for project actions especially training (Output 3.2)

<b>Budget Note</b>	<b>Atlas Code</b>	<b>ERP/ATLAS Budget Description/ Input</b>	<b>Amount (US\$)</b>	<b>Description</b>
11	71600	Travel	<b>8,000</b>	Travel to lomas and Lima by team members
12	72100	Contractual Services Companies	<b>30,000</b>	Contracts with NGOs and companies for: - Elaboration of public-friendly version of Lomas Conservation Strategy (Output 1) - Analysis of potential public-private partnership models (Output 3.1)
13	74200	Audio Visual&Print Prod Cost	<b>2,200</b>	Printing of communication and dissemination of Lomas Conservation Strategy (Output 1)
14	74500	Miscellaneous Expenses	<b>2,500</b>	- Diverse materials for daily operations and to facilitate the workshops
15	73100	Rental and Maintenance - Premises	<b>12,500</b>	- Office rental for PMU (pro rata)
16	75700	Training, Workshops and Confer	<b>19,000</b>	Annual training of local government, CSOs, private sector on management of biodiversity /ecosystem services, land-use planning (Output 3.2)
<b>Component 3</b>				
17	71300	Local Consultants	<b>40,000</b>	National consultants (including DSA and travel) for - Vulnerability Analysis (Output 1.1) - Economic Study of Lomas Ecosystem Services (Output 1.1 and 2.1) - Evaluation of tourism potential (Output 3.1)
18	71400	Contract Services Individual	<b>200,000</b>	- Project coordinator (pro rata) - Lomas technical specialist for design, implementation and supervision of Plan to restore degraded areas (Output 1.1) and training of farmers, mining concessions and ecotourism operators (Outputs 2.1, 2.2, 2.3, 3.2, 3.3) - Social Communication Specialist for design and implementation of sustainable practices trainings (Outputs 2.1, 2.2, 2.3, 3.2, 3.3) - Administrative staff for logistical support and oversight for project actions (restoration, training and tourism facilities for Outputs 1.2, 1.3, 1.4, 2.2, 2.3, 3.2 and 3.3)
19	71500	UNV	<b>150,000</b>	Design and implementation of Restoration Plan for degraded areas in Group 1 and Group 2 (Outputs 1.1, 1.2, 1.3, 1.4)
20	71600	Travel	<b>17,000</b>	Travel to lomas and Lima by team members
21	72100	Contractual Services Companies	<b>17,000</b>	Contracts with NGOs/companies for: - Generation of plan and instruments for awareness raising (Outputs 1.1 and 3.2) and overall project communication campaign
22	72300	Materials & Goods	<b>40,000</b>	Materials for reforestation/restoration (Outputs 1.2, 1.3 and 1.4)



<b>Budget Note</b>	<b>Atlas Code</b>	<b>ERP/ATLAS Budget Description/ Input</b>	<b>Amount (US\$)</b>	<b>Description</b>
				- Nursery materials - Fogcatchers - Small reservoirs
23	74200	Audio Visual&Print Prod Costs	<b>6,000</b>	Contract-business for public-friendly version of Tourism guides (Outputs 3.2 and 3.3)
24	74500	Miscellaneous Expenses	<b>10,000</b>	Diverse materials for the daily operation and to facilitate the training workshops
25	73100	Rental and Maintenance Premises -	<b>12,500</b>	Office rental for PMU (pro rata)
26	72200	Equipment and Furniture	<b>12,000</b>	Equipment and furniture for ecotourism sites (Output 3.3)
27	72600	Micro-grants	<b>150,000</b>	Annual amount of \$25,000 for 3 CBOs involved in reforestation (Output 1.2, 1.3 and 1.4) and maintenance of tourism facilities (Output 3.3). Selection criteria for the microgrant will be defined during Yr 1
<b>Component 4</b>				
28	71200	International Consultants	<b>40,000</b>	Consultants specialized in identifying and measuring project progress; identifying lessons learned and good practices (TE)
29	71300	Local Consultants (M&E, web)	<b>35,000</b>	National consultants to support, accompany and complement the International Consultant responsible for M&E (including DSA and travel)
30	71400	Contract Services Individual	<b>165,000</b>	- Project coordinator (pro rata) to oversee the design and implementation of the participatory M&E plan (Outputs 1.1 and 1.2) - Lomas Technical Specialist to support the design and implementation of the participatory M&E plan (Outputs 1.1 and 1.2)
31	71600	Travel	<b>20,000</b>	Travel to lomas and Lima by team members
32	72800	Information Technology Equipment	<b>8,000</b>	Computer equipment, drones and software for development of monitoring systems for lomas BD and ecosystem services (Output 1.2)
33	74100	Professional Services	<b>7,500</b>	Contracts with NGOs/companies for: Generation of M&E plan (Output 1.1) and instruments for awareness raising (Output 1.3)
34	74200	Audio Visual&Print Prod Costs	<b>42,000</b>	Materials for monitoring and documenting of impact indicators (Output 1.2 and overall project impacts)

<b>Budget Note</b>	<b>Atlas Code</b>	<b>ERP/ATLAS Budget Description/ Input</b>	<b>Amount (US\$)</b>	<b>Description</b>
35	74500	Miscellaneous Expenses	<b>10,000</b>	Diverse materials for daily operations and to facilitate the training of monitoring participants (Output 1.3)
36	73100	Rental and Maintenance - Premises	<b>12,500</b>	Office rental for PMU (pro rata)
37	75700	Training, Workshops and Confer	<b>47,720</b>	Trainings of local monitors (Group 1 and Group 2) (Output 1.3); Regional/International workshop on Lomas to present project results
<b>Project Management</b>				
38	71400	Contract Services Individual	<b>148,480</b>	Project Coordinator and Administrative staff for logistical support and oversight of project actions
39	74599	Direct Project Costs	<b>31,865</b>	Estimated UNDP Direct Project Service/Cost recovery charges to UNDP for executing services. In accordance with GEF Council requirements, the costs of these services will be part of the executing entity's Project Management Cost allocation identified in the project budget. DPS costs would be charged at the end of each year based on the UNDP Universal Price List (UPL) or the actual corresponding service cost. The amounts here are estimations based on the services indicated, however as part of annual project operational planning the DPS to be requested during the calendar year would be defined and the amount included in the yearly project management budgets and would be charged based on actual services provided at the end of that year.

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## **XI. LEGAL CONTEXT**

146. This document together with the CPAP signed by the Government and UNDP which is incorporated by reference, constitute together the instrument envisaged and defined in the Supplemental Provisions to the Project attached Annex L, as “the Project Document”

147. Consistent with the above Supplemental Provisions, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.

148. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.

149. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

150. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

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## **XII. MANDATORY ANNEXES**

- A. Characterization of Lomas Selected for Project Intervention
- B. Multi year Workplan
- C. Monitoring Plan
- D. Evaluation Plan
- E. GEF Tracking Tools at baseline (provided in a separate file)
- F. Terms of Reference for Project Board, Project Manager, Chief Technical Advisor and other positions as appropriate
- G. UNDP Social and Environmental and Social Screening Template (SESP)
- H. UNDP Project Quality Assurance Report
- I. UNDP Risk Log
- J. Results of the capacity assessment of the project implementing partner and HACT micro assessment
- K. DPC Letter of Agreement between UNDP and SERNANP
- L. Supplemental Provisions to the Project Document: The Legal Context
- M. Co-Financing Commitment Letters (provided in a separate file)

## Annex A: Characterization of Lomas Selected for Project Intervention

Provide information regarding biodiversity and ecosystem characteristics, anthropogenic threats, ecosystem services (including and proposed project interventions in each of the selected lomas.

