



Final Evaluation Report

“Second National Communication on Climate Change in Peru to the United Nations Framework Convention on Climate Change”

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The analysis and recommendations made in this document are only the authors' opinions and they do not necessarily reflect the points of view and opinions of the United Nations Development Programme, of its Board of Directors or of the Member Countries of the United Nations.

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DOCUMENTO / PRODUCTO	FECHA	AUTOR
Evaluación e identificación de identificadores que permitan Analizar el Impacto del Proceso de la Segunda Comunicación Nacional sobre C.C.	Ago-2009	Dora Cortijo Hernandez - Univ.de Lima
Reporte Final - Actualización de la Agenda de Investigación Científica en Cambio Climático	Jun-2009	Julio Alegre Orihuela - CONCYTEC
Propuesta de Sistema Nacional de Inventarios de Emisiones de Gases de Efecto Invernadero	Mar-2009	Eduardo Calvo Buendía - MINAM
Inventario Integrado de Emisiones de Gases de Efecto Invernadero del Perú en el año 2000	Nov-2008	Eduardo Calvo Buendía - MINAM
Validación de la Propuesta Integrada de Opciones de Mitigación	Ago-2009	DEUMAN - MINAM
Análisis de las Causas de la Deforestación en Áreas Críticas de la Amazonia Peruana y Propuestas de Medidas de Mitigación de Las Emisiones de Gases Efecto Invernadero	Nov-2008	HERNÁN GUTIÉRREZ MERINO - MINAG
Propuesta de Implementación del Sistema de Vigilancia de la deforestación y los Cambios de Uso de la Tierra	Dic-2008	Diana Jorge Rivera - MINAG
Opciones de mitigación de emisiones de GEI de los sectores Energía, Industria y Transporte a nivel Nacional y Regional	May-2009	Pacific Pir - MINEM
Análisis de la Institucionalidad y de las Capacidades para incluir medidas de Adaptación de los Recursos Hídricos al Cambio Climático	Mar-2008	Jorge Benites Agüero - CONAM
ESCENARIOS CLIMATICOS EN EL PERÚ PARA EL AÑO 2030	Feb-2009	SENAMHI - MINAM
ESCENARIOS CLIMATICOS EN LA CUENCA DE EL RIO SANTA PARA EL AÑO 2030	Feb-2009	SENAMHI - MINAM
ESCENARIOS CLIMATICOS EN LA CUENCA DE EL RÍO MAYO PARA EL AÑO 2030	Feb-2009	SENAMHI - MINAM

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ACRONYMS.

PROCLIM	Program for the Strengthening of National Capacities for the Management of the Climate Change Impact on the Air.
MINAM	Ministry of the Environment.
ASRCC	Agenda for Scientific Research in Climate Change.
GDCCDWR	General Directorate for Climate Change, Desertification and Water Resources.
NCCC	National Commission for Climate Change.
UNFCCC	United Nations Framework Convention on Climate Change.
NSCC	National Strategy for Climate Change.
SENAMHI	National Service for Meteorology and Hydrology.
FE	Final Evaluation.
GGE	Greenhouse Gases Effect.
AECID	Spanish Agency of International Cooperation for Development
IDB	Interamerican Development Bank
WB	World Bank
CAD	Assistance Committee for Development
CC	Climate Change
EC	European Community
PAC	Projects Assessment Committee
CEPAL	Economic Commission for Latin America and the Caribbean
CERF	Central Emergency Response Funds
CPD	Country Programme Document
CCA	Common Country Assessment
NDS	National Development Strategy
FAO	United Nations Food and Agriculture Organization
GEF	Global Environment Fund
UNAG	UN Assessment Group

IM	Information Management
APR	Annual Project Report
UNDAF	United Nations Development Assistance Framework
UN	United Nations
MDG	Millennium Development Goals
NGO	Non Governmental Organization
PAHO/WHO	Pan American Health Organization/World Health Organization
CPAP	Country Programme Action Plan
UNDP	United Nations Development Programme
CP	Country Programme
PRODOC	Project Document
SNCCC	Second National Communication on Climate Change
FAE	Follow-up and Evaluation
TOR	Terms of Reference
EU	European Union
UNICEF	United Nations Fund for Children
LULUCF	Land Use, Land Use Change and Forestry
GHGNIS	GHG National Inventory System
AMM	Adequate Mitigation Measures
CONAM	National Council for Environment
APCI	Peruvian Agency for International Cooperation
CDM	Clean Development Mechanism
MEF	Ministry of Economy and Finance
MINAG	Ministry of Agriculture
MINEM	Ministry of Energy and Mines
MINSA	Ministry of Health

EXECUTIVE SUMMARY

This report refers to the Final Evaluation of the Project “Second National Communication on Climate Change in Peru to the United Nations Framework Convention on Climate Change”.

This consultancy was carried out from July 17 to 23 September, 2011. Two field missions were carried out in order that the two consultants (international and national) could meet in the city of Lima with the various stakeholders as requested in the Terms of Reference as well as with those that the Evaluation considered to be relevant; the first mission was carried out from 7 to 13 August, while the second one was held from 22 to 27 August. In addition, the national consultant held other interviews and continued with the field work while the international consultant went ahead with the processing and analysis of the information.

At the evaluation time, the Government of President Ollanta Humalla was only two weeks in power and the government agencies were making the relevant changes at staff and ministry chiefs level, according to the democratic options.

It is important to mention that the current evaluation is undertaken according to the UNDP/GEF policies and procedures for the evaluation of all the projects supported by GEF, requiring the submission of a final evaluation upon completion of their implementation. The final evaluations are oriented to determine the importance, the work and the success of the project; to look for examples of potential impact and the sustainability of its outcomes, including the project contribution to the development of capacities and the achievement of global environmental goals. The objective is also to identify and to put in writing the lessons learned and to make recommendations to improve the design and operation of other UNDP/GEF projects.¹

Since 1992 Peru is member of the UN Framework Convention on Climate Change (UNFCCC) and of the Kyoto Protocol since 2002, and therefore it is aligned with the objective of the Convention that is “to stabilize the concentration of greenhouse gases in the atmosphere and to avoid a dangerous level of anthropogenic interference”². Through its Second National Communication, Peru meets its commitment to inform the member countries about its emissions and capture levels with regard to the Greenhouse Gases

¹ Terms of Reference.

² Peru and Climatic Change. Second National Communication of Peru to the United Nations Framework Convention on Climate Change 2010.

(GHG) and about the measures that have been adopted according to the Convention framework.

It must be mentioned that the Project of the Second National Communication of Peru was developed in the framework of the National Strategy for Climate Change, in order to contribute to the generation of information, the development of capacities and institutional strengthening, that was carried out in coordination with the Ministry of the Environment (MINAM); a Ministry that used the pattern of inter-institutional work as assigned to the various specialized institutions relevant to this issue.

The Evaluation was based on the Project objectives that were set up as follows:

Development Objective: “To develop and to improve national capacities in order to facilitate the process for the integration of the issue of climate change in the national development and poverty reduction projects, and in this way to prepare Peru to face climate change and to consider it not only as an environmental problem, but also as an issue relevant to sustainable development”³.

Project Objective: “To allow Peru to prepare and submit its Second National Communication Project to the UNFCCC according to the guidelines described in decision 17/CP.8 and articles 4 and 12 of the Convention. The project was conceived according to six outcomes: Proposal for an Adaptation Strategy for priority areas and sectors (R1), Development of a National System for the Management of GHG Inventories (R2), Proposal of a strategy to mitigate GHG emissions in the sectors of energy, industry and transport and LULUCF (R3), Description of steps to integrate climate change and development (R4), Priority analysis of restrictions, gaps and needs of a national observation system, and climate change observations (R5), Report of the Second National Communication (R6)”.⁴

Undoubtedly, one of the great outcomes was the validation of the Inventory of Greenhouse Gas Emissions (GHG) for year 2000, developed by PROCLIM, with which item number 1 (a) of article 4 of the United Nations Framework Convention on Climate Change was being met according to the commitments made by the Member Countries with regard to that matter. This significant outcome permits Peru to know about the contribution of each sector to their total emissions, and that will permit a proper assignment of responsibilities focused on the relevant measures, that are oriented to the implementation of policies to reduce emissions, as well as for the basic pattern against the dissemination of pollution, to

³ Terms of Reference

⁴ Ídem.

generate future sceneries and to estimate the impacts to the air quality through the use of models⁵⁵.

One of the basic problems seen in the current Evaluation was the short-term view of the issue, as reflected in the way in which the Project was implemented. According to interviews made in four institutions, all the actions of the Second Communication Project were implemented and perceived as individual components, that did not allow to include and to work in depth with regard to the final aim of the Second Communication, that should have focused its efforts not only on the gathering of information, but on being a coordination instance where the institutions must include capacities, knowledge and an in-depth study of the climate change issue. There was not a map of the whole process and therefore the work of some of the area coordinators was oriented to prepare a report rather than to deal in-depth with the global warming problem and its relevant effects in Peru and worldwide. However, they recognize that after the Second National Communication Project, they are now more interested in this issue.

Something that is considered to be most necessary is to strengthen the government counterpart as a strategic partner capable to design and implement medium and long term programs with regard to issues related to climate change. The recommendation that is made for UNDP Peru is to promote among the Government the need to install Quality Management Systems and evaluation programs and projects. As a pilot initiative this could be included in the next UNDAF 2012 - 2016. This would be of help for the Peruvian Government to consolidate its institutions through management practices, and would allow for improvements with regard to public policies planning.

CHART OF THE RATINGS OBTAINED		
RELEVANCY, EFFECTIVENESS, OR EFFICIENCY.		
Measurement	Rating	Evaluation
Project design	Moderately Satisfactory (MS)	The full-size design is considered to be the proper one, however, the impact that the 2 elections convened for year 2006 would have on the Project was not considered.

⁵⁵ Methodological Guide SINAIGEI

Stakeholders' participation	Satisfactory (S)	The Project deficiencies were with regard to communication, participation, and dissemination of the outcomes reported by external institutions to the project implementers.
Implementation Approach	Satisfactory (S)	The Project was able to meet its objectives despite the slow start and the changes made in the management team, something that was beyond its responsibility.
Monitoring and Evaluation	Moderately Unsatisfactory (MU)	The project had delays and several changes in its management structure and there was not a mid-term evaluation. It was not possible to determine that the adjustments made would respond to the project monitoring.
Achievement of outputs/outcomes and objectives	Satisfactory (S)	There were some small deficiencies for the achievement of the Project objectives.

CHART OF THE RATINGS OBTAINED		
Sustainability		
Measurement	Rating	Evaluation
Financial Resources	Moderately Probable (MP)	There are moderate risks that might affect this sustainability issue
Social-Political	Moderately Probable (MP)	There are moderate risks that may affect this sustainability issue
Institutional Framework	Moderately Probable	There are moderated risks that

and Governance	(MP)	may affect this sustainability issue
Environmental	Probable (P)	There are not risks that may affect this sustainability issue.
Contribution to improve the capacities of the national/local staff.	Moderately Probable (MP)	The organic fragility of the Peruvian Government gives way to a limited capacity to retain qualified staff, but there are important institutions (enterprises, NGOs, universities, etc) that permit to have continuity with regard to these issues nationwide.

This consultancy expresses its thanks to Peru's national and local stakeholders for the interviews and opinions expressed that have permitted to know the outcomes of the "Project Second National Communication of Peru to the United Nations Framework Convention on Climate Change".

INTRODUCTION

The general objective of this Final Evaluation is to analyze the implementation, to review the achievements and the fulfillment of the objectives of the Project “Second National Communication of Peru to the United Nations Framework Convention on Climate Change” and its expected outcomes. This evaluation establishes the relevance, implementation and success of the project, including the sustainability of the outcomes. It develops also an analysis of the specific lessons and good practices with regard to the strategies used and the implementation arrangements that may be relevant for other projects nationwide in Peru and in other countries worldwide.

The Final Evaluations (FE) are a requirement for the UNDP and GEF projects and therefore they are started and requested by the UNDP Country Office, in this case for Peru. The final evaluations have also three complementary purposes: To promote accountability, and transparency together with evaluation and information about the level of fulfillment and project achievements; summary of those lessons that might help to improve the selection, design and implementation of future UNDP-GEF initiatives; to provide feedback and remarks with regard to key questions shown in the portfolio that may require attention, and about the improvements to be made to key questions identified before, as for instance, the mid-term evaluation.

It must be mentioned that the Second National Communication Project was conceived and designed in order that its activities and outcomes may extend beyond the area of information gathering and communication of actions with regard to climate change, in an effort to intervene additionally on the strengthening of the institutional capacities and to have the issue included in the public sectors and organizations related to national development.⁶

This Final Evaluation delivers an exhaustive report with regard to the outcome of a completed project with an evaluated design, the implementation process and the achievements made with regard to the project outcomes and objectives, including those changes made that have modified the objectives and the outcomes during the implementation.

