

USAID/PERU
STRATEGIC OBJECTIVE CLOSEOUT REPORT

Date: June 28, 2002

1. **SO NAME & NUMBER:** SO 4, Improved Environmental Management in Targeted Sectors, FY 1997-2001
2. **GEOGRAPHIC LOCATION OF SO (NATIONWIDE OR SPECIFIC REGION):**
Nationwide
3. **CHANGES IN RESULTS FRAMEWORK DURING THE LIFE OF SO:**
Dropped IR 4.6 -Other donor investments increased
Dropped IR 4.2 -Mobilizing public support for environmental improvement
4. **SO-LEVEL IMPACT (EXPECTED VS. ACTUAL):**
 - Institutional strengthening—well beyond expectations. CONAM, the Peruvian Environmental Agency created at the same time that the SO was established, was considerably strengthened and fully assume its role as in policy making development of environmental regulations and standards and establishment of a National Environmental System with the participation of government agencies, technical groups and civil society. Local NGOs that received support for implementing activities were greatly strengthened as institutions. Environmental NGOs are much stronger in Peru now. There are 50-100 environmental organizations, many well prepared to write proposals to get funding from other donors, many are registered with the government.
 - Developing an association of environmental NGOs (National Environmental Society - SNA)—below expectations. The SNA is not functioning very well, with disagreements between founding members, withdrawal of one prominent founding member, personality conflicts, poor leadership, and lack of real commitment by many association members. It may have been a mistake to put the Peruvian Society for Environmental Law - SPDA in charge of forming the group as they ran the program with the SNA following long. A better way may have been to support one of the existing networks.
 - Pilot activities concept—with SENREM and BIOFOR raised a lot of interest among different groups in Peru. Activities were spread out geographically and sectorally, however that seemed to end up being strength rather than a weakness of the pilot project concept. USAID is well known in some pretty remote areas as a result of these activities. There needs to be a more systematic follow up to the pilots, however, many are being replicated without any support from USAID, for example, 5 are being replicated and funded through the America's Fund and other donors, local governments and NGOs have replicated activities.
 - State of the Environment Report—USAID sponsored the first 2 SOE reports on a declining basis and they have become premier documents. There is a shortage of good environmental information in Peru and the SOE has quickly become a major source. Cuanto is working on sustainability through sales of the SOE report.
 - Decentralization of environmental management—USAID supported the formation of 18 regional environmental committees (CARs). They have taken up environmental issues in many different parts of Peru.

5. IR-LEVEL IMPACT (EXPECTED VS. ACTUAL):

- Pollution prevention—beyond expectations. USAID introduced the idea into Peru and has had an enormous influence on key legislation in this area and on the several industrial sectors (fisheries).
- A Clean Production Center or Center for Efficient Technology (CET) has been established to provide assistance to Peruvian industrial plants to become more efficient and competitive through cleaner processes based on reduction of inputs and waste.
- Other big successes: ISO 14000 legislation and certification of 18 firms; CONAM school recycling program; solid waste activity in the northern cone of Lima (Alternativa); lead testing in Lima Callao and resolution of the lead problem there.
- Eight policy research studies developed by private sector institutions concluding with concrete proposals for improvements in environmental legislation/regulations.

6. LESSONS LEARNED IN IMPLEMENTATION OF THE SO:

- The SO team can do without an expensive long-term US contractor through using local implementers to carry out activities and getting specialized TA from the US on demand. This balanced approach saves money and develops local institutional capacity.
- Working with the Peruvian government is a mixed experience. It tends to slow progress and frequent changes in government personnel make capacity building a problem. The cost efficiency of working with the government is low. On the other hand, in order to make the types of sustainable changes in environmental management that are useful, engaging the government is critical. Some government agencies were better than others—CONAM increased its budget and accomplished a lot with USAID support. INRENA and DIGESA had more problems with low budgets and personnel turnovers.
- The SOAG for SO4 worked quite effectively. It was more difficult at the beginning as three entities had to sign off on the SOAG and four sets of PILs were kept. There could have been more integration/coordination of activities under the different entities. One major obligation per FY was a major advantage to the SOAG. Perhaps having a committee of the different entities with a mandate to provide coordination between entities and across activities would make the SOAG more effective as a whole.
- The participation of a Peruvian consortium as contractor for the private sector advocacy activities and administrative of pilot demonstration projects proved to be very effective.
- It is key to work on environmental awareness of the population to help drive initiatives and activities and generally demand for sound environmental services. There has been some improvement in understanding/awareness over the five years but more is needed and a structured Environmental Education Campaign program is necessary.
- The incorporation of a gender perspective is not systematic across the SO. How should the impact be measured and evaluated? What practical approaches should be used? This has been a difficult issue to address in the SO.

7. LIST OF EVALUATIONS/SPECIAL STUDIES:

Evaluation of USAID/Peru Strategic Objective 4 Program and Framework, DAI, June 2000.
Report on Sections 118 and 119 of the Foreign Assistance Act, February, 2002.

8. ESTIMATED OTHER DONOR/PARTNER/COUNTERPART CONTRIBUTIONS:

CONAM – in-kind
IRG

INRENA – in-kind

DIGESA – in-kind

Swiss – Co-funding with USAID (50%) for the Centro de Eficiencia Tecnología (CET)

9. PEOPLE DIRECTLY INVOLVED WITH THE SO:

NAME	TITLE	DATES WORKING ON SO
Alan Davis	Previous Env. Team Leader	1995-1998
Thomas Moore	Program Specialist	Feb. 98-Feb. 01
Alejandro Camino	Program Specialist	Aug. 97-Dec. 97
Timothy Miller	Env. Team Leader	Aug. 98-present
Eddy Alarcon	Program Specialist	Dec. 95-present
Jorge Elgegren	Program Specialist	Apr. 96-present
Bolivar Pou	PSC	Aug. 00-present
Marilu Bacigalupo	Program Assistant	Feb. 96-present
Marta Garcia	Secretary	Nov. 99-present

10. LIFE OF SO FUNDING:

DA	\$21,649,000
CSD	\$ 1,106,000
PL 480	0
ESF	0
INL	0
USAID TOTAL	\$22,749,000
GRAND TOTAL	\$22,749,000

Note: This SO is carrying forward a pipeline of \$6,922,386 of Development Assistance funds and \$445,000 of Child Survival funds to support the continuation of some activities under the new Strategic Objective No. 12, Strengthened Environmental Management to Address Priority Problems

11. SUMMARY LIST OF ACTIVITIES UNDER THE SO:

Activity Title/Short Description	FY 1997-2001 Funding Amount	Start and End Date	Implementing Organizations
SENREM-Inst. Building, policy development and pollution prevention	\$12,335,474	9/21/95-9/30/04	Consejo Nacional de Medioambiente (CONAM) Centro de Eficiencia Tecnologica (CET)-CEPCOM Sociedad Peruana de Derecho Ambiental (SPDA) TA: Abt Associates, Inc. PA Government Services, Inc.
BIOFOR-protected areas management, policy development and forest management	\$5,161,000	9/23/98-12/31/03	Instituto Nacional de Recursos Naturales (INRENA) Parks in Peril Program (PiP) International Resources Group (IRG) The Nature Conservancy

			(TNC)
Environmental Health-Inst. Building and pilot EH activities	1,118,000	7/27/99- 9/30/04	Direccion General de Salud Ambiental (DIGESA), Ministerio de Salud CARE TA: Camp Dresser McKee US Centers for Disease Control
Program Development and Support, OYB transfers	\$1,593,526		
Management, Coordination, Design, Evaluation and Audit	\$2,541,000		

ANNEXES:

All Results Frameworks (necessary)
 Completed FY 97-01 PMP indicator table (necessary)
 Other documentation important to the SO

SO Team Clearances:

Team Leader: OK
 Program Office Backstop: OK

SO4 Program Development & Support (PD&S) and OYB Transfers

- PiP Pacaya Samiria
- PiP Central Selva
- Development of overall STEM Budget and Draft SOW for IQC Task Order – Fred L. Mann
- Report required for 118 and 119 Analysis - Bruce Kernan
- Solid Waste Program in Cusco - PRISMA (MCW) (Partial Funding)
- ENR Education Initiatives - Academy for Education Development (GreenCom)
- New Policies Deficiencies Analysis - Sociedad Peruana de Derecho Ambiental (SPDA)
- Develop Conceptual Basis for (STEM) Activity Design - Fred L. Mann
- 2000 ENR Survey – Instituto Cuanto
- 2000 Update of Biodiversity Matrix – World Wildlife Fund
- Strategy Analyses - IRG T.O. 839 – Fred L. Mann
- Update Biodiversity Matrix – Pedro Vasquez
- Revised SO4 Strategy - IRG T.O. 837 – R. Misheloff
- Environmental Institutional Strengthening Study - Sociedad Peruana de Derecho Ambiental (SPDA)
- SO4 Motivating Video dubbing – Skorprios
- Develop terms of reference for SO4 Mid-term Evaluation, EH and BIOFOR AILs - Fred L. Mann
- Design CEPCOM, new component under SENREM – Hagler Bailly, Inc.
- Produce an “Env. Survey Summary of the 1997 ENR Survey” and Public Presentation – MERCADOS Consultora y Publicaciones S.A.
- 1998 and 1999 ENR Surveys and In-depth Analysis of the 1998 Survey – Instituto Cuanto
- Assessment of Conditions for Biodiversity and Fragile Ecosystems Conservation in Peru – IRG T.O. 819
- In-depth Analysis of 1997 ENR Survey – Instituto Cuanto
- 1997 ENR Survey – Instituto Cuanto
- SO4 Mid-term Evaluation – Development Alternatives Inc.
- In-depth Analysis of ENR Survey Data (1966) – Jamie Jacobs
- Solid Waste Study for Lima and Callao – Ricardo Giesecke
- 1996 ENR Survey – Instituto Cuanto
- A Matrix to Measure the Degree of Biodiversity Conservation through Improved Management of Protected Areas – Pedro Vasquez
- A Matrix to Measure the Degree of Effective Public Participation in the ENR Policy and Regulation – Sociedad Peruana de Derecho Ambiental (SPDA)
- Transfers to World Resources Institute – TA Public Awareness and Advocacy

SOAG Element No. 4 “Management, Coordination, Design, Evaluation and Audit

- Four ENR full time personnel
- Procurement of ADP Equipment (three times for Four ENR personnel)
- Newspapers (El Peruano, El Comercio, Gestion)
- Digital Camera
- Laptops (3), Datashow (1)
- Books

- ADP materials
- Six 4-drawer File Cabinets
- Other minor procurement

**RESULTS TRACKING TABLE FOR STRATEGIC OBJECTIVE FOUR:
Improved Environmental Management of Targeted Sectors**

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS/ACTUALS				
			YEAR	VALUE	1997	1998	1999	2000	2001
STRATEGIC OBJECTIVE 4: IMPROVED ENVIRONMENTAL MANAGEMENT OF TARGETED SECTOR									
1. Effectiveness of environmental and natural resources (ENR) actions as perceived by the public.	<p>Definition: Effectiveness (on a 0-100 scale as perceived by the general public over 18 years) of actions taken to improve ENR management according to the annual National Environmental Survey. (Analyzed by socio-economic variables and type of environmental problem)**</p> <p>Unit: 0 - 100</p> <p>*Targets adjusted upward as of 1998 due to good performance and more accurate projections</p> <p>**Starting FY2000 this indicator will be measured bi-annually.</p>	National Environment Survey conducted by a private firm under USAID Peru guidance.	1996	8.3	09 11	13* 10	14 13	15 N/A	16 On-going
2. Number of biologically-important natural protected areas that have achieved management improvements. (1) R4 reported	<p>Definition: Improvements are management threshold level advances, which reflect increases in performance capacity and use of human, technical and financial resources directed towards the conservation of select national parks and reserves. Threshold levels are: not acceptable, deficient, acceptable with limitations, good and excellent. They are based on the status of the following areas: legal status, administration, budget, strategic planning, level of community participation, use of natural resources, and management of conflicts and threats.</p> <p>Unit: Cumulative Number</p>	Performance Management Matrix updated by a private firm under USAID guidance.	1996	0	0 0	1 5	2 8	3 10	5 17
3. Percentage of solid waste properly disposed of in sanitary landfills in Lima. (2) R4 reported	<p>Definition: Total metric tons of solid waste disposed of (as weighed and recorded by Relima and verified by SUMSEL) in landfills of Lima that meet the muninipality technical norms for landfills as a proportion of total estimated metric tons of solid waste produced in Metropolitan Lima in a given year.**</p> <p>Unit: Percentage</p> <p>*Targets adjusted upward as of 1998 due to good performance and more accurate projections.</p> <p>**This indicator was eliminated starting with FY2000.</p>	Supervisory Municipal solid waste collection services (SUMSEL) Solid waste disposal records	1996	34	39 51	53* 53 (Preliminary)	59 N/A	63 **	67 **
4. Number Number of Industrial plants in targeted sectors that have adopted new pollution prevention practices. R4 reported	<p>Definition: Number of plants in targeted sectors that have reduced or prevented pollution by 10% or more. Plants in targeted sectors are those that have accessed pollution prevention/clean production (P2/CP) promotion activities (e.g. information, training, technical advice, P2 audits, technology transfers, etc.) P2/CP practices are those which (a)reduce the amount of any hazardous substance, pollutant or contaminant entering any waste stream or being released into the environment prior to recycling, treatment or disposal; (b) replace toxic chemicals with less harmful chemicals; and/or (c) reduce the usage or materials (water, natural resources,</p>	CONAM/MIS records	1996	0	0 0	2 2	8 22	24 24	30* 30

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS/ACTUALS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
	energy). Unit: Cumulative number *Revised target.									
COMMENTS/NOTES: (1) Parks considered are: Manu, Huscaran, Cerros de Amotape, Rio Abiseo, Yanachaga-Chemillen, Bahuaja-Sonene, Junin, Paracas, Titicaca, Salinas y Aguada Blanca, Pacaya-Samiria, Calipuy, Manglares de Tumbes, MacchuPichu. Tingo Maria will be included in 1998 matrix update. (2) As efforts and resources are allocated in areas other than Lima, this indicator will be expanded to incorporate such areas. (3) Definition of Pollution Prevention (P2): P2 practices are those which (a) reduce the amount of any hazardous substance, pollutant or contaminant entering any waste stream or being released into the environment prior to recycling, treatment or disposal; and/or (b) replace toxic chemicals with less harmful chemicals.										
Intermediate Result 4.1: Institutional Capacity of the GOP and Private Sector Strengthened										
1. New environmental and natural resources (ENR) policy instruments and management tools developed in coordinated manner among GOP agencies. (Analyzed by type of policy) R4 reported	Definition: New ENR policy instruments and management tools include laws, supreme decrees, ministerial and local or regional governments resolutions, strategies, programs, procedures and practices, intra-government coordination, ENR information systems, dispute resolution, and other management tools. GOP includes CONAM, line Ministries, Congress and local or regional governments. Coordinated manner means developed by 2 or more units of the GOP. Unit: Number in a given year.	CONAM (National Environmental Council) Management Information System (MIS)	1996	0	2 2	2 2	3 3	3 3	3 4	3 4
2. Number of private sector proposals on policy instruments and management tools adopted by the GOP. (Analyzed by type of policy)	Definition: Number of ENR policy instruments and management tools as confirmed by USAID/Peru that have a private sector institution position paper or proposal as a source. Unit: Number	Relevant reports of the Private Sector Coordinating Institution (PSCI)	1996	0	0	1 2	1 1	1 1	1 1	1 1
3. Number of ENR private sector advocacy initiatives. (Analyzed by type of policy) R4 reported	Definition: ENR initiatives are those that strengthen the private sector capacity to engage society on environmental issues, such as policy research instruments, sectoral fora, data information systems, including environmental monitoring systems and consensus-building mechanisms. Unit: Number per year	USAID Sustainable Environmental and Natural Resources MIS.	1996	0	0	2 2	2 1	3 3	3 3	3 3
COMMENTS/NOTES:										
Intermediate Result 4.3: Innovative Technologies Tested Through Pilot Projects										
1. Environmental technologies tested and validated through pilot projects. R4 Reported	Definition: Innovative, feasible for wide spread adoption and economically viable environmental technologies/practices developed and validated, through the attainment of the intended results. Analyzed by technology. Unit: Annual number *FY99 target was adjusted downward to 0 because of delays caused by budget cuts in FYs 1997, 1998 and 1999.	USAID Sustainable Environment and Natural Resources MIS	1996	0	1 1	1 1	0* 0	5 6	6 10	6 10
COMMENTS/NOTES:										
Intermediate Result 4.4: Sustainable Practices Adopted										
1. Number of pilot	Definition: Number of environmental technologies/practices	USAID	1996	0	0	2*	2**	4	7	7

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS/ACTUALS				
			YEAR	VALUE	1997	1998	1999	2000	2001
environmental technologies/practices replicated or adopted in non-pilot areas. R4 Reported	replicated or adopted by public/private institutions with or without USAID support. Analyzed by technology. Unit: Cumulative number *Adjusted upward for 1998 due to better performance **Adjusted downward as of 1999 due to delays in implementing pilot projects under SENREM's component C.	Sustainable Environment and Natural Resource MIS.			1	2 (Cumulative)		4	9
COMMENTS/NOTES:									
Intermediate Result 4.5: Sound Policies Established and Effective Legislation Enacted									
1. Number of targeted ENR policy and legislation overlaps, inconsistencies, or gaps eliminated. (Analyzed by policy) R4 Reported	Definition: Number of ENR policies and legislation approved, which are directed to address 30 pre-selected overlaps, inconsistencies, or gaps, identified in year one by USAID and qualified by a panel of experts. Unit: Number *Adjusted due to better performance	CONAM MIS	1996	0	0 3	3* 3	3 3	3 3	3 3
2. Number of 4.5.1 overlaps, inconsistencies, or gaps eliminated with civil society participation. (Analyzed by policy) R4 Reported	Definition: A panel of experts will determine whether any of the 5.1 overlaps, inconsistencies, or gaps were eliminated with civil society participation as established by a minimum threshold set up by the panel. Public participation will be defined accurately by panel of experts. Unit: Number	Special study above in 5.1, GOP institutions, and the panel's own research	1996	0	0	0	1 N/A	2 N/A	2 N/A
3. A National Environmental Action Plan (NEAP) designed and approved by CONAM.	Definition: The NEAP includes review procedures for Environmental Impact Assessments (EIAs), environmental norms, design of a national environmental information system, and training and dissemination programs. Unit: yes/no	CONAM MIS	1996	No	No	No	No N/A	Yes N/A	N/A N/A
COMMENTS/NOTES:									

RESULTS FRAMEWORK FOR SO4

STRATEGIC OBJECTIVE No.4
IMPROVED ENVIRONMENTAL MANAGEMENT OF TARGETED SECTORS

PERFORMANCE INDICATORS:

- Level of effectiveness of environmental and natural resources (ENR) actions as perceived by the public
- # of biologically-important national parks that have achieved management improvements
- % of solid waste properly disposed of in sanitary landfills in Lima
- % of industrial plants in targeted sectors that have adopted new pollution prevention (P2) practices

Intermediate Result 4.1
Institutional Capacity of the GOP and the Private Sector Strengthened

Indicators:

- *New ENR policy instruments and management tools developed in coordinated manner among GOP agencies*
- # of private sector proposals on policy instruments and management tools adopted by the GOP
- # of ENR private sector advocacy initiatives

Key activities:

SENREM

Note: Indicators in italics will be reported through the R4.

Intermediate Result 4.2
Public Support for Environmental Improvements Mobilized

Indicators:

- *% of public that understands and is concerned for ENR problems*

Key activities:

SENREM

Intermediate Result 4.3
Innovative Technologies Tested through Pilot Projects

Indicators:

- # of environmental technologies tested and validated through pilot projects

Key activities:

SENREM
ENRS
Centrally Funded

Intermediate Result 4.4
Sustainable Practices Adopted

Indicators:

- # of pilot environmental technologies/practices replicated or adopted in non-pilot areas

Key activities:

SENREM
Policy dialogue
Centrally Funded Projects

Intermediate Result 4.5
Sound Policies Established and Effective Legislation Enacted

Indicators:

- # of targeted ENR policy and legislation overlaps, inconsistencies, or gaps eliminated
- Degree of stakeholder participation in the attainment of policy outcomes
- A master plan for a national environmental management system designed and approved by CONAM

Key activities:

SENREM