### Lomas Selected for Group 1:

Location	Carabayllo 1	Carabayllo 2	Amancaes	Villa Maria del Triunfo
	287.92 ha	218.07 ha	237.45 Has.	691.48 ha
	Ancón, Puente Pierre y Carabayllo	Carabayllo	Independencia, Rímac and San Juan de Lurigancho	Villa María del Triunfo
Soils -	Leptosol-Rock	Leptosol Liticos-Rocas and Arenosoles háplicos-Solonchaks háplicos	Fluvisiol eutrico-Regosol eutrico	2 types of Arenosoles háplicos soils: Solonchacks háplicos and Leptosoles Liticos-Roca
Land protection zones	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops
Biodiversity	71 species of flora and 15 species of birds	71 species of flora and 15 species of birds	51 species of vascular plants, grouped in 43 genera and 28 families. The <i>Magnoliopsida</i> is the dominant vegetation, hosting 94% of total species.	114 species of flora and 20 species of birds
Endemic species	Three species categorized under threat (DS N° 043-2006-AG): <i>Vasconcellea candicans</i> (CR), <i>Begonia octopetala</i> (EN), <i>Vachellia macracantha</i> (NT)	Three species categorized under threat (DS N° 043-2006-AG): <i>Vasconcellea candicans</i> (CR), <i>Begonia octopetala</i> (EN) y <i>Vachellia macracantha</i> (NT)	Three species categorized under threat. Local extinction of several species has already been documented, including the symbolic species <i>Ismene</i>	Four species categorized under threat (DS N° 043-2000-AG): <i>Cleistocactus scanthurus</i> (EN), <i>Vasconselles candicans</i> , <i>Haageocereus limensis</i>

	Ancón	Carabaylo 1	Carabaylo 2	Amancaes	Villa Maria del Triunfo
	<i>brongniartioides</i> (CR), <i>Palua camanensis</i> (EN)			amancaes "Amancay" (Amaryllidaceae)	(CR), <i>Cnidocolus basiacanthus</i> , <i>Caesalpinia spinosa</i> (VU), <i>Eragrostis attenuata</i> , <i>Vachellia Macracanta</i> (NT)
Endemic Species	At least 43% of endemic species.	13 species of flora or limited distribution, restricted only in Peru.	13 species of endemic flora or limited distribution, restricted only in Peru.	9 endemic taxon, representing 17.6% of total. Cactaceae family is represented with 3 species. Stonemason flavum. (Amaryllidaceae) only endemic Liliopsida	20 flora species endemic or limited distribution, restricted only in Peru.
<b>Anthropogenic Threats</b>					
Quarrying	Permanent threat for non-metallic mining extraction	Permanent threat, there are 19 non-metallic and metallic mining concessions between 1977-2012. Currently quarrying	There are non-metallic mining. Recent social confrontations.	No present	There are 3 non-metallic and metallic mining concessions, rock and soil quarrying
Livestock grazing	Seasonal threat	Seasonal threat, goats and sheep grazing	Seasonal threat, goats and sheep grazing	There are informal pig farms	Informal pig farms along the buffer zone.
Increased urban infrastructure	Permanent and low intensity threat	Seasonal and high intensity Allotment for housing on lower zones of the hill	A real estate company, Villa Club, is located at the bottom of the hill and there are human settlements in the buffer zone	Although local authorities have restricted urbanization in the slopes, still permanent threat	Permanent and high intensity threat. Strong urban sprawl pressure from urban settlements in hills

	Ancón	Carabayllo 1	Carabayllo 2	Amancaes	Villa Maria del Triunfo
Presence of Exotic species	Exotic species introduced by reforestation, close by Pan Americana Norte road	Exotic species close to populated areas	Non presence of exotic species, Tara reforestation	Permanent threat, 30%of exotic species, highly presence of domestic rodents	Flora and fauna exotic species exotica's close to human settlements
Poultry farming	Permanent threat for poultry farming	Permanent threat for poultry farming	No present	No present	Permanent threat for poultry farming, low intensity
Urban transportation emissions	Permanent threat of low intensity by road traffic	Permanent threat of low intensity High road traffic, Atmospheric Contamination	Permanent and Low intensity of road transportation. However there is a risk of lead contamination because batteries are recycled at the buffer zone.	Permanent and High intensity of road traffic emission, Atmospheric Contamination	Permanent and Low intensity of road traffic emission, Atmospheric Contamination due to cement/concrete factory
Solid Waste	Presence of plastics carry by the winds	Presence of plastics carry by the winds and informal dumps	Presence of Landfill el Zapallal. Presence of plastics carry by the winds	Presence of plastics carry by the winds	Presence of plastics carry by the winds, several informal dumps close to human settlements
Electric net	Electrical concessions, ELDENOR y REP Peru	None present	None present	Electric towers	Micro electric, ELECTRO SUR within the hill
<b>Ecosystem Services</b>					
Provision of genetic resources	Permanent service by the presence of species of wild relatives of potatoes, tomatillo and snuff	Permanent Service by the presence of species of wild relatives of potatoes, tomatillo and snuff	Permanent service by the presence of species of wild relatives of potatoes, tomatillo and snuff	Permanent service by the presence of species of wild relatives of potatoes, tomatillo and snuff	Permanent service by the presence of species of wild relatives of potatoes, tomatillo and snuff
Soil Formation	Permanent Service of soil formation in arid conditions, increase organic horizon with a	Permanent Service of soil formation in arid conditions, increase organic	Permanent Service of soil formation in arid conditions increase organic horizon	Permanent Service of soil formation in arid conditions increase organic	Permanent Service of soil formation in arid conditions increase organic horizon with a

	Ancón	Carabayllo 1	Carabayllo 2	Amancaes	Villa Maria del Triunfo
	higher content of organic matter.	horizon with a higher content of organic matter.	with a higher content of organic matter.	horizon with a higher content of organic matter.	higher content of organic matter.
Pollination	Permanent Service in proximities of Huaral Valley	Permanent Service, especially in <i>solanáceas articulados</i> of Chillón Valley and agriculture areas	Permanent Service, especially in <i>solanáceas articulates</i> of Chillón Valley and agriculture areas	Limited due to proximity of human settlements	High presence of flowering provides habitat for pollinators and facilitates pollination between valleys
Landscape		Permanent service, an extensive vegetation cover and flowering in humid season	It is the most attractive hill, the vegetation combines with small rocky outcrops	vegetation combines with small rocky outcrops	Natural ecosystem in urban areas
Ecotourism	No regulated ecotourism services		Irregular Service, low potential 750 visitors in 2015	Irregular Service, low potential, increased awareness of communities and schools to protect the hill	The presence of biodiversity and recreational activities and nature watching, demand touristic services
Food		Permanent service, presence of wild papaya, tomatoes, and cactus- fruits	Permanent service, presence of wild papaya, tomatoes, and cactus- fruits	Permanent service, presence of wild papaya, tomatoes, and Tara	Potential Services, organic farming can be used to food provision purposes
Educational		Partial Services	Permanent Services, in 2015 student visit	Permanent Services for educational service	Permanent Services it is a natural area accessible for educational purpose
Disaster Risk Reduction	Permanent Services protection from adverse consequences of natural hazards such land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards.	Permanent Services protection from adverse consequences of natural hazards such land floods, and <i>haicos</i> .	Permanent Services protection from adverse consequences of natural hazards such land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such land floods, and <i>haicos</i>

	<b>Ancón</b>	<b>Carabaylo 1</b>	<b>Carabaylo 2</b>	<b>Amancaes</b>	<b>Villa Maria del Triunfo</b>
Water Services	Permanent Services, water regulation and purification maintenance of water quality	Permanent Services, water regulation and purification maintenance of water quality	Permanent Services, water regulation and purification maintenance of water quality	Permanent Services, water regulation and purification maintenance of water quality	Permanent Services, water regulation and purification maintenance of water quality
Climate regulation	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential
Poverty alleviation	Permanent Services	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential
<b>Proposed Project Interventions</b>					
Ecotourism	Strong potential, circuit already identified	Accessible with potential for ecotourism services; nearby construction of a cemetery could strengthen the interest in this service.	Existing tourism organization provides visits to Loma Primavera, this could be strengthened and increased.	Strong potential since the Loma is close to Lima and could form part of a tourist circuit within Lima's city limits.	Very active with established circuit and good publicity for tourist activities. Could be strengthened and experiences shared to increase interest and potential of other lomas.
Reforestation	At least 70 has	Existing fog-catchers can facilitate reforestation of at least 70 has.	Approximately 80 has. within Loma Primavera and its buffer zones.	Approximately 140 has throughout lomas and buffer zones between the 3 municipal districts (Independencia, Rímac and San Juan de Lurigancho)	Approximately 120 has. throughout the loma