For this work, the interviews were used as one of the main sources for the gathering of information and relevant data for the evaluation. The active participation in the Evaluation of the concerned direct parties contributed to the validity of the relevant outcomes. Through the interviews (of an average of one hour duration each) we were able to learn in an independent way about their participation, their evaluation judgments, as evidence was shown of the project action, the impacts at institutional and personal level, showing data,

⁶ This type of project is known as Full Size and it means that besides the traditional work financed in the framework of the Communication among countries, additional financing is provided for activities and actions that permit the strengthening of the internal capacities with regard to the Country's climatic change response.

maps, dissemination tools, implementation processes, and also the lessons learned as well as those situations that are to be improved. All this information was obtained thanks to a technical proposal in which the methodology was based on the interviews made to the relevant stakeholders. The aim was also to know through a participatory consultation process those opinions relevant to this same matter, both internally and during the Second National Communication Project of Peru. The consultancy requested interviews with the regional stakeholders through questionnaires, but unfortunately they were not in the original institutional settings because of the changes made by the new Government.

Through this methodology it was possible to analyze if the outcome was related directly with the objectives of the Project outputs. The analysis looked for a systemic coherence, which made possible to know the direct and indirect effects of the outputs, after the achievement of other unexpected outcomes of the project that gave way to more integrated and sustainable changes.

In the Evaluation the log frame of the Second National Communication Project was used as a sample as well as the interviews made in the field, as proposed by the UNDP team. However, the consultancy expresses in an explicit way that the trend of the studies is to establish a general issue with regard to its scientific side; two weeks in the site in Lima and the lack of a field visit makes it difficult to identify the outcomes and the impacts that they can generate in Peru.

For the evaluation the UNDP team provided the documents to be reviewed and coordinated the interviews with the national stakeholders. It must be pointed out that when they realized that the suggested sample was too small, the evaluation by its own had meetings with the current authorities of the Ministry of the Environment and the Ministry of Agriculture, as well as with representatives of Institutions, NGOs, and Cooperation Agencies, as suggested by UNDP-Peru, related with the climate change issue in Peru. It must be mentioned that the evaluation was made during a time when the Government was in a change process in Peru, which made difficult the coordination of the interviews with the stakeholders, as many of them were not working anymore in the relevant institution or Ministry.

Due to the features of the study and the relevant times, a sample with measurement categories was not designed.

Basically, the current Evaluation was carried out according to the Management Evaluation by Outcomes principles that are based on observation and qualitative analysis, and in order to avoid the common sense of the observers (the Consultancy) the remarks were multiplied during the time of the field visit where the impressions and new questions and analysis were recorded.

To be more impartial, the interviews were made to a large number and diversity of stakeholders (34 persons were interviewed) in order to know as far as possible the perspectives of the relevant stakeholders involved with the Project development. It can be mentioned that the interviews covered widely the whole group of stakeholders involved and

they are a solid information basis that supports the findings and conclusions of the evaluation. The stakeholders that were interviewed expressed their opinion in a frank and independent way, and during the interviews the UNDP representatives were not present, a fact that ensures the impartiality of the answers obtained in the interviews.

The sources used for this consultancy are based on a review of the primary and secondary information, and the personal meetings and interviews made to the various key stakeholders. Data interpretation procedures were used, such as contents analysis, verification through field interviews, evaluation of the stakeholders, evaluation of the project with regard to program consistency, crossing of projects with crosscutting axes.

To deliver the expected outcomes the evaluation undertook a Vertical and Horizontal consistency analysis of the Log frame, that is to say, starting with the main statements of the Project with regard to its objectives, outcomes, outputs, and proposed activities, it was determined if the original design had problems with regard to its formulation, follow-up indicators, assumptions, etc.

A Consistency Analysis was made between the Project Document and the Project reliable outcomes: Review and processing of the Project objectives, Annual Progress Reports, Final Report, Outputs generated by each one of the Outcomes and all the Secondary Information, in order to compare with the Original Log Frame of the Project and in that way be able to detect the achievements, effects and all the expected and unexpected project outcomes.

A Historical Research Analysis of the Project was carried out through a time line follow up oriented to understand the sequence of the Project implementation in order to be able to understand its performance and how it had been managed. This work permitted to relate the past events with those at that time or with the current ones. This research method permitted also to collect gradually data and background information, for a period that covered the beginning and current period of time. This research method was most relevant for the current study, because it permitted to describe thoroughly the roles, profiles and tasks of the members of the organization, and also to see the Project coordination in depth and in a participatory way together with the stakeholders involved in the Project coordination, in order to identify its effectiveness and efficiency.

The technique used was that of Contents Analysis that helped to find patterns and relationships in the Reports and texts, thus contributing to the interpretation and setting up of a coherent conceptual scheme that later on permitted to express judgments about the Project outcomes in terms of the achievement of outputs, outcomes with regard to objectives outlined in the framework of the context of what took place historically in the Project and its initial design. The Outcomes, the Sustainability, and the Lessons Learned are the focus point of attention in this analysis that considers also the consistency analysis and the Historical research.

Because of the budget issue and the short time assigned by the Terms of Reference to the field evaluation, this Consultancy did not made field visits (Alto Mayo and El Santa) where it might have been able to have the opinion and remarks of the Regional Governments of

San Martin and Ancash and of other significant stakeholders of the region in order to verify the fulfillment of some of the specific aims of the Project. Therefore, it was not possible to compare the outcomes proposed in the Log Frame or its implementation in a decentralization context. The view from the regions involved would have ensured a two-way analysis: from micro (regions) to macro (national) and an in-depth knowledge of the channels of communication, coordination, implementation and management between the central and regional level in order to verify the contribution to the development of local capacities, the formulation of Regional Strategies for Climate Change, according to what is required in the current Organic Law of the Regional Governments of Peru.

The Project “Second National Communication of Peru to the United Nations Framework Convention on Climate Change” was evaluated according to the targets set up in the Log Frame of the Project Second National Communication and to the information provided by each relevant stakeholder and by UNDP Peru.

The Log Frame is considered as required in the UNDP Handbook for Planning, Monitoring and Evaluation that states: “For monitoring and evaluation it is basic to have well formulated quality outcomes, that is to say, impacts, effects, outputs, activities and progress indicators. If the outcomes are not clear and the indicators are not available or are not well formulated, the monitoring and evaluation of the progress achieved will require a great deal of effort, and that makes difficult for the staff and the management to know to what extent the plans are progressing in the right way and when correction actions must be required”.

THE PROJECT AND ITS DEVELOPMENT CONTEXT.

The Second National Communication Project was conceived to be implemented in 30 months in the period covered by years 2006-2008. In July 2006 the Project document (PRODOC) was signed by what was known then as CONAM, and by UNDP and APCI and its activities were started with the hiring of seven professionals as part of the Project Executing Unit (PEU).

For year 2006 it was foreseen that agreements would be signed with the implementing entities identified in the PRODOC, the National Council for Environment (CONAM, which is now the Ministry of Environment), the Ministry of Transport and Communications, the National Service for Meteorology and Environment, the Ministry of Agriculture, the Ministry of Economy and Finance, the Ministry of Energy and Mines, the National Council for Science, Technology and Technological Innovation and the Regional Governments of San Martín and Ancash. Because of the changes made in the regional and national government institutions, according to the democratic options, the signing of agreements was delayed and therefore the relevant implementation.

As part of the changes made in the public institutions, by the end of year 2006 new national Project directors were appointed, a fact that contributed to the delay and the need to reschedule the programmed activities that were gradually stabilized during year 2007. In the same way by mid 2007 the agreements were signed with the implementing entities, except with CONCYTEC, which started its activities during the second semester of 2009.

Also because of the changes made in the institutions, in CONAM changes were made with regard to the staff that had been hired initially to work in the Executing Unit of the Project. In March 2007, a new General Coordinator was hired for the Project and in November of the same year all the thematic coordinators were hired.

In May 2008, through Legislative Decree N° 1013, the Ministry of Environment was created and it included in its third final complementary regulation, the merging of CONAM. It is for that reason that by mid July 2008, the Ministry of Environment sent to UNDP the registry of signatures with the appointment of new National Directors for the Project, and with that the Project was transferred to the Ministry of Environment - MINAM.

During 2008 the progress of the Project was improved, and despite the fact that it was not possible to recover from the delay that affected the initial activities, significant achievements were made, the same that were made effective during 2009.

In 2009 the activities were completed in each one of the sub-projects, and with the integration of partial outcomes it was possible to work on the diagramming and the printing and dissemination work.

It is important to mention that during 2009 and because of the delays faced during the initial phase of the Project, and with the international negotiations, a request was made to

UNDP for an extension of the completion dates until February 2010, and the extension was accepted.⁷

The Project defines in its Terms of Reference two objectives:

Development Objective: To develop and to improve the national capacities in order to facilitate the integration process of the climate change issue in the national processes for development and for poverty reduction.

Project Objective: To enable Peru to prepare and submit its Second National Communication to the UNFCCC according to the guidelines shown in decision 17/CP.8 and articles 4 y 12 of the Convention.

According to the Project document signed, the aim was to obtain six (6) main outcomes:

Adaptation Strategy for priority areas and sectors (R1)

Development of a National System for the Management of GHG Inventories (R2)

Proposal of a strategy to mitigate GHG emissions in the energy, industry, transport, and LULUCF sectors (R3)

Description of the steps for the integration of climate change and development (R4)

Priority analysis of the restrictions, gaps and needs of a national climate change observation system (R5)

Report – Second National Communication (R6)

Semi-structured interviews were conducted that covered in depth the topics of interest to be investigated, that were based on open and closed questions made to stakeholders such as representatives of the Project Executing Unit, the UNDP team and representatives of the Project partners, representatives of those institutions with which the Project had coordinated more directly, such as: the Ministry of Environment, Ministry of Agriculture, Ministry of Energy and Mines, Ministry of Economy and Finance, Ministry of Transport and Communication, National Service for Meteorology and Hydrology, National Council for Science, Technology and Technological Innovation. Besides, interviews were made to 5 stakeholders of international significance from civil society organizations and international cooperation agencies such as OXFAM, COSUDE and IDB, in order to comply with the

⁷ Final Project Report. Project “Second National Communication of Peru to the United Nations Framework Convention on Climatic Change.

requirements of the proposed methodology in order to be acquainted with the links, partnerships and synergies of the relevant national and international stakeholders.

OUTCOMES AND CONCLUSIONS.

Undoubtedly, one of the most important outcomes was the validation of the Inventory of Greenhouse Gas Emissions (GHG) for year 2000, made by PROCLIM, as required in number 1 (a) of article 4 of the United Nations Framework Convention on Climate Change relevant to the commitments assumed by the member countries with regard to that matter. This great outcome allows Peru to know the contribution made by each sector to their total emissions, and that will permit to have an adequate assignment of responsibilities and to focus the relevant measures, to be oriented about the enforcement of policies to reduce the emissions, to be the basis for a model to be used for the dissemination of contaminants, to generate future scenarios and through the implementation of models be able to make estimates with regard to the impacts on air quality.⁸

With the Project Second National Communication for Climate Change (SNCFCC), Peru makes proposals for the mitigation and adaptation measures, but above all is able to have the issue included definitively in the government agenda; thanks also to the international context that placed the climate change problem at the international level.

Studies with regard to vulnerability and adaptation to Climate Change were made also, with priority given to the watersheds of El Santa and Alto Mayo.

Measures were proposed for the adaptation to climate change such as to develop the National Plan for Adaptation, to create a Registry of Experiences and Progress in Adaptation, to integrate Adaptation in policies, strategies and tools, to create the relevant conditions for Analysis and Research about methodological approaches on risk management and climate change, and also work was carried out with regard to Adaptation Proposals for Planning in the Sectors.⁹

With regard to the vulnerability analysis and its costs, the proposal was to develop climate change sceneries at national, regional and watershed level, and risk and vulnerability studies were made in priority sectors and ecosystems that included an estimate of the climate change costs.¹⁰

⁸ Methodological Guide SINAIGEI

⁹ Peru and Climatic Change. Second National Communication of Climate Change of Peru to be sent to the United Nations Framework Convention on Climate Change 2010.

¹⁰ Ídem

With regard to mitigation, an evaluation was made of the potential for the reduction of GHG in the transport and LULUCF sectors.

It was also possible to update the Agenda for Scientific Research on Climate Change prepared in year 2005. The AIC was updated for the period 2009 – 2024 under the coordination of MINAM and CONCYTEC and its mission is to be a dynamic mechanism to guide the scientific research on the climate change issue with a clear approach of the demand of the regions nationwide.

For the current Evaluation one of the unforeseen but very positive outcomes is that a significant number of members of the coordination team of the Second Communication is working now in the Ministry of Environment, a fact that strengthens the MINAM's technical capacities and allows it to provide an institutional cooperation of high level with regard to the issue of climate change.

The presentation of the Second National Communication is an excellent outcome that must be a relevant and reliable information source to make decisions about national development with regard to climate change. The Second Communication is a document that will be fundamental for the work to be carried out on this issue nationwide, because it is a good photograph of Peru in front of climate change.

Progress made in the mitigation process.

It is important to mention the consistency of the progress achieved by the Second Communication, as well as the strategic lines of the UNDP Country Programme 2012-2016 that promote “The strengthening of capacities for climate change adaptation and mitigation, biodiversity conservation, risks management, disaster risk reduction, environmental management, and the sustainable use of natural resources, in the framework of agreements with MINAM, other Ministries concerned, INDECI and the Regional Governments (...) Support for the substantive incorporation of the environmental issue, strategies for climate change resilience and a low carbon development (...)”¹¹.

Energy sector: The Government has promoted the production and use of renewable energies through the approval of various legal regulations that promote investment for electricity generation based on renewable energies. That is the case of Legal Decree N° 1002, of year 2008, oriented towards the Promotion of Investment for the Generation of Electricity with the Use of Renewable Energies (DLRER for the acronym in Spanish) that is considered as RER (for the acronym in Spanish) to biomass, wind energy, solar energy,

¹¹ Strategic lines of the Country Programme 2012-2016.

geothermic, tidal and hydro electric energy, limiting this last one to an installed power of less than 20 MW. It is foreseen that MINEM will prepare the National Plan for Renewable Energies, in the framework of a National Plan for Energy that will include strategies, programs, and renewable energy projects that will improve the people's quality of life and will protect the environment.¹²

Transportation Sector: Regulation and tax efforts have been made to promote imports of new vehicles rather than of used ones, the use of natural gas, the withdrawal of diesel vehicles, increased taxes to polluting vehicles, as well as technical inspections to vehicles and its limitations with regard to pollution, are mitigation actions of this sector even though among its initial objectives the reduction of GHG emissions has not been specified.¹³

Industrial and Fisheries Sector: In the industrial and fisheries sector, regulating efforts have been made, that even though they are oriented mainly to improve competitiveness, efficiency and clean production, they may reduce GHG, for instance through the promotion of technological innovation in the manufacturing sector, the technical regulations for the boilers and the environmental commitments in the fisheries business. Promotion has been carried out for the National Environmental Plan of the Manufacturing and Industrial Sector with the objective to set up a national strategy for the sustainable development of the manufacturing and industrial activities in order to permit competitiveness, technological innovation and environmental policy to be linked properly and to be involved in a coordinated and equitable manner with the participation of the public and private stakeholders (Ministry Resolution N° 359-2004-PRODUCE).¹⁴

Progress made in the forestry sector: Peru is the second country in Latin America with regard to forest areas, and the fourth worldwide; it has 13% of the tropical forests in the

¹² Peru and Climate Change. Second National Communication of Peru to the Framework Convention of the United Nations on Climate Change 2010

¹³ Ídem

¹⁴ Ídem

Amazon area, with more than 70 million hectares (UP, 2005). The changes in land use and the practices in the forestry sector are the main reason for Greenhouse Gas Emissions (GHG) in Peru. Notwithstanding that in Peru, the public sector, the regional governments, as well as the civil society have implemented actions to recover and conserve the forest ecosystems, still all of these actions require technical support and national and international financial support.

The forest sector, that includes changes in land use and forestry, is the main focus of action in the strategy for mitigation and of increased potential to reduce emissions, either by reforestation or afforestation actions or through actions to avoid emissions originated by deforestation activities. Currently, as mentioned in Chapter 2 of the Consolidated “Peru and Climate Change. Second National Communication of Peru to the United Nations Framework Convention on Climate Change 2010,” there are various mechanisms for the conservatoin of the national forests such as the National System of Protected Natural Areas (SINANPE, for the acronym, in Spanish) (15.9 million hectares), the titled lands of the indigenous communities (10.5 million hectares), or the approved forestry concessions (8.6 million hectares) as well as those that are available for concession (12 million hectares). The State invests yearly in forest conservation approximately 5 million dollars, and to achieve the goal of conservation and sustainable management of 54 million hectares of forests an international financial support required is almost 10 million dollars per year during ten years.¹⁵

Sector related to waste: Approximately 25.03% of the solid waste generated nationally is disposed in sanitary landfills, 3.45% is used for recycling, while an alarming 71.52% is thrown into dumps or is burned, thus affecting the environment in a negative way. It is for that reason, that Peru is implementing now a National Integrated Plan for Solid Waste (PLANRES for the acronym in Spanish), as an initiative oriented to reduce the national production of solid waste and through various actions be able to control the relevant sanitary and environmental risks, such as: the integration of clusters in order to set up value chains with regard to waste management, through the conversion of waste into an input in order to create a financial value (carbon credits); the promotion at all levels of social and entrepreneurial responsibility; the contribution to the mitigation of emissions of greenhouse and air pollution gases, with special emphasis on the emission of methane gas, dioxins and furans; and the promotion of citizens’ participation in the solution of local priority problems.

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Progress has been made with regard to the legal issue, such as the General Law for Solid Waste (Law N° 27314) and its relevant rules (Supreme Decree N° 057-2004-PCM), which provides a framework for solid waste management according to an integrated and sustainable approach.¹⁶

With regard to vulnerability, a report is available in the Ministry of Agriculture, on the issue of climate change in agriculture during years 1995-2007, where the risk areas are identified. With regard to mitigation, there is still a great deal to be done by the Ministry, because the enteric ferment of the cattle is one of the main reasons for which the Agriculture Category contributes nationwide to approximately 20% of the GHG emissions¹⁷. For that Ministry, another achievement is the knowledge that is available now about the forestry situation. Agriculture and livestock breeding are the main direct reason for deforestation in the Peruvian Amazon and in the priority areas. The slash and burn of forests is carried out by the settlers in order to install their crops for subsistence. After they see that the fertility of the soil is reduced, they move into another location to start again with the same activity (migratory agriculture). In this regard the main issue of a mitigation strategy must be focused on the institutional framework. Through the MINAM, the National Government is preparing two very relevant projects such as the National Program for Forests Conservation for the Mitigation of Climate Change and the intervention of the Natural Forests Program with the goal for the conservation, in 5 years, of 10.5 million hectares of the Amazon forest.¹⁸

Progress made in the adaptation process.

The National Adaptation Plan that is now in the process of being prepared is based on the main needs for adaptation that were identified during the evaluations that were made in the river basins and sectors. The evaluations of vulnerability that have been undertaken in Peru, starting with the climate change scenarios, have been a first identification of the national needs for adaptation that must be considered as a priority and adjusted in a sustainable way when these evaluations are extended to the various sectors, geographic areas and ecosystems nationwide.

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In the water sector the priority is on irrigation techniques and the implementation of meteorological stations and regional water management administrative offices. The National Service of Meteorology and Hydrology of Peru manages a network of Hydro-meteorological stations that includes now 781 stations¹⁹.

It must be remembered that Peru participated in the United Nations Conference known as the “Earth Summit” in Rio de Janeiro in 1992, and the main aim of the conference was focused on how to reach sustainable development, and the commitment of the governments and of the civil society was to set up a social and political view with regard to the agreements made in the Summit, and to integrate the environmental factors in the economic and social policies of the countries, in particular the contents of the Program Agenda 21, in which Article 18 establishes among other things, to determine, strengthen or implement, as relevant, the proper institutional, legal and financial mechanisms in order that the policy for water resources and its implementation may be a catalyst of the social progress and sustainable economic growth nationwide.

The Peruvian Government has defined its policy for the management of water resources, according to the International Decade for Action, “Water for Life” established by the United Nations for the period 2005-2015 with the aim to contribute to the achievement of the Millennium Development Goals. The new institutions in Peru are created according to the Law for Water Resources number 29338 that expresses the international agreements and was issued during the period of the implementation of the Second National Communication.

In the area of research and technological transfer the priority is on the research of a variety of crops that are resistant to freezing and plagues. Further, in coordination with CONCYTEC, the Agenda for Scientific Research on Climate Change was updated.²⁰

In the rural development area the issue is a sustainable use of native biodiversity, and through the AGRORURAL program the work approach that is being developed is through the river basins and economic corridors (5 corridors in the whole country) and a reforestation program that is being developed with 100 million trees.²¹

The Ministry of Economy and Finance (MEF) is working on the “Proposal for the incorporation of climate variety in the Macroeconomic Models and in the National System

¹⁹ Peru and Climate Change. Second National Communication of Peru to the United Nations Framework Convention on Climate Change 2010

²⁰Idem.

²¹Idem

for Public Investment (SNIP).” The study “National System for Public Investment and Climate Change: an estimate of the costs and benefits of the implementation of risk reduction measures” (2009) is a sample of that. A priority for this Ministry is not to continue considering the climate change issue as an environmental issue but as a development issue with a specific role and budget in the various sectors according to the outcomes that may be obtained.²²

On the other hand, the experience that the regional governments of San Martín and Ancash have acquired in the interaction with international technical assistance programs and projects of GIZ, COSUDE- Swiss Cooperation and Practical Solutions of the ITDG, among other institutions, is most valuable.

Among the international organizations, special projects were developed such as the Support Project for the Prevention of Disasters in the Andean Community – PREDECAN, the Andean Program for Rural Development and Agriculture and Livestock Competitiveness, the Andean Strategy for Disasters Prevention and Care, the Project for Adaptation of the Impact of Accelerated Setback of Glaciers in the Tropical Andean area (PRAA for the acronym in Spanish), the Program for Adaptation to Climate Change (PACC for the acronym in Spanish), and Joint Program “ Integrated Management and Adaptation of environmental resources to reduce vulnerabilities to climate change in micro river basins in the Andean Highlands.”

The level of coordination among the Ministry for the Environment, the National Service of Meteorology and Hydrology, the Ministry of Energy and Mines, the Ministry of Transport and Communications, the Ministry of Agriculture, the Ministry of Economy and Finance, the Regional Government of San Martín, the Regional Government of Ancash, the National Council for Science Technology and Innovation, has improved in a significant way. That coordination has installed in the public administration capacities and knowledge with regard to issues related to climate change impacts.

The Second National Communication has provided capacities in a structural way to the public sector institutions both at the central and regional levels. However, in order to avoid the disappearance of capacities it is necessary to ensure a protocol for the transfer of knowledge as well as for the processing of the relevant information to be recorded by the administration.

²² Peru and the Climatic Change. Second National Communication on Peru’s Climatic Change to be sent to the United Nations Framework Convention Climatic Change 2010

4.2 Project Planning

The aim of the full-size Project design was to address the technical, instrumental and coordination gaps that existed nationwide. In this regard the aim of the design was to go even further than just preparing the document of the Second National Communication.

The Log Frame analysis indicates that the Log Frame was beyond the existing capacities nationwide. It must be pointed out that several institutions find it difficult to hire experts not only with regard to the coverage of the vacancy but also due to their limited availability in a growing economy and under the strong influence from the mining sector.

The analysis showed that because it was such a extensive Log Frame there was an unexpected effect in its implementation: the difficulty faced by many of the stakeholders was to understand clearly the general process and the importance of their participation in the project's development.

For the Evaluation, it was very difficult to review the Log frame and to keep it updated because it was not related with the quantity or the quality of the outcomes or outputs achieved by the Project. Instead it dealt with the shared work of the Executing Unit in activities relevant to its government counterparts, and that had an indirect incidence on the strengthening of national capacities, as for instance the reporting about the Project's condition when there was a change of authorities. In order to ensure the continuity of the activities of the Second National Communication, the Evaluation considered as a basic issue that the national executive counterpart should be also in charge of providing training of the new chiefs or coordinators.

The initial delay in the implementation limited the efficiency of the Project, as for instance, the delay in the signing of Agreements with the implementing entities, due to the fact that the new government started in the same month of the project initiation. Thus, for instance, INRENA that was in charge of the activities relevant to Outcomes 2 and 3 started a restructuring process and therefore the review of the project agreement had a significant delay in all of the institutions. In the same way, the election of the regional governments and the definition of new officers 4 months before the Project's start, gave way to significant delays.

These difficulties that are relevant to the developing countries should have been taken into account in the Project's design.

Undoubtedly, the institutional changes made in CONAM affected Project operation because in September 2007 the President of the Directors' Board was changed and in December of the same year, the Executive Secretary who was also the National Director of the Project was changed. All these changes gave way to slower project implementation because the new internal procedures had to be approved by the senior directors of CONAM.

There were also legal rules that affected the implementation of the Project. In year 2006 the following legal rules were published affecting the public institutions, independently of the funding sources: in 2006, the Law N° 27619, for the Authorization to Travel Abroad for Public Officers and Workers and its Rules approved by Supreme Decree N° 047-2002-PCM and the Urgent Decree N° 006-2006, restricted the international travel, independently of the funding source, and in each case a specific authorization was required and it had to be provided through a Supreme Resolution. In November 2006, the Office of the President of the Ministers Council did not authorize the trip of the Project Coordinator for Vulnerability and Adaptation to go to COP 12, and for that reason he could not participate in the relevant negotiations and had to be replaced in that assignment by the General Coordinator of the Project who had been assigned to deal with other negotiation issues.