	<b>Ancón</b>	<b>Carabaylo 1</b>	<b>Carabaylo 2</b>	<b>Amancaes</b>	<b>Villa Maria del Triunfo</b>
Sustainable grazing	N/A	N/A	N/A	N/A	Regulate grazing in zones where there are livestock (goats and cows)

**Characterization of the Lomas Selected for Group 2:**

	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
Surface	402.89 ha	516.1 ha	1597.36 ha	1372.07 ha	4547.69 ha	993.47 ha	1420.45 ha	176.06 ha	2,178.61 ha
Municipal Location	Comas, Independencia and San Juan de Lurigancho	San Juan de Lurigancho	Villa María del Triunfo, Pachacamác and Lurín. These also include Guayabo, Picapiedra and Manchay.	Lurín, including: Flor de nieva, Quebrada leña and Pucará	Lurín and Pachacamác, including: Punta Blanca, Manzano and Pucará	Punta Hermosa	Punta Hermosa	Punta Negra	Punta Negra-Punta Hermosa
Soil structure	Fluvisol éútrico-Regosol éútrico (FLe-RGe)	Fluvisol éútrico-Regosol éútrico (FLe-RGe)	Leptosoles Líticos-Roca (LPq – R)	Arenosoles háplicos-Solonchaks háplicos (ARh-SOh)	Arenosoles háplicos-Solonchaks háplicos (ARh-SOh)	Arenosoles háplicos-Solonchaks háplicos (ARh-SOh)	Arenosoles háplicos-Solonchaks háplicos (ARh-SOh)	Arenosoles háplicos-Solonchaks háplicos (ARh-SOh)	Arenosoles háplicos-Solonchaks háplicos (ARh-SOh)
Capacity of Land Use	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops	Land protection zones in mountain slopes with lithic outcrops
Biodiversity	24 species of flora, 11 species of birds and 1 species of herpetofauna	40 species of flora, 15 species of birds and 1 species of herpetofauna	57 species of flora, 30 species of birds and 5 mammals. High index of biodiversity	42 species of flora, 7 species of birds	49 species of flora and species of birds	38 species of flora, 8 species of birds	43 species of flora, 14 species of birds and 1 species of herpetofauna	29 species of flora, 13 species of birds and 1 species of herpetofauna	65 species of flora, 16 species of birds and 1 mammal and 1 herpetofauna

	Lima Norte-Payet	Mangomarca	Lúcumos- Green Quebrada	Lurín	Pachacamác	Pacta	Malanche	Jime	Caringa
Endangered Species	To be Determined	01 critical endangered CR	To be Determined	4 endangered species identified: 01 CR, 02 EN y 01 VU	4 endangered species identified: 1 EN, 1 VU y 2 NT	4 endangered species identified; 1 CR, 1 EN, 1 VU y 1 NT	6 endangered species 4 endangered species: 01 VU, 03 EN, 01 CR y 01 NT	To be Determined	6 endangered species 4 endangered species: 02 VU, 01 EN, 03 CR, 01 mammal species NT
<b>Anthropogenic Threats</b>									
Quarrying	No present	No present	Permanent threat, Lima Concrete concession, already affects Guayaba y Picapiedara	Permanent threat, high impact, there are 16 mining concession, rock quarrying affects natural cover	Permanent threat, high impact, there are 26 of non- metallic mining concession affecting natural cover	Permanent threat, high impact, there are 5 of non-metallic mining concession affecting natural cover	Permanent threat, high impact, presence of metallic mining activities in lower zones	Permanent threat, high impact, presence of metallic mining activities in lower zones	Permanent threat, high impact, presence of metallic mining activities in lower zones
Livestock grazing	Seasonal Threats, Pig farming in buffer zones	None present	Seasonal Threats, from August to December, cow and goats grazing, over 250 heads, in high-density vegetation, the grazing extends to Quebrada Verde.	Seasonal Threats, increasing grazing pressures on more palatable flora	Seasonal Threats, high impact of grazing and overgrazing in the hill, affects the distribution of flora species	Seasonal Threats and high level itinerant cow and goats grazing (500 goats and 200cow).	Seasonal-Permanence Threats from cow and goats grazing	Seasonal-Threats from cow and goats grazing	Seasonal Threats from cow and goats grazing

	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
Increased urban infrastructure	Permanent and high intensity threat. Strong urban sprawl pressure from urban settlements in hill	Permanent and high intensity threat. Strong urban sprawl pressure, squatter settlements in the hill	Permanent and high intensity threat. Strong urban sprawl pressure, squatter settlements in ravines and hills.	Permanent and high intensity threat. Open trench roads and residential buildings inside the hill	Seasonal and high intensity Allotment for housing on lower zones of the hill	Seasonal and high intensity Allotment for housing on lower zones of the hill	Permanent and low intensity threat. Open trench roads	Permanent and low intensity threat. Open trench roads	Permanent and low intensity threat. Open trench roads
Presence of Exotic species	Presence of exotic species only in buffer zones	Presence of exotic species planted by communities in buffer zones	Presence of feral dogs disturbs the native fauna	Presence of rodents	Seasonal, Presence of rodents due to human settlements	No presence	No presence	No presence	No presence
Poultry farming	Presence of informal pig farming	No presence, there is informal pig farming	Permanent and low intensity, precarious cowsheds	Permanent and low intensity, increasing poultry farming and cowsheds in precarious, drivers of diseases and odors	Permanent and low intensity, increasing poultry farming and cowsheds in precarious, drivers of diseases and odors	Permanent and low intensity, poultry farming and cowsheds in precarious, drivers of diseases and odors	Seasonal and low intensity poultry farming	Seasonal and low intensity poultry farming	Seasonal and low intensity poultry farming
Urban transportation emissions	Permanent and Low intensity from road transportation.	Permanent and Low intensity from	Limited	Limited	Limited	No impact	No impact	No impact	No impact

	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
		road transportation.							
Solid Waste	Presence of plastics due to human settlements in the hills	Presence of waste due to human settlements in the hills	No presence of Solid waste due to community management	Presence of waste due to poor management	Presence of waste due to poor management	No presence of waste	No presence of waste	No presence of waste	No presence of waste
Electric net	Presence of antenna installations	Presence of radio antenna installations	No Presence	Presence of antenna installations	No Presence	No Presence	No Presence	No Presence	No Presence
<b>Ecosystem Services</b>									
Provision of genetic resources	Permanent service by the presence of species of wild relatives of Tabaco	Permanent service by the presence disperse flora	Permanent service by important presence of species of wild relatives of Tabaco tomato and potatoes	Permanent high potential service by important presence of species of wild relatives of Tabaco and potatoes	Permanent high potential service by important presence of species of wild relatives of Tabaco, tomatoes and potatoes	Permanent high potential service by important presence of species of wild relatives of Tabaco, tomatoes and potatoes	Permanent high potential service by important presence of species of wild relatives of Tabaco, tomatoes and potatoes	Permanent high potential service by important presence of species of wild relatives of Tabaco, tomatoes and potatoes	Permanent high potential service by important presence of species of wild relatives of Tabaco, tomatoes and potatoes
Soil Formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation	Permanent Service, high potential of soil formation