In the same way according to Supreme Decree N° 050-2006-PCM, published on August 10, 2006, the Public Sector entities were not allowed to make color printings, photocopies and publications, independently of the funding source. All type of printings had to be approved by the chief of the relevant entity. That procedure was used by the UEP to print the material required for the presentations of the environmental document film “The uncomfortable truth”, which required more time that had to be considered in the programming of the project activities.

The restructuring process of the Government entities weakened to some extent the development of the Project because of the changes made with regard to the technical staff responsible for the Project, specifically in the cases of MINAG, MEF, and MINEM.

During the entire process oriented to restructure the public sector there was a lack of stability in the public entities and therefore, it was not possible to have the commitments of the entities responsible for the project implementation. However, it was possible to achieve the proposed objectives, and for the issue to be sustainable, it is important to continue the work together with those entities.²³

4.3 Conceptualization / design. Fairly Satisfactory (FS)

The development of the Project indicates that the final outcomes of the Project were successful ones, and that means that the project concept was the proper one, otherwise the Second Communication would not have been able to show progress with regard to the First National Communication (elaborated in 2001 and with reference to 1994), and despite the fact that it was almost 10 years ago.

With regard to the design, the Evaluation did not have access to enough official references, but from the interviews made it can be confirmed that in the design undertaken in 2005, the impact of the national political context, according to which the Project was to be developed,

²³ Terms of Reference.

was under estimated (this refers to the elections for President in 2006 that were convened in December 2005 and the Municipal and Regional elections convened in March 2006).

With regard to Project development, there are also some doubts about the government institutions where the Project was supposed to develop or to strengthen the relevant capacities, because the institution that was to be most strengthened with the Project was the Ministry of Environment, that did not exist at that time and its creation was not even foreseen, as it was created only in May 2008, when the Project should have been completing its activities. Likewise, SENAMHI, the government institution to which the Project transferred most of the financial resources for non-expendable expenses, belonged to the Defense sector until May 2008, when through Legal Decree 1013 – Law for the Creation, Organization and Functions of the Ministry of Environment – it became part of the Ministry and therefore a Project partner.

The fact of being a full-size project is considered to be most appropriate taking into account the need to strengthen the national capacities, but the design did not take into account the government changes nor those of the Peruvian society, and also the first design did not consider how to overcome the difficulties derived from the increased administrative changes as well as the national administrative character. However, despite the fact that these variables were not included in the first design, the evaluation considered that if it would have been in a different way (rather than under the Full-Size criteria) it could have been a great failure with regard to the achievement of the Project aims.

4.4 The national ownership

The Second National Communication Project was conceived and designed with the aim that its activities and outcomes would have impact on the gathering of information and communication of actions relevant to climate change. The additional aim was to strengthen the institutional capacities and to have the issue included in the public sectors and organizations related to national development. In that way it was possible that key entities such as the Ministries of Energy and Mines, of Agriculture and of Transportation, among others, could assume commitments to study and to participate in training and in activities for the dissemination of information relevant to climate change.

Through the Project it was possible to consolidate and later on to present the Second Communication of Peru that reflected the effort and commitment of Peru in the fight against climate change and to ensure that the current as well as the future generations may have a proper quality of life. In this regard, the importance of the project is also related closely to its sustainability.

The design of the SNCCC Project was based on initiatives that were developed in the past with regard to the issue of climate change and in that way, first with CONAM and later on with the Ministry of Environment (MINAM), it was possible to continue with the process to strengthen the national capacities for a proper management of human, institutional and financial resources in order to be able to face climate change. This Project has contributed

to strengthen the environmental institutions in Peru and has consolidated the national capacities.

However, it must be remembered that originally the Project had to face serious problems with regard to efficiency and effectiveness because the work was not performed according to the time schedule that had been set up, and above all during almost 3 years, some professionals that were paid by the Project had been carrying out work and activities relevant to the national counterpart, but as an unexpected outcome of this situation, the Evaluation could verify in the field that those professionals had helped also to consolidate the Ministry of Environment, an institution that was fundamental with regard to the current and future environmental work to be carried out in Peru.

It is in this context, that it must be mentioned that the Project did not reach an acceptable level of operational effectiveness until part of its team was incorporated in the MINAM, and it was from there that they submitted again the requirements and demands that the project had been making in the public administration area.

Although it had not been set up as a priority in the project design, it could be seen in the Evaluation that the strengthening of national capacities was not done at a massive level as for instance it did not have enough incidence in the academic institutions, and in many cases the capacities remained among the chief officer, the consultants and the coordination team and not in those entities that by nature are oriented to reproduce knowledge.

There were positive effects in proportion to the project expectations such as the Consolidation of the MINAM and the reactivation of the National Commission of Climate Change. However, the request made to UNDP for an extension of the project completion date until February 2010, brought along some problems with regard to effectiveness, as probably it was associated to costs that had not been considered before.²⁴

4.5 Stakeholders participation. Satisfactory (S)

The Project was able to have key institutions such as the Ministries of Energy and Mines, Agriculture, and Transportation, among other institutions, assuming commitments to carry out studies and to participate in activities for training and dissemination of information about climate change. The Project was conceived with participation mechanisms, but the stakeholders that were interviewed referred to the lack of transparency in the convening

²⁴ No accurate figures can be determined for this measurement, but undoubtedly the cost to finance the project staff for more than two years besides than what had been budgeted means a lack of efficiency, either because of a wrong budgeting process or because other activities might have been financed with these funds.

processes as well as in those relevant to the dissemination and communication of outcomes. Therefore, they did not feel that they were participating in the benefits of the communication processes nor were they informed about the convening and participation criteria.

In COSUDE, the officers that provided support with regard to the physical set up of the final documents of the Project, both in English and Spanish, said that they had faced many difficulties for the access to the information generated in the Second National Communication Project and that they had many problems to find the persons that had the information; and that it would have been more relevant and timely if the final documents had been available in the institution. According to this cooperation the potential of the space created by the Project or its final outcomes were not used to consolidate the national synergies in an adequate way, because they (COSUDE) had started projects in parallel with the Second Communication, oriented also to the gathering of information, but unfortunately the management of communication depended on persons rather than on institutions, which made difficult the communication and the exchange and access to information. In the same way, despite the fact that they had offered support for a dissemination campaign, their complaint was that the outcomes of the Second Communication were not available for the people through a system and communication support oriented to invite the community for consultation. Although the final outcome was appreciated, it was mentioned that it had not been disseminated and communicated in order to be a real source for communication oriented to the achievement of solutions. It was mentioned also that the limited accessibility to the contents was due to the fact that the strategies had not been designed to be more transparent and accessible for the people and for the decision-making instances.

It must be mentioned that the review of secondary information showed that there had been a wide participatory process that convened various sectors and professionals related to climate change. However, several international cooperation agencies as well as local non-governmental organizations did not give importance to this process and highlighted the absence of important governmental and non- governmental stakeholders in the areas of education and tourism, among others.

For instance, with regard to the technical issue, SENAMHI stated that the institution had not been consulted with regard to the selection of the priority river basins; and the persons interviewed said that they were requested to make climate scenerios in the river basins of El Santa and Alto Mayo, but with institutional criteria they would have selected others. In general, the evaluation could see that each institution performed its work in a separate way and they attended some of the workshops and trainings, but they never received the processed information of those workshops nor the lessons learned or the outcomes of the encounter.

4.6 Replicability

The methodology used for the Integrated Local Evaluations (ILE) in the priority riverbasins, el Santa (Ancash) and el Alto Mayo (San Martín) can be replicated in other areas, but it must be kept in mind that because of its geographic diversity, Peru is among the 10 mega diversity countries worldwide, it has the second largest Amazonian forest, the tropical mountain chain of largest area, 84 of the 104 life zones identified in the planet, and 27 of the 32 climates of the world. Therefore the replication must be of a critical and adaptive character.

Because of its cultural and poly-ethnic cultural diversity the replicability is possible only if it is adapted to the Peruvian reality. If replicability is not adaptable it will be affected by important social barriers and therefore it is important to have a very good initial design and also for the one at the end of the intervention, in order to ensure the empowerment of the local stakeholders. The replicability will be valuable and possible only if it includes the lessons learned.

PROJECT IMPLEMENTATION.

5.1 Implementation Approach. Satisfactory (S)

Through the interviews made during the Evaluation it could be seen that the implementation of the Log Frame became a complex issue, in the first place because the expected outcomes and the associated activities were not developed in the scheduled time, and also the number of outcomes was not in proportion with the participation nor with the technical capacities committed by the government counterparts of the Project (in 2006 CONAM had only 1 professional to attend to climate change, and even now, the 8 professionals working in MINAM are not public servants hired for an undetermined period of time and they are not in the Staff List of the Ministry).

Many times the public convening of experts on issues related to the Second National Communication was declared as void because of the modalities and the area of the convening process, because of the high demand of professionals better trained in the new productive sectors, or simply because of the requirements specified in the terms of reference.

Some stakeholders mentioned that the implementation of the Project was not carried out in a systemic way. The information was provided by parts and there was not an overall view of the process.

It was mentioned that the technology was not used properly for the dissemination and communication of the outcomes, because the dissemination of the outcomes of the Second Communication was limited to the final document entered in the web page of the Ministry of Environment, and the digital version was not sent or was available for the Peruvian experts registered in the IPCC. However, the Ministry of Environment reported that the Peruvian expert had participated in the National Commission of Climate Change, whose members received the report for review and further approval.

It was through the Project that SENAMHI acquired Computer equipment for more than USD\$26,000 and after 4 years they are not any more in use, but many of the professionals that participated in the Project have continued working and they have been able to provide to the Government and also to private companies similar and/or complementary services as those provided to the Project on the issue of climate change.

INRENA participated actively at the Project start, but in 2008 when it was closed, the computer equipment that had been purchased and the professional staff that had been trained were transferred to the MINAG, or retired from the public sector.

The National Water Authority, a new institution created by the Government during the Project's development, did not participate in the Project nor was strengthened by it.

The MINAM was able to hire many of the professional staff that had participated in the Project, either as part of the Executing Unit or as external consultants for some of the activities performed by the ministries.

As an outcome of the Project a large number of documents was issued for training and to create awareness with regard to climate change, both among children and adult people, as well as a course for teachers. It could be seen however that there was a low level of dissemination of information, or of the continuity required to include a larger number of people.

5.2 Monitoring and Evaluation (M&E). Moderate Unsatisfactory (MU)

The weaknesses of the Monitoring and Evaluation System were closely related with the initial design of the project, because its full size design, although it was the right one, it did not consider the required adaptations for implementation in a country with bureaucratic and political features that have so many administrative rotations and political changes. Therefore, the Monitoring System had also difficulties, because it was not able to prevent or to correct in a timely way the difficulties faced during implementation. The United Nations has very strict monitoring systems, but the delay of the project showed that this Monitoring was not enough for a project of this importance, because at the time of its implementation, no national capacities were available that could respond to the Log Frame demands nor to the Full-Size design.

Specifically, all the above is most visible because the Project did not have the mid-term evaluation that is required for this type of project. The Evaluation was not informed of the reasons or conditions that gave way to this omission.

5.3 Financial Planning:

According to the information provided to the Evaluation, the Project was planned to use USD\$1.800.000 provided by GEF and USD\$1. 012.500 as government co-financing, in a 30 months period of time.

The co-financing offered by the Peruvian government at the project start was according to the structure shown in Table 1.

Table 1 – Structure of the co-financing at the project start

ENTIDADES	CONTRAPARTIDA
CONAM	US\$ 324,690
INRENA	US\$ 148,850
SENAMHI	US\$ 257,770
GOB. REG. ANCASH	US\$ 42,810
GOB. REG. SAN MARTIN	US\$ 238.380

Source: Presentation made by CONAM about the SNCCC
Prepared by: Project Executing Unit

The Evaluation did not have access to information about the implementation of the co-financing by entities.

In Table 2 and Chart 1 are shown the resources that were used by the Project for the purchase of non fungible computer systems for the Project (hardware and software).

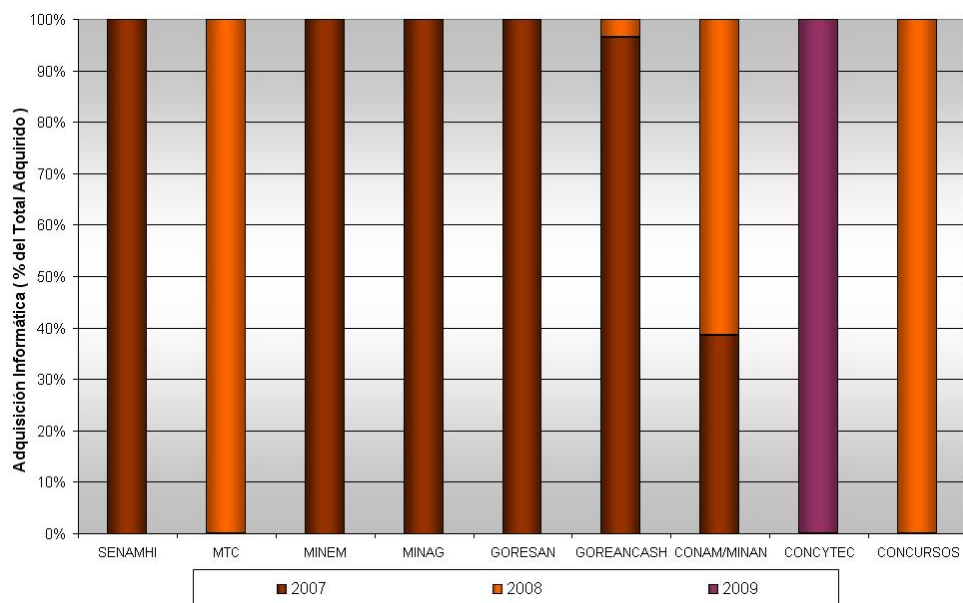
Table 2 – Acquisitions of Computer systems for each relevant institution

ENTIDAD	Monto (USD)
SENAMHI	26,272.29
MTC	2,571.26
MINEM	6,614.41
MINAG	4,219.01
GOESAM	6,033.12
GORE ANCASH	11,844.69
MINAM	36,228.52
CONCURSO BOSQUES	772.26
CONCURSO GLACIARES	737.32
CONCYTEC	2,406.35
TOTAL	97,699.23

Source: Final Project Report 2006-2010

Prepared by: Project Executing Unit

Chart 1 – Temporary Evolution of the acquisitions of computers



Source: Annual Progress Reports 2007, 2008 y 2009

Prepared: By evaluation team

Table 3 shows in an analyzed way, the quantity of resources used for the achievement of each one of the Project outcomes.

Table 3 – Implementation of the Project Budget, by outcomes

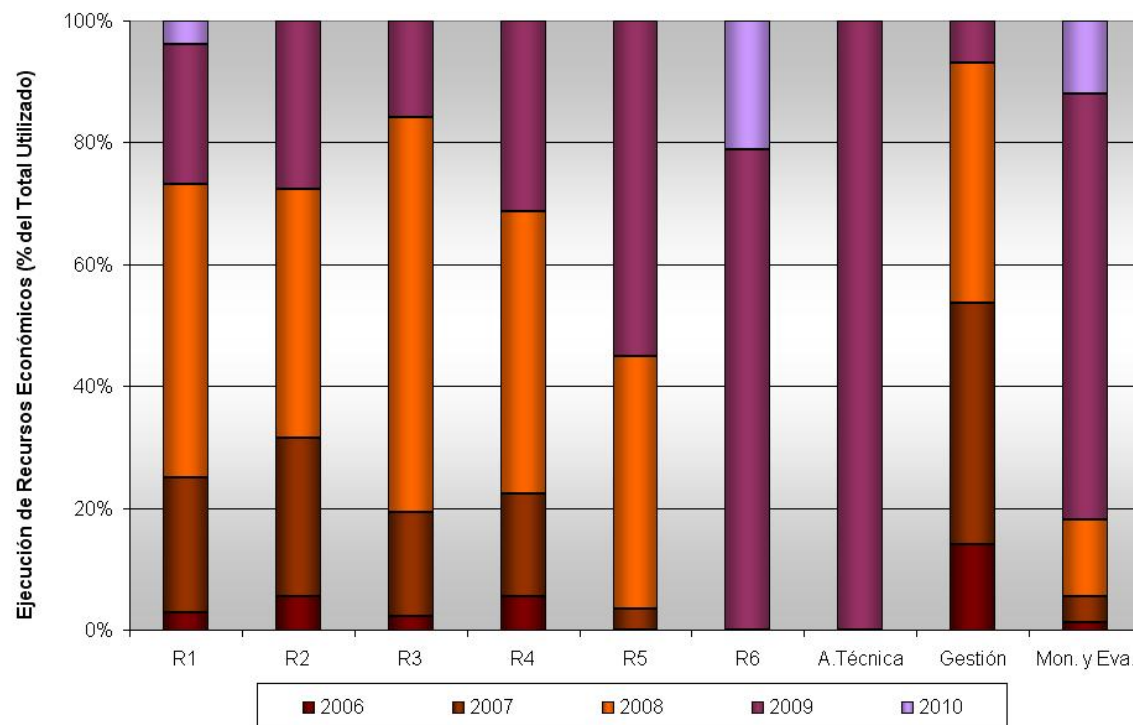
Actividad Proyecto	Presupuesto	2006	2007	2008	2009	2010	TOTAL
Resultado 1	710,000.00	18,955.87	153,657.00	331,114.86	157,810.00	26,561.00	688,058.73
Resultado 2	100,000.00	5,613.49	26,769.92	41,945.52	28,273.00	0.00	102,601.93
Resultado 3	375,500.00	9,159.54	67,505.55	257,160.17	63,198.00	0.00	397,023.26
Resultado 4	100,000.00	4,864.08	14,865.48	40,820.58	27,669.00	0.00	88,219.14
Resultado 5	96,500.00	0.00	3,224.64	37,742.76	50,169.00	0.00	91,136.40
Resultado 6	50,000.00	0.00	0.00	0.00	62,024.00	16,700.00	78,724.00
Asistencia Técnica	50,000.00	0.00	0.00	0.00	29,788.00	0.00	29,788.00
Gestión del Proyecto	218,000.00	30,029.94	85,549.51	85,171.36	14,713.00	0.00	215,463.81
Monitoreo y Evaluación	100,000.00	1,096.35	3,871.18	11,073.48	62,290.39	10,612.00	88,984.73
TOTAL	1,800,000.00	69,719.27	355,443.28	805,028.73	495,934.39	53,873.00	1,780,000.00

Source: Project Final Report 2006-2010 (Page 41)

Prepared by: The Project Executing Unit

Note: In Page 40 of the Progress Annual Report 2007, it is indicated that the amount used in Outcome 1 in 2007 is only USD\$152.706.62.

Chart 2 – Implementation of Economic Resources (% of the total used per year and by budget allocation)



Source: Final Project Report 2006-2010 – Page 41

Prepared by: Evaluation team

(ii) Cost-efficiency of the Outcomes.

With regard to the achievement of the expected objectives and outcomes, the project had a good performance with regard to cost-efficiency because the achievements were made without a budget overexpense. But despite this, the project had many deficiencies at the start time because there were many cost deficiencies and many disbursements were made to maintain the work team even though no significant outcomes had been obtained. The high level of rotations made at the project start gave way to one year delay with regard to the implementation process, but the project had a good performance in year 2009 as the outputs were achieved and the project was closed in a proper way.

(iii) Financial management (including disbursement issues)

The achieved objectives indicate that the disbursements were made according to the relevant needs of the project that were part of the activities carried out. The excessive expenses were due to the extended time of the Project because of errors with regard to project management and monitoring and not to an inappropriate financial management.

(iv) Co-financing

Despite the requests made for information, the Evaluation did not have access to information about the co-financing of the Project, except for the one that appears in the 2009 Audit Report where the co-financing amount is USD\$13,557.57.

5.4 Management and Implementation modalities.

The project had a significant delay and an evaluation must be made with regard to the internal and external responsibilities of the UNDP counterpart. This delay affected the Project efficiency and effectiveness, but it was possible to submit the Document of the Second National Communication, that will allow Peru to set the foundation for future cooperations or interventions with regard to climate change.

The Executive Unit was installed in the MINAM, and that made possible to address the climate change issue. The continuity of this team in the Ministry of Environment after the completion of the Second Communication Project is a positive effect that gives sustainability to the outcomes.

The implementation and management of the Project convened a large number of experts and consultants. The Executive Unit prohibited the hiring of professionals that had helped in the design of the outcomes.

OUTCOMES.

6.1 Achievement of outputs/outcomes and objectives. Satisfactory (S)

Main outcomes by Component.

Vulnerability and Adaptation Component.

In view of the need to strengthen the national network for climate observation, the proposal was to create and implement the National System for Climate Observation (NSFCO), which would be integrated into the network of agro meteorological, climatological, hydrological, oceanic, environmental, specific and particular stations and would connect them to a national telecommunications system that provides information in real time. This would permit to alert in a timely way the National System for Civil Defense and would prevent or reduce the damages caused by the hydro meteorological phenomena. On the other hand, the system would provide data for climatological studies and environmental management with regard to conservation and rational use of natural resources, in particular water resources, and in that way it would facilitate and guide improved decision making.²⁵

It was possible to update the Agenda for Scientific Research on Climate Change for the period 2009-2024²⁶, according to the Regional Strategies and the National Strategy of Climate Change as well as the National Strategic Plan of Science and Technology and Innovation for competitiveness and human development 2006-2021. The AIC has four thematic axes: (1) Climate change science in Peru, (2) Mitigation of greenhouse gases, (3) Vulnerability and adaptation to climate change, (4) Monitoring and Metrics.

Inventories and Mitigation Components.

The proposal for the design and implementation of a National System of Inventories for Greenhouse Gases (SNINGEI for the acronym in Spanish) is derived from the need to develop an official and permanent mechanism oriented to have updated quality information about Greenhouse Gas emissions that take place in Peru. The SNINGEI consists of a technical proposal that includes information and responsibility flows that are differentiated

²⁵ Peru and Climate Change. Second National Communication on Climate Change of Peru to be sent to the United Nations Framework Convention on Climate Change 2010.

²⁶ Final Report: Updating of the Agenda for Scientific Research on Climate Change (AIC), Lima, June 18, 2009.

according to Peru's sectoral structure. This proposal has a legal version that is being analyzed for its implementation.²⁷

The implementation of the System implies the strengthening of the sectoral information systems to generate and process information about activity levels and to determine the local emission factors.

Taking into account that the national growth objectives must be oriented to sustainable development, poverty alleviation and an effort for an equitable reduction of emissions worldwide, the mitigation policy must be focused on those sectors that have more opportunities for reduction and at a lower cost. In this regard, an identification has been made of the Nationally Appropriate Mitigation Actions, known as NAMA (for the acronym in English), and referred to in Peru as National Mitigation Programs (ProNaMi), that could be developed in five sectors: energy, transportation, industry, waste management, forestry and land use, with the forestry and energetic sectors being the most analyzed ones.²⁸

Dissemination and Training Component.

During the Second National Communication Project, the MINAM prepared the Communication Strategy for Involvement, Awareness and Dissemination of Information on Climate Change that is based on “bringing closer” the issue to the people, to the leaders of grassroots organizations, sectors, authorities and in particular to the communication media, with emphasis on the impact of the climate change on the daily life according to a local, economic and social perspective that was based on the following thematic and communication issues:

Adaptation strategies: climate scenarios in El Santa and Alto Mayo.

Danger, vulnerability and risks in infrastructure and natural resources.

Use and utility of an Information System for improved decision-making.

Adaptation with regard to the social and economic activities of the watersheds.

Environmental planning in the agriculture, transportation, water and energy sectors.

Promotion and institutionalization of the National System for the Management of Inventories (GHG).

²⁷ Ídem

²⁸ Ídem

Deforestation as a continued driver of GHG emissions.

Relationship between climate change and biodiversity.

In the framework of this strategy, the following communication and dissemination activities were carried out nationally:

Updating of the Web Portal for Climate Change.

Training workshop – internal communication and positioning.

Preparing information booklets about CDM.

Preparing radio spots about the adaptation issue.

Training workshop to prepare communication plans on climate change in the regions. Organization of strategic partnerships with communication media. Training workshops for journalists (Pontifical Catholic University of Peru).

Information lectures in the schools on the issue of water use.

Computer Course on climate change addressed to agro exporters. Promotion and information material on climate change in Peru.²⁹

6.2 Difficulties faced by the project to achieve its objective and outcomes

One of the basic problems that was seen by this Evaluation was the short-term criteria with regard to this issue which was reflected in the way in which the Project was implemented. According to interviews made in four institutions, all the work of the Second Communication was undertaken as independent components that did not allow partners to include and to go in-depth with regard to the final objective of the Second Communication Project which should have focused its efforts not only on the gathering of information, but also in establishing a coordination space where the institutions could incorporate capacities, knowledge and in-depth work on climate change. Due to the lack of a view of the overall process, the work of some of the technical coordinators was oriented only to prepare a report rather than to an in-depth study of the global warming problem and its consequences for Peru. This issue was pointed out several times by several of the persons that were involved and therefore it can certainly be stated that each ministry or institution involved in the process delivered their reports individually, without the feedback from the Executing Unit

²⁹ Ídem.

or MINAM, and without knowing what the other parties had done, because all the work was carried out as independent activities. This perception of the stakeholders provides a short-term view, and does not provide signals of an issue that was dealt as a cross-cutting public policy with a true participation of all the parties concerned. Let us keep in mind that the Second Communication Project was conceived and designed in order that its activities and outcomes could be more than just the gathering of information and communication about climate change actions, as the additional aim was the strengthening of the national capacities.

However, it must be mentioned that the Institutions and Ministries that were involved were able to have instances and a legal framework with regard to the climate change issue, as for instance, the Ministry of Environment, MINAM, that has now a General Directorate for Climate Change, Desertification and Water Resources, which is responsible for the design and updating of the National Strategy of Climate Change (ENCC for the acronym in Spanish)..