	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
Pollination	Limited due to high density human settlements	Limited due to high density human settlements	Permanent and high importance, pollination of Lurín basin.	Permanent and high importance, pollination	Permanent and high importance, pollination of Lurín basin.	Permanent and high importance, pollination and spread seeds	Permanent and high importance, pollination and spread seeds	Permanent and high importance, pollination and spread seeds	Permanent and high importance, pollination and spread seeds
Landscape	Permanent Service, rocks and disperse vegetation	Permanent Service, rocks and disperse vegetation	Permanent Service, very attractive landscapes, volcano formations and disperse vegetation	Permanent Service, very attractive grassland, and disperse vegetation	Permanent Service, very attractive green and yellow grassland	Permanent Service, very attractive grassland and archeological and cultural sites	Permanent Service, very attractive grassland and rocks	Permanent Service, very attractive green and yellow grassland and rocks	Permanent Service, very attractive green and yellow grassland and rocks
Ecotourism	Permanent services the most attractive hill, the vegetation combines with small rocky outcrops	Potential ecotourism services by local communities in the buffer zones	Permanent service ecotourism community managed experience.	Permanent and potential service unplanned/informal ecotourism managed	Permanent service ecotourism experience. Promoted by the Municipality to Santuario Amancaes. Potential hikes	Potential service of ecotourism activities	Potential service of ecotourism activities	Potential service of ecotourism activities	Potential service of ecotourism activities
Food	Low potential service  Permanent service,	Low potential service	Permanent service, presence of wild papaya, tomatoes, and cactus- fruits and tara	Permanent service, presence of wild papaya and cactus-	Permanent service, presence of wild papaya and cactus-	Permanent service, presence of wild papaya, tomatoes, and	Permanent service, presence of wild papaya, tomatoes,	Permanent service, presence of wild papaya, tomatoes,	Permanent service, presence of wild papaya, tomatoes,

	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
	presence of wild papaya, tomatoes, and cactus- fruits			fruits and bird hunting	fruits and bird hunting	cactus- fruits and tara	and cactus- fruits	and cactus- fruits	and cactus- fruits
Educational	High potential of educational purpose	High potential of educational purpose, already existing	High potential of educational purpose, increasing the number of visitors	High potential of educational purpose, increasing the number of visitors,	High potential of educational purpose, increasing the number of visitors, promote the governance of the Lomas	High potential of educational purpose, increasing the number of visitors, not developed yet	High potential of educational purpose, increasing the number of visitors, not developed yet	High potential of educational purpose, increasing the number of visitors, not developed yet	High potential of educational purpose, increasing the number of visitors, not developed yet
Disaster Risk Reduction	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards.	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>	Permanent Services protection from adverse consequences of natural hazards such as land floods, and <i>haicos</i>
Water Services	Permanent Services, water regulation and purification maintenance	Permanent Services, water regulation and purification maintenance	Permanent Services, water regulation and purification maintenance of water quality	Permanent Services, water regulation and purification maintenance of water quality	Permanent Services, water regulation and purification	Permanent Services, water regulation and purification	Permanent Services, water regulation and purification	Permanent Services, water regulation and purification	Permanent Services, water regulation and purification

	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
	of water quality	of water quality			maintenance of water quality	maintenance of water quality	maintenance of water quality	maintenance of water quality	maintenance of water quality
Climate regulation	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential
Poverty alleviation	Permanent Services	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential	Permanent Services high carbon sequestering potential
<b>Proposed Project Interventions</b>									
Ecotourism	Identify and implement tourist circuit	Strengthen the work of existing CBO that already provides some ecotourism services	Strengthen the services of the existing circuit and improve the publicity/awareness	Organize groups to offer ecotourism services to paragliders, cyclists and motocross	Identify and organize groups interested in providing ecotourism services	Identify and organize groups interested in providing ecotourism services	Identify and organize groups interested in providing ecotourism services	Identify and organize groups interested in providing ecotourism services	Identify and organize groups interested in providing ecotourism services
Reforestation	20 ha in buffer zone	150 ha in buffer zone	70 ha in buffer zone and throughout the loma	70 ha. in buffer zone	150 ha. in buffer zone	10 ha. at repopulation level	10 ha. at repopulation level	10 ha. at repopulation level	10 ha. at repopulation level



	<b>Lima Norte-Payet</b>	<b>Mangomarca</b>	<b>Lúcumos- Green Quebrada</b>	<b>Lurín</b>	<b>Pachacamác</b>	<b>Pacta</b>	<b>Malanche</b>	<b>Jime</b>	<b>Caringa</b>
Sustainable grazing	N/A	N/A	Fortalecer el sistema de aprovechamiento de la biomasa de la loma	Regulate grazing system	Regulate grazing system	Regulate grazing system	Regulate grazing system	Regulate grazing system	Regulate grazing system

NT: Near Threatened VU: Vulnerable EN: Endangered CR: Critical Risk

**Annex B: Multi Year Work Plan:**

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Project Start and Inception Workshop	UNDP, SERNANP, PMU	X	X																		
<b><u>Component 1</u></b>																					
Detailed characterization of the 10 lomas that have previous studies (Group 1)	PC/CT, SERNANP, Univ. San Marcos			X	X	X															
Detailed characterization of the lomas with no previous studies (Group 2)	PC/CT, SERNANP, Univ San Marcos					X	X	X													
Deliver updated dossier of Conservation Area (AC) for Group 1 with Financial Sustainability Plan and Surveillance Strategy (defined with communities)	PC/CT, community partners					X	X	X													
Approval by Environmental Authority-SERNANP (average of 6 months)	PC/CT								X	X											
Implementation of the AC: demarcation, control points -checkpoint entry and other community-managed services, etc. 3 lomas in Y1, 3 in Y2	PC/CT, community partners										X	X	X	X	X	X	X	X	X	X	X
Elaboration of the dossier for AC of Group 2 (South) with Financial Sustainability Plan and Surveillance Strategy (defined with communities)	PC/CT, community partners							X	X	X	X	X									
Approval by Environmental Authority-SERNANP (average of 6 months)	PC/CT, SERNANP												X	X							
Implementation of the AC of Group 2: demarcation, control points -checkpoint entry and other community-managed services, etc. 3 in Y2, 5 in Y3	PC/CT, community partners													X	X	X	X	X	X	X	X
<b><u>Component 2:</u></b>																					

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Elaboration of the Lomas Conservation Strategy and Action Plan	PC/CT, consultant							X	X	X											
Approval of the Lomas Conservation Strategy and Action Plan by MLM	PC/CT									X	X										
Support 9 local governments in the elaboration of management policies, including land use zoning and ordinances, <sup>33</sup> with BD and ecosystem services conservation criteria	PC/CT, community partners			X	X	X	X	X	X	X	X	X	X								
Application of management policies, including land use zoning and ordinances, by local governments	PC/CT, community partners									X	X	X	X	X	X	X	X	X	X	X	X
Evaluate and strengthen 6 existing public-private partnerships for lomas management				X	X	X	X	X	X												
Training of personnel from municipal districts, civil society organizations, and private sector in BD/ES management, zoning, etc.				X				X				X				X				X	
Support 2 new public-private partnerships for lomas management	PC/CT, community partners					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Local governments recognize public-private partnerships for lomas management	PC/CT, community partners									X	X	X	X	X	X	X	X	X	X	X	X
<b>Component 3:</b>																					
Conduct Vulnerability and Impact Analysis of CC on fragile lomas ecosystems to guide design of restoration and management strategies				X	X																

<sup>33</sup> Management policies should include criteria that favors Green development and infrastructure rather than grey.

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Conduct Economic Study/Valuation of Lomas Ecosystem Services							X	X													
Design Restoration Plan for degraded areas							X	X													
Implement Restoration Plan for degraded areas										X	X	X	X	X	X	X	X	X	X	X	X
Establish at least 1 official municipal nursery for native species with Business Plan (see below)	SERFOR						X														
Reforest with native species and vigilance of restored areas (specific timing will depend on zone and species)	SERFOR										X	X	X	X							
Construction of fog-catchers and small reservoirs to facilitate reforestation efforts.											X	X									
Identification of sustainable low-impact practices for agriculture and grazing.						X	X														
Training of local farmers/shepherds on sustainable management practices of lomas resources.							X				X				X					X	
Training of mining concessions on low-impact practices.						X				X				X						X	
Market Analysis/Study of Business Plan for Nursery					X	X							X								
Survey <sup>34</sup> on potential increase of tourism activity in selected lomas.					X	X							X								
Design and implementation of Investment Plan for tourism infrastructure						X	X	X	X												

<sup>34</sup> Determine the needs of tourism operators and service providers, for example, taking into account particular needs of women and young people to develop their livelihoods.

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Training of local tourism organizations with emphasis on gender and youth, including training and exchange of experiences of local artisans, tour guides, business administrators, restauranteurs, etc.						X					X				X				X		
<b>Component 4:</b>																					
Elaboration of participatory Monitoring Plan for the conservation and sustainable use of lomas ecosystems, as well as vulnerability/impact from CC.					X	X	X														
Establishment of permanent monitoring sites and periodic monitoring						X	X		X		X		X		X		X				
Training of local monitors						X		X		X		X									
Development and implementation of communication strategy (paper and virtual) and citizen mobilization campaign with gender and youth focus				X	X				X				X				X				

**Annex C. Monitoring Plan:** The Project Manager will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<b>Project Objective: Contribute to an integrated management and protection of fragile lomas ecosystems in the Province of Lima.</b>	IRRF Indicator 1: # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type	Number of mechanisms, strategies, agreements or plans (national or subnational)	The PMU will follow up with relevant stakeholders/potential partners to support the formation of new partnerships. Application of the GEF PIR	Annually	PMU, UNDP	GEF PIR	Political will, interest and active participation of public and private sector stakeholders, as well as civil society.
	IRRF Indicator 2: # of jobs and livelihoods created through management of natural resources, ecosystem services, chemicals and waste, disaggregated by sex, and rural and urban	Population or families in buffer zones and district who improve their jobs and livelihoods through management of natural resources	Survey via field visits to lomas communities	3x – PPG, project mid-term, project end	PMU	Survey results	Interest and commitment of producers to adopt sustainable practices. Interest of local stakeholders to engage in tourism activities. Interest of local and foreign tourists to visit the lomas.
	<u>Mandatory Indicator 3</u> : # direct project beneficiaries (families): - ecosystem restoration - sustainable ranching/ agriculture - sustainable tourism services	Families who directly are beneficiaries of the project activities and results (they should improve their	Survey via field visits to lomas communities	3x – PPG, project mid-term, project end	PMU	Survey results	Interest and commitment of producers to adopt sustainable practices. Interest of local stakeholders to engage in tourism activities. Interest of local and foreign tourists to visit the lomas.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		livelihoods or incomes as a result of the project)					
	Indicator 4: Level of capacity to sustainably manage lomas ecosystems (as measured by UNDP Capacity Development Scorecard Indicator #2 “Existence of operational co-management mechanisms” and 9 “Extent of the environmental planning and strategy development process”)	Capacity to sustainably manage lomas ecosystem perception (using UNDP Capacity Scorecard)	Application of UNDP Capacity Development Scorecard at project end	2x - PPG and Project End	PMU, SERNANP, UNDP	UNDP Capacity Development Scorecard	Political will and commitment of local governments, civil society and SERNANP  Commitment of local stakeholders to the conservation of selected areas.
<b>Component/Outcome 1</b> <b>Conservation of lomas ecosystems</b>	Indicator 5: # hectares protected through the creation of Regional Lomas Conservation Area (or other figure/ modality/ institutionalized option of effective management) with revenue stream from selected loma sites	Regional Lomas Conservation Area (hectares protected)	Application of the GEF BD Tracking Tool	2x – PPG and Project End	PMU, SERNANP, UNDP	- 2 Dossiers of the conservation area: Dossier of Conservation Area of Group 1 (per mechanisms/ criteria already established by SERNANP for public-private management); Dossier of Conservation Area of Group 2	Political will and commitment of local governments and SERNANP  Commitment of local stakeholders to the conservation of selected areas.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
						(southern lomas contemplating private conservation areas) - GEF BD Tracking Tool	
	Indicator 6: % lomas ecosystems impacted by activities and pressures originating in buffer zones	Number of hectares of lomas ecosystem impacted over total of hectares of lomas in MLM.	- Mapping exercise with local stakeholders to identify degraded areas and the activities that cause the degradation/put pressure on ecosystems - Application of GEF LD Tracking Tool	- 3x – PPG, project mid-term, end - 2x – PPG and Project End	PMU, SERNANP, Local stakeholders from lomas communities	- Gridded maps of the areas with types of degradation and measurement of change; SERNANP Website - GEF LD Tracking Tool	Local stakeholders adopt sustainable practices promoted in the other components and comply with the legal framework to regulate use of resources in lomas buffer zones.
	Indicator 7: # lomas sites included in BD inventory with studies and detailed characterization of biodiversity in Lomas ecosystems and potential use.	Number of Lomas sites which are studied or characterized	Application of the GEF PIR	Annually	PMU, UNDP	- GEF PIR - Standardized documents of the detailed characterization of the lomas	Collaboration mechanisms established and interest of academic institutions to collaborate in the detailed characterization of selected lomas.
<b>Component/ Outcome 2</b>	Indicator 8: # of planning instruments for lomas ecosystem established in participative manner	Number of instruments established in each site	Application of GEF LD Tracking Tool	2x – PPG and Project End	PMU	- GEF LD Tracking Tool - Lomas Conservation	Political will of local stakeholders.



Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Land use management tools		of Loma or by type.				Strategy Document	
	Indicator 9: # of local governments that include biodiversity and lomas ecosystem conservation criteria in their management policies, including land use zoning	Total number of local governments	<ul style="list-style-type: none"> <li>- Application of UNDP Capacity Development Scorecard</li> <li>- Application of GEF LD Tracking Tool</li> </ul>	2x - PPG and Project End	PMU, SERNANP, UNDP	<ul style="list-style-type: none"> <li>- UNDP Capacity Development Scorecard</li> <li>- GEF LD Tracking Tool</li> <li>- Document of municipal ordinance with criteria for BD conservation and ecosystem services</li> </ul>	Political will and commitment of local governments to adopt sustainable management tools for the lomas and assign resources for their application.
	Indicator 10: # of public-private partnerships for lomas management implemented	Total number of agreements, conventions or other public-private partnerships to improve the management of lomas.	Application of UNDP Capacity Development Scorecard	2x - PPG and Project End	PMU, SERNANP, UNDP	UNDP Capacity Development Scorecard	Local governments officially recognize the management committees established through public-private partnerships.
Component/ Outcome 3 Economic diversification and low impact land use	Indicator 11: # hectares of degraded lomas reforested with native species	Total hectares of degraded lomas reforested (% of total of	Application of GEF LD Tracking Tool	2x – PPG, project end	PMU	GEF LD Tracking Tool	Commitment of local stakeholders to get involved in the labor of restoration activities, e.g. establish nurseries of

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		lomas in Lima which are part of the project)					native species, participate in reforestation and vigilance of restored areas. Nurseries successfully reproduce and grow native forest species.
	Indicator 12: # of hectares/zones where lomas-friendly production models are implemented: - Sustainable ranching/agriculture - Low-impact mining	Total number of hectares /zones (disaggregated by type of model and level of implementation)	Application of GEF LD Tracking Tool	2x – PPG, project end	PMU	GEF LD Tracking Tool	Interest and commitment of producers to adopt sustainable practices.
	Indicator 13: Increase in tourism activity in selected lomas sites, as measured by: - # of public and/or private projects that invest in improving tourism services (including proper waste management strategy) generated during the Project - # of visitors in selected lomas sites - # of direct beneficiaries (tourism service providers, restaurants, guides), disaggregated by gender	Ratio de incremento de turismo (incremento del flujo de turistas medido al final del proyecto, respecto a la línea de base)	Survey via field visits to lomas communities	3x – PPG, project mid-term, project end	PMU	Survey results	Interest of local stakeholders to engage in tourism activities. Interest of local and foreign tourists to visit the lomas.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	- \$ generated by tourism activities						
<b>Component/ Outcome 4 Knowledge Management and M&amp;E</b>	Indicator 14: # of permanent monitoring systems established with partnerships with local authorities, NGOs, and universities.	Total number of systems by site or loma established	Application of monitoring system	Annual	PMU, local monitors	Reports from monitoring systems	Interest and active participation of public and private sector stakeholders, as well as civil society.  Availability of a standard guide for collecting data on the status of lomas ecosystems.
	Indicator 15: Communication and citizen mobilization strategy with gender and youth focus:  - # schools involved in citizen conservation activities (adopt-a-tree, photo monitor of species, etc) - # organized groups that are active - # events (community cleanups, reforestation campaigns, parades)	Number of local strategies (which include educative activities, budget and/or other type of activities to conservation lomas with gender and/or youth focus	Survey via field visits to lomas communities	3x – PPG, project mid-term, project end	PMU	Survey results	Interest and active participation of public and private sector stakeholders, as well as civil society.
<b>Terminal GEF Tracking Tool</b>	N/A	N/A	Apply Standard GEF Tracking Tool available at <a href="http://www.thegef.org">www.thegef.org</a> ; Baseline GEF	After final PIR submitted to GEF	For example, national university; project	Completed GEF Tracking Tool	<i>List assumptions and risks to collecting the GEF TT data</i>

<b>Monitoring</b>	<b>Indicators</b>	<b>Description</b>	<b>Data source/Collection Methods</b>	<b>Frequency</b>	<b>Responsible for data collection</b>	<b>Means of verification</b>	<b>Assumptions and Risks</b>
			Tracking Tool included in Annex.		consultant but not evaluator		
<b>Environmental and Social risks and management plans, as relevant.</b>	N/A	N/A	Update SESP and management plans	Annually	Project Manager UNDP CO	Updated SESP	

**Annex D. Evaluation Plan:**

<b>Evaluation Title</b>	<b>Planned start date Month/year</b>	<b>Planned end date Month/year</b>	<b>Included in the Country Office Evaluation Plan</b>	<b>Budget for consultants<sup>35</sup></b>	<b>Other budget (i.e. travel, site visits etc...)</b>	<b>Budget for translation</b>
<b>Terminal Evaluation</b>	<i>Add date: 3 months before operation closure</i>	<i>Add date: To be submitted to GEF within three months of operational closure</i>	Yes/No <i>Mandatory</i>	<i>USD 30,000 – 60,000</i>	<i>Add</i>	<i>Add (e.g. USD 5,000)</i>
<b>Total evaluation budget</b>				USD		

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<sup>35</sup> The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.

## **Annex F. Terms of Reference for Key Project Staff**

The following are the indicative ToRs for the project management staff. The PMU will be staffed by a full-time Project Coordinator and a full-time Administrative Specialist, both of which will be nationally-recruited positions. ToRs for these positions will be further discussed with UNDP-CO and will be fine-tuned during the Inception Workshop (IW) so that the roles & responsibilities and UNDP GEF reporting procedures are clearly defined and understood. It is envisioned that the PMU members will produce technical outputs as part of their responsibilities. As part of the PMU, UNDP and SERNANP envision a PC (SB4) with strong project management capacities and experience. For example, it is expected that the Project Coordinator will provide technical support to the establishment of the Conservation Areas including accompanying the technical dossiers through their review and approval processes. The PC will also accompany the capacity building processes for sustainable practices for grazing and mining activities. The PC will be complemented by a Lomas Technical Specialist (SB4) who will ensure the technical quality of the consultants and subcontracts. The Technical specialist will support the design and implementation of Restoration Plan for degraded areas and will be closely involved in the transition to sustainable grazing and mining practices. They will be supported by an Administrative Coordinator (SB3) who in turn will be supported by UNDP's Service Center as needed (reflected in the LOA). Finally, a Communications/Knowledge Management Specialist as well as 02 National UNVs will strengthen local stakeholder coordination and engagement in the project's strategies. Also, during the IW the ToRs for specific consultants and sub-contractors will be fully discussed and, for those consultancies to be undertaken during the first six months of the project, full ToRs will be drafted and selection and hiring procedures will be defined.

### **Project Coordinator**

The Coordinator will have the following *responsibilities*:

- Coordination of project actions, in compliance with Annual Work Plans and Budgets (APWBs).
- Supervision of the activities of the technical members of the Project Coordination Unit (PMU), thereby ensuring their relevance, effectiveness and efficiency.
- Preparation of terms of reference for external consultants contracted by the project, supervision and coordination of their work, and review and approval of their products.
- Ensuring that the project is implemented with the full participation of local actors and that functioning mechanisms exist that ensure that their interests are taken into account, communicated and reflected in the implementation of the project.
- Promotion of the coordinated participation of Government institutions and NGOs, at central and local levels, in project implementation.
- Realization of continuous and periodic monitoring of project impacts, in relation to the achievements foreseen in the APWBs and the impacts foreseen in the project results framework.
- In communication with the NPD, ensuring that the project is implemented in accordance with the policies and plans of SERNANP, as Implementing Partner.
- In communication with the Programme Officer of UNDP, ensuring that the project is implemented in accordance with the United Nations Development Assistance Framework (UNDAF) in Peru.
- Identification and promotion opportunities for actions by other agencies of the UN system in the project areas.
- Ensuring that a cross-cutting gender focus is incorporated into the actions of the project.

- Together with UNDP, preparation of Periodic Implementation Reports (PIRs), detailing project progress, to be presented to GEF.
- Together with UNDP and the project team and in discussion with local stakeholders, preparation of APWBs for approval by the NSC and the GEF.
- With support from the project administrative team, ensuring efficient and transparent execution of financial and physical resources, in conformity with the rules of the Government, GEF and UNDP.
- Design and implementation of professional development plans for the members for the PMU.
- Identification of risks that could affect the achievement of the foreseen impacts of the project, and the definition and application of corresponding mitigation strategies.
- Support to the functioning of the PMU, through the provision of advice and logistics.
- Preparation and oversight of the implementation of the operational manuals for the implementation of the project.
- Organization and support of external evaluations of the project.

*Technical Responsibilities:*

- Support the approval process of the Conservation Areas (Output 1.1.1)
- Guide 9 local governments' elaboration of planning tools (Outputs 2.2.1 and 2.2.2)
- Oversee Technical Specialist's design and implementation Plan to restore degraded areas (Output 3.1.1) and training of farmers, mining concessions and ecotourism operators (Outputs 3.2.1, 3.2.2, 3.2.3, 3.3.2, 3.3.3)
- Oversee the design and implementation of the participatory M&E plan (Outputs 4.1.1 and 4.1.2)

*Qualifications (indicative):*

- A graduate academic degree in areas relevant to the project (e.g., biology, environmental sciences, natural resource management, planning, conservation, veterinary, agronomy, environmental economy);
- Minimum 5 years of experience in project management with at least 3 years of experience in natural resources management, preferably in lomas;
- Working knowledge of natural resources management and planning;
- Strong leadership and team-building skills;
- Self-motivated and ability to work under the pressure;
- Demonstrable ability to organize, facilitate, and mediate technical teams to achieve stated project objectives;
- Familiarity with logical frameworks and strategic planning;
- Strong computer skills;
- Flexible and willing to travel as required;
- Excellent communication and writing skills in Spanish and English;
- Ability to promote cooperation between and negotiate with a range of stakeholders, and to organize and coordinate multi-disciplinary teams is considered an asset;

- Previous experience working with a GEF-supported project is considered an asset;

### **Administrative Coordinator**

The AC will be responsible for all aspects related to designing, planning and implementing activities to assist the project's progress. S/He will also manage the monitoring activities related to the lomas information system.

#### *Tasks:*

- Report directly to the Project Coordinator (PC) in the Project Management Unit (PMU) and be responsible for the development of continuous assistance.

#### *Qualifications (indicative)*

- Bachelor or graduate degree in social or environmental sciences; biology; project management and monitoring; information management; communications; administration; rural development or related areas;
- Proven ability to work with multi-disciplinary teams and multi-theme indicators;
- Self-motivated and ability to work under the pressure;
- Team-oriented, possesses a positive attitude, and works well with others;
- Flexible and willing to travel as required;
- Analytic and synthesis skills;
- Comfortable working both in the office and in the field;
- Excellent verbal and writing communication skills in Spanish and English;
- Excellent knowledge of database software packages, Office;
- Previous experience working with a GEF-supported project is considered an asset.



## Annex H. UNDP Project Quality Assurance Report

# PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

### OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

### DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

### RATING CRITERIA

#### STRATEGIC

<b>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.</li> <li>• <b>2:</b> The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</li> <li>• <b>1:</b> The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	<u>2</u>
	1	
	<b>Evidence</b> The project design considers a Theory of Change in its strategy. However, this is not sufficiently detailed	
<b>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to one of the three areas of development work<sup>36</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>37</sup>; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></li> </ul>	<u>3</u>	2
	1	
	<b>Evidence</b> The project promote the conservation and sustainable use of natural resources and biodiversity	

<sup>36</sup> 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

<sup>37</sup> sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<ul style="list-style-type: none"> <li>• <b>1:</b> While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</li> </ul>	attending to Sustainable Development Pathways Area, the project aims strengthen national and sub-national technical and institutional capacities and policies to further low emissions, climate resilient development and at least it integrates among three emerging areas.	
<b>RELEVANT</b>		
<p><b>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>)</li> <li>• <b>1:</b> The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</li> </ul> <p>*Note: Management Action must be taken for a score of 1, or select not applicable.</p>	<b><u>3</u></b>	<b>2</b>
	1	
	<p>Select (all) targeted groups: Families in buffer zone Fragile lomas ecosystem</p> <p><b>Evidence</b> The Result Frame log include relevant indicators which attend the beneficiaries with gender focus and ecosystems of lomas are effectively identified.</p>	
<p><b>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project’s theory of change and justify the approach used by the project over alternatives.</li> <li>• <b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project’s theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</li> <li>• <b>1:</b> There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<b>3</b>	<b><u>2</u></b>
	1	
	<p><b>Evidence</b> The project design has considered lessons learned and synergies with other interventions in a preliminary analysis</p>	
	3	<b><u>2</u></b>

<p><b>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	1	
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.</li> <li>• <b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	<u>2</u>
<b>SOCIAL &amp; ENVIRONMENTAL STANDARDS</b>		
<p><b>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.</li> <li>• <b>1:</b> No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	3	<u>2</u>
<p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p>	<u>3</u>	2
1		

<ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (<i>all must be true to select this option</i>).</li> <li>• <b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> <li>• <b>1:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<p><b>Evidence</b></p> <p>The process of land titling will as a preliminary step prepare technical studies classifying soil types, maps, analysis of possible overlaps, socioeconomic censuses, among others. The project considers strategies and activities to reduce adverse impacts.</p>	
<p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<p><b>Yes</b></p>	<p>No</p>
<p>SESP Not Required</p>		
<p><b>MANAGEMENT &amp; MONITORING</b></p>		
<p><b>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (<i>all must be true to select this option</i>)</li> <li>• <b>1:</b> The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p><b>3</b></p>	<p>2</p>
<p>1</p>		
<p><b>Evidence</b></p> <p>The project framework has been developed consider the theory of change, and national and local data, its considers a gender analysis and sex disaggregated indicators. The framework has been reviewed by partners and stakeholders</p>		
<p><b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b></p>	<p><b>Yes (3)</b></p>	<p>No (1)</p>
<p><b>12. Is the project’s governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (<i>all must be true to select this option</i>).</li> <li>• <b>2:</b> The project’s governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (<i>all must be true to select this option</i>)</li> </ul>	<p>3</p>	<p><b>2</b></p>
<p>1</p>		
<p><b>Evidence</b></p> <p>Only it is necessary to include the roles and responsibilities of the project board members in ToR , the governance mechanism is</p>		

<p><b>1:</b> The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</p> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>defined in the project document.</p>	
<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.</li> </ul> <p>*Note: Management Action must be taken for a score of 1</p>	<p><b>3</b></p>	<p>2</p>
	<p>1</p>	
	<p><b>Evidence</b> The project design include and detail plan to mitigate each risk and the responsible to manage those. The monitoring plan include the risk management.</p>	
<p><b>EFFICIENT</b></p>		
<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</b></p>	<p><b>Yes (3)</b></p>	<p>No (1)</p>
<p><b>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</b></p>	<p>Yes (3)</p>	<p><b>No (1)</b></p>
<p><b>16. Is the budget justified and supported with valid estimates?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.</li> <li>• <b>2:</b> The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.</li> <li>• <b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	<p>3</p>	<p><b>2</b></p>
	<p>1</p>	
	<p><b>Evidence</b> The project budget has been designed in a multiyear budget, considering valid estimates form similar projects, but it does not consider the foreign exchange exposure</p>	
<p><b>17. Is the Country Office fully recovering the costs involved with project implementation?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul>	<p><b>3</b></p>	<p>2</p>
	<p>1</p>	
	<p><b>Evidence</b> Yes, the project budget considers those project costs that are attributable to the project, in accordance with UNDP/GEF policies.</p>	

<p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>									
<b>EFFECTIVE</b>									
<p><b>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i></li> <li><b>2:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li><b>1:</b> The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b><u>3</u></b></td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> <tr> <td colspan="2">The implementing partner assessments have been conducted, its score is low risk.</td> </tr> </table>	<b><u>3</u></b>	2	1		<b>Evidence</b>		The implementing partner assessments have been conducted, its score is low risk.	
<b><u>3</u></b>	2								
1									
<b>Evidence</b>									
The implementing partner assessments have been conducted, its score is low risk.									
<p><b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li><b>2:</b> Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li><b>1:</b> No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b><u>3</u></b></td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> <tr> <td colspan="2">This analysis has been considered in all phases of the design, including in the SESP.</td> </tr> </table>	<b><u>3</u></b>	2	1		<b>Evidence</b>		This analysis has been considered in all phases of the design, including in the SESP.	
<b><u>3</u></b>	2								
1									
<b>Evidence</b>									
This analysis has been considered in all phases of the design, including in the SESP.									
<p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b><u>Yes</u></b> <b><u>(3)</u></b></td> <td style="text-align: center;">No (1)</td> </tr> </table>	<b><u>Yes</u></b> <b><u>(3)</u></b>	No (1)						
<b><u>Yes</u></b> <b><u>(3)</u></b>	No (1)								
<p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p>*Note: Management Action or strong management justification must be given for a score of “no”</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">Yes <b><u>(3)</u></b></td> <td style="text-align: center;">No (1)</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> </table>	Yes <b><u>(3)</u></b>	No (1)	<b>Evidence</b>					
Yes <b><u>(3)</u></b>	No (1)								
<b>Evidence</b>									
<p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity level</i> to ensure outputs are delivered on time and within the allotted resources.</li> <li><b>2:</b> The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li><b>1:</b> The project does not yet have a work plan &amp; budget covering the duration of the project.</li> </ul>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b><u>3</u></b></td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> <tr> <td colspan="2">The project design include a multiyear work plan</td> </tr> </table>	<b><u>3</u></b>	2	1		<b>Evidence</b>		The project design include a multiyear work plan	
<b><u>3</u></b>	2								
1									
<b>Evidence</b>									
The project design include a multiyear work plan									
<b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b>									
<p><b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b><u>3</u></b></td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> </table>	<b><u>3</u></b>	2	1					
<b><u>3</u></b>	2								
1									

<ul style="list-style-type: none"> <li>• <b>3:</b> National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <b>2:</b> The project has been developed by UNDP in close consultation with national partners.</li> <li>• <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	<p><b>Evidence</b></p> <p>The project has been designed with the participation and leadership of SERNANP with the UNDP technical assistance.</p>	
<p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <b>2.5:</b> A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</li> <li>• <b>2:</b> A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>• <b>1.5:</b> There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</li> <li>• <b>1:</b> Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</li> </ul>	3	2.5
	<b>2</b>	1.5
	<p>1</p> <p><b>Evidence</b></p>	
<p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>	Yes <b>(3)</b>	No (1)
<p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b></p>	Yes (3)	No <b>(1)</b>

**Annex I. UNDP Risk Log** (to be completed by UNDP Country Office)

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Urban encroachment continues to affect lomas ecosystems	Regulatory Environmental	P = 3 I = 4	Creation of lomas conservation areas limits the expansion of urban areas in strategic fragile lomas ecosystems.  Local (regional, municipal/ district) authorities implement rigorous land use regulations which limit impact on lomas ecosystems.	PMU	Increasing
An increasing number of non-metallic mining permits are authorized by the Ministry of Mines and Energy and district municipalities leading to further degradation of lomas ecosystems.	Regulatory Strategic Environmental	P = 3 I = 3	Mining concessions are required to develop an EIA and implement mitigation actions in compliance with the permit granted by MINAM. The project will promote coordination between the Ministry of Energy and Mines, Ministry of Environment, Metropolitan Municipality of Lima and district municipalities in order to ensure the effective implementation of existing regulations for mining activities in the lomas areas of influence.	PMU	Increasing
Local authorities do not promote a sustainable management of the lomas ecosystems.	Political Regulatory	P = 2 I = 3	A series of activities will be promoted by the project in order to engage local authorities, along with concerned citizen groups, to increase awareness and empowerment with the issues surrounding lomas management. The project will facilitate the development of land use policies, management plans and other tools.	PMU	TBD
Carrying capacity of lomas ecosystems surpassed by tourism interest generated.	Environmental	P=1 I=2	The project will support the elaboration of an analysis of the tourism potential of the lomas ecosystems and the corresponding carrying capacity to ensure adequate strategies and plans for public use of the areas.	PMU	TBD
Climate related disasters affect livelihoods and fragile ecosystems in lomas	Environmental	P=2 I=2	The project will promote measures to decrease the negative impact of climate related events through the improved ecosystem services associated with disaster reduction. For example, the reforestation and restoration of degraded areas will prevent “huaycos” (landslides) and/or decrease their impact.	PMU	Increasing



**Annex J. Results of the capacity assessment of the project implementing partner and HACT micro assessment** (to be completed by UNDP Country Office)

As a result of the micro assessment of SERNANP, significant risks have not been identified that may affect the achievement of the objectives of the projects being implemented by this one. As an entity attached to MINAM, note that also it reports to this entity. MINAM has been previously evaluated (2015) and has also reported a low level of risk.

## **Annex K. DPC Sample Letter of Agreement between UNDP and SERNANP**

### **LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT REPRESENTED BY THE NATIONAL PROTECTED AREAS SERVICE (SERNANP) FOR THE PROVISION OF SUPPORT SERVICES**

Dear Pedro Gamboa, Head of SERNANP,

1. Reference is made to consultations between officials of the Government of Peru (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the project:
  - (a) Identification and/or recruitment of project personnel;
  - (b) Identification and facilitation of training activities;
  - (c) Procurement of goods and services;
  - (d) Technical assistance from the Services Center.
4. The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of the project, the annex to the project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the Country Programme Action Plan (the “CPAP”), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the CPAP and its complementary provisions.
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the project document.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

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Signed on behalf of UNDP  
Maria del Carmen Sacasa  
Resident Representative

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For the Government  
Pedro Gamboa, Head of SERNANP  
[Date]

Attachment

**DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between SERNANP, the institution designated by the Government of Peru and officials of UNDP with respect to the provision of support services by the UNDP country office for the project No. 00094204 Conservation, management and rehabilitation of fragile Lomas ecosystems in Lima, “the Project”.

2. In accordance with the provisions of the letter of agreement signed on [insert date of agreement] and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

<b>Support services</b>	<b>Cost to UNDP of providing such support services</b>
Two (02) processes for selection and contracting of services for consultancy to carry out detailed characterization of 14 Lomas (between US\$5,000 and US\$ 30,000).	US\$ 1,182
One (01) process for selection and contracting of services for consultancy to carry out financial sustainability analysis of Lomas Conservation Area (between US\$5,000 and US\$ 30,000).	US\$ 591
One (01) process for selection and contracting of services for consultancy to carry out management plan of Lomas Conservation Area (between US\$5,000 and US\$ 30,000).	US\$ 591
One (01) process for selection and contracting of services for consultancy to carry out legal analysis of Lomas Conservation Area (between US\$5,000 and US\$ 30,000).	US\$ 591
One (01) process for procurement of technical software and computers conservation area management.	US\$ 3,000
Two (02) processes for procurement of services for development and reproduction of audiovisual communications materials	US\$ 6,000
Two (02) processes for procurement of services for editing, layout and design of publications	US\$ 6,000
Two (02) processes for selection and contracting of services for consultancies to carry out Climate Vulnerability Analysis and economic analysis of Lomas ecosystem services (between US\$5,000 and US\$ 30,000).	US\$ 1,182
Three (03) processes for selection and contracting of services for consultancy to carry out mid-term and final project evaluations (between US\$5,000 and US\$ 30,000).	US\$ 1,773
Five (05) processes for selection and contracting of services for consultancy to carry out web design, maintenance and impact analysis (between US\$5,000 and US\$ 30,000).	US\$ 2,955
Four (04) processes for selection and contracting of SC (PMU).	US\$ 8,000
<b>Total</b>	<b>US\$ 31,865</b>

4. Description of functions and responsibilities of the parties involved:

SERNANP:

- a. Request of UNDP technical assistance, including identification and processes of procurement of good and services, corresponding to expected results in the Annual Work Plan.
- b. Provide the corresponding, and timely, indications of receipt of goods and services provided.
- c. Provide necessary support to the National Project Director and Project Coordinator, to achieve the actions indicated in the annual plans.
- d. Participate in the Project Board.

UNDP:

- a. Carry out procurement / hiring processes of goods/services, consultancies and selection/hiring of support personnel, to implement the project activities. The contracts carried out in the context of the Letter of Agreement and Project Document will be subject to the rules, policies and procedures of UNDP.
- b. Participate in the Project Board.

## **Annex L. Supplemental Provisions to the Project Document: The Legal Context**

### General responsibilities of the Government, UNDP and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.
2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.
3. Assistance under this Project Document being provided for the benefit of the Government and the people of (the particular country or territory), the Government shall bear all risks of operations in respect of this project.
4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.
5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.
6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.
7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.
  - a. Participation of the Government
    1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.
    2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.
    3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.
    4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing

Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.

5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.
  6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.
  7. The Government shall make available to the project - subject to existing security provisions - any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.
  8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.
  9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.
  10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.
  11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.
- b. Participation of the UNDP and the executing agency
1. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.
  2. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager a/ who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.
  3. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.
  4. Fellowships shall be administered in accordance with the fellowships regulations of the Executing Agency.
    - a. May also be designated Project Co-ordinator or Chief Technical Adviser, as appropriate.

5. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.
6. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Executing Agency.
7. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
8. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Government, or to an entity nominated by the Government, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.
9. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.
10. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.
2. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.
3. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:
  - a. Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project;
  - b. Be immune from national service obligations;
  - c. Be immune together with their spouses and relatives dependent on them from immigration restrictions;
  - d. Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project;
  - e. Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.
4. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.



5. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:
  - a. The salaries or wages earned by such personnel in the execution of the project;
  - b. Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom;
  - c. Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and
  - d. As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.
6. The Government shall ensure:
  - a. prompt clearance of experts and other persons performing services in respect of this project; and
  - b. the prompt release from customs of:
    - i. equipment, materials and supplies required in connection with this project; and
    - ii. property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.
7. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.
8. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.
9. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

#### Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.

2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.
3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.