The Project was conceived to be implemented during 2006-2008, but because of the many government changes and other issues there was considerable delay, and only in 2009 the activities could be completed in each one of the sub-projects where partial outcomes were integrated in order to be able to start with the relevant diagramming, printing and dissemination of information. In view of the delays since the Project start, and the link with the international negotiations, a request was made to UNDP to extend the closure date until February 2010, and the request was accepted. The activity for the consolidation of information was carried out almost during the last year of the Project life, and that gave way for the institutions to think that this task was to be performed according to a fixed term rather than through an in-depth study of a national and global problem.

It must be mentioned that the original Log Frame was the one used by the Evaluation, and not the one that was adapted when the no-cost extension of the project duration was accepted by UNDP Peru.

The perception of the work in independent silos by the institutions and Ministries, the delay of the Project and the time pressure during the last year with regard to the submission of the Second Communication Report, were all issues that indicated to this Consultancy that there had been problems with regard to planning and capacities that did not permit to go forward in order to achieve the objectives in the time designed and assigned in the PRODOC. The Evaluation mentions that independently from the external phenomena such as the change of Government or of Ministry structure, a long time went by, almost three years from the project start, which shows that there was a lack of management and coordination.

This was due to the lack of an integrated communication and information system to overcome all the administrative and political changes that were made in the institutions. The climate change problem must be considered at an institutional level, and the responsibility must not be assumed by persons but by institutions that must perform the relevant duties according to the relevant commitments. However, in this evaluation it was possible to get information with regard to the high level of staff rotation, and also of the period of transfer of positions that made it difficult to get in touch with the relevant staff

and stakeholders that would provide the information required in this research work. In this context it was seen that there was a lack of guidance because of the Government changes, but there were also some officers available to provide secondary information, and that would explain the fact that it was not only a difficulty that was focused on staff rotation, but also on the lack of records and data processing that should have been transferred automatically.

One more difficulty to be faced was the fact that the coordinators and the staff in charge of preparing the report of the Second Communication Project were not in the required management levels and did not have the relevant capacity for decision-making, as they were technical staff that very often had difficulties to provide and find information at the executive level (vice-ministers and ministers) as required by the spirit of the evaluation: to be an information tool for decision-making for the Peruvian authorities. With that lack of capacity for decision-making, the legitimacy of the issue was reduced and also its final objective. For this Evaluation it is most important the position, leadership, dedication and formation of the officers and professionals responsible for the implementation and development of the national capacities as those required by the Second National Communication Project.

The staff showed interest and capacities for the task that they had carried out, but through the interviews and the qualitative analysis it could be ascertained that they were not leaders in their institutions or had decision-making capacity, nor were they invested with the relevant authority to carry out those tasks that were required by the Project.

Another issue that could be noted was the lack of information and of inter-institutional relationships. For instance, in the National Service for Meteorology and Hydrology they stated that they had not participated at all in the process for election of the priority areas: Alto Mayo and El Santa; and they just had to comply with instructions to work on the climatic issue in those river basins. The Director of General Affairs of the Ministry of Agriculture stated that he had not been informed at all about the evaluations made in El Santa and Alto Mayo. In the same context, expressions were gathered that indicated that the communication and relationship with the MINAM was not frequent, and it could be seen also the lack of rules and procedures through which the institutions involved could be able to know the general and sectoral progress of the Project.

However, it must be pointed out that the MINAG was the institution that created the Technical Work Group for the Management of Risk and Adaptation to CC, that was organized to promote interactions inside the sector.

Under the same logic of unavailability in the channels for inter-institutional communication, it was considered that the delivery of the final outputs had not been made according to a massive promotion aim and massive dissemination, as they were seen only through the institutional web pages, and that undoubtedly does not mean that all that the citizens will read it, and even worst, that a full interest on the issue will be of interest nationwide. In this regard, the Strategies for Communication and to Create Awareness were criticized because they had covered only the institutional spaces, leaving aside the participation of the civil society and of the social organizations.

The persons that were interviewed stated the lack of participation of sectors that were vital for the development of the capacities of Peru, such as the Ministry of Health, the Ministry of Education and the Ministry of Tourism. According to the stakeholders, these ministries should have been included in the development of the Second Communication Project, but they did not know the reasons why they had been excluded. Somebody stated that there had been a lack of transparency because the reasons and criteria through which the social stakeholders and the relevant institutions were convened had not been informed in a proper and timely way.

Finally, the Evaluation did not have secondary backgrounds or interviews to know the progress that had been achieved between the First and the Second Communication Project. There was not a comparative work to measure the effects and the new sceneries among each one of the communications, and also of the corrections that could have been made based on the lessons learned.

While the presentation of the final document “ Peru and Climate Change: Second National Communication on Peru’s Climate Change to be sent to the United Nations Framework Convention on Climate Change 2010” mentions some comparisons, it is important for this Consultancy that the countries indicate and show publicly the progress achieved with regard to their commitments during each one of the periods in order that the impacts of the inventories in the area of Health, Education, Environment as well as National Economy may be integrated into the collective imagination.

The progress achieved between the first and second National Communications must include internal and external communication strategies, because for the inclusion of the objectives the officers must know the progress and impacts of their performance, and also the citizens need to be informed in a continued way in order to be aware and to participate in the adaptation to climate change.

The qualitative analysis of this Consultancy showed that the stakeholders involved perceived a lack of transparency in the communication among the institutions, in the invitations made to the stakeholders, in the mapping of the Project processes, and all that reduced to some extent the internalization of the UNFCCC objectives, although they recognized that now they are more aware about the issue, than before the Second Communication project.

6.3 Sustainability

One of the great achievements and outcomes with regard to the Sustainability of the Project is shown in the proposal to include the climate change issue in the macro economic patterns and in the processes for the allocation of the public budget. This progress means that climate change is no longer an environmental problem and it is included as an economic variable that will affect directly the citizens’ life, the production, the investments and the development capacity of the nation. This proposal that is made in the Second Communication Project ensures a budget allocation for adaptation and mitigation, as

required to face the vulnerability of the people with regard to the effects of global warming. The fiscal budget allocation ensures the sustainability of the work carried out previously to the SNCCC and its achievements.

Notwithstanding of the above, the Evaluation could notice through the interviews that the coordination and relationship of the stakeholders with the relevant institutions was not the best one, and that affects the sustainability of the Project. It is necessary for the project outputs to be in full synergy and those institutions that cooperated and participated should become part of a joint and participatory system with self-evaluation mechanisms oriented to improve gradually these two basic axis of the System.

The Project outcomes will be sustainable only if there is a proper allocation of resources and if there is a synergetic joint system among the institutions, the stakeholders and the ministries involved. The implementation of a system will make of the Climate Change problem an institution that will be implemented later in those public policies that may create and strengthen the public awareness and above all the changes in the citizens' behavior that is one of the objectives of the United Nations Framework Convention on Climate Change. Finally, it is necessary to create conditions oriented to overcome the difficulties found by the international cooperation, such as the continued changes that are made in the public administration of the developing countries in Latin America. The administrative rotation puts at risk the sustainability of the achievements made, and for that reason the recommendation of the evaluation is to promote management systems of quality that will contribute to keep in order the administrative processes and to ensure the activities and objectives of the relevant ministries.

(i) Financial Resources. (Moderately probable)

If the Ministry of Economy and Finance (MEF) does not confirm its participation and the inclusion of the issue in the Ministry, the sustainability of the Project outcomes may be affected. It is necessary to have a public budget allocation for the climate change issue. The development of methodologies and procedures oriented to include the climate change issue in the budget allocation cycles and in the multi-year program for the public sector, as well as in the National System for Public Investment, SNIP.

(ii) Social-Political issues (Moderately Probable)

There is a risk with regard to Sustainability if all the national capacities that have been acquired remain with a few officers rather than in the relevant institutions.

The stakeholders that must be the leaders of the issue in the central and local public administration must be positioned and must have decision-making capacities. The Evaluation verified that the stakeholders that were interviewed were interested to continue and to ensure the outcomes achieved, however emphasis is placed on the issue that sustainability will be consolidated only if there is public awareness about the adaptation and mitigation of the climate change.

(iii) Institutional framework and governance. (Moderately probable)

The current national authority for environment in Peru is the Ministry of Environment (MINAM), that has a General Directorate for Climate Change, Dessertification and Water Resources (DGCCDRH for the acronym in Spanish)), which is the focal point for the UNFCCC. The MINAM presides the National Commission on Climate Change (CNCC for the acronym in Spanish) that was created in 1993 and modified in 2009, and its role is to coordinate the implementation of the UNFCCC in the various sectors and to design and promote the National Strategy for Climate Change (ENCC for the acronym in Spanish). The ENCC, was approved in 2003 and is in currently being updated within the framework of all the policies and activities related to the climate change that are being developed in Peru. The next legal milestone is the General Environment Law that was issued in 2005.

The MINAM has strengthened the environmental institutions, and has assumed the roles assigned to the former National Council for Environment (CONAM), thus extending the Government's role and upgrading the level and importance of the environment sector in the Government.

Peru has a democratic government that ensures the Sustainability of the outcomes, however like many developing countries it lacks a public administration system based on a management system of quality that may upgrade its performance.

(iv) Environment. (Probable)

The Second National Communication project has created a great expectation for action and has provided a work scheme in the sectors (Ministries) and they are willing to participate in similar projects with regard to other problems created by the climate, environmental and social problems that take place in Peru.

(v) Contribution to improve capacities for the national/local staff. Moderately Probable (MP)

Undoubtedly through the workshops, training and specialized studies abroad provided to the consultants that worked in the Second National Communication, the project has contributed to the development of capacities at national and local level, because the work carried out to review and to deal with relevant issues was most positive with regard to the transfer of knowledge.

But despite all of the above, the Project Sustainability might be affected due to the lack of work stability in the public sector (many employees and public officers work under the private labor law), the lack of a civil servant career, the historical absence of increase of the salary levels for the technical and administrative staff makes it difficult for them to go

forward in their public career, and to stay and advance in the levels where their capacities had been installed. This situation is an external variable that was not taken into account for the implementation of the Second National Communication project, and it was managed only in a marginal way in the initial design of the project, because the United Nations cannot guide or be involved in the internal policies of the Member States, unless requested by the relevant governments.

The Project has improved the capacities of the current technical staff working in the MINAM as well as for many private consultants. The nature of the labor market in Peru implies that there is an important rotation and interchange among the professional staff that work in the public and private sector, and that will contribute to have the capacities installed again in the public sector. It must be mentioned that according to the interviews, most of the staff that received the training is staying in Peru and working on issues that are relevant to the Project and to some extent they are contributing to the national efforts to face climate change.

CONCLUSIONS AND RECOMMENDATIONS

With the support of international technical cooperation and the non governmental organizations, the strengthening of capacities with regard to adaptation and mitigation issues in Peru has been promoted. The Second National Communication Project, implemented according to an inter institutional work scheme, has permitted to provide capacities in a structural way to the public sector at central and regional level. This Project was oriented to provide a basis nationwide for new research work or interventions of the international cooperation and the national research institutions.

Because of its nature this Project is sustainable, and it has been a help for Peru with regard to its response to its international agreements and commitments. One of the most significant achievements and outcomes with regard to the Sustainability of the Project is the proposal to include the climate change issue in the macro economic models and in the processes for public budget allocation.

In the qualitative analysis of this consultancy it was seen that the stakeholders involved perceived a lack of transparency in the issue of communication among the institutions, as well as in the invitations made to the stakeholders, and in the mapping of the Project processes, and all that limited the possibility to go further in depth with regard to the UNFCCC objectives.

It is considered most necessary to strengthen the government counterpart to be a strategic partner capable to design and implement medium and long-term policies and programmes with regard to climate change issues. The recommendation made to UNDP-Peru is to promote among the Governments the need to install Management Systems of Quality and to evaluate the Government programs and projects. A pilot initiative could be incorporated in the UNDAF 2012 - 2016. This will help the Peruvian Government to consolidate its institutions through management practices, and will implement improvements in the design of public policies. The hiring of officers should be made through a bidding system that should be accompanied by experience in a management system of quality in the public administration in order to be able to meet the committed goals. If Peru is able to consolidate its governmental and bureaucratic and administrative offices in order to achieve its goals and meet its commitments in the established time terms, undoubtedly that its ordering process will permit the international cooperation and UNDP-Peru to consolidate and demonstrate more strongly their efficiency and effectiveness with regard to international aid. Also, the conditions must be created for the institutionalization of the responses to climate change.

In order to have influence in the public agenda, the recommendation is to have the ideas installed in the public space, which is currently achieved through a media work for the dissemination of ideas of public interest. The work carried out in the Project was a great contribution but there was a limited level of information in the media about it. The recommendation is to include internal and external communication strategies to upgrade and visualize the outcomes achieved and the contribution of the cooperation interventions.

An integrated communication strategy will permit also to introduce a public language for the climate change problem.

The recommendation is to carry out evaluations after the communication strategies in order to know the impacts of the initial design. The Communication Campaigns must be of a permanent character in order to be able to know the impacts of the initial design, and to be able to make the relevant corrections together with the people.

It is recommended also to design strategies to create awareness that may involve the whole number of stakeholders in order to have joint efforts and dissemination methods. It is important to remember that each organization has its own rhythm and transmission code with regard to the strategies that must be designed not only from a Ministry but inside the organizations that have their own communication methods and tools.

The outputs and activities delivered by the Log Frame must have more modest objectives and all of them must contribute to and advance in the direct effects nationwide.

The exactness in the expected outcomes will permit effective measurements and additions that will be reflected in the installation of national capacities. They must have clear and accurate definitions in order to avoid different interpretations.

The recommendation is to design a follow up and monitoring plan that must be focused on the planning and implementation of concrete actions in order to ensure the sustainability of all the efforts that have been made.

Another recommendation is to create a permanent Information System for the relevant stakeholders and that system must be able to provide information to the whole system. It is recommended for this permanent inter institutional and crosscutting Information System to have clear and participatory communication channels with the citizens so that the Climate Change issue can be installed in all the social, labor, public and private organizations of Peru.

It is recommended for the National Commission of Climate Change to be related directly with the office of the President of the Republic, and in that way the issue will be positioned at the national and structural level in Peru.

It is recommended to ensure Sustainability for the participation of the institutions that are now involved in the process as well as to create mechanisms to incorporate new ministry and institutional stakeholders, as well as the civil society and the social and citizens organizations. It is recommended to strengthen the existing local capacities.

It is recommended to provide support for the implementation of the sectoral initiatives that have been proposed through the Second National Communication Project, that are: National System for Climate Observation, Surveillance System for Deforestation and Change in Land Use, Agenda of Scientific Research in Climate Change 2009-2024, among the most known ones for their contribution to the strengthening of the internal capacity for follow up, monitoring and evaluation of climate change.

It must be seen and verified that the transfer of capacity that were made and reinforced during the Second National Communication Project be transformed into real national capacities instead of being concentrated among a few officers or kept only in the departments that work on the issue.

LESSONS LEARNED

It is important to create indicators according to the general objectives and covering all the dimensions of a project.

It is necessary to define specific objectives with concrete goals according to the baselines.

The organizations have internal logics that must be considered and respected when an intervention is being planned. The projects are of short duration with regard to the organizational cultures, and the components must be designed to install in an effective way new capacities and new practices that may be installed gradually in an institutional way.

The fact that there are not explicit comparisons between the first and the second communication makes it difficult to identify and to measure the progress achieved, and a consolidated work must be carried out to show and to visualize the outcomes up to this date, the progress achieved and the implementation of the lessons that have been learned, and to ensure its dissemination and implementation.

One must be more proactive in the management of a full size project, above all when in the relevant country the technical, institutional and communication capacities have not been fully developed; the invitations for external consultants must be of a wide character and must involve explicitly the existing local professional associations, the universities and the specialized research centers.

The project's design must pay more attention to the political situation that prevails in a country when the project time and goals are being defined.

The initial full size design must consider the administrative, bureaucratic difficulties and the capacities that have been installed by the government. The objectives must be implemented and adjusted according to the national reality.

The transfer and induction in the case of rotation of officers and technicians must be assured, and no time must be lost in this process, and also no information must be lost.

ANNEXES OF THE EVALUATION REPORT.

9.1 List of persons interviewed

ENTREVISTADO	INSTITUCIÓN
Jorge Alvarez Lam	ex Unidad Ejecutora del Proyecto
Laura Avellaneda	ex Unidad Ejecutora del Proyecto
Rafael Millán	ex Unidad Ejecutora del Proyecto
Kelvin Orbegoza	ex Unidad Ejecutora del Proyecto
Jenny Chimayco	ex Unidad Ejecutora del Proyecto
James Leslie	PNUD - Oficina del País
Oliver Page	PNUD - Oficina Regional
Rosa Mabel Morales Saravia	Ministerio del Ambiente
Eduardo Durand López Hurtado	Ministerio del Ambiente
Martha Vásquez	Ministerio de Energía y Minas
Natalia Rojas Jordán	Ministerio de Economía y Finanzas
Ursula Quintana Castellanos	Ministerio de Transportes y Comunicaciones - Directora General
Gerardo Fernandez Farfán	Ministerio de Transportes y Comunicaciones
Manuel Leiva Castillo	Ministerio de Agricultura - Director General
Ricardo Gutiérrez Quiroz	Ministerio de Agricultura
Nathaly Mendoza Díaz	Ministerio de Agricultura
Wilar Gamarra Molina	Servicio Nacional de Meteorología e Hidrología - Presidente Ejecutivo
Elizabeth Silvestre Espinoza	Servicio Nacional de Meteorología e Hidrología
Gabriela Rosas Benancio	Servicio Nacional de Meteorología e Hidrología
Ever Castillo Osorio	Servicio Nacional de Meteorología e Hidrología
Juan Tarazona Barboza	Concejo Nacional de Ciencia, Tecnología e Innovación Tecnológica
Luis Alberto Ponce Vega	Concejo Nacional de Ciencia, Tecnología e Innovación Tecnológica
Jocelyn Ostalaza	COSUDE - Cooperación Suiza
Lorena Del Carpio Suárez	Oxfam America
Gabriel Quijandria Acosta	Banco Interamericano de Desarrollo
Rocio Valdeavellano	Movimiento Ciudadano frente al Cambio Climático - MOCICC
Michella Cumpa Barreto	Pontificia Universidad Católica del Perú
Aristides Sotmayor Cabrera	Centro de Estudios Ambientales - Universidad de Lima
Dora Cortijo Herrera de Arbildo	Centro de Estudios Ambientales - Universidad de Lima
Juan Olazábal Reyes	ex Ministerio de Energía y Minas
Yonel Mendoza Vereau	ex Ministerio de Agricultura
Manuel Bernal Alvarado	ex Concejo Nacional del Ambiente
Nadia Rosa Gamboa Fuentes	revisor peruano del Fourth Assessment Report - IPCC - 2007
Eduardo Calvo Buendía	representante latinoamericano del Grupo III - IPCC

9.2 Field Visits Summary.

The main aim of the Project was the strengthening of the national capacities and the diagnose about the climate change condition for the Second Communication report, as well as to carry out two experiences to create awareness in the regions, specifically in the river basins of El Alto Mayo and El Santa. However, due to the fact the Project had at the end a limited budget for the evaluation, the UNDP Country Office in Peru decided that the final evaluation will not include field visits to those two regions. To that it must be added, that because of the time that had elapsed between the project completion (2009) and the evaluation (2011) the authorities in the area had been changed and it was not possible to locate them even for a telephone interview or by e-mail.

9.3 List of documents that were reviewed

Administrative documents

DOCUMENTO	FECHA	CONTENIDO
Carta N° 0049 - 2008 - SCNCC-UCC-SE-CONAM	Ene-2008	Informe Anual 2007 - Unidad Ejecutora
Carta N° 0030 - 2009 - DVMDERN/MINAM	Ene-2009	Informe Anual 2008 - Unidad Ejecutora
Carta N° 0010 - 2010 - DGCCDRH/DVMDERN/MINAM	Ene-2010	Informe Anual 2009 - Unidad Ejecutora
Informe Final del Proyecto	Feb-2010	Informe 2006-2010 - Unidad Ejecutora
Informe de Auditoría 2008	Abr-2009	Auditoría 2008 - Portal Vega & Asociados
Informe de Auditoría 2009	Abr-2010	Auditoría 2009 - Portal Vega & Asociados
Marco Lógico Integrado	Feb-2007	Matriz de Marco Lógico - Detallado
Plan Operativo Institucional 2008	Ene-2008	POI MINAM 2008
Plan Operativo Anual 2009	Nov-2008	POA Toolkit 2009
PIR 2010	Feb-2010	PIR 2010
Presentación CONAM	Jul-2006	Esquema Inicial del Proyecto

Technical documents

DOCUMENTO / PRODUCTO	FECHA	AUTOR
Evalaución e identificación de identificadores que permitan Analizar el Impacto del Proecso de la Segunda Comunicación Nacional sobre C.C.	Ago-2009	Dora Cortijo Hernandez - Univ.de Lima
Reporte Final - Actualización de la Agenda de Investigación Científica en Cambio Climático	Jun-2009	Julio Alegre Orihuela - CONCYTEC
Propuesta de Sistema Nacional de Inventarios de Emisiones de Gases de Efecto Invernadero	Mar-2009	Eduardo Calvo Buendía - MINAM
Inventario Integrado de Emisiones de Gases de Efecto Invernadero del Perú en el año 2000	Nov-2008	Eduardo Calvo Buendía - MINAM
Validación de la Propuesta Integrada de Opciones de Mitigación	Ago-2009	DEUMAN - MINAM
Análisis de las Causas de la Deforestación en Áreas Críticas de la Amazonía Peruana y Propuestas de Medidas de Mitigación de Las Emisiones de Gases Efecto Invernadero	Nov-2008	HERNÁN GUTIÉRREZ MERINO - MINAG
Propuesta de Implementación del Sistema de Vigilancia de la deforestación y los Cambios de Uso de la Tierra	Dic-2008	Diana Jorge Rivera - MINAG
Opciones de mitigación de emisiones de GEI de los sectores Energía, Industria y Transporte a nivel Nacional y Regional	May-2009	Pacific Pir - MINEM
Análisis de la Institucionalidad y de las Capacidades para incluir medidas de Adaptación de los Recursos Hídricos al Cambio Climático	Mar-2008	Jorge Benites Agüero - CONAM
ESCENARIOS CLIMATICOS EN EL PERÚ PARA EL AÑO 2030	Feb-2009	SENAMHI - MINAM
ESCENARIOS CLIMATICOS EN LA CUENCA DE EL RIO SANTA PARA EL AÑO 2030	Feb-2009	SENAMHI - MINAM
ESCENARIOS CLIMATICOS EN LA CUENCA DE EL RÍO MAYO PARA EL AÑO 2030	Feb-2009	SENAMHI - MINAM

This Evaluation was able to have a great deal of information provided by UNDP, with regard to the outputs, field images, maps, sub outputs files, reports, decrees, cooperation models, specific reports, various analysis and others related with the project, that are a total of 10.415 digital files.

9.4 Questionnaires used and output summary.

Open and semi-structured interviews were made according to the following structure:

1. Presentation of the Mission and its objectives
2. Brief introduction to invite the persons interviewed to:
 - Explain about their participation in the Second Communication
 - Express their opinion in terms of achievements, lessons learned, the benefits for their institution, operational problems, problems for the relationship with other institutions, financing problems.
 - Explain the extent in which their institution continues working on the promoted issue and activities and financed by the Second Communication. Concrete examples were requested.
 - Improvements and suggestions for this type of projects.
3. In case they might have funding for equipments or others a request was made to see where they were located.
4. If the institution had issued some document or prepared a report, they were requested to show it.
5. In some cases the institutions have continued working on this issue, specific additional information was requested to them by mail.
6. Acknowledgement and thanks for the attention provided.

The specific issues considered during the interviewes and during the processing of the interviews were:

The issue relevant to the project

What was the objective to be achieved?

What were the relevant needs?

Social importance and relevance.

What solutions were given taking into account the initial needs?

How was this responded?

Procedures.

What actions were carried out?

Type of actions.

Relevance of the actions and activities.

List of activities.

What resources were available for the Project?

Quantity, quality, and availability of all types of inputs.

Cost-benefit relationship.

Team strengths:

Capacity

Formation

Dedication

Team management.

Political support provided to the Project:

Continuity of the project teams.

Legitimacy

Institutions involved.

Articulation levels of the stakeholders:

Program or project time.

Required time.

Variable time.

Time and resources.

Time and policy.

Changes made during the Project:

In the recipient community.

In the system

Changes made among the implementers.

Political changes

Obstacles that appeared during the Project implementation:

Program weaknesses.

Weak points of the implementation.

Political difficulties

Difficulties in the community.

Registries.

Systems used for data gathering

Matrixes, bases, codes.

Use and management of the information.

Communications.

Feedback

Interchange of capacities

Upgrading of the information.

Institutions for intercommunication

How was it done, noises, problems, collapses?

Legal analysis.

Legal framework.

Rules.

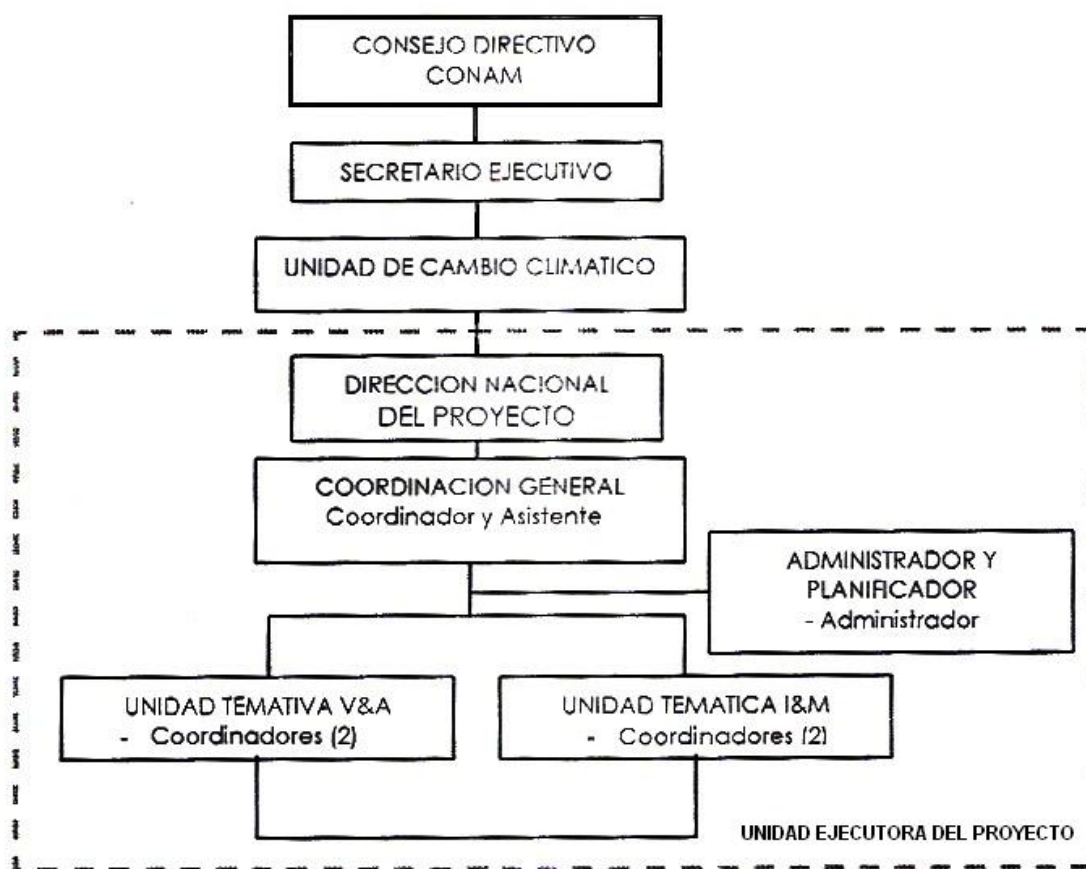
Bureaucratic and administrative culture.

9.5 Stakeholders' comments

The various comments made by the stakeholders were included in the reports.

9.6 Graphs

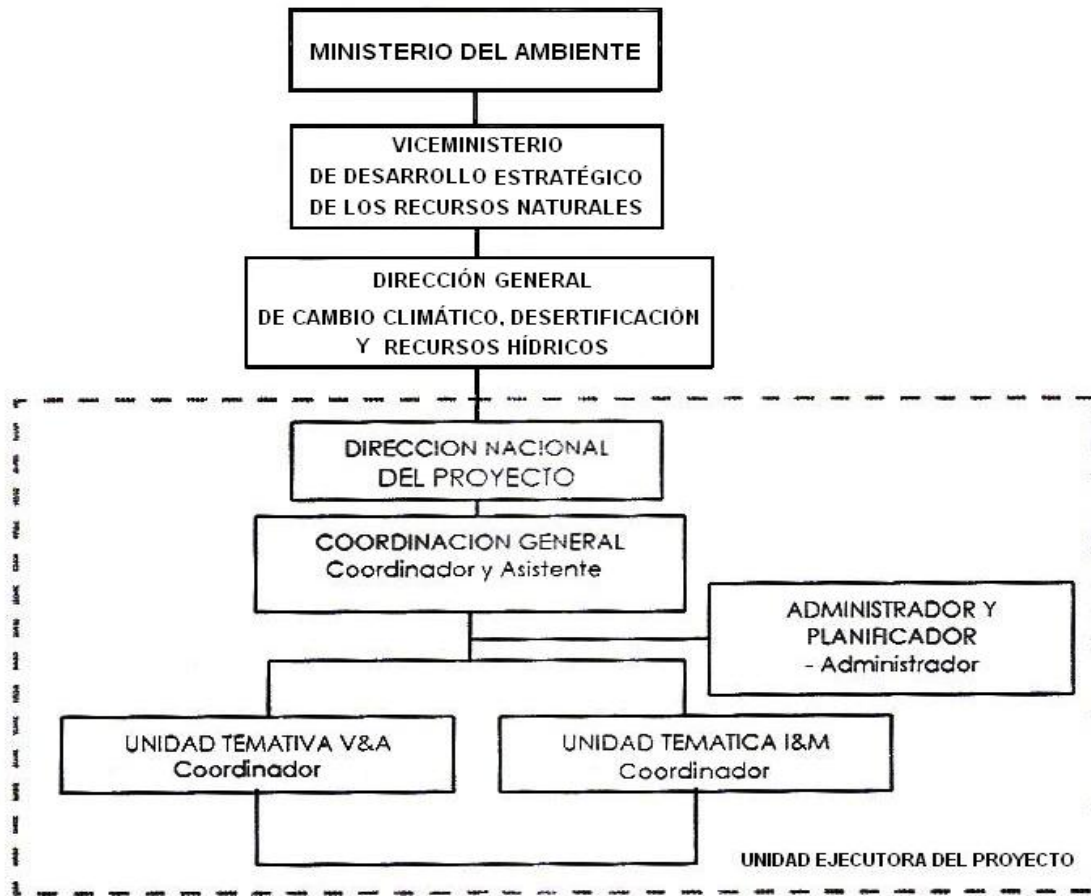
Structure of the Project Functioning since 2007 until May 2008



Source: Annual Progress Report 2008 – Page 35

Prepared by: Project Management Unit

Structure of the Project Functioning since June 2008 until the Project completion



Source: Annual Progress Report 2009

Prepared by: Self

9.7 Table of the achieved ratings.

TABLE OF THE ACHIEVED RATINGS		
Relevance, effectiveness or efficacy.		
Measurement	Qualifying rate	Evaluation
Conceptualization of the design	Moderately Satisfactory (MS)	The full size design is considered to be adequate, but it has not considered the impact that the elections convened already for 2006 will have on the Project.
Stakeholders participation	Satisfactory (S)	The project had deficiencies in communication, participation and dissemination of the outcomes reported by external institutions to the project executive officers.
Implementation approach	Satisfactory (S)	The project was able to meet its objectives despite the slow start and the changes made in the management team.
Monitoring and Evaluation	Moderately unsatisfactory (MI)	The project had delays and several changes were made in its management structure, and no mid-term evaluation was made. It was not possible to determine if the adjustments made to the project were relevant to the monitoring.
Achievement of outputs/outcomes and objectives	Satisfactory (S)	The project had minor deficiencies with regard to the achievement of its objectives.

Highly Satisfactory (HS): The project did not have deficiencies in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor deficiencies in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate deficiencies in the achievement of its objectives in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant deficiencies in the achievement of its objectives, in terms of relevance, effectiveness and efficiency.

Unsatisfactory (U): The project had great deficiencies in the achievement of its objectives, in terms of relevance, effectiveness and efficiency.

Highly Unsatisfactory (HU): The project had severe deficiencies in the achievement of its objectives, in terms of relevance, effectiveness and efficiency.

TABLE OF OBTAINED RATES		
Sustainability		
Measurement	Rating	Evaluation
Financial Resources	Moderately Probable (MP)	There are moderate risks that may affect this sustainability dimension
Sociopolitical	Moderately Probable (MP)	There are moderate risks that may affect this sustainability dimension
Institutional Framework and Government	Moderately Probable (MP)	There are moderate risks that may affect this sustainability dimension
Environmental	Probable (P)	There are not risks that may affect this Sustainability dimension
Contribution to improve the capacities of the national/local staff	Moderately Probable (MP)	The organic fragility of the Peruvian Government leads to limited capacity to retain qualified staff; however there are important institutions (companies, NGOs, universities, etc.) that allow the continuity of

		these issues nationwide.
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Probable (P): No risks that affect this sustainability dimensión.

Moderately probable (MP): there are moderate risks that may affect this sustainability dimension

Moderately Improbable (MI): There are significant risks that affect this sustainability dimension

Improbable (I): There are severe risks that affect this sustainability dimension.

9.8 List of main comments and answers of the Evaluating Team.

COMMENTS INSTITUTIONS	ANSWERS EVALUATING TEAM	OTHER REMARKS
<p>UNDP: “Even if the people leave the public sector with strengthened capacities, they continue contributing to the nation from the private sector. Likewise, in most cases in the future they are integrated again to the public sector.”</p> <p>UNDP: “(...) a large number of people trained locally can have collateral benefits, even if they do not stay in the same institution. An interesting way to evaluate this is making an analysis of the project influence on the increase of capacities in two dimensions (i) the individual capacities, and (ii) the institutional capacities”</p>	<p>Incorporated with an improved editing: Section 1, Table of the Obtained Ratings – Sustainability: There are problems or not minor risks due to the fragility of the Peruvian government to retain capacities and qualified staff, although the private sector and the United Nations contribute also to the national capacities and the Peruvian Government establishes in the Log Frame of the Project Document the creation, transfer and development of capacities in and from the Peruvian government. The impact in the public sector with regard to the installation of capacities in the public space is a collateral effect that contributes undoubtedly to create a beneficial cycle, that in the current evaluation is valued but is not evaluated.</p>	
<p>UNDP: “ it must not be under estimated the difficulties that had to be faced with regard to the political and administrative changes made in CONAM, and later on with the</p>	<p>The comment is included only partially because the Final Evaluation gathered background information that indicated a permanent rotation of administrative staff that gave way to</p>	

creation of the MINAM, for which their directors are not responsible, although that gave way to a significant delay in decision-making”	interruptions with regard to the continuity of the decisions; however, an analysis must be made of the possible responsibility of the resident coordination with regard to the long delay of the activities, that were carried out mostly in 2009 notwithstanding the fact that the Program was started three years before.	
UNDP: “The DGCCRHD has in effect far more than three persons.”	The Evaluation assumes the comment and makes the corrections in the Final Report. See Section 5.1 Implementaion Approach, first paragraph	
UNDP: A request is made for improvement of the sections of “Implementation Approach” and “Monitoring and Evaluation” that need to be developed and must show a better justification to support the given rates.	The editing is improved and the sections are enlarged to justify more clearly the given rates.	
MINAM: “The Peruvian expert participates in the National Commission for climate change, and the report was sent to them for review and approval.”	There is a partial comment because the Evaluation considered the background material delivered by those interviewed, who were unhappy because they had not received the final report.	Two International Cooperation organizations expressed regret for this procedure.
MINAM: “Professionals that were paid by the Project carried out the taks and activities mentioned in their Log Frame, and in a parallel way providd support in the	The Evaluation assumes the comment and makes the corrections in the Final Report. See Section 4.2 Project Formulation, fourth paragraph.	The members of the Management Unit carried out activities relevant to their government counterpart.

CONAM/MINAM activities.		
MINAM: “It is not mentioned that the MINAM creates the Technical Work Group for Risk Management and Adaptation to CC, that is organized to promote interactions inside the sector”	The Evaluation assumes the comment and makes the corrections in the Final Report. See Section 6.2 Difficulties of the Project to achieve its objective and outcomes, tenth paragraph.	
MINAM: “those problems of delay and changes in the structure are because of the unforeseen political and bureaucratic changes”	Partial Incorporation: The mentioned political and bureaucratic changes are due to the fact that the general and regional elections were convened during the time of the project’s start. The evaluation could verify in site the difficulties that were created by the institutional and political changes convened at the time of the project’s start, and the recommendation made in the Final Report is the promotion of a Management System of Quality for the government, that may permit to consolidate the management of the institutions.	
MINAM: “despite all the deficiencies (not minor ones) the Project could achieve all its objectives”	The Evaluation assumes partially the comment made, because the mentioned deficiencies (level of relevance and dissemination) are a Project responsibility at design as well as at implementation level, however recognition is made of how the activities were developed and the outcomes obtained, although deficiencies were detected in the dissemination and installation at national and citizen level with regard to the	

	climate change issue.	
MINAM: “in many cases the interviewed persons did not know the work that had been done because they were new in the institutions and the “error” or “omission” was not having created or promoted a “mechanism” for the transfer of the knowledge achieved.	The Evaluation agrees with the comment and it is mentioned in the recommendations.	
MINAM: “The MINEM did not receive the processing of the workshops, nor the lessons learned (...) Take into account that in the Ministry there were many staff changes.	The Evaluation assumes partially the comment made because it is aware of the difficulties created by the administrative changes. However, in the Final Report it is mentioned that the processes should not be relevant to persons but to institutions. In this regard, the initial design of the project and during the Project implementation awareness about the information should have been assured.	This situation was mentioned in three Ministries.

9.8 Form of the RCU and the CO for review and approval.

Reviewed and approved by:

UNDP Country Office

Name: _____

Signature: _____

Date:

UNDP-GEF- RCU

Name: _____

Signature: _____

Date:
