GEF Project - Integrated Water Resources Management in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System (TDPS)

Award ID 87268 / PIMS ID 4383 / GEF Agency Project ID 5748

FINAL EVALUATION REPORT

Alex Pires

October 30, 2022

BASIC PROJECT INFORMATION

Project *: Integrated Water Resources Management in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System – (GIRH-TDPS)*

UNDP PIMS: 4383

GEF ID: 5748

Execution period and delivery date of the ET: July 1, 2022 - September 30, 2022

Region and countries included in the project
LAC - Peru and Bolivia

GEF Strategic Program/Strategic Program
Focal Area: 5. International Waters - GEF Strategic Program : IW-3

Agency implementing partners
Ministry of Foreign Affairs of the Plurinational State of Bolivia – MRE-B
Ministry of the Environment of Peru - MINAM

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Cover Photo: Alex Pires

ii. THANKS

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Last but not least, I thank my colleagues Isabel Guerrero and Nataly Paredes for their unconditional support in the production of this report. His high professional competence and commitment were essential to deliver the product on time.

iii. INDEX

IV. ACRONYMS AND ABBREVIATIONS

AAA	Administrative Water Authority
ADT	Transboundary Diagnostic Analysis
ALA	Local Water Administrator
ALT	Binational Autonomous Authority of the Water System of Lake Titicaca, Desaguadero River, Lake Poopó, Salar de Coipasa
ANA	National Water Authority of Peru
APR	Annual Project Report
ATLAS	UNDP Enterprise Resource Planning System
AWP	Annual Work Plan
IDB	Inter-American Development Bank
BPCU	Binational Project Coordination Unit.
BRIDGE	Building Dialogues and Good Governance
CAF	Development Bank of Latin America
CAFOD	Co-financing from the Catholic Agency for Overseas Development
CBP	Binational Project Coordinator
CDB	Binational Project Steering Committee
CPAP	Country Program Action Plan.
CPD	Country Program Document, UNDP.
CTB	Binational Technical Committee
EC	Complementary Study(s)
ET	Final Evaluation, for its acronym in English.
GEF	Global Environment Facility
GAD	Departmental Autonomous Government
GCF	Green Climate Fund
IWRM	Integrated Management of Water Resources
IFI	International Financial Institutions
IMARPE	Institute of the Sea of Peru
IRD	Research Institute for Development, by its acronym in French.
LAC	Latin America and the Caribbean
MDRyT	Ministry of Rural Development and Lands of Bolivia
MIDAGRI	Ministry of Agrarian Development and Irrigation of Peru
MINAM	Ministry of the Environment of Peru
MMAyA	Ministry of Environment and Water of Bolivia
MRE-B	Ministry of Foreign Affairs of the Plurinational State of Bolivia
MRE-P	Ministry of Foreign Affairs of Peru
MTR	Mid-Term Evaluation
NIM	National Implementation Modality
SDG	Sustainable Development Goals
OFP	Operational Focal Point.
NGO	Non-Governmental Organization

PAE	Strategic Action Program
PDGB	Binational Global Master Plan TDPS
PEBLT	Lake Titicaca Binational Special Project
PIR	Annual Project Implementation Report
UNDP	United Nations Development Program
PRODOC	Project Document
PRODUCE	Ministry of Production of Peru
QPR	Quarterly Progress Report
RTA	UNDP-LAC Regional Technical Advisor
SENAMHI-B	National Service of Meteorology and Hydrology of Bolivia
SENAMHI-P	National Service of Meteorology and Hydrology of Peru
SERNANP	National Service of Natural Areas Protected by the State of Peru
SERNAP	National Service of Protected Areas of Bolivia
SESP	Social and Environmental Diagnosis Procedure
TDPS	Cross-Border System Titicaca, Desaguadero, Poopó and Salar de Coipasa
ToR	Terms of Reference
UBCP	Binational Project Coordination Unit
UNDAF	United Nations Development Assistance Framework

1. EXECUTIVE SUMMARY

Tabla N° 1. Project Information

Project Details		**Project Milestones**	
Project's name	Integrated Water Resources Management for the Titicaca-Desaguadero-Poopó-Salar de Coipasa System	PIF approval date:	05/27/2014
UNDP Project ID (PIMS#):	4383	CEO Authorization Date:	02/10/2016
GEF Project ID (PMIS#):	5748	ProDoc signing date : - Peru: - Bolivia:	 11/22/2017 10/29/2018
Peru ATLAS business unit File No-ID: Bolivia ATLAS business unit: File No-ID:	 00087268 00094352 00087233 00094336	Hiring date: - First Coordinator: - Second Coordinator:	 02/10/2016 07/10/2019
Countries:	Peru/Bolivia	Initiation Workshop Date:	11/22/2017
Region:	LAC	MTR End Date	11/27/2019
Performance area:	5. International Waters	ET End Date:	10/11/2022
GEF Priorities / Strategic Objectives	Objective No. IW3 Results 3.1, 3.2 and 3.3	Expected date of operational closure:	10/29/2022
Trust fund:	GEF		
Implementing Partners (Executing Entities):	Ministry of Foreign Affairs of the Plurinational State of Bolivia Ministry of the Environment of Peru		
NGOs/CBOs involved:	Suma Marka, Practical Action		

Financial information		
Project	As of CEO authorization date (US$)	As of ET date (US$)
[1] GEF: Peru and Binational	5,133,750	5,133,750
[2] GEF Bolivia	1,430,000	1,430,000
[3] UNDP Peru contribution	50,000	50,000
[4] UNDP Bolivia contribution	50,000	75,000
[5] Government of Peru	8,795,623	9,574,812
[6] Government of Bolivia	14,800,000	17,910,986
[7] Total co-financed [3+4+5+6]	23,695,623	27,535,798
[8] Total GEF funding	6,563,750	6,563,750
[9] Total Project Financing [7+8]	30,259,373	34,174,548

Project description

1. The project Integrated Management of Water Resources in the Titicaca, Desaguadero, Poopó and Salar de Coipasa System (hereinafter, "the project", "the GEF project"), has been prioritized in the Bolivia-Peru binational agenda and is part of the multiple binational efforts, including the creation of the Autonomous Binational Authority for the Water System of Lake Titicaca, Río Desaguadero, Lake Poopó, and Salar de Coipasa (ALT) 20 years ago. The project was designed to promote the conservation and sustainable use of water resources in the Titicaca - Desaguadero - Poopó - Salar de Coipasa (TDPS) transboundary system, through the updating of the Binational Global Master Plan; and, contribute to: (i) build a common vision based on Integrated Water Resources Management (IWRM), (ii) establish common planning that guides actions at the binational, national and local levels, and (iii) mobilize and incorporate the key actors in the integrated management of the system.

2. In this regard, the project sought to strengthen capacity development, and through the TDA/PAE preparation process it is expected to help countries identify the legal, political and institutional reforms necessary to promote the implementation of integrated resource management approaches. transboundary water resources, and thus generate regional and national environmental benefits, which will have a positive impact on the economic activities carried out by the population that lives in the system. The project applied the methodology of Transboundary Diagnostic Analysis (TDA) and the Strategic Action Program (SAP) of International Waters of the GEF, to achieve the objectives and results of the project.

3. The start date of the project was November 22, 2016, the date of signing the Project Document (ProDoc) in Peru and October 29, 2018 in Bolivia. The Global Environment Facility (GEF) was requested to extend the project twice at no additional cost, adding a total of 24 additional months, thus, with a project completion date of October 29, 2022. Total initial budget of the project in cash and in kind was US$42,168,150, of which US$6,563,750 (15.6%) correspond to a donation from the GEF and US$100,000 from the UNDP Country Offices, and the rest was co-financed in kind by the project partners. The Executing Agencies were the Ministry of Foreign Affairs of the Plurinational State of Bolivia (MRE-B) and the Ministry of the Environment of Peru (MINAM). UNDP was the GEF Implementing Agency. Likewise, the implementing partners were the National Water Authority

(ANA) and the Ministry of Foreign Affairs in Peru, while in Bolivia it was the Ministry of Environment and Water (MMAyA).

The Final Evaluation

4. This report presents the results of the Final Evaluation (TE), whose main purposes are: i) to promote responsibility, accountability and transparency; ii) identify good practices and lessons learned that could be useful to improve the sustainability of project benefits and assist in the overall improvement of UNDP programming; iii) contribute to the overall assessment of the achievement of the GEF's strategic objectives aimed at benefiting the global environment; and iv) evaluate the degree of convergence of the project with respect to other UN priorities. The evaluation had several phases, including the initial review of the project design, the development of a Theory of Change, documentary review, field visit, interviews with a wide range of project stakeholders, triangulation of information and data analysis.

Summary of findings and conclusions

5. The project has contributed to strengthening the capacities of Peru and Bolivia for the integrated management of the water resources of the TDPS system. One of the main contributions of the project was the generation of knowledge, experiences and the creation of synergies between national governments, technicians and specialists from the two countries, strengthening the relationship and collaborative work. The project has been promoting the conservation and sustainable use of water resources in the TDPS transboundary system, to a large extent, through the formulation of the Transboundary Diagnostic Analysis (TDA) and the Strategic Action Program (PAE).

6. The Strategic Relevance of the project stands out as a particular strength, due to the fact that it was designed and implemented based on the main environment and development priorities at the regional, national and global levels of the TDPS system and the GEF. The project has been achieving the expected results and objectives, promoting the conservation and sustainable use of water resources in the TDPS system. To date, three of the six results have already been achieved: improvements are perceived in the measures of institutional capacity for the implementation of IWRM in the TDPS system in both countries (Result 2); the key actors know the central problems of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions (Result 5); and the key actors participate actively and in an articulated way to face the central problems of the TDPS system (Result 6).

7. The other three results (Results 1, 3 and 4) are in progress towards the goal, and the project partners consider that they will be fulfilled until the closure of the project. The most relevant result of this project is the formulation and adoption of the Transboundary Diagnostic Analysis (TDA) and the Strategic Action Program (SAP) of the TDPS (Result 1). In August 2022, the closing date of the ET data collection, the progress reported for the TDA was 80.5%, while for the SAP it was 60%. However, the commitment of the project partners to have the two documents finalized until the closure of the project was perceived. Likewise, the pilot projects in Bolivia and Peru have generated 11 management guides/instruments, of which 6 are in the approval process. Regarding public policies, 4 proposals have been developed, but only 1 has been approved to date. The aforementioned instruments are inputs for the preparation of the PAE (Result 3). On the other hand, from the survey taken to a representative group of national, regional and local authorities, as well as social and productive organizations, carried out in May 2022, a result of 57.1% satisfaction was obtained (Result 4).

8. The project was implemented efficiently, in accordance with international and national norms and standards. The delays in the first two years of implementation, added to the impacts of the COVID-19 pandemic, affected the efficient use of resources (especially time) and the strategic allocation of funds and human resources (great concentration of activities during the last 2 years of the project).

9. The project contributed in a limited but significant way to gender equality and the empowerment of women. In 2020, gender strategies were incorporated and the development of the Gender Plan began, which was approved in March 2022. The project also contributed, directly and/or indirectly, to various cross-cutting issues relevant to the TDPS system, such as climate change mitigation and adaptation, ecosystem management, the cross-cutting approach to human rights in relation to access to water, national ownership of results, and actions to reduce poverty.

10. The evaluation identified that there are financial, institutional and sociopolitical, and environmental risks to sustaining the project's results in the long term. On the one hand, the results of the project depend, to a great extent, on the continuity of the financial support, especially for the implementation of the PAE. On the other hand, the project partners demonstrated a high level of commitment and interest in ensuring that the benefits of the project are sustained.

11. The evaluation acknowledges the effort and dedication of the project partners to design and implement this project. The present project should be seen as the first phase of a long and complex work towards transboundary IWRM of the TDPS system.

Synthesis of key lessons learned

12. This evaluation drew five relevant lessons. These lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact. The lessons learned are related to: i) the relevance of the capacity of the executing partners and main actors with an active role in the project; ii) the relevance of implementing a strategy of continuous involvement of key actors; iii) strengthening of M&E with the adoption of indicator profiles; iv) the importance of adaptive management; and v) the complex nature of transboundary IWRM projects. In accordance with the UNDP guidelines, the ET Ratings (table 2) and the Summary of Recommendations (table 3) are presented below.

Tabla N° 2.Final Evaluation Grades

1. Monitoring & Evaluation (M&E)	Assessment[1]
M&E design	MI
Implementation of M&E	MS
Overall Quality of M&E	MS
2. Implementation / Monitoring and execution of UNDP	**Assessment**
UNDP implementation/oversight	MS
Execution of implementing partners	MS
Overall quality of Implementation/Oversight and Execution	MS

[1]The meaning of the ET rating scale, in relation to the Evaluation of Results, is as follows: Very Satisfactory (MS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MI), Unsatisfactory (I) and Very unsatisfactory (MI). In relation to Sustainability, the meaning of the rating is as follows: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU) and Unlikely (U).

3. Evaluation of Results	Assessment
Relevance	S
Effectiveness	MS
Efficiency	MS
Overall Result Rating	MS
4. Sustainability	**Assessment**
Financial	MU
Socioeconomic and political	MP
Institutional Framework and Governance	MU
Environment	MP
Overall Likelihood of Sustainability	MP

Tabla N° 3.Summary of recommendations

#	recommendations	Responsible Entities	Temporal horizon
A	Category 1: Key aspects to successfully complete the project A.1. Finalize and approve/endorse – at the ministerial level – the SAP. A.2. Search for additional resources, to implement a set of actions of communication, socialization and promotion of appropriation of the products and key results. A.3. Evaluate the relevance of the summaries of the key documents being in Quechua and Aymara, especially those of the ADT and the PAE. A.4. Guarantee i) that all relevant information, especially the EC and the TDA/PAE (including their databases), is available - openly - on the project website, ii) that all the information on the page is updated to reflect what the project achieved (what was expected to be achieved is currently reported), and iii) migrate web-hosting of the website to GEF - IW:Learn .	UBCP, UNDP and project partners	2022
B.	Category 2: Key aspects to strengthen the sustainability of the project B.1. Develop an exit strategy for the project, and in particular for each successful pilot .	UBCP, UNDP and project partners	2022 - 2023
C	Category 3: Implementation of the SAP and road to the second phase C.1. Start as soon as possible the mobilization of	Project partners, CDB and CTB, and ALT	2022 - 2023

#	recommendations	Responsible Entities	Temporal horizon
	resources for the implementation of the most relevant actions agreed in the PAE – committing internal resources and mobilizing external resources. C.2. Conclude the reengineering of the ALT and clearly define its role(s) in the implementation of the PAE and in a second stage of the GEF IWRM-TDPS project. C.3. Take all possible measures to speed up the development and submission of the PIF for the second phase of the project.		
D	Category 4: Key aspects for the design of future GEF-IW projects, including the second phase D.1. Include in the ProDoc of future projects of the GEF International Waters portfolio a set of key aspects.	UNDP, GEF Focal Points, Project Partners	2022 onwards
AND	Category 5: Key aspects to efficiently start future GEF-IW projects E.1. Properly use the Start-up Phase of the project.	UNDP, GEF Focal Points, Project Partners	2023 onwards

2. INTRODUCTION

Purpose and objectives of the ET

13. The objective of the ET is to provide an independent evaluation of the scope of the project results, critically examining the causal chains, including context, determining the relevance, impact, effectiveness, efficiency and sustainability of the project in order to improve future contributions. development.

14. According to the Guide for the Conduct of Terminal Evaluations of UNDP-GEF Projects, the TE has the following complementary purposes: i) Promote responsibility, accountability and transparency; ii) Identify good practices and lessons learned that could be useful to improve the sustainability of project benefits and assist in the overall improvement of UNDP programming; and iii) Contribute to the overall assessment of the achievement of the GEF's strategic objectives aimed at benefiting the global environment.

Methodology

15. ET provides information based on triangulated, credible, reliable, useful and relevant evidence. The evaluation adopted a participatory and consultative approach promoting close collaboration with government counterparts, in particular, the GEF operational focal point, UNDP country offices, the project team, and key stakeholders.

16. The TE was carried out using the criteria of relevance, effectiveness, efficiency, monitoring and implementation, impact and the probability that the results can be sustained, as defined and explained in the Guide for the Conduct of Terminal Evaluations of UNDP-GEF Projects. The TE was

conducted based on strong principles of integrity, honesty, confidentiality, systematic inquiry, and cultural sensitivity.

17. The ET of the UNDP-GEF project "Integrated Management of Water Resources in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System", involved a series of stages with primary and secondary data collection. The phases of the evaluation process were:

    A. Preparation – Inception Phase: initial documentary review, production of the Inception Report that includes the matrix of evaluation criteria and agreements of the introductory meetings with the project staff.

    B. Assessment Mission: Field mission, data collection (stakeholder interviews and surveys) and presentation of initial findings.

    C. Draft evaluation report: data analysis, triangulation and report writing.

    D. Final Evaluation Report: Final review and "audit trail" of comments.

Phase A – Preparation

18. All relevant sources of information were reviewed, including the project document, project reports, progress reports, GEF focal area tracking tools, project files, Mid-Term Evaluation Report (MTR), the national legal and strategic documents, and so many other useful materials available for this evidence-based evaluation. See Annex 4 "List of Documents Consulted".

19. Kick-off meetings, via teleconferences, were held with the participation of key stakeholders, including UNDP country offices, the project team, and the UNDP GEF Technical Advisor responsible for the project. During the inception phase, the evaluation consultant conducted introductory interviews with project staff and exchanged messages (email and instant messaging application, especially *WhatsApp*) with key project partners.

20. The Inception Report was approved on July 15, 2022. The said report indicated how each evaluation question would be addressed according to the evaluation criteria matrix (See Annex 5 - Evaluation Matrix). The original set of questions presented in Annex D of the ToR has been modified and supplemented with the aim of answering relevant questions on all UNDP evaluation criteria, including relevance, effectiveness, efficiency, sustainability, gender equity and women's empowerment, and impact. The Inception Report also described the evaluation methodology, including data sources, data collection and analysis procedure; as well as the schedule of activities and deliverables.

Phase B - Data Analysis – Triangulation

21. The data collection phase was between July 20, 2022 and September 2, 2022. Initially, virtual interviews were conducted with the beneficiaries and authorities involved in the project. Subsequently, a field mission was carried out in Peru and Bolivia, between August 15, 2022 and August 24, 2022. The consultant carried out field visits and face-to-face interviews with authorities and representatives of the pilot projects.

22. The means of communication with the interest groups were adapted according to the platform (eg WhatsApp, Zoom, Teams and telephone call) that was most convenient for each interest group. Although the interviews were conducted in the workplace, the interviewees engaged in a relaxed

and calm conversation with the evaluation consultant, which increased the flow, quality, openness and usefulness of the information provided.

23. In total, 110 people, 43 women and 67 men, were consulted (See Annex 3 - List of people consulted). In some cases, where it was not possible to carry out the interview, the questions were sent by email and the answers were received. Likewise, in the field visits, group meetings were held in the visits to the pilot projects with various people, between community authorities and the population. The criteria for the selection of the interviewees considered the role they had in the project and their availability/interest to contribute to the evaluation. The evaluation sought to include, to the extent possible, adequate representation of gender and social groups; All stakeholder groups involved in the project were interviewed, including academics, NGOs, local governments and local communities. All responses from interviewees were treated confidentially, maintaining anonymity.

24. **Individual and group interviews** were conducted with project implementing and executing agencies, country representatives, Project team members, national and local government officials, relevant project partners, project beneficiaries, as well as key stakeholders involved. in the Integrated Management of Water Resources. Also, an adaptive approach was used during the meetings. The interview protocols, the questionnaires and the selection of the interviewees were carried out using the questions presented in the evaluation matrix (See Annex 5).

25. **Structured interview protocols and questionnaires** were designed for each interview and used as initial guidance. The interviewer built trust and made the interviewee feel as comfortable as possible. The interviews began with an opening question, followed by a limited number of questions, which allowed the interviewer to adapt during the meeting and avoid long interviews. In most cases, a thank you email was sent after the interviews, with a commitment to send a copy of the ET once it was published.

26. The **methodology for data collection and triangulation** was based on three categories of information/sources: a) in-depth interviews with project stakeholders, b) field visits, and c) exhaustive documentary review. Both quantitative and qualitative evaluation methods were adopted to determine the achievements of the project with the expected products, results and impacts.

27. At the end of the evaluation mission in La Paz, on August 25, 2022, the consultant presented **the initial findings by videoconference** , with the participation of the main project stakeholders. This process acted as a means of ensuring that all sources of information had been accessed, providing an opportunity to verify emerging findings.

Phase C - Draft Assessment Report

28. Data analysis involved transcribing, translating, coding, and organizing the findings according to a thematic analysis approach. Data was triangulated from all sources to provide evidence for evaluation. The evaluation sought to identify not only what happened on the project, but also, where possible, to explain underlying issues that influence why, exploring various complex dynamics related to project performance and presenting diverse perspectives on challenges and successes. of the project. The evaluation also considered background conditions, trends and counterfactuals in relation to the project's expected outcomes and impacts.

29. Data **analysis** was carried out in a systematic way, ensuring that all findings, conclusions and recommendations are supported by evidence. Appropriate tools, such as a data analysis matrix, were used to ensure proper analysis, including records for each question/assessment criterion, information and data collected from different sources and with different methodologies.

30. An **evaluation of the performance** of the project was carried out, based on the expectations established in the Logical Framework/Results Framework of the Project: 10 indicators, 6 results and 1 general objective were evaluated. The ET also evaluated the **key financial aspects** of the project, including the extent of planned and executed co-financing. Project cost and financing data, including annual expenses, were analyzed. Variances between planned and actual expenditures were evaluated and explained. The results of two financial audits were taken into account. The evaluator had the assistance of the UNDP country offices and the Binational Project Coordination Unit (UBCP) to obtain financial data in order to complete the co-financing table (See Annex 6).

31. The TE assessed the extent to which the project successfully incorporated UNDP cross-cutting approaches, such as gender equality, by reviewing gender mainstreaming in project design and implementation. The ET also analyzed the extent to which the project is achieving impacts or progressing towards achieving impacts.

    The draft TE report was written following UNDP guidelines and templates, including the outline described in the Terms of Reference (ToR) for the consultancy and the "Guide for conducting the final evaluation of GEF-financed and GEF-supported projects". the UNDP". The draft of the ET report was presented on September 16, 2022.

Phase D - Final Evaluation Report

32. The draft ET report was shared by UNDP-Peru with the main stakeholders of the project, in order to receive their comments. Comments were recorded in a comments matrix. The aforementioned comments were analyzed and answered by the consultant (see Annex 11 - ET Audit Trail) and the final version of the report was produced.

Ethics

33. The consultant was held to the highest ethical standards and subscribed to the UNEG Code of Conduct, included in Annex 9. In addition, the evaluation was conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG)" Ethical Guidelines for Assessments"

Evaluation limitations

34. The main limitations of the evaluation were the following: i) The ET was prepared at the stage in which other project products are under development and in the process of being reviewed, such as the TDA/PAE, and ii) Limited time between the final stage data collection and delivery of the draft of the ET (10 business days) .

Structure of the ET report

35. At the beginning of the ET, the reader can find the Basic Information of the Project. The body of the report is structured in five sections: 1. Executive Summary, 2. Introduction (current section), 3. Project Description, 4. Findings, and 5. Main Conclusions, Recommendations, and Lessons. In Section 3, the project information is presented, including the problems it seeks to address, and its immediate and development objectives. In Section 4 of Findings, it is made up of three subsections: 4.1 Project Design, 4.2 Project Implementation and 4.3. Results of the project. The last section of the report presents the conclusions, proposals for corrective actions, best practices, actions to reinforce the initial benefits of the project and proposals for future interventions. The report also has eleven annexes that complement the report.

3. PROJECT DESCRIPTION

Project start and duration, including milestones

36. The project was approved for a duration of 48 months by the GEF, with a start date of November 22, 2016, the date of signature of the ProDoc in Peru, and October 29, 2018 in Bolivia. Subsequently, the GEF was requested to extend the project twice at no additional cost, adding a total of 24 additional months, so the project completion date is October 29, 2022.

Development context: environmental, socio-economic, institutional and policy factors relevant to the objective and scope of the project

environmental context

37. The TDPS system is an endorheic transboundary water system, made up of four interconnected elements: the Lake Titicaca basin, the Desaguadero River basin, the Lake Poopó basin and the Salar de Coipasa basin . The TDPS has an area of 143,900 km2, is made up of 14 hydrographic units, and is located between Bolivia, Chile and Peru. The TDPS contains important habitats for the conservation of cattails, bofedales, and endemic species such as the Titicaca giant frog, the boga, and the Titicaca grebe.

Socioeconomic Context

38. Regarding the socioeconomic context, the territorial organization of the Bolivian State is made up of departments, provinces, municipalities and rural indigenous territories (TIOC). The Bolivian sector of the TDPS is comprised of four of the nine Bolivian departments. Of the total Bolivian territory of the TDPS, the majority of the population belongs to the departments of La Paz and Oruro, and a small proportion to the departments of Potosí and Cochabamba. The TDPS system in Bolivia includes 104 Autonomous Municipalities and a large part of its population is native indigenous peasants, among whom are mostly Aymara, Quechua, mestizo and other populations such as the Urus.

39. On the other hand, the territorial organization of the Peruvian State is made up of departments, provinces, and districts. According to article 194 of the Political Constitution of the Peruvian State, "the provincial and district municipalities are the local government bodies and have political, economic and administrative autonomy in matters within their competence." The Peruvian population of the TDPS is concentrated in the department of Puno. In the referred department there are 13 provincial municipalities and 109 district municipalities.

40. In Peru and Bolivia, a large part of the population living around Titicaca is of Aymara origin . However, four Uru communities have been identified: (i) the floating islands of the Urus-Puno that live in the bay of Puno, (ii) the floating islands of Kapi located in the district of Huatta - Puno, (iii) the Urus- Titino , and (iv) the Urus- Chullini from the shores of Lake Titicaca. Currently the Uru are dedicated to tourism and fishing (mainly carachi and pejerrey), tourism being the most important activity for this indigenous group.

41. The little growth of the agricultural activity and of the population contributed for decades to the conservation of the lake's resources. However, urban growth from 1980 in Bolivia and Peru, and the gradual change to economic activities of agriculture and rural livestock, modified the conditions linked to the resources of Lake Titicaca.

political context

Bolivia

42. The General Directorate of Limits, Borders and International Transboundary Waters of the Ministry of Foreign Affairs of Bolivia (MRE-B) is in charge of promoting the management of international waters and transboundary basins. In coordination with its Peruvian counterpart, it directs and coordinates the Maure-Mauri River Binational Technical Commission, the Suches River Binational Technical Commission, and other coordination bodies. In addition, it coordinates and carries out the binational presidential meetings, and follows up on the commitments of the Binational Ministerial Cabinets of Peru and Bolivia. The Bolivian Ministry of Foreign Affairs (MRE-B), in coordination with the National Commission for ALT Affairs, directs and approves ALT activities.

43. The Ministry of Environment and Water (MMAyA) is the body in charge of the areas of comprehensive management of water resources, irrigation, sanitation and environment at the national level. In relation to water resources, it is responsible for the formulation and execution of the comprehensive water resources policy. The MMAyA supervises various entities, including: i) the National Service of Protected Areas (SERNAP), ii) the National Service of Meteorology and Hydrology (SENAMHI), iii) the Plurinational Authority of Mother Earth (APMT) and the Operational Unit Boliviana (UOB), the latter as an advisory entity to the MMAyA , MRE-B and other public institutions, in everything related to water resources.

44. The Ministry of Rural Development and Lands (MDRyT), is responsible for defining and implementing policies to promote, facilitate, regulate and articulate comprehensive rural development for agriculture, forestry, aquaculture and coca, in a sustainable manner, and promote in the country a new structure of tenure and access to land and forests, generating decent employment for the benefit of producers, communities and peasant and indigenous economic organizations and the business sector, under the principles of quality, equity, inclusion, transparency, reciprocity and cultural identity, in search of of food security and sovereignty, to live well.

45. The Decentralized Public Institution for Fisheries and Aquaculture (IPD-PACU) is the national entity responsible for the management, implementation and execution of programs and projects for the comprehensive development of aquaculture and fisheries. It also supports research and promotion of alternatives to improve fishing and aquaculture production systems in coordination with other public and private entities. The IPD-PACU was created by Supreme Decree 1922 of March 12, 2014 as an entity dependent on the Vice Ministry of Rural and Agricultural Development of the MDRyT. The IPD-PACU operates through three units for the altiplano, Plata, and Amazon basins ; and the Ministry of Mining and Metallurgy , is in charge of implementing mining and metallurgical policies, and regulating and planning the national mining development. The legal basis for mining activity is the Mining and Metallurgy Law (Law 535 of 2014). The Bolivian Mining Corporation (COMIBOL) is in charge of managing the productive chain of state mining.

46. The Autonomous Departmental Government of La Paz and the Autonomous Departmental Government of Oruro are public institutions that were constituted by a Departmental Assembly, with departmental deliberative, supervisory and legislative powers within the scope of their powers. It is directed by the Governor in the condition of highest executive authority.

Peru

47. For the binational management of the TDPS, the Ministry of Foreign Affairs of Peru (MRE-P), in coordination with the National Commission for ALT Affairs, directs and approves ALT activities.

48. The Ministry of the Environment of Peru (MINAM) is the country's environmental authority and is responsible for i) promoting the conservation and sustainable use of natural resources, ii) formulating, planning, directing, supervising and evaluating the National Environmental Policy (PNA) and, iii) promote proposals that contribute to the adaptation and mitigation of climate change. Regarding this project, the National Service of Meteorology and Hydrology of Peru (SENAMHI) and the National Service of Natural Protected Areas (SERNANP) are attached to MINAM.

49. The Ministry of Agrarian Development and Irrigation (MIDAGRI) conducts the country's agrarian policy. The Vice Ministry of Agricultural Development and Infrastructure and Irrigation covers the development of agricultural businesses, agricultural environmental management, and infrastructure and irrigation management. The Special Binational Lake Titicaca Project (PEBLT) depends on this vice-ministry, which develops actions for the management and conservation of natural resources in the Lake Titicaca basin. The National Water Authority (ANA) is attached to MIDAGRI.

50. The ANA is the governing body and the highest technical-regulatory authority of the National Water Resources Management System (SNGRH) of Peru. It has national competence to ensure the integrated, participatory and multisectoral management of water, articulating the actions of the entities of the sector. The ANA has a presence throughout the country through its decentralized bodies called Administrative Water Authorities (AAA), which direct the management of water resources in their respective territorial areas, and these have organic units that are the Local Water Administrations (ALA).

51. The Ministry of Production (PRODUCE) is the governing body for national and sectoral policies on industry and fisheries. The Vice Ministry of Fisheries formulates and guides the application of policies and compliance with fishing and aquaculture regulations, including fishing permits and aquaculture rights (authorizations and concessions). The Institute of the Sea of Peru (IMARPE) is attached to PRODUCE, and conducts research on the fisheries of Lake Titicaca and trout farming, and has a decentralized laboratory in the city of Puno (IMARPE Sede Puno).

52. The Ministry of Energy and Mines (MINEM) is the rector of the country's energy and mining sector. The Vice Ministry of Mines manages mining activity, including formalization, environmental management and management of mining environmental liabilities. The Ministry of Housing, Construction and Sanitation (MVCS) is responsible for managing the provision of drinking water, sewage, wastewater treatment and excreta disposal services. The MVCS implements national urban and rural sanitation programs.

53. The Regional Government of Puno (GORE PUNO), is a key player in the TDPS system through its operational dependencies.

Binational

54. The governments of Bolivia and Peru have established several instances of binational cooperation in the TDPS space, of which the ALT, the Binational Technical Commission of the Maure-Mauri River, the Binational Technical Commission of the Suches River and the Binational Commission of Alto Level for Lake Titicaca.

Problems that the project sought to address: threats and barriers

55. The project aimed to address three problems: a) The structure of the ALT is not sufficient for the management of the TDPS, b) Outdated Master Plan, c) Limited integration of the key actors in the management of water resources, and d) Incipient experience in IWRM in the TDPS.

Immediate and development objectives of the project

56. The objective of the project was to promote the conservation and sustainable use of water resources in the Titicaca-Desaguadero-Poopó-Salar de Coipasa (TDPS) cross-border system, by updating the Binational Global Master Plan (PDGB). Likewise, the project is expected to contribute to the development priorities and effects of the UNDAF, related to water and environmental sustainability in Bolivia and Peru.

    - Bolivia: UNDAF Outcome 4 - Promote and support the conservation and sustainable use of the environment. For this purpose, the priorities would be support for government and community actions aimed at expanding and improving the management of forests, conservation zones and protected areas, support for actions aimed at reducing environmental degradation, desertification and the strengthening of the sustainable management of water resources.
    - Peru: UNDAF Result ED 4 - The State, with the participation of civil society, the private sector, scientific and academic institutions, would seek to design, implement and/or strengthen policies, programs and plans, with an environmental sustainability approach, for the sustainable management of natural resources and conservation of biodiversity.

Theory of Change

57. The project design did not have a Theory of Change (ToC), as **it was not a GEF requirement** at the time of approval. ToC is a method and approach that, in recent years, has been increasingly used to design and monitor development interventions. In accordance with GEF-UNDP guidelines, the ToC was constructed in this TE. The ToC was developed taking into consideration the project results framework and the ProDoc , using the guidelines for the GEF-5 IW strategies as a reference.

58. Figure 1 presents the project's ToC diagram, indicating the sequence from outputs to results, and then through intermediate stages to the desired impact. The ToC explains the process of change by outlining the main causal pathways throughout the intervention. The changes are mapped as a set of interrelated paths, showing the expected results in a logical relationship with the other results.

59. During the project, it was expected that the delivery of the **11 outputs** would lead to the achievement of **6 results**, which in turn would take the change process to intermediate stages (required change between results and impact of the project) towards the desired impact (changes enduring, anticipated and positive outcomes that would arise, directly or indirectly, from the project). The ToC explains the process of change by outlining the main causal relationships throughout the intervention. The changes are mapped as a set of interrelated paths, showing the expected results in a logical relationship with each other.

60. **Outcome 1 "** The TDPS Transboundary Diagnostic Analysis (TDA) and Strategic Action Program (SAP) have been formulated and adopted" is a core element of the project's ToC. **Result 3 "** The practical learning generated in pilot experiences contribute to the formulation of the SAP and contribute to decision making" contributes directly to result 1. **Result 4** "Updated, accurate and relevant information on TDPS management is available and accessible to allow the PAE to be implemented in an adaptive manner, including attention to social and gender variables" have a cause and effect relationship with result 1, since the availability of information is relevant both for the formulation and for the SAP implementation.

61. The **products of component I** (1.1 Complementary studies; 1.2 TDA validated by the countries; 1.3 PAE, formulated in a participatory way and with an IWRM approach, adopted by both countries; 2.1 Training of key actors in IWRM; 2.2 Actions to strengthen the institutionality of management

binational TDPS) contribute directly to **outcome 2** “Improved institutional capacity measures for IWRM implementation in the TDPS system in both countries” and to outcome 4. Outcome 4 also benefits from the **output of component III** “4.1 TDPS Monitoring Program”.

62. The **products of component II** (3.1 Eleven pilot projects on topics of relevance to the TPDS system; 3.2 The systematization of the results of the pilot projects and the analysis of their applicability to the TDPS system are accessible and available to all the actors in the area) direct way to achieve outcome 3. Outcome 1, via outcomes 3 and 4, depends on the outputs of components 1 and 2 listed in the paragraphs above.

63. The **products of component IV** (5.1 Web portal for the dissemination of Project results, including the exchange of experiences through IW: LEARN; 5.2 Environmental education and communication strategies for IWRM in the TDPS; 6.1 Citizen participation strategy and articulation between key actors in support of IWRM in the TDPS) contribute directly to **result 5** "The key actors know the central problems of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions" and to **result 6** “The key actors participate actively and in an articulated way to face the central problems of the TDPS system”

64. Results 1, 2, 5 and 6 lead the **Intermediate States** where: the Binational Authority, local and regional, national authorities manage the TDPS System with an IWRM approach; Citizens contribute to the management of the TDPS System with an IWRM approach; and policies are designed and implemented for the management of the TDPS system, integrating the IWRM approach in the decision-making process. The intended **impact** is the sustainable use and conservation of the water resources of the TDPS transboundary system. The main assumptions of this ToC are: a) the political commitment of both countries to strengthen the binational management of the TDPS and advance in IWRM is maintained; b) it is a priority on the agenda of the countries to face the main anthropogenic pressures that negatively affect the TDPS; c) there is good communication and collaboration between the government entities of both countries; and d) the changes derived from the general elections in Peru and Bolivia do not affect the binational management of the TDPS.

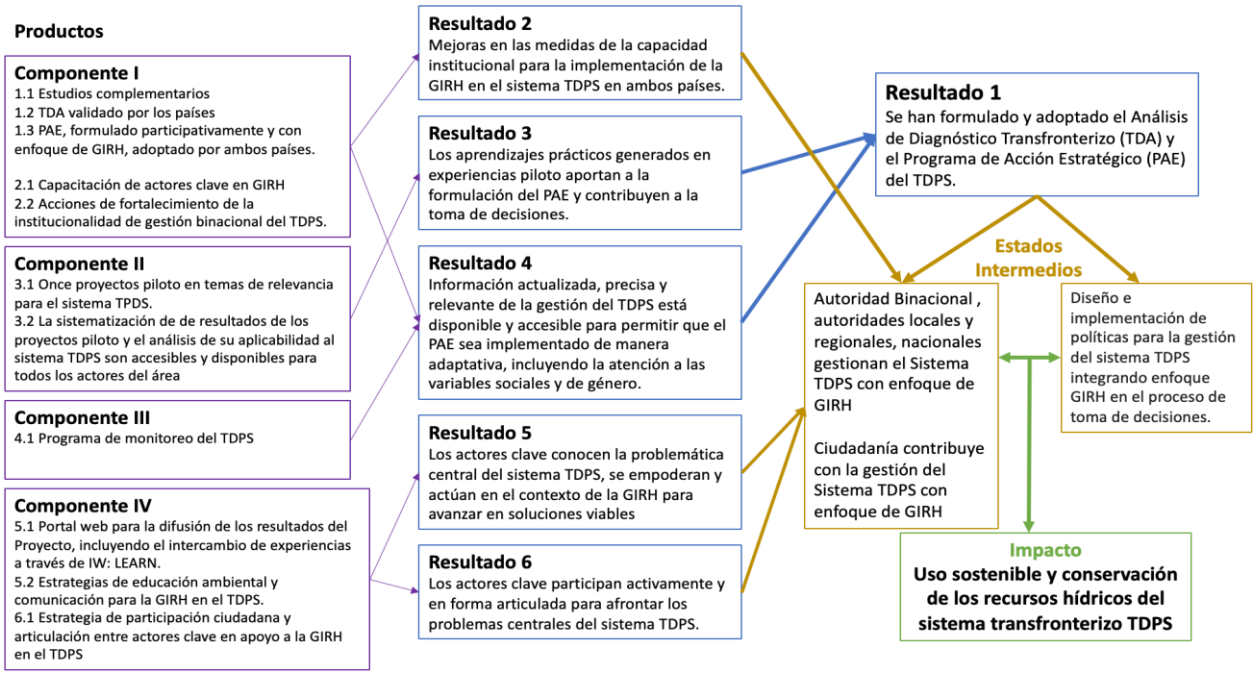

Figure 1 - Project Theory of Change Diagram

Expected results

65. The project was expected to contribute to achieving the Primary Outcome "Environment and Sustainable Development" of the UNDP Strategic Plan, more specifically Outcome 2: Citizens' expectations to be heard in development, rule of law and accountability are covered. with stronger systems of democratic governance. Output 2.5: Legal and regulatory frameworks, policies and institutions have the capacity to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in accordance with international conventions and national legislation. Indicator 2.5.2: Number of countries that apply national and local plans for the integrated management of water resources.

66. The project was expected to contribute to achieving results under the Country Program:

- Bolivia: Result of the Country Program Action Plan (CPAP) 4.2. Integrated sustainable management systems for Mother Earth developed in prioritized intervention areas.
- Peru: CPAP Result 4. The State, with the participation of civil society, the private sector, scientific and academic institutions, will have designed, implemented and/or strengthened policies, programs and plans, with an environmental sustainability approach, for the management management of natural resources and conservation of biodiversity / 4.2 Management instruments designed and in the process of being implemented that contribute to the conservation and sustainable use of biodiversity at the national, regional and local levels.

Invested Resources

67. The amount of investment provided by the GEF was US$6,563,750, financed with resources from the fifth replenishment (GEF-5). While, the co-financing at the time of project approval indicated the sum of US$ 18,474,400.00 and US$ 16,529,000.00 from Peru and Bolivia, respectively.

Main stakeholders

68. The relevant stakeholders who had, or should have had, an important role in the management and execution of the project are:

- In Peru: Ministry of Foreign Affairs of Peru (MRE-P), Ministry of the Environment of Peru (MINAM), National Water Authority of Peru (ANA), Ministry of Agrarian Development and Irrigation (MIDAGRI), National Service of Protected Natural Areas by the State (SERNANP), National Service of Meteorology and Hydrology of Peru (SENAMHI-Peru), Regional Government of Puno, Institute of the Sea of Peru (IMARPE), Association of Mining Producers, Association of Aquaculturists, municipalities of the TDPS, producers, private sector and civil society, academic sector and NGOs .
- In Bolivia: Ministry of Foreign Affairs of the Plurinational State of Bolivia (MRE-E), Ministry of Environment and Water of Bolivia (MMAyA), National Service of Meteorology and Hydrology (SENAMHI-Bolivia), Decentralized Public Institution of Fisheries and Aquaculture (IPD-PACU), Autonomous Departmental Government of La Paz, Autonomous Departmental Government of Oruro, Universidad Mayor de San Andrés (UMSA), Provinces and municipalities of the TDPS, producers, private sector and civil society.
- Binational: Binational Autonomous Authority of the Water System of Lake Titicaca, Desaguadero River, Lake Poopó, Salar de Coipasa (ALT).

69. The binational project was executed under the National Implementation Modality (NIM), in accordance with UNDP standards and regulations. The main actors involved in the

implementation were the UNDP, through its UNDP country offices in Bolivia and Peru, the MRE-B and MINAM (project partners). In addition, the ANA, the MRE-P, and the MMAyA participated directly in the execution of elements of the project.

Evaluation fits in the context of other evaluations

70. Within the framework of the Project and in accordance with the UNDP and GEF guidelines, a Mid-Term Evaluation (MTR) report was prepared and presented in September 2019. Based on the findings of the MTR, 14 recommendations were presented to guide implementation during the rest of the project.

Additional

71. The coordination of the Integrated Management of Water Resources in transboundary basins corresponds to the MRE, both from Bolivia and Peru, instances that contribute to the coordination and compliance with the international treaties to which they are a party, including transboundary waters, as is the case of the TDPS System. In this line, they chair the binational, mixed and intersectoral, bilateral and multilateral commissions; they promote and negotiate the signing and adherence to treaties, agreements and other international agreements, within the framework of the international policy of their States. Likewise, they are related to other entities directly in charge of IWRM in the TDPS System according to their functions and competencies (the ANA [2], the MINAM and the MIDAGRI in Peru, or the MMAyA in Bolivia, among others).

4. FINDINGS

4.1 Project Design/Formulation

Analysis of the Results Framework: project logic and strategy, indicators

72. The results framework presents the objective of the project and six results that contribute to the objective. The ProDoc considered 10 indicators to measure progress, but did not include a profile per indicator with detailed information to assist in data collection, calculation of its components, aggregation of scales, selection of sources and means of verification, identification of the main assumptions, description of the method adopted to define the baseline and targets, and references to the scientific literature. The indicators of the objective do not ensure the achievement of the same "Promote the conservation and sustainable management of water resources in the Titicaca-Desaguadero-Poopó-Salar de Coipasa (TDPS) transboundary system, through the updating of the PDGB", since they focus on in: i) the generation of binational commitments on water quality, reduction of contaminants and optimization of the monitoring system; ii) the generation of organisms at the hydrographic sub-basin level, and iii) government investment in control and mitigation of the main environmental pressures. Thus, the promotion of the conservation and sustainable use of water resources are not reflected directly in these indicators, but through their contribution to the mitigation of environmental problems.

73. Regarding the first indicator, "Number of specific binational commitments to address critical aspects of the conservation and sustainable use of water resources and advance IWRM of the TDPS", a goal of more than three commitments was set in relation to quality standards of water, reduction of pollutants and optimization of the monitoring system. Although the indicator is, to a certain extent,

[2] According to Law No. 29338, Water Resources Law, ANA (Peru) is the technical-regulatory governing body of the national water resources management system, its functions and powers are established in article 15 of the aforementioned law.

SMART, the types of commitments should have also included the conservation of biodiversity (some vulnerable species) or the linking of the sustainable management of water resources with some productive activity so that the goals were aligned. with the indicator.

74. Regarding the second indicator, “Number of hydrographic basin management organizations/basin water resources councils”, a goal of more than three organizations was proposed, when the hydrographic units of the basin are fourteen. However, it should be noted that in Peru, the current legal system establishes that the UH Ramis, Ilpa, Coata, Ilave, Huancane, Huaycho as well as part of the UH Suches, Alto Desaguadero and Circunlacustre are part of a single basin management agency. , as there are no organisms at a lower level or territorial scale, therefore, on the Peruvian side of the basin, it is not considered feasible to propose a greater number of organisms. Finally, it became clear that the indicator should have been more specific about basins.

75. Regarding the third indicator, "Government investment in control and mitigation of the main environmental pressures of the TDPS (USD)", a goal of an increase of more than 50% was set. This indicator is not SMART, since the items that will be impacted by the project activities are not defined, therefore, these investments may reflect other initiatives and not the results of the project.

76. For the six outcomes, seven indicators are defined. In this sense, the fulfillment of these indicators should contribute directly to the achievement of the objective, but the relationship between the result indicators and the objective indicators is not clear and was not defined through a Theory of Change. Within the framework of this ET, the ToC of the project was elaborated (Figure 1), describing the main causal relationships from the products to the expected impact (objective), passing the expected results. The identification of these relationships between products and results is relevant to define the work plans and strategies to prioritize actions throughout the project. In relation to result 1, the formulation and approval of the management documents (ADT and PAE) was feasible within the established time; however, the adoption of these documents was not. Regarding results 2, 3, 5 and 6, the objectives of working with the key actors in terms of training, practical learning, empowerment and active participation are considered feasible and strategic to improve the management of the TDPS system. Likewise, result 4 on the accessibility and availability of information is key for the next stage of the project, in which the SAP is implemented.

77. Result 4 includes the disaggregation of the information according to social variables and gender; however, at the level of indicators, the disaggregation was not done and therefore it was not reported according to these variables. Results 2, 5 and 6 contribute to the governance of the system as they encompass all types of actors (public at different levels and local organizations and communities). However, the result indicators do not disaggregate by type of actor.

78. One of the recommendations of the MTR was the adjustment of the goal of the indicator of result 2 (>60% of the officials passed the course) and the adjustment of the indicator of result 3 so that the technical information of the pilots becomes technical instruments that contribute to the PAE (“Number of technical or management instruments that will contribute to the formulation of public policies, based on the results of the projects”). Thus, the management instruments that should be developed in each pilot project were defined. The updated results framework and annex were approved in January 2021.

79. In the PRODOC, various specific indicators for the 11 pilot projects were included in the annexes. However, there is no evidence of updating these indicators, but there is evidence of their monitoring in the quarterly reports of the pilots.

Assumptions and Risks

80. The ProDoc , to a large extent, did not analyze in detail the risks identified in the PIF, and resources were not correctly allocated to provide an adequate response to the most relevant risks. In the PIF, 16 assumptions were established regarding the objective and results of the project and eight risks were identified (among natural, social and political risks). The PRODOC identified an additional risk related to the limited operability of ALT. The risks were classified as environmental, social, political and operational. Risk management was an integral part of the project design and the risk assessment reflected, to some extent, the complex nature of the project and its interrelationship with cross-border mechanisms. Although the risk assessment considers the probability of the risk of the events, it should also consider its potential impact on the execution of the project. In addition, it should include a hazard identification, vulnerability and exposure assessment, and a robust risk mitigation plan and/or strategy integrated into the project design.

81. In the PIF, in the PRODOC or in the Initiation Report, no institutional, financial, strategic and regulatory risks were identified; while political risks within and outside the project's sphere of influence were not fully identified and their mitigation measures are largely weak. For example, the recurrent changes of government (political instability) and the rotation of technical personnel were not identified; however, the aforementioned risks proved to be of high risk/high probability of occurrence and generated a high impact on the implementation of the project.

82. The risk of the low participation of external actors (beyond the project partners) in the development of the TDA/PAE was also not correctly identified. In general, stakeholders must be duly motivated and mobilized to participate voluntarily in the assessment and planning processes. This turned out to be one of the factors that impacted the development and approval of the technical products of the project.

83. External shocks, such as economic crises and disease outbreaks, were not identified in the PIF or the ProDoc , so there was no mitigation plan for their occurrence. Climate risks associated with the pilot projects were identified in the project design, which proved to be high risk/high probability of occurrence, but no adequate risk mitigation plan was developed.

84. There were optimistic assumptions established in the ProDoc , such as the good disposition and political commitment of both countries, however, there were delays in the signing of the ProDoc by Bolivia (October 29, 2018, about two years after the signing by Bolivia). of Peru), this turned out to be one of the factors that generated a slow start of the project and a high impact on the fulfillment of deadlines for the execution of the project.

Lessons from other relevant projects incorporated into project design

85. Lessons from other relevant projects were not incorporated and explicitly described in the ProDoc. However, it was noted that the project took into consideration the lessons learned from the GEF IW portfolio, such as the development of the TDA/PAE, demonstration pilot projects, communication and capacity building activities, and the participation of various stakeholders. On the other hand, lessons and recommendations from previous projects such as start-up strategies, strengthening of the project team and actions to mitigate the impact with respect to the turnover of partners and project staff, are actions that, if they had been incorporated into the project design, project, would have provided greater effectiveness and efficiency in the project implementation stage.

Planned stakeholder engagement

86. The ProDoc identified and briefly described a broad list of stakeholders with active roles in the project (more than 40 institutions at the binational, national, regional, and local levels, which

include directorates, sub-directorates, and areas). However, in the design of the project, a Strategy for the Involvement of Key Actors was not elaborated to evaluate their institutional and technical capacities for the execution of the project. Although in the ProDoc , for most of the interested parties, their expected roles and responsibilities in the execution of the project were indicated, the association agreements are not described in detail. However, the relevance of the stakeholders defined in the ProDoc is perceived .

Links between the project and other interventions within the sector

87. The ProDoc briefly described the project's links to three GEF projects, from which its learnings would be used; and eight GEF projects of interest with which it was considered to coordinate and exchange information for an efficient implementation of the project. In addition, it was noted that efforts were expected to be complemented with four projects from other donors. However, initiatives for coordination and exchange of experiences with the aforementioned projects did not materialize, except with the Project for the Integrated Management of Water Resources in the Transboundary Basins and Aquifers of Puyango-Tumbes, Catamayo-Chira and Zarumilla (GEF-ID 5284) and the close relationship with the project Implementation of comprehensive measures to minimize mercury discharges from artisanal gold mining (GEF-ID 4799), through pilot project 11-P-06.

88. The project has complemented efforts with the Building Dialogues and Good Governance (BRIDGE) project, executed by the IUCN. In June 2019, the IWRM-TDPS Project participated in an event organized by BRIDGE in the city of La Paz, in which made a presentation on the objectives and scope of the IWRM-TDPS Project, but there is no evidence of said activity. Due to aspects related to the small team, high workload and the context of the COVID 19 Pandemic, the project was unable to establish mechanisms to coordinate and exchange experiences with other GEF projects, as planned in its design.

89. Interactions between GEF projects promote synergies for the achievement of global environmental benefits. Beyond this, the GEF International Waters projects have the IW: LEARN (https://iwlearn .net), which is a platform that shares best practices, lessons learned and innovative solutions for common portfolio problems, and offers some tools to facilitate the process such as " Twinning " and " Learning Exchange Service Center". It is important to note that despite its relevance, few interviewees demonstrated adequate knowledge of IW:LEARN and how it could contribute to overcoming the challenges described above [3].

Social and Environmental Safeguards

90. The project identified, briefly described and evaluated a social risk in the SESP, taking into account the principles and standards established in the UNDP guidelines. The risk identified was related to the inadequate participation of indigenous and peasant groups during the design and preparation of the project, which was rated as moderate. The measures to mitigate the risk were general, and did not focus on establishing effective mechanisms to encourage the active participation of indigenous and peasant communities in the design and implementation of the project. Although it was planned as an initial activity of the project, within the framework of Result 2, carry out a training of trainers (42 people from 14 hydrographic units) of educational centers of the TDPS with the

[3] However, the UBCP reports that, at the request of the National Directorate, some attempts were made to establish communication with the administrators of IW:learn for the publication of certain bulletins and the use of the geoportal for the distribution of spatial information, however Despite the attempts, no responses were received from the web administrators.

purpose of training on the needs of women and indigenous groups. , this activity was not carried out.

Incorporation of the gender approach

91. The project was not designed taking into consideration a gender approach; however, due to UNDP requirements, and based on the recommendations of the MTR, as of 2020 gender strategies have been incorporated aimed at promoting conditions of gender equality during the execution of the project, especially in the pilot projects and the Gender Plan approved in March 2022.

92. According to what is indicated in the Gender Plan, in accordance with the GEF TDA/PAE methodology, gender equality must be integrated into the content of the PAE in the development of its relevant elements. However, to date the PAE is in the review process and based on the last revised version, it is not seen that a gender approach has been incorporated for the construction of the document.

4.2 Implementation of the project

Adaptive management (changes in project design and results during execution)

93. During implementation, no changes were made to the project at the level of objectives and results. However, adaptive management was adopted at the level of indicators and reallocation of resources between components. It is important to emphasize adaptive management in the project implementation process in relation to adaptation to virtuality, readjustment to face-to-face learning, hybrid management (virtual and face-to-face), adaptation of methodologies in complementary studies, adjustment of contents of the complementary studies in accordance with the progress of the countries and at the binational level, in the training processes and in the reallocation of resources not used in the pilot projects.

94. As a result of the recommendations of the Mid-Term Evaluation, the baseline of indicator 3 "Government investment in control and mitigation of the main environmental pressures of the TDPS" was measured. In addition, the indicator and means of verification of Result 3 referring to the "Number of municipal, regional and national public policies based on the results of the pilot projects" were modified, so that the experiences and results of the pilot projects serve as an input for the preparation of technical and management instruments, but above all, to implement public policies, based on the instruments developed. In this regard, based on the results of the pilot projects, five technical and management instruments were approved, while another six instruments are in the approval process. Likewise, a public policy has been approved, and another two are in the approval process (See Indicator #4 of Table 7 Results Framework Evaluation).

Effective stakeholder engagement and partnership agreements

95. The project partners, members of the CDB (MRE-B, MINAM, UNDP, ANA, MRE-P, MMAyA), actively participated in the execution, decision-making, supervision and support in the multilevel coordination of the key actors to reach agreements of binational management within the framework of the project. However, during the execution of the project, there were difficulties in building consensus at the start of activities, especially in the first years of project execution, there were a significant number of personnel changes in the MMAyA and ANA, which generated delays in some processes (eg approvals, decision making, among others). In the ProDoc , a brief diagnosis of the key actors that participated in the project was developed. Despite this, a Strategy for the Involvement of Key Actors was not incorporated to clearly identify the roles and responsibilities of the parties. However, in the 2018 PIR, the elaboration of a Strategy for citizen participation and

articulation of key actors was suggested; which was approved by both countries and was only implemented effectively as of 2021.

96. Changes within the Binational Project Coordination Unit (BPCU) – especially the resignation of the first coordinator and the first administrator in 2019 – generated significant impacts, including delays in coordination and intermediation actions before the key players, such as members of the CBD and CTB. As of 2019 and 2020, with the hiring of the current coordinator and the administrator, respectively, the gap was overcome and a more fluid communication between the project team and the main stakeholders was perceived.

97. Even in 2020, due to the COVID 19 pandemic, the participation and work scheme was modified, with the development of remote work, workshops and virtual meetings. Despite the high adaptive capacity, this has affected, to a certain extent, the active participation of some stakeholders, especially local actors, who had limited participation due to not having adequate access to the internet, and limited the richness of face-to-face interaction. However, the BPCU continuously monitored the participation of stakeholders in activities, meetings and workshops to disseminate the results and progress of the project.

98. The participation of the key actors has been very intense in the last 2 years (2021 and 2022). For example, the MRE-B and MINAM have expressed their commitment to complete and approve the TDA/PAE and the pilot projects, and their interest in giving continuity to the implementation of the PAE. In this regard, at the Bolivia-Peru Binational Presidential Meeting and VI Ministerial Cabinet, held on October 30, 2021, the presidents of both countries signed the Declaration of La Paz, in numeral 22, they committed to approving the PAE in the third quarter of 2022.

99. Local Governments (The Regional Government of Puno, provincial and district municipalities of Peru, and the Autonomous Departmental Governments of La Paz and Oruro, autonomous municipal governments of Bolivia) and civil society organizations (including the Association of Mining Producers , Association of Aquaculturists, among others) participated in the implementation of the pilot projects and it was possible to involve them as part of the workshops and national consultations for the process of preparing the PAE; however, considering the magnitude of the project, there was evidence of limited involvement of local authorities and civil society actors in the preparation of products and other project activities.

100. It should be noted that, in the design of the project, the ALT was identified as a key actor to achieve the sustainability of the project's results. However, by decision of all the members of the project's Binational Steering Committee (CDB), ALT was not considered an integral part of the CDB, nor of the project's Binational Technical Committee (CTB). This was due to the fact that the ALT was undergoing restructuring from that moment, so it was considered that it was not the most opportune, since the decisions of the CDB were more strategic. Subsequently, by decision of all the members of the CDB, the ALT was incorporated as part of the CTB. Currently, the IUCN contributes by providing technical advice to the foreign ministries of both countries in the process of reengineering the ALT, and whose objective is the elaboration of its new Statute.

101. In the ProDoc it was pointed out that producers, the local public sector, civil society, the academic sector and NGOs would be part of the participatory process of generating information through complementary studies and pilot projects for the construction of the TDA/PAE. On the one hand, some pilots and complementary studies were implemented by the academy (eg Permanent Observatory of Titicaca, implemented by the French Institute of Research for Development and the Universidad Mayor de San Andrés) and by NGOs (eg Pilot Project for Control of Sedimentation implemented by Practical Action). On the other hand, in the process of preparing the PAE, there

was evidence of limited participation by the aforementioned actors, as well as by local authorities and the population (beyond the pilot projects).

102. With the aim of promoting citizen participation, the project has been implementing an Environmental Education and Communication Strategy and a Citizen Participation Strategy, with 80% progress to date. Among the recent actions, there was a campaign for the promotion, care and valuation of the TDPS system and its hydrographic basins, called "Our clean basin, our home", which seeks to promote informed and articulated participation among the project's key actors, including to the inhabitants of the TDPS system.

Risk Management and Social and Environmental Standards

103. In the 2022 Annual Implementation Report (PIR), the project was rated as low risk. However, the previous PIR (2021) had assessed the project as high risk. During project implementation, risks associated with: i) delays in product approval processes by CDB members and procurement processes, ii) delays due to COVID 19, and iii) the political situation in both countries were identified. In this regard, the project implemented measures to mitigate the risk, such as facilitating and promoting binational meetings to improve review/approval processes of the TDA/PAE, biosafety protocols, and informing the new authorities about the project. In addition, the SESP for the PIR 2021 process was reviewed and updated, the new moderate risk due to covid-19 and the possibilities of contagion were included, mainly in the pilot interventions.

104. The risks were mitigated by holding meetings initially bi-monthly and then monthly held by the RTA with UNDP, BPCU and IPs. The meetings and agreements to expedite the delivery of products were recorded in a Management Action Plan. This measure allowed the execution of the project to continue as planned. An adequate record of the risks was kept during the implementation of the project, in the Risk Management Action Plan, which is contained in PIMS.

105. An additional risk that was not identified was related to the high political instability in Peru and Bolivia from the years 2019, 2020 and 2021, which led to abrupt changes of presidents, ministers, therefore, technical staff and above all of focal points [4]. The aforementioned generated a high impact in the execution of the project (delays in the approval of products for the TDA/SAP.

Project Financing and Co-financing

106. The total projected cash budget for the project was US$6,663,750; of which US$6,588,750 were financed with resources from the fifth replenishment (GEF-5). The difference was contributions from UNDP Peru (US$50,000) and UNDP Bolivia (US$75,000) – see table 4. Likewise, the total budget in kind as co-financing would be US$35,504,400, with contributions from the Government of Peru (US$18,474,400).), the Government of Bolivia (US$16,529,000), the UNDP (US$315,000), the IUCN (US$120,000) and the CAFOD – Catholic angency for Overseas Development ($66,000).

107. The project had a division of the budget (Financed by the GEF) between the UNDP offices in Peru and Bolivia. In Peru, MINAM was responsible for the financial management of the Binational Project and its national components (US$5,133,750); while the MRE-B and MMAyA were responsible for the financial management of the Bolivia National Project (US$1,430,000).

[4]It is important to point out that, although as of 2021, there were significant changes in the senior management of MINAM, there were no substantive changes in the focal points of the Peruvian sphere, which have rather remained relatively stable since 2020. In this regard, At least one of the two specialists from the direct execution of the project has remained, so, although there have been some delays for this reason, they have not been of great relevance for the execution of the project.

108. The project adopted a set of instruments for financial management that were updated, but not constantly (eg Annual Operating Planning – AWP), Combined Performance Report (CDR). These instruments allowed the UBCP and the project partners to make informed decisions regarding the updated budget, promoting the timely flow of funds and contributing to satisfactory follow-up on the payment of project deliverables.

109. The evaluation verified the correct application of the financial management rules and compliance with the UNDP financial management policy, as well as the due diligence of expenditures compared to the approved budget of GEF funds throughout the life of the project.

110. As of August 19, 2022, the budget execution is 81% – see table 5). The UBCP expects that 99% execution will be reached by October 2022. In relation to budgeted co-financing, both countries reported that they exceeded the committed co-financing for the project initially planned by USD 34,174. 548 (ProDoc) at USD 35,467,553 (reported as of June 30, 2022) – see table 6. However, the details of how the committed co-financing was calculated were not available.

Tabla N° 4. Cash budget by funding source and country component (ProDoc)

Funding source	Peru/Binational	bolivia	Total
GEF	5,133,750	1,430,000	6,563,750
UNDP	50,000	75,000	125,000
TOTAL	5,183,750	1,505,000	**6,688,750**

Tabla N° 5.Budget and budget execution as of August 19, 2022

Actividad (ATLAS)	Componente	Resultado	Tareas	Presupuesto PRODOC	Presupuesto	Gastado al 19 de agosto de 2022	% Ejecución	% Ejecución Financiera	% Ejecución Fisica
1	1	1	19 Estudios Complementarios	$1,235,000	$1,000,000	$822,920	82.0 %	73.5 %	75.0 %
			Análisis de Diagnóstico Transfronterizo (ADT) / Plan de Acción Estratégico (PAE)	$591,800	$1,400,000	$961,167	69.0 %		
		2	ALT	$50,000	$50,000	$11,700	23.0 %		73.0 %
			Cursos GIRH	$265,250	$120,000	$93,530	78.0 %		
	2	3	5 Proyectos Pilotos Proyecto Nacional (Bolivia) 00094336	$1,430,000	$1,430,000	$1,358,185	95.0 %	86.6 %	85.0 %
			6 Proyectos Pilotos Proyecto Binacional (Perú) 00094352	$1,400,000	$1,400,000	$1,116,384	80.0 %		
2			Gestión soporte, foros y memoria de los pilotos	$59,200	$59,200	$27,176	46.0 %		
3	3	4	Programa Monitoreo Ambiental	$349,450	$160,000	$145,067	91.0 %	90.7 %	46.7 %
4	4	5 y 6	Comunicación Educativa Ambiental y participación y articulación ciudadana en apoyo a la GIRH	$649,300	$410,800	$304,361	74.0 %	74.1 %	91.1 %
5	5	GP	Gestión del Proyecto Binacional - 00094352	$533,750	$533,750	$483,672	91.0 %	90.6 %	-
			Total	**$6,563,750**	**$6,563,750**	**$5,324,162**		**81.0 %**	**74.0 %**

Source: Executed Real Expenditure Document.

Tabla N° 6.Co-financing as of June 30, 2022

Co - financing sources	Name of co-financier	Type of co - financing	Amount of co - financing confirmed PRODOC	Mobilized investment	Co-financing reported as of June 30, 2022
host government	Bolivian Government	donations	$14,800,000	Mobilized investment	$17,910,986
host government	Bolivian Government	In species	$1,500,000	recurring expenses	$2,136,569
host government	Government of Peru	donations	$8,795,623	Mobilized investment	$9,574,812
host government	Government of Peru	In species	$8,178,077	recurring expenses	$5,614,000
Civil Society Organization	IUCN	In species	$120,000	*(not established or not applicable)*	$ -
Civil Society Organization	CAFOD	In species	$66,000	recurring expenses	$81,051
host government	IES Mariano Melgar	In species	$229,000	*(not established or not applicable)*	$ -
GEF Agency	UNDP Peru	donations	$50,000	Mobilized investment	$50,000
GEF Agency	UNDP Peru	In species	$25,000	recurring expenses	$25,000
GEF Agency	UNDP Bolivia	donations	$50,000	*(not established or not applicable)*	$ -
GEF Agency	UNDP Bolivia	In species	$25,000	recurring expenses	$75,135
GEF Agency	CAP NET UNDP	In species	$265,000	*(not established)*	$ -
Total			**$34,103,700**		**$35,467,553**

financing Document

4.2.1 Monitoring and Evaluation

111. The ProDoc contains a brief Monitoring and Evaluation Plan and a Results Framework with indicators of objectives and results for the implementation of the Project together with the baseline information, except for indicator #G3 "Government investment in control and mitigation of principals". Regarding the Monitoring and Evaluation plan foreseen in the ProDoc, a monitoring matrix was included that, in addition to the indicators of objectives and results, includes a follow-up of the Action Plan of the interested parties, the Gender Plan and the basic indicators of the GEF, plans not developed at the beginning of the project. A "Monitoring Tool or Monitoring Instrument of the Annual Work Plan" was also included, which contains the planning of monitoring activities defined in a Work Plan by component in an Excel sheet. In the initial workshop held on November 22, 2017, the first Annual Work Plan was reviewed, at the level of results and times.

112. The indicators defined to measure the achievement of the project objective focus on binational agreements, stakeholder involvement and the amount invested in remediation, when the objective is conservation and sustainable use of the resources of the TDPS system, through the updating of the PDGB, for therefore, some specific indicators of system resources should have been defined. In addition, even though the objective indicator #G3 is specific, measurable, achievable, and temporary, it does not allow the identification and measurement of the project's contribution to its objective (See indicator #G3 in Table 7: Evaluation of the results framework).

113. One of the recommendations of the MTR was that “SMART intermediate and specific goals and milestones be established, coherent to relate the general objectives with the progress, and potential of the studies and pilot projects for the design of policies and action programs”, “ Review the indicators, especially those whose baseline has not yet been established, and make the decisions to proceed with their determination, or to redefine the indicator in the most appropriate way for the relevant result”. Thus, the goal of result 2 and the indicator of result 3 were adjusted. Although these adjustments represented an improvement of the indicators presented in ProDoc, some indicators (eg G3, #2 and #3) still show limitations with respect to their specificity. and measurability (in addition, no metadata was produced during the review of the indicators). Likewise, regarding the indicators of the pilot projects presented in the ProDoc, no update or evidence of monitoring of their indicators was found.

114. The budget assigned for the Monitoring and Evaluation (M&E) of the Project was US$173,000. Where the meetings of the Inception Workshop (US$8,000), Binational Steering Committee (US$24,000) and Binational Technical Committee (US$32,000) correspond to the main coordination spaces. The remainder of the budget was allocated for the mid-term evaluation (US$25,000), final evaluation (US$28,000), audits (US$40,000), and field visits (US$16,000). The perception of the actors is that the budget for M&E has been sufficient, however, no evidence was found of the physical and financial follow-up of this component in the reports, except for the item "Project Management" that covers more topics than M&E (See Table 5).

115. An M&E specialist was hired who had the responsibilities of: i) Compile and systematize the information of the project indicators, ii) Verify that the binational and national activities are being implemented according to the Annual Work Plan (AWP), iii) Prepare quarterly reports with recommendations for the Binational Project Coordinator (CBP), and iv) Provide the information and support necessary for the MTR and ET of the project.

116. The usual GEF IW instruments for M&E were indicated in the ProDoc : an Inception Report, Project Implementation Reports (PIR), Annual Work Plans (AWP), Annual Project Report (APR), Quarterly Progress Reports (QPR), audits, the MTR, project publications and the ET. To date, five PIRs have been carried out, the last one with the information up to June 2022. Regarding the RWAs, four RWAs have been carried out, the last one with the information up to December 2022. In the case of the AWPs, worked one per year, with their respective updates throughout the year. The MTR was carried out between June and August 2019. In most cases, the project submitted the PIRs, AWPs, and APRs on time and with satisfactory quality, which improved as the project progressed and the number of reports, specifically the PIRs.

117. Under GEF-5 IW procedures, the project was also expected to report on achievement of goals in the GEF through the *GEF International Waters Tracking Tool,* which has been completed twice: May 2019 and September 2022. There is no evidence of the use of this tool in making decisions about project management.

118. The project, in its second half, has actively used the M&E reports, the PIRs and the APRs, to monitor the activities, carrying out an adaptive management, especially to increase the execution ratio. The filing date of the PIR was in August of each year, while the APRs were filed in December of each year. The APRs were used for the members of the CDB to carry out the planning of their activities and as a follow-up and monitoring tool for the project.

119. The project adopted a response matrix to implement and follow up on the main recommendations and key issues raised by the MTR. This matrix included the specific recommendation, the status of implementation of the recommendation, and a description of actions taken. The vast majority of

the recommendations have been adopted and implemented. For example, one of the recommendations was to follow up on the coordination and decision-making spaces defined in the APR. According to the recommendations follow-up document, between 2017 and 2021, 9 CBD meetings and 12 CTB meetings have been held. Initially, 8 and 12 meetings, respectively, were planned for that period of time. However, there is no evidence of the M&E budget used in these coordination spaces.

120. On the one hand, the four audits were not carried out foreseen in the ProDoc, initially budgeted at US$40,000. On the other hand, the UNDP Peru and Bolivia Program offices were programmatically audited, including the GEF-TDPS project (binational and national, respectively). The UNDP Peru audit report was presented on June 20, 2022 and the result was “Fully satisfactory” because it was considered that “the governance arrangements, risk management practices and controls evaluated were adequately established and functioned well”. While, the UNDP Bolivia audit report was presented on February 9, 2021, and the result was "Partially Satisfactory/Needs important improvement", because it was considered that "The governance arrangements evaluated, the risk management practices and the controls are in place and work, but need major improvements [5].”

121. Currently, the project team is executing the last activities at an accelerated pace and preparing the final project report, consolidating the information generated by the project and the project team expects the monitoring instruments for the closure of the project, including the last APR, delivered on time. This ET report, one of the M&E instruments, was delivered on schedule (one month before project closure).

122. The project did not adopt a robust and easy to use/visualize management tool for M&E implemented from the beginning of the project that has benefited the execution of the project. This M&E tool could have allowed the project team to carry out a detailed process of planning, monitoring and follow-up of activities, products and indicators, detailed quotation of consultancies/services, unified information systems and identification of resources mobilized from co-financing.

123. The M&E design at the beginning of the project was rated moderately unsatisfactory. The implementation of M&E was rated as moderately satisfactory. Thus, the overall M&E rating was moderately satisfactory.

Monitoring and evaluation (M&E)	Assessment
M&E design	ME
M&E implementation	MS
Overall M&E	**MS**

4.2.2 UNDP implementation/oversight and delivery partner execution, overall project implementation/execution

124. UNDP played an important role in the identification of the project, preparation of the concept note, estimation and detailed preparation of the proposal and its approval. Both the MTR and the present TE identified the need for the implementing agency to have a more proactive and effective attitude

[5] UNDP Bolivia reported that based on the recommendations of the audit, UNDP Bolivia implemented actions that allowed it to improve governance, risk management and with a training plan that improved programmatic, financial and operational practices and controls.

during some critical moments of the project, especially in its first years of implementation, to manage critical situations, define roles and carry out a start-up phase in an appropriate way to enable fast and efficient implementation. It should be noted that the signing of the project in Bolivia took place two years after that in Peru; likewise, there was a low level of execution during the first three years of the project.

125. However, this evaluation showed that, in the last two years, UNDP has increased its focus on monitoring project results, and to a certain extent, its link with monitoring, supervision, articulation and political advocacy activities. The annual reports presented the progress and difficulties of implementing the project. For example, in the last two years, the UBCP began to meet bimonthly and then monthly under the leadership of the UNDP Technical Advisor for LAC, improving coordination and project implementation strategies.

126. The MRE-B and MINAM were the executing partners. In addition, the ANA, the MRE-P and the MMAyA participated directly in the execution of elements of the project. The Government of Peru, as the host country, has been responsible for monitoring and executing the binational components of the project, with the support of UNDP Peru. Similarly, this office was responsible for supervising financial expenses with respect to the project's binational budget. Likewise, UNDP Bolivia has been in charge of monitoring and executing the National Component (implementation of 5 pilot projects). The project has been implemented under the national implementation modality (NIM), in accordance with UNDP standards and regulations. In this way, UNDP acted with the dual role of GEF implementing agency and execution support entity. At the request of the governments of Peru and Bolivia, UNDP provided administrative and operational services for the execution of the project. Various actors interviewed consider that the procurement and contracting processes of UNDP as an implementing agency are, to a certain extent, slow and bureaucratic. This, coupled with the delay in the signing of the ProDoc by Bolivia (10/29/2018), generated delays and affected the execution of the project, to a greater extent in its initial years.

127. The executing partners, at the beginning of the project, had little prior technical and operational experience to execute a binational transboundary waters project of this magnitude. These capacities were strengthened as the project was being implemented. In this regard, it should be noted that the constant changes of focal points made the work difficult and negatively affected the execution of the project; however, as of 2020, changes in focal points occurred more regularly in Bolivia than in Peru. In some cases, it was perceived that the technical team of the partner institutions of the project also had a significant volume of demands of their own bodies to account for and that, at certain times, the demands of the project were considered "additional burdens". For example, some actors interviewed reported that they could only review documents (eg Complementary Studies, ADT/PAE) at the end of the file. In addition, UNDP, in country offices, has relatively small and multi-attributed teams, which limits the ability of UNDP country offices to offer specialized technical support on IWRM. In order to support the execution partners, the project hired two Technical Coordination Specialists, one for each country, who provided direct support to the executing agencies (MINAM, in the case of Peru and MRE-B in the case of Bolivia). Additionally, to the two Technical Coordination specialists assigned to the National Coordination Offices, as of March 2022, both delegations were strengthened with four specialists (2 for Bolivia and 2 for Peru) to support the SAP preparation process in a exclusive manner.

UNDP implementation/monitoring and execution	Assessment

UNDP implementation/oversight	MS
Execution of implementing partners (IP)	MS
Overall quality of Implementation/Oversight and Execution	MS

4.3 Results of the project

4.3.1 Progress towards goal and expected results

128. At the time of the ET, the Project has satisfactorily complied with 7 indicators (G1, G2, G3, #2, #3, #6 and #7) of the 10 existing ones – see Table 7. Most of the indicators have been been achieving in the course of the year 2022, except for the G3 indicator. The remaining three indicators (#1, #4, and #5) are expected to be met by the end of the project. In the case of indicator #1, progress is 80.5% for the TDA and 60% for the PAE, but the achievement of the indicator depends on the approval of these documents and not only on completing the documents. In the case of indicator #4, 6 of the 11 instruments are finished and in the approval process, it is expected that the approval will take place in this last month of execution. As for the 4 public policies, only 1 is approved, the other 3 are in the approval process. Finally, regarding indicator #5, it depends on the socialization of the information generated with the project and carrying out the satisfaction survey, but there is no evidence that it will be carried out.

4.3.2 Relevance

129. The project was in line with the environmental and development priorities of Bolivia and Peru. The objective of the project is relevant to the priorities of UNDP in Peru (CPAP 2012-2016 Outcome 4: The State, with the participation of civil society, the private sector, scientific and academic institutions, will have designed, implemented and/or strengthened policies, programs and plans, with an environmental sustainability approach, for the sustainable management of natural resources and the conservation of biodiversity and CPD 2017-2021 Outcome 1: Inclusive and sustainable growth and development) and Bolivia (CPAP Result 4.2.: Integrated sustainable management systems for Mother Earth developed in prioritized intervention areas). The project implemented a participatory approach involving more than 40 binational, national, and local public institutions and local organizations, promoting the strengthening of their capacities and developing tools to better manage transboundary water resources. The project, from its design, took advantage of the opportunity to safeguard the conservation of biodiversity, while strengthening capacities for the integrated management of water resources and the protection and recovery of critical ecosystems for water supply.

130. The project proved to be relevant for both countries. In the case of Peru, the project contributed to the UNDAF ED Outcome 4 as it promoted the participation of key actors and their appropriation of the results of the pilot projects and complementary studies. This resulted in the design and strengthening of water policies, programs and plans, which is part of the achievement of Result 4 of the UNDAF Peru. It should be noted that this result was expected to be achieved with "the private sector, scientific and academic institutions", but the limited participation of these stakeholders was one of the shortcomings of the project, especially the private sector. Likewise, the project contributes to the UNDAF ED Result 1, as of 2021, people in situations of vulnerability, poverty and discrimination improve their access to livelihoods and productive employment, through local economic activities (agriculture, fishing, etc) being sustainable development pathways that strengthen social and natural capital, integrating adequate disaster risk management. In the case of Bolivia, the project proved to be relevant for UNDAF

Outcome 4 in Bolivia as it promoted and supported the conservation and sustainable use of the environment, as well as contributing to the strengthening of the sustainable management of water resources. Within the framework of the project's results, it contributed to issues related to the environment in the TDPS area, through climate change mitigation activities. In addition, both countries have expressed their commitment to approve and validate the TDA/SAP, management instruments of the TDPS system.

131. The project has been relevant to several outcomes of the GEF-5 IW focal area objectives, especially outcomes 3.1, 3.2 and 3.3, and IW-3. The project increased, in both countries, political commitment, shared vision and institutional capacity for watershed management. The project considered the ecosystem approach (Result 3.1. of the GEF-5 IW). In addition, the project implemented demonstration actions on the ground that contributed to improving the quantity and quality of water in the TDPS transboundary system (GEF-5 IW output 3.2). Finally, the project will be able to strengthen the portfolio of projects on international waters if an efficient process of knowledge management and learning is carried out, and an adequate dissemination of experiences, products, and results is carried out.

132. In 2015, a year before the start of the project, the Sustainable Development Goals (SDGs) were adopted by the UN General Assembly through its 193 member states, including Peru and Bolivia. The project has contributed to achieving SDGs 6, 11, 12, 13, 15 and indirectly to SDGs 1 and 17. However, the project, through its planning and reporting documents/strategies, still appears not having fully perceived their positive contributions towards SDG 6, its goals and indicators.

133. Finally, the relevance of the project is rated as **Satisfactory**.

Tabla N° 7. Evaluation of the Results Framework (Indicators)

Indicator	Baseline	final goals	Achievement at the end of the project	Valuation rationale	Assessment [6]
Objective: Promote the conservation and sustainable use of water resources in the Titicaca – Desaguadero – Poopó – Salar de Coipasa (TDPS) transboundary system, by updating the Global Binational Master Plan.					
G1 – Number of specific binational commitments to address critical aspects of the conservation and sustainable use of water resources and advance IWRM of the TDPS	0	≥ 3 commitments 1. Harmonized water quality standards 2. Agreement to reduce the pollutant load of domestic and industrial wastewater 3. Agreement to optimize the TDPS monitoring system	More than 3 approved commitments: 1. Binational Protocol for Monitoring the Water Quality of Lake Titicaca, approved at the end of 2020. 2. The Presidential meeting and the VI meeting of the Bolivia-Peru binational ministerial cabinet were held on October 30, 2021. In the Declaration of La Paz, in article 17 it is stated: "They underlined the importance of continuing to strengthen cooperation to recover environmental balances and ensure biological diversity through comprehensive and shared management of transboundary water resources". Likewise, in the Action Plan of the Declaration of Peace, Commitment 6, "The Ministry of Housing, Construction and Sanitation of the Government of Peru and the Ministry of Environment and Water of Bolivia, undertake to prepare a binational report to identify social problems associated with wastewater treatment projects and propose strategies to solve these problems, in the border area. 3. Peru and Bolivia have agreed to prepare the "Binational Proposal for the Comprehensive Environmental Monitoring System of the TDPS System" through EC 9, which is at 25% (June 2022).	The goal has been reached. The agreements / commitments have been generated for the specific topics defined. However, the commitments do not ensure the promotion of the conservation and sustainable use of water resources if planning and monitoring mechanisms are not developed so that they go from being commitments to specific actions. Thus, for the Plan of Action of La Paz, a follow-up document has been prepared. As of June 2022, commitment 6 of the Action Plan of the Declaration of Peace is approximately 25% complete.	**HS** Goal achieved
G2 – Number of river basin management organizations / river basin water resource councils	1 (Katari River Basin Management Agency (Bolivia)	≥ 3	4 organizations on hydrographic basin management or basin water resource councils have been created: 1) Titicaca Basin Water Resources Council (October 2021) 2) Institutional Platform of the Suches River (November 2021) 3) Basin Management Agency (OCG) of the Municipality of Charaña (April 2021) 4) Basin Management Agency (OGC) of the Jacha Mauri River (Municipalities of San Andrés and Santiago de Machaca) (September 2021)	The goal has been reached. The organizations have been generated with the project, however, it is necessary to define roadmaps for each of these organizations and thus ensure the level of commitment to activities that contribute to the integrated management of water resources.	HS Goal achieved
G3 – Government investment in control and mitigation of the main environmental pressures of the TDPS	173,756,889 USD (141,070,735 USD Peru and 32,686,154 USD Bolivia)	Increase ≥50%	Increase of 145.39% USD. 426,376,312.06 (USD 150,286,295 in Peru and USD 276,094,016 in Bolivia)	The increase in government investment exceeds the initially set goal by 95%. The increase in Peru was 6.5%, while in Bolivia it was 744%. However, it is not possible to ensure that the increase in investments is due to the project, especially in the years 2018, 2019 and 2020, when the project was just beginning.	S Goal achieved

[6]Rating: AS – Highly Satisfactory, S – Satisfactory, MS – Moderately Satisfactory, MI – Moderately Unsatisfactory, I – Unsatisfactory, AI – Highly Unsatisfactory

Indicator	Base	final goals	Achievement at the end of the project	Valuation rationale	Assessment
Outcome 1: The TDPS Transboundary Diagnostic Analysis (TDA) and Strategic Action Program (SAP) have been formulated and adopted.					
#1 – Approval of the ADP and the PAE. The PAE is based on IWRM and river basin management	The original PDGB does not incorporate the IWRM perspective Both countries have adopted the concept of water resource management by river basins.	ADT formally approved by both governments PAE formally approved by both governments. PAE incorporates IWRM strategies for each level 3 and 4 hydrographic unit of the TDPS (14 units)	The ADT is not finished. At the end of the data collection stage of this Final Evaluation*, the level of execution of the diagnosis was 80.5%. The UBCP estimates that the TDA will be approved in September 2022. The PAE is not completed. The execution level of the Plan* was 60%. The UBCP estimates that the PAE will be completed in October 2022. *The information presented in this table corresponds to the evidence identified until the end of the ET data collection stage (September 2, 2002).	This is the most relevant result of the project and the same has not yet been achieved. The TDA should act as an important input for the PAE. But the development of the TDA only began in January 2021 and the diagnosis was initially expected to be ready by March 2022. However, due largely to deficiencies in the products presented by the consulting company, the diagnosis is not yet complete. passed. The preparation of the PAE began on February 25, 2022. The delay in starting the consultancy to develop the PAE was due, in large part, to the difficulties of coordinating and specifying the ToR to contract the service, and the associated administrative delays to contracting, given that the PAE call process began on November 23, 2021 and the contract was signed on February 24, 2022. In addition, the participatory nature and scope of the PAE demands a high involvement of the technical staff of the implementing agencies. The PAE was conceived to incorporate IWRM level 3 and 4 strategies (according to the Pfafstetter methodology) for each of the 14 geographical units of the TDPS system, however, as the PAE is not yet complete, sufficient evidence could not be identified. It should be noted that the ProDoc defined 22 Complementary Studies (CS) that would contribute to the TDA/PAE. However, it was decided to carry out 19 of them. Regarding these complementary studies, no specific indicator was developed, since they correspond to a product of Result 1. The first ECs began in September 2019 EC-1 and EC-14 (phase 1). In 2020, 11 ECs started development (EC2, 3A, 3B, 4, 5, 6, 8, 10, 12, 13, 15, 16, 18). EC 9 and 16 began in 2021, and EC 14 (phase 2) began in 2022. To date*, 11 ECs have been completed, 2 ECs are in the approval process, and 4 are in execution . At the start of the ADT, only EC 14 (Phase 1) had been completed and approved. Due to the fact that the TDA has taken longer than was initially defined, some of the findings of the Complementary Studies that concluded throughout 2021 and in 2022 managed to be partially incorporated into the TDA and PAE.	**MI** goal in progress
Outcome 2: Improvements in measures of institutional capacity for IWRM implementation in the TDPS system in both countries.					
#2 – Number of national, regional and local government officials trained in IWRM with satisfactory results	0	≥ 60% of officials with satisfactory qualification in IWRM courses	52% of government officials (277: 112 women and 165 men) trained in 2 complete courses on IWRM obtained a satisfactory grade.	At least 10 virtual and face-to-face training events on IWRM have been carried out. Two virtual workshops on the gender equity approach in IWRM were held for 42 people (24 women and 18 men). The goal has been partially achieved, and relevant progress was identified in relation to this indicator (52% of the 60% foreseen in the goal).	**S** Goal achieved
#3 – Number of programs on IWRM, broadcast through local radios	0	> 60 people / hydrographic unit, level 3, received training through local radio programs.	8 radio programs launched in Spanish, Quechua and Aymara that reached more than 240 people (144 women and 96 men).	This indicator is important to include remote populations that do not access virtual media and it is even expensive to access other media. This indicator allows to measure how inclusive the project can be. However, the indicator refers to the number of radio programs while the goal refers to the number of people. This indicator could have been defined based on the number of radio programs and the number of those trained.	S Goal achieved

Indicator	Baseline	final goals	Achievement at the end of the project	Valuation rationale	Assessment
Result 3 – The practical learning generated in pilot experiences contribute to the formulation of the PAE and contribute to decision-making					
#4 – Number of technical / management instruments, based on the results of the Pilot Projects, that can contribute to the design of public policies	0	> 10 approved technical/management instruments. > 4 public policies effectively supported by the instruments	**11 technical/management instruments have been developed** . 5 have been approved and 6 are in the approval process: 01-B-01: "Guide for the application of ancestral measures for the control of sedimentation at the source: A contribution of ancestral knowledge for the management and comprehensive management of basins". Approved in June 2022. 02-B-02: "Manual of revitalization actions for bofedales of the Municipality of Charaña ". Approved in December 2021. 03-B-03: "Guide for the Construction of Artificial Totora Wetlands" Approved in June 2022. 04-B-04: "Diagnosis and Mitigation Plan for Water Quality Management in the Suches River Basin". Approved in December 2021. 05-B-05: "Methodological guide for research and limnological monitoring of Lake Titicaca - with emphasis on the eutrophication of Lake Menor". Approved in June 2022. 06-P-01: "Guidelines for the use of artificial wetlands in the recovery of water quality". Not yet approved – the project team estimates that the instrument will be approved in September 2022. 07-P-02: "Wetland Manual of the pilot project: Phytoremediation techniques in bodies of water affected by domestic wastewater in the inner bay of Puno." Not yet approved – the project team estimates that the instrument will be approved in September 2022. 08-P-03: "Guide on the technological platform for water management – Case applied to the Ilave River and proposal for the monitoring network of water resources in the Ilave River ". Not yet approved – the project team estimates that the instrument will be approved in September 2022. 09-P-04: "Manual for the development of sustainable aquaculture in Lake Titicaca". Not yet approved – the project team estimates that the instrument will be approved in September 2022. 10-P-05: "Guide for the elaboration of community plans for the management of water and territory in micro-basins". Not yet approved – the project team estimates that the instrument will be approved in September 2022. 11-P-06: "Regional Mining Plan for the promotion of clean technologies applicable to small-scale mining and artisanal mining." Not yet approved – the project team estimates that the instrument will be approved in September 2022. **4 of public policies based on the instruments developed.** 1 approved and 3 not yet approved. Municipal Resolution No. 122 of the Municipal Government of Charaña , which approves the Bofedales Management Plan (02-B-02). Proposal for a Municipal Law on Economic, Productive and Environmental Development for the Municipality of Pelechuco and Proposal for a Municipal Law on the use and commercialization of mercury in the Municipality of Pelechuco (04-B-04) Regional Mining Plan for the promotion of clean technologies applicable to small-scale mining and artisanal mining in the Puno Region (11-P-06)	The Indicator was adjusted and approved on 03/22/2021. The modification was necessary to be able to comply with the result during the implementation of the project. Thus, management instruments developed from the pilots that contribute to the development of public policies were defined. The indicator changed to > 10 management instruments and > 4 public policies. To date there are 11 management instruments. However, 6 of these instruments are still in the approval process. They are expected to be approved before the project ends. Regarding public policies, 4 proposals have been developed, but only 1 has been approved to date.	**MS** goal in progress

Indicator	L.Base	final goals	Achievement at the end of the project	Valuation rationale	Assessment
Result 4 – Up-to-date, accurate and relevant information on the management of the TDPS is available and accessible to allow the PAE to be implemented in an adaptive manner, including attention to social and gender variables.					
# 5 – Level of satisfaction with the quality of the information and the ease of access of national, regional and local authorities, and social and productive organizations.	0	satisfied >80% (14 hydrographic units)	The level of satisfaction is 57.1%. It is the result of the application of surveys to the representative group of national, regional and local authorities, as well as social and productive organizations. The survey was carried out in May 2022.	The goal has not been fully achieved. However, the effort that the project has made in recent years to facilitate access to information stands out. The project has shared the project information on the website, where information on some of the Complementary Studies and some communication products developed for the pilot projects can be found.	**MS** goal in progress
Result 5 – The key actors know the central problems of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions.					
#6 – Level of knowledge of public authorities and social and productive leaders about the problems of the TDPS and the existing instruments for the binational management of the system.	60%	> 80% Level of knowledge of public authorities and social and productive leaders about the problems of the TDPS and the existing instruments for the binational management of the system.	82% of the authorities and social and productive leaders know the environmental problems of the TDPS. These results correspond to the interviews conducted in June 2022 with more than 50 actors, including social leaders and authorities of the hydrographic units. As of December 2021, progress was 73%, as a result of the interviews and focus groups that were carried out within the framework of the consulting service "Design of environmental education and communication strategies and citizen participation strategy" as part of the diagnosis of communication and citizen participation in 11 hydrographic units of the TDPS system in both countries.	The goal has been exceeded. On the one hand, the project has advanced with the implementation of environmental education and communication strategies; and citizen participation, with an advance of 80% to date. In this sense, in the second half of 2021, the campaign "Our clean basin, our home" was launched, through which various communication products have been developed and implemented and socialized digitally, in print and on the radio, both in Spanish and in Spanish. in Quechua and Aymara . The dissemination of these communication products continues to advance at a good pace and reaches the most distant Municipalities and Social Organizations.	HS Goal achieved
Result 6 – The key actors participate actively and in an articulated manner to face the central problems of the TDPS system.					
#7 – Number of platforms with active participation of public authorities and social and productive leaders.	two	> 8 platforms with the active participation of public authorities and social and productive leaders	8 Platforms have been formed with the involvement of government authorities, social and productive leaders: 1. Katari Basin Management Unit (Bolivia) 2. Katari River Basin Management Agency (Bolivia). 3. Poopó Basin Management Platform (Bolivia) 4. Multisectoral Commission for the Prevention and Environmental Recovery of the Lake Titicaca basin and its tributaries (Peru). 5. Titicaca Basin Water Resources Management Council (Peru). 6. Suches River Binational Technical Commission 7. Peru-Bolivia Binational Technical Commission on the Maure-Mauri River 8. National Commissions for ALT Affairs (CONALT)	The 8 platforms have been formed within the framework of the project and spaces for discussion and coordination have been generated in relation to the TDPS system.	**HS** Goal achieved

4.3.3 Effectiveness

134. The **main objective** of the project "Promote the conservation and sustainable use of water resources in the Titicaca - Desaguadero - Poopó - Salar de Coipasa (TDPS) transboundary system, through the updating of the Global Binational Master Plan [7]" is being fulfilled satisfactorily. The three objective indicators (G1, G2 and G3 – see Table 7) have been fulfilled, being their rating HS, HS and S, respectively. Three binational commitments (G1) have been created to date, however, these agreements/commitments do not ensure the promotion of conservation and sustainable use of water resources by themselves. It will depend on the development of adequate planning, implementation and monitoring mechanisms. Four river basin management organizations (G2) have been created, however, it is necessary to define roadmaps to ensure that these organizations can continue their work beyond the project. Finally, the combined execution of government budgets increased significantly (G3).

135. Regarding Result 1: "Formulation and Adaptation of the Cross-Border Diagnostic Analysis (TDA) and the Strategic Action Program (SAP)", the progress reported for the TDA is 80.5%, while for the SAP it is 60%; however, both are expected to be approved in September and October of this year, respectively. Ideally, these two documents would be prepared in sequence, with the TDA being an important input for the SAP. However, due to delays with the TDA, it and the SAP are being prepared in parallel, which is not ideal, as has been repeatedly mentioned by various actors interviewed. This is the most important result of the project and a high level of commitment and dedication of the project actors is perceived in ensuring that the TDA/SAP are concluded and approved.

136. The lack of an indicator on how the technical information and data generated with the Complementary Studies are incorporated into the TDA makes it difficult to visualize this effort in the results framework. Nineteen of the 22 Complementary Studies defined in the ProDoc have been carried out. The elaboration of the EC began in September 2019 (EC-1 and EC-14 phase 1). In 2020, 11 ECs started development (EC2, 3A, 3B, 4, 5, 6, 8, 10, 12, 13, 15, 16, 18). EC 9 and 16 began in 2021, and EC 14 (phase 2) began in 2022. To date, 11 EC have concluded, 2 EC are in the approval process, and 4 are in execution. At the start of the TDA, only EC 14 (Phase 1) had been completed and approved. Because the TDA has taken longer than initially defined, it was possible that some findings of the Complementary Studies that concluded throughout 2021 and 2022 have been partially incorporated.

137. Result 2: “Improvements in measures of institutional capacity for the implementation of IWRM in the TDPS system in both countries”, has been achieved satisfactorily (S). Training was provided to different government officials, with 52% of the participants obtaining a satisfactory grade (indicator #3). In addition to this, 8 radio programs (indicator #4) were launched in Spanish, Quechua and Aymara , reaching at least 240 people.

138. Regarding Result 3: "The practical learning generated in pilot experiences contribute to the formulation of the PAE and contribute to decision-making", a moderately satisfactory performance has been achieved. To date, the goal has not been fully met, but it was verified that the goal is in progress. Eleven technical/management instruments were developed, of which five have been approved and six are in the approval process. It was a success to change the indicator so that the pilots are inputs for public policies. 11 pilot projects were implemented, 5 in Bolivia and 6 in Peru.

[7] Annex A of the ToR indicates that "The Global Binational Master Plan (PDGB) of the TDPS Water System is equivalent to the Strategic Action Plan (PAE) defined by the GEF within the framework of the International Waters focal area."

The objective and result indicators of the pilots were defined in the PIF and in Annex 9 of the ProDoc, but have not been incorporated into the results framework.

139. For its part, Result 4: "Updated, accurate and relevant information on the management of the TDPS is available and accessible to allow the SAP to be implemented in an adaptive manner, including attention to social and gender variables" has been progressing steadily. moderately satisfactory. The defined indicator is the level of satisfaction with the quality of information and ease of access to it. The goal has not been fully achieved. However, the effort that the project has made in recent years to facilitate access to information stands out. In May of this year, the level of satisfaction reached was 57%, 23% below the objective of 80%. The project has shared the information generated on its website, where information on Complementary Studies can also be found. During the interview process, various key actors highlighted that there are opportunities for improvement to make the enormous amount of information and knowledge generated by the project more accessible and easily accessible.

140. Result 5 "The key actors know the central problems of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions" has been achieved and the goal of having 80% Level of knowledge of public authorities and leaders social and productive on the problem of the TDPS and the existing instruments for the binational management of the system was surpassed. Through interviews conducted in June of this year with more than 50 actors, including social leaders and hydrographic unit authorities, it was identified that 82% of the authorities are aware of the environmental problems of the TDPS. According to the interviews carried out, the process of identifying key actors is constantly evolving and new actors continue to be identified. Furthermore, the project has generated relevant spaces for exchange and dialogue to solve the problems of the system within the framework of the preparation of the TDA/SAP, the complementary studies and the pilot projects.

141. Finally, compliance with the objectives of Result 6: "The key actors participate actively and in an articulated manner to face the central problems of the TDPS system" is considered highly satisfactory for the indicators proposed in the results framework (AS). It has been possible to implement eight different platforms of public authorities and social and productive leaders, however no evidence has been found that participation is active on these platforms.

142. Finally, the effectiveness of the project is rated as **moderately satisfactory**.

4.3.4 Efficiency

143. During this ET, the high dedication of the project implementation partners and the UBCP in complying with the delivery of the products and the conclusion of the pending processes was perceived. The actors interviewed (implementing agency, executing partners, allies, consultants) have shown a sense of urgency and importance of completing the project with the greatest possible success, that is, complying with the objective and results indicators.

144. The functionality of the financial and accounting system of the project has been an important factor for the efficient management of the project. In the absence of better management tools, the project manager has had to create Excel spreadsheets for generating financial reports accurately and on time. The created system proved to be effective, but it takes time for its constant updating and revision, especially due to the significant number of financial and accounting operations carried out by the project (contracting and acquisitions in 2 countries for 19 complementary studies, 11 pilot projects, multiple training sessions and meetings, production of the TDA/PAE, etc.). The project had an administrator for most of its cycle, and only in the final stage was a junior administrative assistant hired, who has supported the planning, execution and financial monitoring of the project.

145. Budget adjustments were made between components, specifically the resources allocated to developing the TDA/SAP were increased – see Table 5. The virtuality driven by the covid-19 Pandemic, on the one hand, allowed savings in the budget allocated to meetings, on the hand, the involvement and interaction of the actors and beneficiaries decreased. The delays of the first years, changes in key personnel and the effects of the pandemic, added to a UBCP team with a limited number of personnel for the size of the project, affected the conversion of products into results. The limited balance between the generation of many knowledge products (studies, guides, manuals, publications, etc.) or communication products (videos, web page, pamphlets, etc.), in relation to limited availability, has also been perceived. The approval system and decision-making process was perceived by the actors as bureaucratic and slow. In relation to the pilot projects, there is an unbalanced distribution of pilots throughout the TDPS system. Most of the pilots have been developed in the upper part of the basin and there is an absence of pilots in the lower part – there is no pilot in Poopó or in the Salar de Coipasa .

146. The results-based management approach was progressively applied as the project progressed. It was perceived that, at the beginning of the project, there was a limited understanding of the results-based management of a GEF International Waters project by the executing partners and there was a perception that the focus of the project was the complementary studies and not the documents. management of the TDPS system (TDA and SAP). Additionally, limited capacity of the executing partners on the results-based framework was noted. In recent years, it has been noted that the effort has translated into progress in the indicators of the project's results framework.

147. The project, to some extent, has used the available resources (funds, staff and time) efficiently. However, there was a significant delay in implementation during the first two years. To a great extent, the times were superior to the ideals. The project partners perceived the approval system and the decision-making process as having a high number of approval levels [8](if, on the one hand, it generates appropriation and commitment from different actors, on the other, it can generate longer and more time-consuming processes). Among the factors that affected the efficiency of the project were the small team of the UBCP (compared to what the project needed to deliver in its last 2 years of operation) [9], the frequent rotation of some focal points in the executing partners, the limited commitment of the institutions with the time of their technicians to carry out the project activities during working hours, and the impacts of the pandemic. Finally, the efficiency of the project was rated as **moderately satisfactory**.

[8] It should be noted that although it is true that some approval processes have been delayed, this aspect does not correspond to a process established by the project's UGBP, but to external elements of the institutions, such as: i) the minimum administrative processes required by the institutions of each country to be able to transfer the official conformity and opinions in compliance with their own internal organization, and involvement of the competent entities of each country according to the theme, to give solidity to the technical and sustainability contents, aligning them with the processes national and international agreements that each country has already subscribed to UNDP requirements, which is even due to UNDP guidelines for this type of agreement, especially since it is a binational project, and ii) Administrative delays due to operational delays in the supply chain. institutional approval within each institution. Therefore, the levels of approval, being numerous, correspond to those essential minimums to meet the internal approval processes of each institution for its validity and sustainability and of the UNDP. The project was unable to identify shorter processes that do not imply non-compliance with any administrative procedure of an implementing partner, UNDP, or the competencies and functions of the actors involved.

[9] For this reason, the project hired professionals to supervise specific actions, such as the preparation of the TDA and the SAP.

4.3.5. Overall Result

148. After evaluating the relevance (Satisfactory), effectiveness (Moderately Satisfactory), efficiency (Moderately Satisfactory), the result of the project is Moderately Satisfactory.

Evaluation of Results	Assessment
Relevance	S
Effectiveness	MS
Efficiency	MS
Overall Result Rating	**MS**

4.3.6 Sustainability: Financial, socioeconomic, institutional framework and governance, environment and general probability

149. In accordance with GEF-UNDP guidelines, this TE assessed the extent to which project benefits were likely to continue after GEF assistance ended. Sustainability was assessed from four perspectives: i) financial resources, ii) socioeconomic and political, iii) institutional framework and governance, and iv) environmental.

150. The sustainability of the project results has a high dependence on **future financing flows**. In this regard, ideally the SAP should contain a study that identifies the financing necessary to implement the activities and determine which ones could be carried out with internal resources or through international cooperation. The PAE includes actions that go beyond the interests of the MRE-B and MINAM, so these studies should be carried out in close coordination with other financial actors in the basins, including line ministries, regional and local governments, and the private sector.

151. The project partners demonstrated understanding that by identifying more than one potential source for each investment and starting as soon as possible the articulation and involvement of these actors, commitments will be achieved for the implementation of SAP activities. The scale of the economic resources required and the financial limitations of the governments and private actors in the basin will probably force the actors to seek external resources. The scale of the resources required for IWRM of this system is well beyond the capacity/mandate of support of the GEF. Therefore, the implementing partners of the project understand that additional sources must be explored to bring funds to scale, such as the Green Climate Fund (GCF), the private sector, international cooperation, the International Financial Institutions (IFI), and banks. active in the region, the Development Bank of Latin America (CAF), the Inter-American Development Bank (IDB), the World Bank, among others.

152. Regarding the pilot projects, in many cases, agreements have not been implemented with the regional and/or local governments to transfer to them the responsibility for the maintenance of the systems financed by the GEF, as in the case of the maintenance of the hydrometeorological buoy (Pilots 05 -B-05 and 09-P-04) and heavy machinery (Pilot 01-B-01). However, in the case of pilot 09-P-04, the maintenance of the hydrometeorological buoy will be the responsibility of ANA. In this regard, in order to obtain benefits from the pilot projects, it is possible that more management actions and/or dissemination resources of the successful results are still required, in order to make them known and use them as decision-making tools.

153. It should be noted that the effort to submit a proposal to the GEF in order to receive funds for a second phase of the project is not considered an indication of financial sustainability. No evidence was found that the governments of the countries, the main water users and the regional/local authorities are contributing and/or will contribute the necessary financial resources to sustain the benefits obtained from the project. However, although certain instruments that show the transfer of equipment and infrastructure have not been specified and how these are associated with the budgetary mechanisms of the institutions, in Peru the pilot projects implemented are entrusted to institutions with budgets assigned for meet its objectives, which facilitates the financial sustainability of the equipment and infrastructure generated. However, it is rare and unlikely to achieve financial sustainability in the first phase of a GEF project, as the TDA/SAP is being developed at this stage. Based on the foregoing, financial sustainability was rated Moderately Unlikely.

154. The continuous generation of benefits derived from the project depends, to a great extent, on the **political will and the social appropriation** of the results of the project by the actors. In this regard, there is a high level of political will to continue the collaborative work between the governments of Peru and Bolivia in the management of water resources of the TDPS system.

155. However, various allies, specifically executors of the pilot projects and complementary studies, and actors external to the implementation partners have limited access to the information generated by the project, so the level of appropriation of these institutions is, to a certain extent, limited. For example, the abundant information generated with complementary studies, pilot projects, and IWRM training is not available to allied entities beyond those that are part of the CTB and CDB. As for local governments, the main water users, civil society, private sector, NGOs and universities, have, in most cases, little or no ownership and knowledge of the project results.

156. In this sense, although there is a high interest and commitment among the people and institutions that participated in the project, this does not guarantee that it is sufficient to give sustainability to the results beyond the closure of the project.

157. Integrating a GEF project with government institutions is not an easy task. The Ministries of the Environment, Foreign Relations, the National Water Agency and the Ministry of Environment and Water are institutions with many departments and areas. Therefore, from the design of the project, it is necessary to identify mechanisms to promote active institutional participation that goes beyond the participation of the institution's representative in the CDB and CTB meetings, and includes some "voluntary-based collaboration". Good practices to promote and implement a GEF project, and achieve the sustainability of the results by the intervening actors, include a high-level commitment, agreements and coordination of binational activities, combined with internal communication and participation plans agreed with monitoring and feedback mechanisms, and allocation of resources from both the project and the stakeholders. The signing of the Declaration of Peace is a key sign of political will. But for this agreement to generate the necessary change in the management of the TDPS system, it will require the necessary resources to convert commitments into concrete and immediate actions on the ground.

158. There are limited mechanisms to promote changes in the social and political contexts. The project's communication strategy has been developed as of January 2021 and progress has been captured in indicators #5 and #6. Despite the importance of the complementary studies and pilot projects developed within the framework of the project, an effective knowledge management strategy was not identified within the framework of this TE to promote the use of this knowledge by the actors within it. and especially outside the project partners.

159. Finally, priorities such as health, safety, employment, the economy and education, and the crisis generated by the COVID-19 pandemic, greatly reduced the relevance of the sustainable development agenda (water and environment) in political and social priorities. Socioeconomic and political sustainability was rated as moderately likely.

160. The sustainability of project benefits is highly dependent on and sensitive to **the institutional framework and governance** of the TDPS system. The direct results of the project will be achieved with a high degree of institutional support from the Ministries of Foreign Affairs and Environment of Peru and Bolivia. The bilateral relationship of cooperation between Peru and Bolivia has been strengthened with the holding of the Presidential Encounters and the Binational Ministerial Cabinets, in order to reach agreements on issues related to the management of water resources, the preservation of the environment, institutional strengthening, among others.

161. It should be noted that the creation of the ALT in 1996, had the objective of promoting and conducting actions, programs and projects for the conservation, control and protection of the water and hydrobiological resources of the TDPS water system. However, the ALT has had a limited participation in the design of the project, and in the elaboration and revision of the TDA, although they have participated more actively in the revision of the PAE. Currently, the ALT is in the process of restructuring through the modification of its Statute, in order to achieve its institutional strengthening to guarantee the efficient management of the TDPS system, a process in which it has been supporting the IWRM-TDPS project.

162. The ADT/PAE is in the review stage of the final version by officials and experts from MINAM, ANA, MMAyA, MRE, ALT, among others that make up the CDB and CTB. For the sustainability of the benefits that the SAP will bring, it will be necessary to improve governance and institutional support for the implementation of the SAP, in a coordinated manner and beyond the sphere of influence of the project.

163. It should also be noted that, despite some efforts to promote decentralization, both countries have, to some extent, a tradition and institutional culture of centralized decisions in their capitals, especially in Peru. This can bring additional challenges to promote IWRM in border regions, which are far from decision centers. For example, in the case of Peru, for the acquisition of the hydrometeorological buoy, the approval of MINAM and ANA was needed, from the local level to the central office.

164. There was insufficient evidence to suggest that the current institutional framework and governance are strong enough to continue to deliver the benefits of the project after its closure; because the ALT reengineering process has not yet been implemented. **Institutional sustainability** was rated **moderately unlikely.**

165. In relation to **environmental sustainability**, for foundational GEF IW projects such as this one, which produces plans, strategies, studies and models, combined with demonstration projects on the ground, a two-pronged approach must be applied. In the first place, several of the benefits of the projects lie in technical products (TDA, SAP, Complementary Studies, etc.), which are not threatened by environmental risks, in fact, as the environmental risk increases, the perception of its value and relevance could increase. For this to be true, the project outputs must be well known and appropriated by many stakeholders and decision makers.

166. Second, the pilot projects that delivered water and sanitation infrastructure could be affected by environmental risks. There was evidence that risks related to changes in key ecosystems, variations in water availability and quality, and detection of climate risks were explicitly addressed in these

pilot projects and actions to mitigate them were implemented at project closure. **Environmental sustainability was rated Moderately Likely.**

167. This evaluation recognizes the effort of the project partners to improve the sustainability of the benefits derived from the project. It is unlikely to find a GEF IW or any IWRM project that in its first phase achieves financial, social, political and institutional sustainability. Transboundary Integrated Hydrographic Resources Management projects are complex in nature and scope. Generally, more time and resources are needed to achieve sustainability. It requires generating trust, commitment, reaching agreements and coordinating activities between two. It has been shown throughout the GEF IW portfolio that strong communication, stakeholder engagement and knowledge management strategies are needed to promote higher levels of social, political and institutional commitment, leading to adequate financial sustainability. The **probability of sustainability** is Moderately Likely.

Sustainability	Assessment
Financial	MU
Socioeconomic and political	ML
Institutional Framework and Governance	MU
Environment	ML
Overall Probability of Sustainability	**ML**

4.3.7 Gender equality, women's empowerment and interculturality

168. The project was not designed with a gender approach in mind, as it was not a GEF requirement at the time. In the ProDoc, no gender and intercultural strategy was included, nor were specific indicators on the aforementioned issues determined, except in a complementary study and two pilot projects (01-B-01 and 05-B-05). The project, to some extent, was gender insensitive for most of its life cycle. From the findings of the MTR (September, 2019), greater importance began to be given to the inclusion of gender and intercultural approaches, making the approaches implicit in a greater number of activities carried out within the framework of the project as pilot projects, complementary studies and training. In 2020, gender strategies were incorporated and the development of the Gender Plan began, which was approved in March 2022.

169. Within the framework of the execution of the pilot projects, the participation of women in training activities and promotion of the importance of IWRM has been evidenced. The empowerment and leadership of women is perceived in particular actions in the IWRM TDPS. Likewise, women's empowerment initiatives have been carried out and these initiatives have been displayed on the website (warmis – which means woman in Quechua) and on *YouTube*. Specifically, in some pilot projects, women's enterprises have been promoted, such as products made with reeds, handicrafts, etc. The women beneficiaries of different pilot initiatives of the IWRM-TDPS project are an example of empowerment. For example, the women of Santiago de Machaca and San Andrés de Machaca have undertaken the rescue of their ancestral measures to recover their land.

170. With regard to training programs, pilot project 07-P-02 developed a work plan to promote communications with a gender and intercultural approach, fostering the strengthening of the capacities of key actors. Within the framework of this plan, training was carried out for women

leaders and artisans from the island of Uros in January 2021. Likewise, within the framework of pilot project 10-P-05, a program was carried out to strengthen capacities with a gender and intercultural approach developed for the Rural Committee for Water and Territory Management (CCGAT) of the Chacas lagoon micro-basin and for the community environmental surveillance and monitoring committees.

171. Regarding the intercultural approach, the project has implemented some strategies to work with the Quechua and Aymara peoples of the TDPS system, especially in some pilot projects (eg Pilot 01-B-01 recovered ancestral technologies for sedimentation control). Some advances in intercultural work consisted of carrying out radio programs on IWRM in Spanish, Quechua and Aymara. So far, a very small number of project products are available in the Quechua and Aymara languages.

172. Due to the above, during this ET it was perceived that the project implementation partners recognize the importance that the TDA/SAP includes a clear evaluation of how the impact of problems related to IWRM in the TDPS system affects men and women differently. women. Likewise, there are no solid means of proof to ensure that the PAE was built with an adequate gender perspective, which ensures that the proposed actions will respond to the expectations of both men and women.

4.3.8 Other factors affecting the result

National ownership

173. MINAM and ANA, on the Peruvian side; while the MMAyA, on the Bolivian side, have a high degree of commitment to appropriating the results of the project. These institutions have participated during the design and implementation of the project. In the VI Bolivia-Peru Binational Ministerial Cabinet, held on October 30, 2021, the presidents of both countries signed the Declaration of La Paz, through which the progress made by the project was recognized and they committed to implementing actions for the development of hydrological knowledge, conservation and environmental recovery of the TDPS system.

174. The governments of Peru and Bolivia have strengthened their commitment to approve and implement the SAP. However, there is a perception that the project generates an additional workload for government officials committed to the execution of the project, coupled with the recurrent changes in personnel in the institutions due to high political instability, has shown the need to improve the communication channels and encourage cooperation between government entities and their technical and operational staff.

175. The results of the project, especially the TDA/SAP, have not yet been integrated into the national sectoral and development plans. The project partners indicated that one of the reasons is that there is still no final version of the TDA and SAP, to be reviewed by the project's Steering Committee for the official endorsement of the countries.

176. Based on the results of the pilot projects, 11 technical/management instruments have been developed. Of which, five have been approved and six are in the approval process until October 2022. Likewise, four public policies have been designed based on the aforementioned instruments. One has been approved by municipal resolution (Gobierno Municipal Autónomo de Charaña in Bolivia) and the other three are in the process of being approved.

177. The project partners recognize that to improve the feasibility of SAP activities, it will be necessary to incorporate them into national strategies and/or programs and relevant regional initiatives. With this, it is expected that various government institutions that are related or not to the project, incorporate the implementation of the activities in their annual budgets.

178. The project had a limited participation of NGOs (eg Practical Action), universities (eg UMSA), civil society organizations (eg Artisanal and Small-Scale Mining Organizations, Binational Association of Women in Defense of Titicaca Water). No relevant example of private sector involvement was found. To a large extent, these actors participated in the implementation of some pilot projects, and, in a very limited way, in the process of preparing the TDA and SAP. These actors must be considered as a target audience to influence and seek collaboration and synergies regarding the processes of preparation, validation and implementation of the TDA and SAP that are being carried out at the end of the project. Given the possibility of implementing a second phase of the project, the project partners recognize the importance of including these actors in a more structural way in the IWRM of the TDPS system.

179. The probability that the expected impact of the project will be achieved depends, to a large extent, on the knowledge and appropriation of the results by various actors. The need was perceived to implement a strong communication strategy of the results, socialization and appropriation of the TDA/SAP, complementary studies and results of the pilots by key actors inside and outside the project's sphere of influence.

180. The project has been implementing an Environmental Education and Communication Strategy and a Citizen Participation Strategy and the campaign “our clean watershed, our home”. Likewise, although the web page is not updated with all the information on the courses carried out within the framework of the project, the results of the complementary studies, pilot projects and the TDA/SAP. In addition, the project website is not yet sponsored by the GEF IW:Learn , which creates the risk of not staying current after the project closes. As of September 15, 2022, training in the integrated management of water resources was broadcast on radio programs, aimed at social and productive organizations, and the general public in Spanish and native languages (Aymara and Quechua).

Cross-cutting issues

181. The implementation of the pilot projects had positive effects on the local populations. Capacity building and communication campaigns on IWRM, workshops in the framework of pilot projects on the management of water quality monitoring equipment, identification of ancestral measures for sediment control, among others, have generated a positive impact on the economic activities of the local population (livestock, agriculture, aquaculture, fishing, and tourism, mainly), which in turn contributes, to a certain extent, to the reduction of poverty.

182. In relation to some mining organizations, positive results have been seen in the district of Ananea (Peru), where these organizations adopted the use of gravimetric tables to avoid the use of mercury. In turn, the installation of two hydro-meteorological stations will contribute to the prevention of future natural disasters by monitoring the quality of contaminated water and the authorities to make better decisions. Likewise, the recovery of ancestral practices allowed the conservation of soils in the municipalities of Santiago de Machaca and San Andrés de Machaca (Bolivia). The revitalization of more than 55 hectares of bofedales made possible the conservation and sustainable use of important water resources and critical ecosystems in the municipality of Charaña (Bolivia). These initiatives contribute to climate change mitigation and adaptation.

183. The project considered, to some extent, the connection between water management and disaster risk management. This relationship was mainly based on the inclusion of disaster risk management and adaptation to climate change in the TDA/SAP. The complementary studies, pilot projects and SAP will contribute in the medium and long term to mitigating climate change in the TDPS system. However, the project has so far not collected data to measure that contribution.

Environmental and Social Standards

184. The most significant risks identified by the project during its implementation were related to the possibility of an increase in COVID 19 infections due to the field work carried out in the pilot projects and complementary studies; and social risks due to the inadequate participation of sub-representatives of indigenous peoples, women and peasant communities during the implementation of the project. The mitigation measures for these risks were adequate to avoid negative impacts on the implementation of the pilot projects and complementary studies.

GEF Additionality

185. Regarding the additionality of the GEF, within the framework of the pilot projects, global environmental benefits have been generated with the conservation of endemic species, reduction of pollutants and restoration of water bodies. Also, within the framework of the pilot projects, it has contributed to regulatory reforms through the generation of guides and guidelines and the development of public policies. National, regional, and local government entities and local organizations have been trained in IWRM. Through the project, it has contributed to improving the livelihoods of local populations, through promoting income-generating activities and also in relation to water quality. Within the framework of the pilot projects, ancestral technologies have been recovered, but technology has also been developed to improve the quality and quantity of water available to local populations.

4.3.9 Progress towards impact and catalytic effect

186. As the GEF guidelines indicate, in foundation initiatives (i.e., international waters projects developing TDAs/SAPs), it may often be the case that stress reduction and/or change of state impacts cannot be discerned. at project closure. It can be considered that the project has put in place a set of conditions and processes (eg close articulation and dialogue between the key actors in the two countries) that can eventually generate impacts, such as lasting improvements in the socioeconomic and environmental status of the TDPS system.

187. The project contributed significantly to promoting the process of change that had already been taking place since the 1990s between Peru and Bolivia to coordinate the management of transboundary water resources in the TDPS system. To a certain extent, this project helped to establish relevant basic components for the TDPS system (eg TDA, SAP, Complementary Studies, pilot projects, among others.) and to strengthen the capacities of interested parties. (eg Courses, shared visions, increased cooperation and trust), which could eventually lead to a catalytic effect. The project partners expect that the implementation of the SAP will allow the successful experiences demonstrated in the pilot projects to be expanded and replicated within the TDPS system. However, the importance of carrying out a second stage of the project to guarantee that this process occurs is perceived.

188. The results of the project include the updating of the SAP; however, progress towards achieving long-term impacts depends, to a large extent, on the implementation of this management document at a later stage. If this does not happen, all the progress of the project can be lost.

189. Regarding the transfer of knowledge, the project has generated relevant spaces for exchange and dialogue to solve the problems of the system within the framework of the preparation of the TDA/SAP, the complementary studies and the pilot projects. In addition, public authorities and social and productive leaders are aware of the problems of the TDPS and the existing instruments for the binational management of the system. Thus, the project increased, in both countries, political commitment, shared vision and institutional capacity for watershed management. In

addition, the project implemented demonstration actions on the ground that contributed to improving the quantity and quality of water in the TDPS transboundary system. However, despite the importance of the complementary studies and pilot projects developed within the framework of the project, an effective knowledge management strategy to promote the use of this knowledge by stakeholders was not identified within the framework of this TE. the actors inside and, especially, outside the project partners.

5 . MAIN FINDINGS, CONCLUSIONS, RECOMMENDATIONS AND LESSONS

Main Findings

190. The project has contributed to strengthening the capacities of Peru and Bolivia for the integrated management of the water resources of the TDPS system. The general evaluation of the result of the project was qualified as Moderately Satisfactory (see summary in Table 1). Relevance, effectiveness, efficiency, M&E implementation, and implementation/monitoring were the criteria with the highest ratings. While the design of the M&E was qualified in a lower range (Moderately Unsatisfactory) because a robust and easy-to-use/visualize management tool was not designed to implement the M&E. One of the main contributions of the project was the generation of knowledge and experiences (ECs , ADT/SAP, and pilot projects) and the creation of synergies between national governments, technicians, and specialists in the two countries, strengthening the relationship and collaborative work.

191. The strategic relevance of the project stands out as a particular strength, due to the fact that it was designed and implemented based on the main environmental and development priorities at the regional, national and global levels, especially the integrated and cross-border management of natural resources. water from the TDPS system. Likewise, the objective of the project is relevant to the priorities of the UNDP in Peru and Bolivia, being aligned with the key results of the UNDAF of each country. The project has contributed to achieving SDGs 6, 11, 12, 13, 15 and indirectly to SDGs 1 and 17.

192. In relation to the design of the project, the objective and results indicators are to a certain extent SMART, but they did not have a profile by indicator with detailed information about them. The objective indicators do not ensure the achievement of the same because they have a greater focus on the mitigation of environmental problems and not directly on the conservation and sustainable management of water resources. The strategy was appropriate, and the results framework was, to some extent, well designed. However, part of the result 1 (adoption of the PAE) was not feasible in the defined time of the project. Most of the risks relevant to the implementation of the project were identified, but resources were not allocated to provide an adequate response.

193. However , the most significant risks identified by the project during its implementation were related to the possibility of an increase in COVID-19 infections due to the field work carried out in the pilot projects and complementary studies; and social risks due to the inadequate participation of sub-representatives of indigenous peoples, women and peasant communities during the implementation of the project. The mitigation measures for these risks were adequate to avoid negative impacts on the implementation of the pilot projects and complementary studies. As the project was implemented, there was adaptive management at the level of indicators and reallocation of resources between components, as well as adaptation to virtuality, hybrid management, scope and methodologies of complementary studies and pilot projects.

194. The project has been achieving the expected results and objectives, promoting the conservation and sustainable use of water resources in the TDPS system. The three goals set at the objective level (indicators G1, G2 and G3) were achieved: three binational commitments were approved to address critical aspects of the conservation and sustainable use of water resources and advance IWRM of the TDPS, four agencies on watershed management systems were created, and a 145% increase in government investment in control and mitigation of the main environmental pressures of the TDPS was reported.

195. To date, three of the six results have already been achieved: improvements are perceived in the measures of institutional capacity for the implementation of IWRM in the TDPS system in both countries (Result 2); the key actors know the central problems of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions (Result 5); and the key actors participate actively and in an articulated way to face the central problems of the TDPS system (Result 6). The other three results (Results 1, 3 and 4) are in progress towards the goal, and the project partners consider that they will be fulfilled until the closure of the project. The most relevant result of this project is the formulation and adoption of the Transboundary Diagnostic Analysis (TDA) and the Strategic Action Program (SAP) of the TDPS (Result 1). In August 2022, the data collection closing date of the ET, the progress reported for the ADT was 80.5%, while for the PAE it was 60%. However, the commitment of the project partners to have the two documents finalized until the closure of the project was perceived. The practical learning generated in pilot experiences have been contributing, to a certain extent, to the formulation of the PAE and contributing to decision-making, although some of the pilots were still being implemented during the ET and half of the technical/management instruments , based on the results of the Pilot Projects, which can contribute to the design of public policies have not yet been approved (Result 3). The project has been generating up-to-date, accurate and relevant information on the management of the TDPS system, but additional efforts will be necessary to make it available and accessible to allow the SAP to be implemented adaptively (Result 4).

196. The project was implemented efficiently, in accordance with international and national norms and standards. The delays in the first two years of implementation, added to the impacts of the COVID-19 pandemic, affected the efficient use of resources (especially time) and the strategic allocation of funds and human resources (high concentration of activities, during the last 2 years of the project).

197. The project contributed in a limited but significant way to gender equality and the empowerment of women. These approaches were not incorporated into the project design and were not addressed in a structured way until the MTR (2019). Regarding gender marking, this was not included in the ProDoc or the PIF, but it was included in the PIRs as GEN2 , that is, as a significant objective. Thus, in 2020, gender strategies were incorporated and the development of the Gender Plan began, which was approved in March 2022. Between 2021 and 2022, various activities were developed by the project to promote gender equality and the empowerment of women.

198. The project also contributed, directly and/or indirectly, to various cross-cutting issues relevant to the TDPS system, such as climate change mitigation and adaptation, national ownership of results, and an intercultural approach, through activities such as: use of gravimetric tables to reduce the use of mercury, installation of hydrometeorological stations and recovery of ancestral practices for soil conservation, etc. In turn, these cross-cutting issues have had a positive impact on the economic activities of the local population, thus contributing to the reduction of poverty.

199. The evaluation identified that there are financial, institutional, sociopolitical, and environmental risks that hinder the long-term sustainability of project results. On the one hand, the results of the project depend, to a large extent, on the continuation of financial support, especially for the

implementation of the SAP. On the other hand, the project partners demonstrated an adequate level of "ownership" of the results, and there is a commitment and interest in ensuring that the benefits of the project are maintained. To a certain extent, the results of the project depend on issues related to institutional frameworks and governance, especially on the role that the ALT will assume in the implementation of the SAPand a possible second phase of the project.

Conclusions

200. The evaluation acknowledges the effort and dedication of the project partners to design and implement this project. This project should be seen as the first phase of a long and complex work towards the integrated and sustainable management of transboundary water resources of the TDPS system. The project, after a slow start, increased its pace of implementation and achieved most of the expected results, fostering cooperation, building capacity, promoting trust and effective binational collaboration.

201. Achieving the expected impact will depend, to a great extent, on the appropriation of the results by the key actors that act in the vast region of the TDPS system; Therefore, dissemination and communication campaigns must be strengthened, mainly for local, regional and national authorities, and the population, who can take concrete actions. Likewise, the gender and intercultural approach must be strengthened in the actions related to IWRM of the TDPS system.

202. The Governments of Peru and Bolivia, with the support of UNDP, showed great interest in building a PIF for a second phase of the project, with the aim of submitting it for GEF approval as soon as possible. However, in October 2022, GEF assistance for this first phase will end and the UBCP will be demobilized. It is important for project partners to understand that this project will not end with the demobilization of the UBCP – the project will enter an intersectional period (the time between the closure of the first UBCP and the mobilization of the UBCP for the second phase). During the intersectional period, the project partners have a great responsibility to maintain the results of the first phase and enable a smooth and rapid transition to the second phase. It should be noted that the intersection period of a multi-phase GEF International Waters project is typically a couple of years or more. The recommendations and lessons presented below can be of great value for the project partners to "navigate" in the space between the first and second phases of the project.

203. The project and its design was relevant for the countries and institutions involved, the M&E tools at the beginning were not very dynamic and useful to do the corresponding follow-up, the results matrix showed important interrelationships between its indicators in order to contribute to the objective of the project ; however, the sequentiality of the results was considered limited as the ToC was not developed.

204. The implementation of the project took place in a participatory manner with the key actors, the training sessions contributed to generating knowledge about IWRM, the environmental problems of the TDPS system, among others. There has been appropriation of the results of the pilot projects, most of the project indicators have been met; however, the development of roadmaps for the objective indicators (agreements and basin management organizations) is pending. Thus, although the implementation has been satisfactory, it is still pending to continue working towards the sustainability of its results.

Recommendations

The following table presents the main recommendations of the evaluation:

#	Recommendations	Responsible Entity	Time Horizon
A	**Category 1: Key aspects to successfully complete the project**	**UBCP, UNDP and project partners**	**2022**
A.1	Finalize and approve/endorse – at the ministerial level – the SAP. When this has been done, submit to the GEF the request for a second phase for the project - support for the implementation of the SAP (See findings para. 178).		
A.2	Seek additional resources, to implement (after its technical closure – October 30) a set of actions (mini-strategy) of communication, socialization and promotion of appropriation of key products and results, especially the TDA/SAP, EC and Pilots – for actors inside and outside the sphere of influence of the project (including Basin Committees, Water Platforms, among others) – with a focus on gender and interculturality (See findings, para. 93).		
A.3	Evaluate the relevance of the summaries of the key documents being in Quechua and Aymara , especially those of the TDA and the SAP (See findings, para. 171and indicator #6 in Table 7 "Evaluation of the results framework).		
A.4	Guarantee i) that all relevant information, especially the EC and the TDA/SAP (including their databases), is available - openly - on the project website, ii) that all the information on the page is updated to reflect what the project achieved (what was expected to be achieved is currently reported), and iii) migrate web-hosting of the website to GEF - IW:Learn . (See findings para. 89and 180)		
B.	**Category 2: Key aspects to strengthen the sustainability of the project**	**UBCP, UNDP and project partners**	**2022 - 2023**
B.1	Prepare an exit strategy for the general project, and, in particular, for each successful pilot, including a sustainability plan and, if possible, its replication and scaling proposal (both with cost estimates and a clear definition of those responsible). In this regard, the exit strategies must be approved by the relevant actors, and widely communicated to the other key actors (including all the actors involved in the pilots). It is recommended that these strategies be published openly on the project website (See findings, para. 150).		
C	**Category 3: Implementation of the SAP and road to the second phase**	**Project partners, CBD and CTB members, and ALT**	**2022 - 2023**
C.1	Start as soon as possible the mobilization of resources for the implementation of the most relevant actions agreed in the PAE – commit internal resources (for example, national and regional budgets, partnerships with the private sector, in coordination with mayors and actors on the ground) and mobilize external resources (for example, requests for resources from the Green Climate Fund; Adaptation Fund; bilateral cooperation – eg EU; Development Banks, eg CAF, IDB, etc). (See findings para. 151)		

C.2	Conclude the reengineering of the ALT and clearly define its role(s) in the implementation of the SAP and in a second stage of the GEF IWRM-TDPS project. (See findings para. 100)		
C.3	Accelerate the preparation and submission of the PIF for the second phase of the project. It should be noted that the countries will define internally at the public level which institutions will lead the governance of the new project, and letters of endorsement from Peru and Bolivia will be required to deliver the PIF to the GEF.		
D	**Category 4: Key aspects for the design of future GEF-IW projects, including the second phase of this project**	**UNDP, GEF Focal Points, Project Partners**	**2022 onwards**
D.1	Include in the ProDoc of future projects of the GEF International Waters portfolio: i) A Knowledge Management Plan (an IWRM project generates a lot of information that should be transformed into knowledge) (See findings, para. 158). ii) A Communication Plan (for the internal and external public) (See findings, para. 179) iii) A Capacity Development Plan (anchored in the Key Actor Capacity Analysis). iv) In the schedule and planning, consider an adequate estimation of the time needed for UNDP and its partners to operationalize the contracting and procurement processes [10]. v) Consider the 5-year implementation period for IWRM projects in the GEF International Waters portfolio. vi) Size the UBCP team adequately to account for the various transactional activities and the multiple demands (technical production, process management, gender, communications, knowledge management, M&R, relations with key actors, training, etc.) (See findings paragraphs 145and 147). vii) A memory annex, for internal use by UNDP and the executing partners, describing the logic of the adoption of the indicators, how the baseline was calculated, the aggregation scales, the data sources, the definition of the intermediate and final goals . viii) An annex detailing the key activities that will be carried out during the start-up phase of the project (the stage between the hiring of the coordinator and the effective start of the activities).		
AND	**Category 5: Key aspects to efficiently start future GEF-IW projects, including the second phase of this project**	**UNDP, GEF Focal Points, Project Partners**	**2023 onwards**
E.1	Properly use the Start-up Phase of the project. The kick-off phase is the period of ideally about 6 months, between the hiring of the project team and the actual start of the project implementation (kick-off workshop). Beyond the construction of the work plan for the first year, this period should be used to: a) Update and detail all the strategic instruments of the project (bearing in mind that they were prepared many years before - in the design stage - and often do not contain the level of detail necessary for implementation). Among the main instruments are: i) the Logical		

[10] As much as possible, UNDP should try to make its contracting and procurement processes faster, without affecting their robustness and reliability.

	Framework (calculate baseline, validate indicators with their respective technical sheets, etc.); ii) the Theory of Change, iii) the M&E Plan; iv) the Communications Plan; v) the Key Actors Involvement Strategy; vi) the Gender Strategy and an action plan; vii) the Capacity Development Plan (including those of the team responsible for managing the project), viii) a Strategy to minimize and avoid the impact of staff *turnover* . b) Clearly define the flows, responsibilities and deadlines for approval of products, contracts and acquisitions. c) Review / draft and validate the ToR for the first year of the project. d) Train the key stakeholders of the project in administrative, operational, technical and *soft-skills issues* necessary for the implementation of the project, including the extensive use of manuals, guides, courses and instruments available in IW:Learn .

Learned lessons

205. This section presents the lessons learned from the evaluation, including best practices and opportunities for improvement (poor practices). These lessons highlight strengths or weaknesses in design and implementation that affect project performance and outcomes. The information has been extracted from the project and is applicable to other GEF projects and UNDP interventions, including the second phase of the project.

206. The project in the design stage did not analyze the **capacity of the executing partners and the main actors** that have an active role in the project. Optimistic assumptions established in the ProDoc were made , such as the pre-existing capacities of the country offices of UNDP, MINAM-Peru and MRE-Bolivia and the articulation between them to implement a binational GEF project. These factors contributed to the slow start of the project. Thus, work must be done in the initial phase to create a "favorable environment for cooperation and teamwork between two institutions, at the ministerial level, but also at the level of the directorates participating in the project." This space must be considered as a key element in the design of the project. In addition, ANA-Peru, an institution with previous experience in transboundary water projects (UNDP-GEF 83398), could have been included in this process.

207. It should not be assumed that the stakeholders involved in the project already have all the skills, knowledge and abilities to carry out a GEF UNDP IW project. Therefore, training on GEF UNDP IW project management, and in particular on results-based project management, should be provided to UBCP staff and key staff of Delivery Partners, considering the possible rotation of staff during the life of the project. of the project. Capacity development was considered relevant in GEF and UNDP planning, finance, contracting, procurement, monitoring, reporting procedures. This training / capacity building is especially relevant in the start-up phase of the project, but it must be carried out every time there is a staff rotation (which turned out to be frequent in this project) or generate an information package / module with evaluation that allows Every time there is a change in personnel, they go through an induction process. This strategy is often relevant when the project adopts the National Implementation Modality, where the national entities responsible for the execution of the project often have limited experience on the procedures and mechanisms for the implementation of a GEF project. It is necessary to consider the capacity development needs for the effective engagement of national actors in the development of the PIF and ProDoc. It should not be assumed that the processes, mechanisms, outcomes and flows are fully known.

208. Not having a **Key Actors Involvement Strategy** from the beginning of the project or as a key strategy to work on in the Workshop at the beginning of the project, limits the efficiency in the use of

resources throughout the project, the appropriation by the actors, and the institutional and governance sustainability of the project. This strategy was not developed throughout the project cycle. However, the project developed the Plan for Citizen Participation and Binational Meetings, concluded in October 2020 (three years after the Inception Workshop). This plan covers the involvement of grassroots and local organizations mainly, and the articulation of the needs of these organizations in the management of the TDPS system. This strategy does not focus on the key actors, specifically the entities participating in the CBD and CTB. This Plan should have been a complementary document to the Key Actors Involvement Strategy, but not a substitute.

209. In the ProDoc , a **profile by** outcome indicator and objective was not included. This absence limits the adaptation of the project management towards the fulfillment of the defined achievements. Likewise, it makes it difficult to evaluate the indicators, since it is unknown what led to the definition of the indicators and their relationship with each result and the objective. This is mainly relevant for the objective indicators, since these are focused on monitoring water quality and mitigating water pollution and not with the objective of the project of conservation and sustainable management of water resources. Likewise, the CTs are not directly related to any of the outcome indicators, so the effort to carry out these studies is not reflected in the results framework, but will only be partially reflected if the TDA it is aproved.

210. Despite the difficulties faced by the UBCP and UNDP (delayed start and with little execution, change of project coordinator and administrator, Covid-19 pandemic, change of focal points in the executing partners, among others), the management of the project has **adapted** processes, products, indicators, budget, strategies, focus on management by results, so that it has achieved, one month after the project closes, most of the results defined in the project. This denotes not only the adaptation capacity, but the commitment of the actors (AI and AE) with the project and with improving the management of the TDPS system with an IWRM approach to benefit the inhabitants of the system, conserve its biodiversity and sustainably use water resources.

211. Transboundary water projects **are complex in nature and scope** . The evaluation recognizes that the people and institutions involved in the project have put a significant amount of resources, time, dedication, passion and enthusiasm into this project. Despite the results achieved by the project, there was a perception of shortcomings - among some project partners (as some of the expected results had not yet been fully achieved). Beyond the tangible results of the pilot projects in small communities of the TDPS system, the perception of positive impacts in the system will depend on the implementation of the PAE in the system and at the level of the 14 hydrographic units. Therefore, looking for a second phase of the project focused on the implementation of the PAE will allow the participation of all the key actors and will improve the perception of the impact of the project. It is rare to find a GEF IW or any ITWRM project that achieves sustainability in its first phase. The evaluation reinforces the will of the project partners to continue working together for the joint management of the TDPS system, with the aim of achieving lasting improvements in the socioeconomic and environmental state.

ANNEXES

Annex 1: ToR of the Final Evaluation

Annex 2: Itinerary of the ET mission

Annex 3: List of people consulted

Annex 4: List of documents examined

Annex 5: Evaluation Matrix

Annex 6: Co-financing Table

Annex 7: ET Rating Scales

Annex 8: Signed UNEG Code of Conduct Form

Annex 9: Signed Evaluation Consultant Agreement Form

Annex 10: Signed approval form for ET reports (separate file)

Annex 11: ET Audit Trail (separate file)

Annex 12: Traking Tools (separate file)

ANNEX 1: ToR of the Final Evaluation

TERMS OF REFERENCE (ToR)

UNDP/IC-328/2022 - Final Evaluation (TE) of the Integrated Water Resources Management Project in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System (TDPS) (ID Award 87268)

General Information

Project name and number	Integrated Water Resources Management in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System Project (TDPS) (ID Award 87268)
Place of destination:	Home based with possible trips to Bolivia and Peru
Deadline:	75 calendar days
Supervision	Strategic Planning Officer and Environment Program Officer

Introduction

According to the Monitoring and Evaluation Policies and Procedures of UNDP and the Global Environment Facility (GEF), all regular and medium-sized projects financed by the GEF and supported by UNDP must undergo a Terminal Evaluation (TE) at the end of the project. These Terms of Reference (TOR) establish the TE requirements for the Peru-led binational project "**Integrated Water Resources Management in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System (TDPS**)" "PIMS ID 4383," GEF Agency Project ID 5748) executed under the National Implementation Modality (NIM, under UNDP standards and regulations, through the Ministry of Environment (MINAM) in Peru -lead country- and the Ministry of Foreign Affairs of the Plurinational State of Bolivia (MRE-B) in Bolivia, with UNDP as the GEF implementing agency. In addition, the Peruvian National Water Authority (ANA), the Peruvian Ministry of Foreign Affairs (MRE-P), and the Bolivian Ministry of Environment and Water (MMAyA) are directly involved in implementing elements of the project.

The project started in Peru on **November 22, 2016** and in Bolivia on **October 29, 2018**, the dates of signature of the Project Document in each country, and is in **its sixth year of implementation,** after two no-cost extensions for 24 months in total. The TE process should follow the guidelines described in the document "Guidelines for Conducting Final Evaluations of GEF-funded and UNDP-supported Projects".

(http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf).

3. Project Background

The Titicaca-Desaguadero-Poopó-Salar de Coipasa water system (TDPS) is a transboundary endorheic basin of great value for Bolivia and Peru and for the 3.6 million people living in the area of influence. The TDPS is also home to endemic and valuable biodiversity such as the Titicaca giant frog or the Titicaca grebe. However, water resources and biodiversity are threatened by natural and anthropogenic pressures. The state of the TDPS has deteriorated and symptoms of serious problems are evident in several areas of the system. This is despite multiple efforts by the governments of Bolivia and Peru, and the existence of the Binational Autonomous Authority of the Lake Titicaca, Desaguadero River, Poopó Lake, and Coipasa Salt Flat (ALT), created more than 20 years ago.

Within this framework, the project seeks to promote the conservation and sustainable use of water resources in the Titicaca-Desaguadero-Poopó-Salar de Coipasa transboundary system (TDPS), and contribute to: (i) build a common vision based on Integrated Water Resources Management (IWRM), (ii) establish a common planning (i.e., SAP) to guide actions at the binational, national and local levels, and (iii) mobilize and incorporate key stakeholders in the integrated management of the system. To this end, the project proposed to strategically invest GEF resources to (1) develop a participatory process to produce an integrated diagnosis of the situation of the TDPS (i.e., TDA) and an updated master plan agreed upon by both countries (i.e., SAP), (2) generate lessons learned from the project's work, and (3) develop an integrated management plan for the TDPS (i.e., TDA), SAP), (2) generate practical learning for the management of TDPS resources through eleven pilot interventions, (3) consolidate a comprehensive TDPS monitoring program that is accessible to technicians and key stakeholders, and (4) create human capital and social capital through environmental education communication actions and citizen participation and articulation in support of IWRM. The results that the project seeks to achieve are the following:

- **Outcome 1**. The TDPS Transboundary Diagnostic Analysis (TDA) and Strategic Action Program (SAP) have been formulated and adopted.
- Improved measures of institutional capacity for IWRM implementation in the TDPS system in both countries**.**
- The practical lessons learned from pilot experiences contribute to the formulation of the SAP and contribute to decision making.
- **Outcome 4.** Up-to-date, accurate and relevant TDPS management information is available and accessible to enable the SAP to be implemented in an adaptive manner, including attention to social and gender variables.
- Key stakeholders are aware of the core issues of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions**.**
- Key stakeholders participate actively and in an articulated manner to address the central problems of the TDPS system**.**

The activities are organized into four interdependent and closely related components to generate eleven outputs (**see Annex 01: Project Results Framework**), which are as follows:

- **Output 1.1.** Complementary studies in support of the preparation of the TDPS TDA.
- **Product 1.2.** TDA validated by countries
- **Output 1.3** Strategic Action Program, formulated in a participatory manner and with an IWRM approach, adopted by both countries.
- **Output 2.1**. Training of key stakeholders in IWRM
- Actions to strengthen the institutional framework for binational management of the TDPS.
- **Output 3.1.** Eleven pilot projects on topics of relevance to the TDPS system.
- **Output 3.2**. The systematization of pilot project results and the analysis of their applicability to the TDPS system are accessible and available to all stakeholders in the area.
- **Output 4.1**. TDPS monitoring program
- **Output 5.1.** Web portal for the dissemination of project results including the exchange of experiences through IW: LEARN and participation in IWCs.
- **Output 5.2**. Environmental education and communication strategies for IWRM in the TDPS.
- **Output 6.1**. Strategy for citizen participation and articulation among key stakeholders in support of IWRM in the TDPS.

This project was approved for a duration of 48 months by the GEF, with a start date of November 22, 2016, date of signature of PRODOC in Peru and **October 29, 2018** in Bolivia. **Subsequently, the GEF was asked to extend the project on two occasions at no additional cost, for a total of 24 additional months, with a project completion date of October 30, 2022.** The investment amount contributed by the Global Environment Facility (GEF) is US$6,563,750, financed with resources from the fifth replenishment (GEF-5). Cofinancing at the time of project approval amounts to US$18,474,400.00 and US$16,529,000.00 from Peru and Bolivia, respectively.

Regarding institutional arrangements, the project is implemented under the National Implementation Modality (NIM), with the implementing partner for the Binational PRODOC being the Ministry of the Environment (MINAM) of Peru and for the National PRODOC the Ministry of Foreign Affairs of Bolivia, which is in charge of the National Direction of the project in each country. Also, since it is a binational project, the Ministry of Foreign Affairs of Peru, the Ministry of Environment and Water of Bolivia and the National Water Authority of Peru joined as implementing partners. The project is supported by technical cooperation from the United Nations Development Program (UNDP) of both countries. The lead implementing agency of the Global Environment Facility (GEF) is UNDP Peru. Project implementation is carried out under UNDP supervision and assurance, including the monitoring and evaluation mechanisms established by the GEF and UNDP, such as periodic reports, audits, the mid-term evaluation (MTR) and this terminal evaluation (TE).

The Binational Management Unit (BPCU), led by the Project Coordinator, is in charge of project implementation.

The project contributes to outcome 1 of the United Nations Development Cooperation Framework for Peru (UNDAF11) 2017-2021: "By 2021, people living in situations of vulnerability, poverty and discrimination, improve their access to livelihoods and productive employment and decent work, through sustainable development pathways that strengthen social and natural capital, integrating adequate risk management"; as well as to Outcome 1 of the UNDP Peru Country Programme12 : "Inclusive and sustainable growth and development". At the same time, it contributes to Outcome 4 of the United Nations Development Cooperation Framework for Bolivia 2013- 201713 "Promote and support the conservation and sustainable use of the environment". To this end, the priorities will be to support government and community actions aimed at expanding and improving the management of forests, conservation areas and protected areas, support actions aimed at reducing environmental degradation, desertification and strengthening the sustainable management of water resources", and outcome 4.2 of the UNDP Bolivia Country Programme14 ; "Integrated sustainable management systems for Mother Earth developed in prioritized areas of intervention".

The project falls under the GEF International Waters Focal Area, with the following expected GEF 5 results:

- IW-3: Outcome 3.1: Demonstrated political commitment, shared vision and institutional capacity for joint management based on waterbody ecosystem and local Integrated Coastal Management (ICM) principles.
- IW-3: Outcome 3.2: Modest on-the-ground actions implemented in water quality, quantity including draining watersheds {ice melt areas), fisheries and coastal "blue forest" habitat demonstrations to protect carbon.
- IW-3: Outcome 3.3: Portfolio of International Waters with improved capabilities and performance based on learning / knowledge management / shared experiences.

Project summary table

Project title:	Integrated Management of Water Resources in the Titicaca-Desaguadero-Poopó-Salar de Coipasa System - TDPS			
GEF Project ID (GEF ID):	00094352		*At time of approval*	*At completion*

11 United Nations Development Cooperation Framework for Peru. UNDAF. 2017-2021
http://onu.org.pe/wp-content/uploads/2017/05/UNDAF-Peru-2017-2021.pdf
12 Peru Country Program Document. 2017-2021
http://www.pe.undp.org/content/peru/es/home/library/democratic_governance/documento-programa-pais-2017-20210.html
13 United Nations Development Cooperation Framework (UNDAF) in Bolivia. UNDAF. 2013-2017
http://www.nu.org.bo/wp-content/uploads/2013/02/UNDAF-2013-2017.pdf
14 Bolivia Country Program Document. 2013-2017
http://www.bo.undp.org/content/dam/bolivia/docs/undp-bo-cpap.pdf

			(US$ millions)	*(US$ millions)*
UNDP Project ID (PIMS):	4383	GEF Financing:	6'563,750	6'563,750
Country:	Peru	UNDP	50,000	To be confirmed during the final evaluation[15]
	Bolivia	UNDP	50,000	
Region:	LAC	Government Peru:	18'474,400	
		Government Bolivia	16'529,000	
Focal Area:	International Waters	NGO:	186,000	
Strategic Objectives of the GEF Focal Area 5	Multi Focal (International Waters): IW-3 Program 7 BD-4 Program 9	Total Cofinancing:	41,853,150	
GEF Agency:	United Nations Development Programme (UNDP)	Total Project Cost	72'151,880	
Other partners involved:	Ministry of Environment of Peru Ministry of Foreign Affairs of Bolivia Ministry of Foreign Affairs of Peru Ministry of Environment and Water of Bolivia National Water Authority of Peru	ProDoc Signature Date (project start date): Peru		22/11/2016
		ProDoc Signature Date (project start date): Bolivia		29/10/2018
		Operational Closing Date:	Proposed: 30/10/2022	Date Revised: 30/10/2022

[15] Cofinancing reported in the TR was US$9,255,465 for Peru and US$8,610,323 for Bolivia.

The Project Document can be found in the following links:
https://info.undp.org/docs/pdc/Documents/BOL/PRODOC_TDPS_Parte1_BINAC.pdf
https://info.undp.org/docs/pdc/Documents/BOL/PRODOC_TDPS_Parte2_BINAC.pdf

3. Of the evaluation

The objective of TE is to provide an independent assessment of whether or not project results have been achieved compared to what was expected, critically examining causal chains, including context, determining the relevance, impact, effectiveness, efficiency and sustainability of the project in order to improve future contributions to development.

The complementary purposes of the TE are as follows:

- Promote responsibility, accountability and transparency;
- Identify good practices and lessons learned that could be useful to improve the sustainability of project benefits and assist in the overall improvement of UNDP programming.
- Contribute to the overall assessment of the achievement of the GEF's strategic objectives for the benefit of the global environment; and
- Assess the degree of convergence of the project with respect to other UN priorities and the UN Results Frameworks (UNDAFs) in the two countries and the UNDP Country Program Documents (CPDs).

The end users of the evaluation will be government counterparts, GEF operational focal points in the two countries, implementing partners, UNDP country offices and other project stakeholders and decision makers in future development project formulation and implementation.

3.2 TE Approach and Methodology

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

The consultant is expected to follow a participatory and consultative approach that ensures close collaboration with the project team, government counterparts (GEF operational focal points), implementing partners, UNDP Country Offices, the UNDP Regional Technical Advisor, direct beneficiaries and other stakeholders.

In addition, the TE consultant should consider cross-cutting approaches, explaining their use in the methodology (gender marker, gender financing, etc.) and tools (interviews, surveys, etc.). It should also consider other issues such as the project's contribution to the PCD and UNDAF and the SDGs by incorporating them in the TE report.

The TE consultant shall review all relevant sources of information, including documents prepared during the formulation phase (i.e., FIP, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure (SEAP), project document, project reports including annual PIRs, project budget reviews, lessons learned reports, national strategic and legal documents, and any other material that the TE consultant deems useful for the evidence-based evaluation. The TE evaluator

will review the baseline and mid-term GEF focal area Core Indicators/monitoring tools submitted to the GEF at the mid-term review (MTR) and CEO Endorsement Letter approval stages as well as the terminal Core Indicators/monitoring tools to be completed before the TE field mission begins. The complete list of documents to be reviewed can be found in **Annex B** of the TOR**.**

Other data collection methods may be quantitative and/or qualitative. At a minimum, interviews are expected to be conducted with direct project stakeholders (those with project responsibilities, including, but not limited to, product approvals), as well as with executing agencies, senior officials and task team/component leaders, key experts and consultants in the thematic area, implementing partners, Project Steering Committee, beneficiaries, strategic allies, academia, local government and civil society organizations, among others, so that they can contribute to the assessment of project progress and provide suggestions to increase the likelihood of achieving the proposed goals, as well as their sustainability. The evaluator may also apply surveys and questionnaires or group discussions with project stakeholders, as deemed necessary for the best development of the evaluation.

Information analysis should be carried out by triangulating the information gathered through interviews and other tools with the documentation reviewed. In this way, the findings, conclusions, lessons learned and recommendations obtained from the analysis of this information must have a solid evidence base and maintain the same logic.

In the COVID context, if required, the consultant should present a proposal for adaptation of the methodology as appropriate, considering travel restrictions, security orientation, virtual meetings, among others, if required to be applied. This proposal, in addition to any limitations faced during the TE process, should be detailed in the initial TE report, as well as in the final report.

The final methodological approach, including the interview schedule and data to be used in the evaluation should be clearly described in the ET Inception Report and should be fully discussed and agreed upon by UNDP, the stakeholders and the ET evaluator. In addition, the inception report should present the Evaluation Criteria Matrix, which should be reviewed, adjusted and completed by the TE evaluator (see **Annex D** of the TOR).

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

3.3 Scope of the TE

The TE will evaluate the project's performance against the expectations set out in the project's Logical Framework / Results Framework (**see Annex A of the ToR**). The TE will evaluate the project results according to the criteria described in the Guide for TEs of UNDP-supported GEF-funded projects (relevance, effectiveness, efficiency, sustainability and impact).

The Findings section of the ET report will cover the topics listed below[16] :

Findings

i. Project Design/Formulation

- Analysis of the problem addressed, relevance and alignment to the priorities of both countries.
- Theory of change
- Analysis of the Results Framework: project logic and strategy, indicators, etc.

-Assumptions and Risks

-Lessons from other relevant projects (e.g., same focus area) incorporated into project design

-Planned stakeholder participation

-Links between the project and other interventions within the sector.

-Social and Environmental Safeguards

-Gender mainstreaming

- Implementation arrangements

ii. Project implementation

- Adaptive management (changes in project design and project results during implementation)
- Current stakeholder engagement and implementation arrangements
- Project financing and co-financing (must include the co-financing table according to Annex H).
- Monitoring and evaluation: initial design (*), implementation (*) and overall M&E evaluation (*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), supervision, implementation and overall execution of the project (*)
- Risk management, including social and environmental standards

iii. Project Results

- Assess achievement of results against indicators by reporting on the level of progress for each objective and indicator in the results framework at the time of the ET and noting final achievements using the Results Achievement Progress Matrix format (see Annex E).
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Sustainability: financial (*), socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- National ownership
- Gender equality and women's empowerment

[16] The asterisk "(*)" indicates criteria for which a rating is required. A complete outline of the contents of the TE report is provided in Annex C of the TOR.

- Cross-cutting themes (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity building, South-South cooperation, knowledge management, volunteerism, etc.).
- GEF Additionality
- Catalytic role / replicability effect
- Progress towards impact

iv. Main findings, conclusions, recommendations and lessons learned

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

The ET report will include a table of evaluation ratings, as shown below:

Table 2: Table of TE ratings

Monitoring & Evaluation (M&E)	Rating
M&E Plan Design	(Score from 1 to 6)
Implementation of the M&E Plan	
General M&E Quality	
Implementation & Execution	**Rating**
Quality of UNDP implementation/monitoring	(Score from 1 to 6)
Quality of the implementing partner's performance	
Overall quality of implementation / execution	
Evaluation of results	**Rating**

Relevance	(Score from 1 to 6)
Efficiency	
Efficiency	
Overall rating of project performance	
Sustainability	Rating
Financial	(Score from 1 to 4)
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall probability of sustainability	

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

4. Term of service

The total duration of the TE will be **75 calendar days**, counting from the day following the signing of the contract. The tentative schedule for the TE is as follows:

Table 3. Tentative implementation schedule of the ET

PERIOD OF EXECUTION	ACTIVITY
1 day after contract signature	Submission of project documentation to the evaluator
7 days after signing the contract	Presentation of the ET Initiation Report
15 days after signing the contract	Completion and validation of the ET Initiation Report
16 days after signing the contract	Start of TE mission: interviews with stakeholders in Peru, Bolivia and others, based on a schedule of 15 days maximum, prepared in coordination with the project team.
36 days after signing the contract	Mission recap meeting and presentation of initial findings, with UNDP Peru, Bolivia and Regional, the Project Management Unit, the National Directorates of Peru and Bolivia and key stakeholders.

45 days after signing the contract	Submission of the draft TE report including Annexes *(according to the content template in **Annex C** of the TOR)* electronically.
52 days after signing the contract	Circulation of draft ET report for stakeholder comments
60 days after signing the contract	Preparation and issuance of management response
75 days after signing the contract	Incorporation of comments on the draft ET report in the audit trail and finalization of the ET report (in English and Spanish).
75 days after signing the contract	Expected date of completion of full ET
Depending on the date to be coordinated with the Project's Board of Directors and UNDP.	ET Final Report Presentation Meeting

5. Products

The evaluator will be responsible for delivering the following deliverables:

No.	Product	Description	Deadline	Responsibilities
1	Initiation Report	The ET consultant details the objectives, methodology and timetable of the ET.	**7** calendar **days after** the start of the consultancy service and once the documentation has been reviewed.	The consultant submits it to the UNDP of both countries (Peru and Bolivia), the National Project Directorates (Peru and Bolivia), the Management Unit and other project stakeholders.
	Presentation of Initial Results	The consultant presents the Initial Findings and Conclusions of the ET.	**36** calendar **days after** the start of the consultancy service and upon completion of the TE's assignment	The consultant submits it to UNDP (Peru, Bolivia and Regional), the National Project Directorates (Peru and Bolivia), the Management Unit and other project stakeholders.
	Draft Final Report	Draft Final Report complete with annexes *(in accordance with the template contents in Annex C of the TOR) of the ET*	**45** calendar **days** after the start of the consulting service	The consultant submits it to UNDP (Peru and Bolivia), the National Directorates, the UNDP-GEF Regional Technical Advisor, the project team, the GEF Operational Focal Point and other project stakeholders.

	Final Report* + Audit Trail	Full final report with revised annexes including the Audit Trail detailing how the evaluation has (or has not) addressed in the report all comments received from project partners and/or stakeholders (including English and Spanish version) *(See template in Annex C of the TORS)*.	At **75 days** timetable for the start of the consultancy service and once the comments on the draft TE have been received.	The consultant submits it to UNDP (Peru and Bolivia); the National Directorates, the UNDP-GEF Regional Technical Advisor, project team, GEF Operational Focal Point and other project stakeholders.

All products must be delivered virtually.

*The quality of all final TE reports will be assessed by the UNDP Independent Evaluation Office (IEO). Details of the quality assessment of IEO decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.[17]

6. Form of Payment

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

Product	Payment	Condition of Payment
First Product	20%	In accordance with the ET Initial Report
Second Product	Not subject to payment	Presentation of first findings
Third Product		To the approval of the draft report of the ET
Fourth Product		Upon approval of the final report of the ET in English and Spanish version

In the event that there are observations on the reports submitted, the deadline shall be counted from the time they are raised. The consultant shall remove the observations within a period not to exceed 5 calendar days.

[17] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

Criteria for issuing the final 40% payment:

- The final TE report includes all the requirements described in the TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and specific to this project (i.e., text from other TE reports has not been cut and pasted).
- Approval of the final report by the Awarding Unit and the UNDP-GEF Regional Technical Advisor.
- Presentation of findings and conclusions to the Awarding Unit and other interested parties.
- The Audit Trail includes responses and justification for each comment listed.

7. Arrangements for ET

The main responsibility for the management of this Terminal Evaluation (TE) lies with the Awarding Unit of this project, which is the UNDP Peru Office, which is made up of the Strategic Planning, Environment Program and Procurement areas. The Awarding Unit will contract the consultant, ensure timely delivery of the project information package and guarantee timely payment for the products delivered, subject to prior approval. The Awarding Unit will verify the products delivered by the consultant to ensure the required quality and compliance with the "***Guidelines for the Conduct of Terminal Evaluations of UNDP Supported Projects financed by the GEF***".

The Awarding Unit, with the support of the project team, shall prepare and provide the evaluator with an updated list of project stakeholders with contact information (telephone and e-mail). Likewise, the Awarding Unit, with the support of the project, will be responsible for maintaining contact with the evaluator to organize interviews with the stakeholders, preparing a schedule, for which, if necessary, measures should be considered before COVID-19, such as the use of technological tools and virtual interviews.

It should be noted that, if applicable, the organization, dissemination of invitations and materials (logistics and cost of materials), costs related to coffee breaks, meeting rooms in Lima and headquarters, as well as international and/or national airfare, local transportation costs, transportation costs within the regions to districts or communities considered in the mission (if these mean traveling to other communities outside the city) as well as lodging and meals will be assumed by the project in coordination with the Evaluator.

In the COVID context, if required, the consultant should present a proposal for adapting the methodology as appropriate, considering travel restrictions, security orientation, virtual meetings, among others, if required. This proposal, in addition to any limitations faced during the TE process, should be detailed in the initial TE report, as well as in the final report.

Underlying the "Guidance for Conducting Final Evaluations of GEF-funded and UNDP-supported Projects" is a "do no harm" principle and a consideration that the safety of staff, consultants, stakeholders and communities is paramount and everyone's primary concern when planning and implementing evaluations during the COVID-19 crisis.

8. Characteristic profile of the natural person(s) to be recruited

The evaluator will be responsible for the overall design and writing of the TE report, will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, and will also work with the Project Team in the development of the TE roadmap.

The evaluator must not have participated in the preparation, formulation and/or implementation of the project (including the drafting of the project document), nor have carried out the mid-term evaluation (MTR) of this project; nor must he/she have a conflict of interest with the stakeholders involved in the project.

The Evaluator will be held to the highest ethical standards and must sign a code of conduct upon acceptance of the assignment (see Annex I). This evaluation will be conducted in accordance with the principles described in the UNEG "Ethical Guidelines for Evaluation". The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing data collection and data reporting. The evaluator should also ensure the security of information collected before and after the evaluation and protocols to ensure anonymity and confidentiality of information sources where expected. Knowledge of information and data collected in the evaluation process should also be used only for the evaluation and not for other uses without the express permission of UNDP and its partners.

In this regard, the Evaluator will sign the Evaluation Consultant Code of Conduct Agreement Form[18] **(Annex I).**

Academic Background

- Completed master's or doctoral studies in natural resource management, sustainable development, environment, science, engineering, economics or other related field.
- Desirable specialization, course or seminar related to: climate change, adaptation/ mitigation, management and/or governance of water resources, among others.
- Fluency in written and spoken Spanish and English.

Professional Experience

- At least 7 years of experience in the formulation, monitoring, consulting, technical assistance and/or implementation of projects or programs related to biodiversity, environmental quality management, ecosystem conservation, water resource management, international waters. Experience with indigenous populations in high Andean areas will be an asset.
- Experience leading at least three mid-term or final evaluations of projects or programs related to any of the following topics: climate change mitigation/adaptation, biodiversity conservation and/or resilience, water resources, environmental quality. It will be an asset if they are in water ecosystems, watersheds or international waters.

[18] UNEG Code of Conduct for Evaluation in the UN System: www.unevaluation.org/unegcodeofconduct

- Experience of at least two evaluations of projects financed by the GEF. It will be an asset if any of the projects were implemented by UNDP.
- Desirable experience in the application of SMART indicators, either in the framework of project design, implementation and/or monitoring, as well as in the reconstruction or validation of baseline scenarios.
- Experience in intercultural and gender sensitive evaluations and analysis desirable.

The selected candidate is required to have immediate availability to perform the consultancy.

9. Annexes to the Terms of Reference

The following annexes are attached:

- TDR Annex A: Project results framework
- TOR Annex B: Documentation to be reviewed by the consultant
- TDR Annex C: Content of the TE report
- TDR Annex D: Evaluation Criteria Matrix Format
- TDR Annex E: Results Achievement Progress Matrix Format
- TDR Annex F: ET Qualification Scale
- TDR Annex G: TE Audit trail
- TDR Annex H: Table of Cofinancing
- TDR Annex I: Code of Conduct UNEG
- TDR Annex J: Form for Approval of the TE Report

Annex A: Project Results Framework

Target	Indicator	Baseline	Goals at the end of the project	Means of verification	Risks and assumptions
Promote the conservation and sustainable use of water resources in the Titicaca - Desaguadero - Poopó - Salar de Coipasa transboundary system (TDPS), through the update of the Comprehensive Binational Master Plan.[19]	Number of specific binational commitments to address critical aspects of conservation and sustainable use of water resources and advance IWRM of the TDPS.	0	≥ 3 commitments Agreement to reduce the pollutant load of domestic and industrial wastewater 3. Agreement to optimize TDPS monitoring system	Binational commitments	The political commitment of both countries to strengthen the binational management of the TDPS and advance in IWRM is maintained. Addressing the main anthropogenic pressures that negatively affect the TDPS is a priority on the agenda of the countries. There is good communication and collaboration between the
	Number of river basin management organizations/river basin water resource councils	1[20]	≥3	Instruments for the creation of basin management organizations / basin water resource councils	
	Government investment in control and mitigation of the main environmental pressures of the TDPS (USD)[21]	To be calculated at project start-up[22] USD. 173,756,889.57[23]	Increase ≥50%.	State budget	

[19] The Binational Comprehensive Water System Master Plan TDPS is the framework for joint action agreed between Bolivia and Peru. The original PDGB was ready in 1995. The PDGB is equivalent to the Strategic Action Plan defined by the GEF under the International Waters focal area.
[20] Katari river basin management organization (Bolivia).

[21] The main pressures are understood to be: [1] discharge of untreated domestic wastewater, [2] discharge of untreated industrial wastewater, and [3] inadequate solid waste disposal (item 4 mine tailings discharge and contamination due to mismanaged environmental liabilities "was part of the main pressures listed in this footnote, but the Project team proposes its elimination as this activity is outside the scope of the Project, considering that the remediation of areas affected by mining activities is a specific mandate of the Ministry of Energy and Mines, and the control of wastewater from mining or industrial activities is not a direct task of national governments but of private sector actors (this elimination has been approved by the UNDP RTA). The indicator is measured based on a constant value using the year 2017 as a reference (it is important to note that the original PRODOC indicated 2014 as the year on which the indicator was based, but the project started implementation in 2071, so the year was changed to the latter).
[22] The baseline will be the investments made in 2017. Note: The effective start date of the project was in September 2017, so the investment baseline will be elaborated with reference to December 2017, taking into account that requiring annual information will be more feasible for public institutions due to the way public planning works (Proposed change approved by the RTA).
[23] The investment baseline for 2017, according to the project definition, is USD 173,756,889.57 (USD 141,070,735.49 for Peru and USD 32,686,154.08 for Bolivia).

					government entities of both countries. Changes resulting from the 2016 general elections in Peru and 2019 in Bolivia do not affect the binational management of TDPS.
Outcome 1. The TDPS Transboundary Diagnostic Analysis (TDA) and Strategic Action Program (SAP) have been formulated and adopted.	Approval of TDA and SAP SAP is based on IWRM and watershed management.	The original PDGB does not incorporate an IWRM perspective. Both countries have adopted the concept of river basin water resources management.	Year 3 TDA formally approved by both governments Year 4 SAP formally approved by both governments	Binational recognition tool[24] of TDA and SAP	Key TDPS stakeholders are actively involved and participate in the construction of the SAP
			Year 4 SAP incorporates IWRM strategies for each TDPS level 3 and 4 hydrographic unit (14 units).	SAP	
Improved measures of institutional capacity for IWRM implementation in the TDPS system in both countries**.**	Number of national, regional and local government officials trained in IWRM with satisfactory results.	0	Year 4 ≥ 60% of staff rated[25] satisfactory in IWRM courses.	Results obtained from the evaluation of the participants in the IWRM course Memories of training events	TDPS stakeholders are motivated to put IWRM into practice Political factors do not limit collaboration between key players in national, regional and local governments.
	Number of IWRM programs broadcast through local radio stations	0	Year 4 > 60 people/ hydrographic unit, level 3[26] , received training through local radio programs.	Local radio range report (when available) Recording of local radio programs	Social and productive organizations are actively

[24] Approval by the Project Steering Committee will be sufficient.
[25] A satisfactory grade will mean 8 points out of a total of at least 10 points.
[26] According to the Otto Pfastetter watershed coding method, level 3: Titicaca, Desaguadero, Poopó and Salar de Coipasa.

					involved in the management of the TDPS.
The practical lessons learned from pilot experiences contribute to the formulation of the SAP and contribute to decision making.	Number of technical/management instruments, based on the results of the Pilot Projects, that can contribute to the design of public policies.[27]	0	Year 4. > 10 Technical/management tools approved. > 4 public policies effectively supported by the technical/management instruments generated.	Technical/management instruments (guidelines, manuals, plans, etc.) based on the results of the Pilot Projects, approved by the implementing partner and/or competent agency, and submitted to national, regional and local institutions.[28] List of public policies developed using the technical/management tools generated by the pilot projects.	Key stakeholders from national, regional and local governments and social and productive groups value the results of the pilot projects and use them for decision making.

[27] This indicator was in the original PRODOC "number of municipal, regional and national policies based on the results of pilot projects", and has been adjusted based on the recommendations made by the MTR to provide a pragmatic view of the pilot projects. results and their use for public policy development.

[28] Annex A, presents the details of the technical/management instruments that will be generated by each of the Pilot Projects and that will aim to contribute to public policies.

ANNEX A.1 - Indicator "Number of technical or management instruments, based on the results of the Pilot Project, that can contribute to the design of public policies".

PRODOC **Code**	**Projects**	**Target**	**Technical/management instrument that will eventually contribute to generate a public policy (baseline, manual, guidelines, etc.).**	**Public policy liaison**	**Source of verification**
06-P-01	06-P-01. Sediment and mercury load reduction techniques generated by mining activities in the headwaters of the Ramis river basin.	Validate bioremediation techniques that allow the environmental recovery of surface waters contaminated by industrial wastewater in the upper zone of the Ramis River Basin - Province of San Antonio de Putina, Puno Region.	Guidelines for the application of bioremediation and phytoremediation technology for the treatment of surface water contaminated by industrial wastewater in the upper Ramis river basin.	The tool will be presented to regional and local governments to support the drafting *of local legislation to prioritize the use of bioremediation and phytoremediation in selected areas*.	Guidelines for the use of artificial wetlands for quality restoration in water bodies approved by the implementing partners. Formal communication for presentation to the regional and local government (General Directorate of Natural Resources and Environmental Management and Municipality of Ananea).
07-P-02	07-P-02. Phytoremediation techniques in water bodies affected by domestic wastewater. Puno Inland Bay.	Validate phytoremediation techniques, evaluating their efficiency and efficacy, for the decontamination of surface waters contaminated by domestic wastewater in the inner bay of Puno in Lake Titicaca.	Guidelines for the implementation of phytoremediation systems for the decontamination of surface water contaminated by domestic wastewater in the inner bay of Puno in Lake Titicaca.	The tool will be presented to regional and local governments to support the development of *local legislation to incorporate the use of wetlands for water quality restoration as part of the Regional Environmental Plan*.	Guidelines for the implementation of artificial wetlands for quality restoration in water bodies approved by the implementing partners. Formal communication for presentation to regional and local governments.

08-P-03	08-P-03. Creation of the water resources management system in the Ilave-Titicaca river basin of the Puno region.	Decrease environmental risks, improve water resources management, use a technological platform to provide a water information service.	Guidelines for the implementation of a technological platform for water management - Case applied to the Ilave river and proposal for the monitoring network of water resources in the Ilave river.	The guidelines will serve the National Water Authority for the *planning and management of water resources in the Ilave river basin* and associated decision making in accordance with its competencies.	Approval of the guidelines for a technical platform integrating the water monitoring network for the Ilave River Basin.
09-P-04	09-P-04. Monitoring of the impact on water quality in areas of high aquaculture pressure using automatic stations.	Avoid deterioration of water quality in the Bay of Puno - Lake Titicaca - due to trout farming.	Manual of sustainable practices to prevent and mitigate the environmental impacts of trout farming in Lake Titicaca.	The manual will serve as a basis for possible changes in the *directions/regulations involved in the environmental authorization and inspection of aquaculture*.	Approved manual. Formal communication of the document to the Ministry of Production and the Regional Production Directorate.
10-P-05	10-P-05. Strengthening of citizen capacities in the integrated management of water resources through community environmental monitoring and follow-up in the micro-watershed of the Chacas Lagoon - Juliaca.	Implement a participatory model for water and land management in the micro-watershed of the Chacas Lagoon in Juliaca with an intercultural and gender approach that contributes to the IWRM in the TDPS System.	"Guidelines for the design of integrated community-based water management plans at the micro-watershed level" and "Guidelines for the certification of community-based environmental monitors."	Presentation of guidelines with the participation of regional and local governments for possible replication in accordance with the recommendations of the relevant authorities.	Formal communication for presentation to the Regional Government (Directorate of Natural Resources, Directorate of Agriculture) and other authorities.
11-P-06	11-P-06. Implementation of activities and technologies to manage and reduce the use of mercury in artisanal and small-scale gold mining areas towards a more integrated watershed management.	Implement a Pilot Project that considers the use of clean technologies to reduce the use of Mercury in gold extraction.	Proposal for a Regional Mining Plan that incorporates the use of clean technologies in the gold production process in small-scale and artisanal mining.	The pilot project works in coordination with the Regional Government of Puno and will propose some lines of action for the Regional *Environmental Action* Plan.	Formal communication for submission to the Regional Government (Mining Energy Directorate).

01-B-01	01-B-01. Application of ancestral technologies for the control of sedimentation at source, San Andres de Machaca.	Identify, apply and evaluate interventions for the integrated management and conservation of watersheds, based on ancestral technologies that contribute to sediment control at the source.	Guidelines for the application of ancestral technologies for the control of sedimentation at the source.	The pilot project will work in coordination with the Municipal Government of San Andres de Machaca and Santiago de Machaca, in order to link its results with *local planning* instruments.	Formal communication of the guidelines to the relevant authorities
02-B-02	02-B-02. Revitalization of wetlands contributing to water availability, Municipality of Charaña.	Revitalization of wetlands for biodiversity protection and sustainable use and management.	Management Plan for the management of high altitude wetlands for the Municipality of Charaña.	Proposal *of local legislation for the protection of the areas to be intervined with the Project in the district of Charaña.*	Wetland management plan submitted to the relevant authorities. Proposed local legislation
03-B-03	03-B-03 - Bioremediation of the Huatajata and Bahía cohana areas of Lake Titicaca and economic revaluation of totora reeds.	Propose two innovative techniques to reduce the contamination of the Katari and Huatajata rivers in Lake Titicaca by water bioremediation, with socioeconomic and cultural benefits for local communities.	Guidelines for the construction of phytoremediation systems based on validated scientific technical information (approved by UGCK). Contributions to bioremediation strategies using cat tail (Totora) and its revaluation (Scientific publications on arsenic accumulation, mercury, carbon dynamics in artificial cat tails, sulfur biogeochemistry and effects of artificial cat tails, microbial dynamics and effects of cat tails, nutrient removal efficiency of artificial cat tails).	Workshop with participation of local governments	Formal submission of guidelines to MMAYA and ALT.

04-B-04	04-B-04. Water quality monitoring system in the Suches river basin - Bolivia.	Contribute to improving the quality of life of the riparian populations by obtaining timely, sufficient and relevant information, on a permanent basis, on the quality and quantity of water along the Suches River.	Mitigation plan for contaminating sources in the Suches river basin, which will include an inter-institutional articulation strategy.	The mitigation plan will be linked to the *planning instruments (POA, Territorial Integral Development Plan) of the Suches river basin municipality*.	Mitigation plan approved by the competent authorities. Formal presentation to the municipalities of the Suches river basin.
05-B-05	05-B-05 Lake Titicaca Permanent Observatory	To understand the hydrochemical and biological dynamics of Lake Titicaca based on the use of a sustainable automated monitoring system together with a continuous monitoring program.	Methodological guidelines for the integral monitoring of Lake Titicaca, through the use of automatic stations, and the corresponding sustainability strategy. Including technical manuals for various aspects: buoy captors, LoggerNet, campaigns, remote sensing (approved by UGCK).	The Guidelines will be linked to the *Katari Watershed Master Plan and the MMAyA Information System*.	Formal submission of guidelines and database to MMAyA and ALT

Annex B: Project Information Package for Review by the Evaluator

#	Item
1	Project Identification Form (PIF)
	UNDP Initiation Plan (PPG)
	UNDP-GEF PRODOC signed with Annexes
	Request for CEO Endorsement
5	UNDP Environmental and Social Assessment (ESIA) and associated management plans (if any)
	Project Initiation Workshop Report
	Mid-term evaluation report (MTR) and management's response to MTR recommendations
	All Project Implementation Reports (PIRs)
	Progress reports (quarterly, semi-annual or annual, with associated work plans and financial reports)
	Supervision mission reports
	Minutes of Project Board meetings and other meetings (i.e., Project Evaluation Committee meetings).
	GEF / LDCF / SCCF core indicators (from FIP, CEO approval, mid-term and final stages); only for GEF-6 and GEF-7 projects
	Financial data, including actual expenditures per project deliverable, including management costs and documentation of any significant budget revisions
	Co-financing data with expected and actual contributions broken down by type of co-financing, source and whether the contribution is considered as mobilized investment or recurrent expenditure.
	Audit Reports
	Electronic copies of project deliverables (brochures, manuals, technical reports, articles, etc.)
	Sample of project communication materials
	Summary list of formal meetings, workshops, etc. held, with date, location, topic and number of participants.
	Any relevant socio-economic monitoring data, such as average income/employment levels of stakeholders in the target area, change in income related to the project activities
	List of contracts and procurement items over ~US$5,000 (i.e. organizations or companies contracted for project deliverables, etc., except in cases of confidential information).
	List of related projects / initiatives contributing to project objectives approved / initiated after GEF project approval (i.e., any leveraged or "catalytic" outcomes)
	Data on the relevant activity of the project website, e.g. number of unique visitors per month, number of page views, etc. during the relevant time period, if available
	UNDP Country Program Document(s) (CPD(s))
	List / map of project sites, highlighting suggested visits.
	List and contact details of project staff, key project stakeholders, including members of the Project Steering Board, RTA, Project Team members and other partners to be consulted.
	Project deliverables that provide documentary evidence of the achievement of project outcomes

Annex C: Contents of the Terminal Evaluation Report

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

i. Basic project information
   - Name of project supported by UNDP and financed by GEF
   - UNDP PIMS numbers/ GEF IIDs
   - TE execution period and date of the report
   - Region and countries included in the project
   - GEF Strategic Program/Strategic Program
   - Implementing agency/implementing partner and other project partners
   - Composition of the TE team

ii. Acknowledgments

iii. Index

iv. Acronyms and Abbreviations

1. Executive Summary (3-4 pages)
   - Project information table
   - Project description (brief)
   - Table of evaluation ratings
   - Concise summary of findings, conclusions and lessons learned
   - Summary Table of Recommendations
2. Introduction (2-3 pages)
   - Purpose and objectives of the TE
   - Scope
   - Methodology
   - Data Collection & Analysis
   - Ethics
   - Limitations of the evaluation
   - Structure of the TE report
3. Project description (3-5 pages)
   - Project start and duration, including milestones
   - Development context: environmental, socio-economic, institutional and policy factors relevant to the project's objective and scope
   - Problems the project sought to address: threats and barriers
   - Immediate and developmental objectives of the project
   - Theory of Change
   - Expected Results
   - Key stakeholders: summary list
4. Findings
   (in addition to a descriptive evaluation, all criteria marked with (*) must receive a rating)

4.1 Project Design/Formulation

- Analysis of the Results Framework: project logic and strategy, indicators, etc.
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder involvement
- Linkages between the project and other interventions in the sector
- Social and Environmental Safeguards
- Gender mainstreaming

4.2 Project implementation

- Adaptive management (changes in project design and project results during implementation)
- Effective stakeholder engagement and partnership arrangements (with relevant stakeholders involved in the country or region)
- Project Financing and Co-Financing (include Table in Annex H)
- Monitoring and Evaluation: upstream design (*), implementation (*) and overall M&E evaluation (*)
- UNDP implementation/supervision (*) and execution of implementing partners (*), overall project implementation/implementation (*)
- Social and Environmental Standards and Risk Management (SESP)

4.3 Project results

- Overall results (achievement of objectives) (*)[29]
- Relevance (*)
- Effectiveness (*)
- Efficiency (*)
- General Result (*)
- National ownership
- Other cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, among others, as appropriate).
- Environmental and Social Standards
- Sustainability: Financial (*), socioeconomic (*), institutional framework and governance (*), environment (*) and general probability (*).
- Gender equality and women's empowerment
- GEF Additionality
- Catalytic role / Replication effect
- Progress towards impact

5 Main Findings, Conclusions, Recommendations & Lessons Learned

- Main findings
- Conclusions
- Recommendations
- Lessons learned

[29] See Progress Towards Results Matrix Format (Annex E).

6 Annexes

- TDR of the ET (without annexes)
- Itinerary of the TE mission
- List of interviewees
- List of documents reviewed
- Evaluation question matrix (evaluation criteria with key questions, indicators, data sources and methodology)
- Questionnaire used and summary of results
- Co-financing table (if not included in the body of the report, see Annex H).
- ET Rating Scales
- Signed evaluation consultant agreement form
- Signed UNEG Code of Conduct Form
- Signed TE report approval form
- *Annex in a separate file: ET Audit Trail*
- *Annex in a separate file: relevant GEF/LDCF/SCCF/SCCF core indicators or monitoring tools, as appropriate*

Annex D: Evaluation Criteria Matrix Format

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

	current point of implementation		
What are the key factors that contribute to the success or failure of the project?	Level of documentation and preparation for projects, assumptions and impact drivers	- Project documentation - Periodic reports, PIR Key players	Documentation analysis, data analysis, interviews
What are the main remaining risks and barriers to achieving the project objective and generating overall environmental benefits?	Presence, assessment and preparedness to mitigate risks, assumptions and expected impact factors	- Project documents - Project Team - Project stakeholders	Documentation analysis, data analysis, interviews
To what extent are the key assumptions and impact drivers relevant to achieving the Global Environmental Benefits?	Actions taken to address the key assumptions and target impact drivers	- Project documentation - Periodic reports, PIR Key players	Documentation analysis, data analysis, interviews
To what extent did the M&E systems ensure effective and efficient project management?	Quality and adequacy of project oversight mechanisms (oversight bodies, quality and timeliness of reporting, etc.) Level of progress of required adaptive management actions related to identified backlogs	- Project documents - Project Team - Key project stakeholders	Documentation analysis, interviews
Efficiency: Was the project implemented efficiently, in accordance with international and national norms and standards?			
To what extent was there an efficient and economical use of resources and strategic allocation of resources (funds, human resources, time, etc.) to achieve results?	Financial execution VS Budget Actual vs. planned human resources Adequacy of the structure of coordination and communication mechanisms Quality of project oversight mechanisms (oversight bodies, quality and timeliness of reporting, etc.)	- Project documents - Implementing Partner - Project team	Analysis of documentation, interviews
To what extent were project funds and activities delivered in a timely manner?	Level of compliance with project activities within the planned timeframe Level of compliance with budgets and annual POAS	- Project documents - Project Team - Project stakeholders	Documentation analysis, data analysis, interviews
Did the project make efficient use of the local capacity during implementation?	Knowledge ratio used in the international experts compared to national experts Quantity/quality of analysis conducted to assess the potential of the capacity	- Project documents - Project Team - Project stakeholders	Documentation analysis, data analysis, interviews

	and the capacity of absorption		
What has been the cash contribution and in-kind co-financing for project implementation?	% of cash and in-kind co-financing execution vs. expected level	- Project documents - Project Team	Documentation analysis, data analysis, interviews
Have expenditures been made in accordance with international norms and standards?	Cost of project inputs and outputs in relation to norms and standards for donor projects in the country or region.	- Project documents - Project Team	Documentation analysis, interviews
Results			
Have the planned outputs been produced and have they contributed to the project outcomes and objectives?	Level of progress of project output indicators in relation to the expected Level of logical linkage between project outputs and expected outcomes/impacts	- Project documents - Project Team - Key project stakeholders - Periodic reports - PIR	Documentation analysis, data analysis, interviews
Were they achieved or are they likely to be achieved? Have they contributed or are they likely to contribute to the achievement of the project objectives?	Level of progress of the indicators of project objectives and outcomes in relation to the expected Level of logical linkage between project outputs and expected impacts	- Project documents - Project Team - Key project stakeholders - Periodic reports - PIR	Documentation analysis, data analysis, interviews
Are the impact level results likely to be achieved and are they likely to be of sufficient scale to be considered global environmental benefits?	Environmental indicators Level of progress of the Theory of Change	- Project documents - Project Team - Key project stakeholders - Periodic reports PIR	Documentation analysis, data analysis, interviews
Sustainability: To what extent are there financial, institutional, socio-political and/or environmental risks to sustain project results over the long term?			
To what extent are project outcomes likely to be dependent on continued financial support? What is the likelihood that financial resources will be available once GEF assistance ends to support continued benefits (income-generating activities and trends that may indicate that adequate financial resources are likely to be available to sustain project outcomes)?	Financial requirements for the maintenance of project benefits Level of expected financial resources available to sustain the benefits of the project Potential for additional financial resources to maintain and/or continue the benefits of the project	- Project documents - Project Team - Key project stakeholders	Analysis of documentation, interviews with the project team and key stakeholders, among others
Are stakeholders likely to have or achieve an adequate level of "ownership" of the results, and is there a commitment and interest in	Level of stakeholder initiative and involvement relevant in the activities and	- Project documents - Project Team - Key project stakeholders	Documentation analysis, interviews

ensuring that the benefits of the project are sustained?	project results		
In relation to the commitments assumed by the counterparts, what is the level of commitment assumed by each of the project beneficiary counterparts at the end of the project, based on the results achieved?	Level of commitment of project counterparts	- Project documents - Project Team - Key project stakeholders	Documentation analysis, interviews
To what extent does the outcome of the project depend on socio-political factors?	Existence of socio-political risks for benefit projects	- Project documents - Project Team - Key project stakeholders	Documentation analysis, interviews
To what extent does the outcome of the project depend on issues related to institutional frameworks and governance?	Existence of institutional and governance risks to project benefits	- Project documents - Project Team - Key project stakeholders	Documentation analysis, interviews
Are there environmental risks that could undermine the future flow of project impacts and Global Environmental Benefits? projects and the Global Environmental Benefits?	Presence of environmental risks to the project benefits.	- Project documents - Project Team - Key project stakeholders	Documentation analysis, interviews
Do the relevant stakeholders have the technical capacity to ensure that project benefits are maintained?	Level of technical capacity of relevant stakeholders relative to the level required to sustain project benefits.	- Project documents - Project Team - Key project stakeholders - Available capacity evaluations	Documentation analysis, interviews
What are the most important challenges that could hinder the sustainability of project results?	Presence of challenges that may affect the sustainability of the results.	- Project documentation - Project team - Key project stakeholders	Documentation analysis, interviews
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?			
To what extent did the project contribute to gender equality, women's empowerment and to what extent were these approaches incorporated into the project?	Level of progress of the Gender Action Plan Level of progress on gender-related targets in the project's results framework	- PRODOC, Project Initiation Report - Analogous experience reports - Key players - Periodic reports and PIR.	Analysis of documentation interviews
How did gender outcomes advance or contribute to the project's environmental, and/or resilience outcomes?	Existence of logical linkages between gender results and project outcomes and impacts.	- Project documentation - Key players - Project team - Periodic reports and PIR.	Documentation analysis, interviews
Impact: Is there evidence that the project has contributed or enabled progress towards reducing environmental stress and/or improving ecological status?			
To what extent did the project contribute to the country program outcomes, SDGs, UNDP Strategic Plan and GEF strategic priorities?	Level of contribution of project results to the country program, SDGs, UNDP Strategic Plan, GEF strategic priorities and national priority development.	- Review of UNDP strategic documents - Interviews with UNDP Officials - Periodic reports.	Analysis of documentation and interviews

Did the project contribute to the reduction of environmental stress?	Level of environmental stress reduction (GHG emission reductions) attributable to the project	- Project documentation - Implementing partner, UNDP officers and UNDP-GEF Regional Technical Advisor and project stakeholders - Periodic reports and PIR.	Documentation analysis, data analysis, interviews
Since the project, has there been any contribution to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, confidence building and conflict resolution bodies, information sharing systems, etc.)?	Extent of changes in policy/legal/regulatory frameworks attributable to the project.	- Project documentation - Implementing partner, UNDP officers and UNDP-GEF Regional Technical Advisor and project stakeholders Periodic reports and PIR.	Documentation analysis, data analysis, interviews
Has the project contributed to changes in the socioeconomic situation (income, health, welfare, etc.)?	Degree of change in socio-economic status (income, health, welfare, etc.) attributable to the project	- Project documentation - Implementing partner, UNDP officers and UNDP-GEF Regional Technical Advisor and project stakeholders Periodic reports and PIR.	Documentation analysis, data analysis, interviews
Cross-cutting themes			
To what extent did the project results contribute to climate change adaptation and mitigation?	Positive effects of the project on climate change adaptation and mitigation.	- Project documentation - Key players - Project team - Periodic reports and PIR.	Documentation analysis, interviews

Annex E: Results Achievement Progress Matrix Format

Target	Indicator	Baseline	Goals at the end of the project	Achievement at the end of the project	Assessment of achievements	Justification of the valuation
Promote the conservation and sustainable use of water resources in the Titicaca - Desaguadero - Poopó - Salar de Coipasa transboundary system (TDPS), through the update of the Comprehensive Binational Master Plan.[30]	Number of specific binational commitments to address critical aspects of conservation and sustainable use of water resources and advance IWRM of the TDPS.	0	≥ 3 commitments Agreement to reduce the pollutant load of domestic and industrial wastewater 3. Agreement to optimize the TDPS monitoring system			
	Number of river basin management organizations/river basin water resource councils	1[31]	≥3			
	Government investment in control and mitigation of the main environmental pressures of the TDPS (USD)[32]	To be calculated at project start-up[33]	Increase ≥50%.			

[30] The Binational Comprehensive Water System Master Plan TDPS is the framework for joint action agreed between Bolivia and Peru. The original PDGB was ready in 1995. The PDGB is equivalent to the Strategic Action Plan defined by the GEF under the International Waters focal area.

[31] Katari river basin management organization (Bolivia).

[32] The main pressures are understood to be: [1] discharge of untreated domestic wastewater, [2] discharge of untreated industrial wastewater, and [3] inadequate solid waste disposal (item 4 mine tailings discharge and contamination due to mismanaged environmental liabilities "was part of the main pressures listed in this footnote, but the Project team proposes its elimination as this activity is outside the scope of the Project, considering that the remediation of areas affected by mining activities is a specific mandate of the Ministry of Energy and Mines, and the control of wastewater from mining or industrial activities is not a direct task of national governments but of private sector actors (this elimination has been approved by the UNDP RTA). The indicator is measured based on a constant value using the year 2017 as a reference (it is important to note that the original PRODOC indicated 2014 as the year on which the indicator was based, but the project started implementation in 2071, so the year was changed to the latter).

[33] The baseline will be the investments made in 2017. Note: The effective start date of the project was in September 2017, so the investment baseline will be elaborated with reference to December 2017, taking into account that requiring annual information will be more feasible for public institutions due to the way public planning works (Proposed change approved by the RTA).

		USD. 173,756,889.57[34]				
Outcome 1. The TDPS Transboundary Diagnostic Analysis (TDA) and Strategic Action Program (SAP) have been formulated and adopted.	Approval of TDA and SAP SAP is based on IWRM and watershed management.	The original PDGB does not incorporate an IWRM perspective. Both countries have adopted the concept of river basin water resources management.	Year 3 TDA formally approved by both governments Year 4 SAP formally approved by both governments			
			Year 4 SAP incorporates IWRM strategies for each TDPS level 3 and 4 hydrographic unit (14 units).			
Improved measures of institutional capacity for IWRM implementation in the TDPS system in both countries**.**	Number of national, regional and local government officials trained in IWRM with satisfactory results.	0	Year 4 ≥ 60% of staff rated[35] satisfactory in IWRM courses.			
	Number of IWRM programs broadcast through local radio stations	0	Year 4 > 60 people/ hydrographic unit, level 3[36] , received training through local radio programs.			

[34] The investment baseline for 2017, according to the project definition, is USD 173,756,889.57 (USD 141,070,735.49 for Peru and USD 32,686,154.08 for Bolivia).

[35] A satisfactory grade will mean 8 points out of a total of at least 10 points.

[36] According to the Otto Pfastetter watershed coding method, level 3: Titicaca, Desaguadero, Poopó and Salar de Coipasa.

The practical lessons learned from pilot experiences contribute to the formulation of the SAP and contribute to decision making.	Number of technical/management instruments, based on the results of the Pilot Projects, that can contribute to the design of public policies.[37]	0	Year 4. > 10 Technical/management tools approved. > 4 public policies effectively supported by the technical/management instruments generated.			

[37] This indicator was in the original PRODOC "number of municipal, regional and national policies based on the results of pilot projects", and has been adjusted based on the recommendations made by the MTR to provide a pragmatic view of the pilot projects. results and their use for public policy development.

Annex F: TE Rating Scale

Ratings for Results, Effectiveness, Efficiency, M&E, Implementation/Monitoring, Execution, Relevance	Sustainability Ratings
6 = Highly Satisfactory (AS): exceeds expectations and/or has no deficiencies. 5 = Satisfactory (S): meets expectations and/or with minor or no deficiencies. 4 = Moderately Satisfactory (MS): more or less meets expectations and/or some deficiencies. 3 = Moderately Unsatisfactory (MI): somewhat below expectations and / or significant deficiencies 2 = Unsatisfactory (I): substantially below expectations and/or major shortcomings 1 = Highly Unsatisfactory (AI): with severe deficiencies Cannot be evaluated (N/E): the available information does not allow an evaluation.	4 = Probable (P): Negligible Risks 3 = Moderately Probable (MP): moderate risks 2 = Moderately Improbable (MI): significant risks 1 = Unlikely (I): serious risks Not evaluable (N / E): The expected impact and magnitude of risks to sustainability cannot be assessed.

Annex G: Audit Trail of the ET

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

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

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

Annex H: CO-FINANCING TABLE

Source of Cofinancing	Name of Cofinancier	Type of Cofinancing	Investment mobilized	Quantity (USD)
TOTAL				

ANNEX I. UNEG Code of Conduct

Independence implies the ability to evaluate without undue influence or pressure from any party (including the contracting unit) and to provide evaluators with free access to information on the subject of the evaluation. Independence provides legitimacy and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest that could arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of the ten general principles for evaluations (along with internationally agreed principles, objectives and goals: utility, credibility, impartiality, ethics,

Evaluators/Consultants:

1. It should present complete and fair information in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

2. It should disclose the full set of evaluation results along with information about their limitations and have this accessible to all those affected by the evaluation with expressed legal rights to receive results.

3. Must protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize timely demands, and respect the right of individuals to opt out. Evaluators must respect the right of individuals to provide confidential information, and must ensure that sensitive information cannot be traced back to its source. Evaluators are not expected to evaluate individuals, and should balance an evaluation of management functions with this general principle.

4. Sometimes they discover evidence of wrongdoing while conducting evaluations. Such cases should be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight bodies when there is any doubt as to whether and how they should be reported.

5. Must be sensitive to beliefs, manners and customs and act with integrity and honesty in their dealings with all stakeholders. In accordance with the United Nations Universal Declaration of Human Rights, evaluators should be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those with whom they come into contact in the course of the evaluation. Knowing that the evaluation could adversely affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a manner that clearly respects the dignity and self-respect of stakeholders.

6. Are accountable for their performance and products. They are responsible for the clear, accurate and fair presentation, either written and/or oral, of study imitations, findings and recommendations.

7. It should reflect sound accounting procedures and be prudent in the use of the evaluation's resources.

8. It must ensure that the independence of judgment is maintained and that the results and recommendations of the evaluation are presented independently.

9. You must confirm that you have not been involved in the design, implementation or advice on the project being evaluated and that you have not conducted the mid-term evaluation of the project.

Evaluation Consultant Agreement Form

transparency, human rights and

Appendix J: ET Report Authorization Form

Terminal Evaluation Report for *(Project Title & PIMS ID UNDP)*

Reviewed and authorized by:

Adjudicating Unit (M&E Focal Point)

Nombre: _____

Signature: _____ Date: _____

Regional Technical Advisor GEF-UNDP (Focal Area)

Nombre: _____

Signature: _____ Date: _____

Annex 2: Itinerary of the FE's Mission

Tuesday, August 16, 2022

- Arrival of the evaluator in Puno - Peru.

Wednesday, August 17, 2022

- Visit to Pilot Project 07-P-02, Phytoremediation techniques in water bodies affected by domestic wastewater, Bahía Interior de Puno.
- Visit to the site of Pilot Project 09-P-04, Monitoring the impact on water quality in areas of high aquaculture pressure using automatic stations, Chucuito Sector - Puno.
- Visit to the Water Quality Laboratory, Local Water Administration (ALA), Ilave.
- Visit to the site of pilot project 08-P-03, Creation of the water resources management system in the Ilave-Titicaca river basin in the Puno region, hydrological patios, Puente Chihuane and Puente Ilave.

Thursday, August 18, 2022

- Interview with key stakeholders in Puno.
- Protocol ceremony for the official presentation of Pilot Plants 11-P-06 for the Promotion of Clean Technologies Applicable to ASM in the Puno region.

Friday, August 19, 2022

- Interview with key stakeholders in Puno.

Saturday, August 20, 2022

- Travel of the evaluator from Puno - Peru to La Paz - Bolivia.

Sunday, August 21, 2022

- Rest in La Paz.

Monday, August 22, 2022

- Interview with key stakeholders in La Paz.

Tuesday, August 23, 2022

- Interview with key stakeholders in La Paz.
- Visit to Pilot Project 01-B-01, Application of ancestral technologies for the control of sedimentation in springs. San Andres and Santiago de Machaca" and beneficiaries (all day).

Wednesday, August 24, 2022

- Interview with key stakeholders in La Paz.
- Interview with the UMSA EI team implementing Pilot Project 03-B-03, "Bioremediation of the Huatajata and Bahía Cohana areas of Lake Titicaca and cultural and economic revaluation of totora reeds".

Thursday, August 25, 2022

- Interview with key stakeholders in La Paz.
- Presentation of Initial Findings.
- Annex 3: List of people consulted

Annex 3: List of persons consulted

Name	Institution	Cargo
Adalid Villalobos	Municipality of San Andres de Machaca	Cusupaya - Base
Adolfo Arratia Chambi	Regional Government of Puno (GORE-Puno)	Regional Manager of Natural Resources
Adriana Kato	UNDP Peru	Communication Specialist
Alan Llacza	SENAMHI - Peru	Subdirectorate of Numerical Modeling of the Atmosphere
Alfredo Loza	GORE Puno	Assistant Manager of Public Relations.
Ana Maria Nuñez	UNDP LAC	Regional Technical Specialist for Waters, Oceans, Ecosystems and Biodiversity
Analia Guachalla	UNDP Bolivia	Technical Administrative Liaison Professional - MRE B
Apolinario Quispe	Municipality of San Andres de Machaca	Auqui Amaya - President of OGC
Apolinario Quispe Espejo	Municipality of Santiago de Machaca	President O.G.C.
Arturo Tuco Ticona	Municipality of San Andres de Machaca	Moon - Base
Aurora Mamani	MMAyA	Director General of Watersheds and Water Resources
Benjamin Limachi	GAD. La Paz	Technician
Bruno Iriarte	MRE-P	Deputy Director for Andean Countries and Alternate Representative of the Ministry of Foreign Affairs to the Binational Steering Committee
Carlos Ortuño Yáñez	Consultant	IWRM Specialist
Carola Beldenama	Practical Action	Assistant
Caroll Flores	UNDP Peru	Responsible for Pilot 6
Cecilia Libia Cermeño Castromonte	MINAM	General Directorate of Environmental Quality - Directorate of Environmental Quality and Ecoefficiency
Cecilia Mauncia	Municipality of San Andres de Machaca	Mallku Orginari
Cenaida Ramos	Water Administrative Authority - Titicaca (AAA-T), ANA	Water Resources Quality Specialist
Cesar Gamarra	IMARPE	Head of the Continental Laboratory of Puno

Name	Institution	Cargo
Cesar Quispe	UNDP Peru	Responsible for Pilot 8
Cirilo Quispe Poma	Itapalluni Community	Jatha Mallku
Danna Lara	UNDP Peru	Binational Coordinator
Dante Atilio Salas Avila	GORE Puno	Regional Director of Energy and Mines
Dario Acha	Institute of Ecology/UMSA	Responsible for PP 3
David Rada Riveros	MRE	Head of International Boundary Waters Unit
Diego Manya	UNDP Peru	Technical Coordination Specialist - MINAM
Eduardo Dios Alemán	Ministry of Foreign Affairs	Consultant in Water Resources of the General Directorate of the Americas of the Ministry of Foreign Affairs.
Edurdo Aduni Molido	Itapalluni Community	Stavio acienda
Elena Alavi	Municipality of San Sandrés de Machaca	Jerusalem - Base
Eliana Ballivian	UNDP Peru	Communication Specialist
Eliana Quispe	Consultant	Responsible for PP 2 - Charaña
Erásmo Chacapacha	Municipality of San Sandrés de Machaca	GAMSM - Chairman of the Municipal Council
Erasmo Chacapaya	Municipality of Santiago de Machaca	Councilman
Eulalio Maqui Anduviri	Chullancayani	Councilor / GAMSA
Fabiola Nuñez	MINAM	Directorate of Sustainable Conservation of Ecosystems and Species
Felix Butron Ticona	Municipality of San Andres de Machaca	Jerusalem - Sullka Mallka
Flora Huan	Municipality of San Andres de Machaca	Pilot beneficiary
Flora Huanca	Municipality of San Andres de Machaca	Huancamani - Base
Gabriela Monje	Vice-Ministry of Planning and Coordination	Professional III in the General Directorate of Follow-up and Coordination
Gaby Arpasi	UNDP Peru	Administrative Assistant
Germán Aduvini Maldonado	Itapalluni Community	Base
Grover Huallpa	MRE	Endorheic Basin Manager

Name	Institution	Cargo
Hanny Quispe	ANA	Director of Water Resources Planning and Development
Hugo Cutile	SENAMHI-Bol	Director Hydrology Unit
Irma Ticona	Municipality of San Andres de Machaca	Moon
Isaac Humpiri Ramos	Local Water Authority (ALA) Ilave	Local Water Administrator Ilave
Javier Bojorquez	Suma Marka	Chairman
Javier Quispe Flores	Itapalluni Community	Jatha Mallku
Jean Pierre Poirier	UNDP Peru	Administrator
Jimmy Navarro	CES Consulting	Consultant
Jonathan Soto	UNDP Peru	Responsible for Pilot 11
Jorge Alvarez	UNDP Peru	Program Officer
Jorge Edwin Benites Agüero	MINAM	Climate Change Adaptation and Desertification Directorate
Jorge Quezada Portugal	UMSA	Head of Plant Biotechnology Unit
Juan Adalid Villalobos Estacita	Municipality of Santiago de Machaca	Beneficiary
Juan Ocola Salazar	Autonomous Binational Authority of the Titicaca, Desaguadero, Poopó, Coipasa Salt Lake System (ALT)	ALT Executive President
Julio Miranda	Autonomous Binational Authority of the Titicaca, Desaguadero, Poopó, Coipasa Salt Lake System (ALT)	Water Resources Specialist
Karina Antezana	UNDP Bolivia	Program Associate
Lidia Huanca	Municipality of San Andres de Machaca	Huancamani - Base
Lucía Ticona Mullisaca	Municipality of San Sandrés de Machaca	Jerusalem -vice-president O.G.C.
Luciana Mermet	UNDP Bolivia	Resident Representative
Lucy Huanca Zabala	Municipality of San Andres de Machaca	Huancarami - Mallka Quillari
Luis Cuti Sanchez	Ministry of Foreign Affairs	Head of Bolivia Department
Luis Rojas	Water Administrative Authority - Titicaca (AAA-T), ANA	Water Resources Specialist
Marcela A. Ormachea Rojas	UMSA	Web Máster - Lake Titicaca Observatory

Name	Institution	Cargo
Maria Cebrian	UNDP	Planning, Monitoring and Evaluation Specialist at UNDP Peru
Maria del Carmen Quevedo Caiña	MINAM	Water and Effluent Environmental Quality Management Coordinator
Marilia Rios	DGCRH/MMAyA	Responsible for International Waters
Marissa Castro Magnani	MRE	Director General of Boundaries, Borders and International Transboundary Waters
Mery Gutierrez Osco	El Alto	University
Miguel Angel Pinto	UMSA	Consultant
Miguel Fernandez	Water Administrative Authority - Titicaca (AAA-T), ANA	AAA-T Director
Milagros Tazza	MINAM	Direction of Education and Environmental Citizenship of MINAM - Sectorista
Milena Pinto Gutierrez	UMSA	Specialist Associate for National Coordination Support for the PAE
Néstor Condori Plata	Municipality of San Andres de Machaca	GAMSM - General Secretary
Omar Marca	UNDP Peru	Monitoring and Evaluation Specialist
Osvaldo Qelga Mamani	Municipality of San Andres de Machaca	Huancarami - Base
Pablo Cannestraci Lemaitre	UMSA	Environmental Microbiologist
Pablo Castillo Santander	UNDP Bolivia	Monitoring and Evaluation
Pablo Pacheco	GAD, Oruro	Risk Technical Assistant
Patricia Sullcata	Ministry of Environment and Water	Water Resources Specialist
Paulina Ticona Huanca	Municipality of San Andres de Machaca	Luna - Mallku Orginario
Raul Rojas Vargas	GORE Puno	Deputy Manager of Environmental Management
René Mixto Apaza	Municipality of Santiago de Machaca	Mayor

Name	Institution	Cargo
Richard Apaza	Water Administrative Authority - Titicaca (AAA-T), ANA	Water Resources Specialist
Robert Choque Yanqsi	Itapalluni Community	Stvio de acta
Rocio Chain	UNDP Bolivia	Program Officer
Rocio Gomez	UNDP Peru	Responsible for Pilot 7
Roxana Cruz Quispe	Arocata	Promotora Santiago de Machaca
Ruti Paye Usnayo	Itapalluni Community	Base
Sara Neyrot Bernal	UMSA	Pilot beneficiary
Sinforosa Lipe Vda. De Tuco	Municipality of San Andres de Machaca	Huancarami - Native Authority Sullka Malka
Tomasa Torres	Municipality of San Andres de Machaca	Jerusalem - Base
Tuco Ticona	Municipality of San Andres de Machaca	Qilga Tower - Base
Victor Hugo Apaza	SERNANP	Titicaca National Reserve
Victor Hugo Yapu Flores	Practical Action	Country Representative
Victor Yapu	Practical Action	Country Representative
Victoria Mamani	Municipality of San Andres de Machaca	Huancamani - Base
Victoria Zabala	Municipality of San Andres de Machaca	Qilga Tower - Base
Viviana Edith Cruz Hernández	UMSA	Phytoplankton - Lake Titicaca Observatory
Waldo Lavado	SENAMHI	Assistant Director of Hydrologic Studies and Research
Walter Gutiérrez Mamani	El Alto	Independent
Walter Moscoso R.	Ministry of Foreign Affairs	Third secretary of the Bolivia Folder
William Gustavo Lanza Aguilar	UMSA	Master Physiochemistry - Periphyton - Lake Titicaca Observatory
Wilma A. Arce	UMSA	Consultant
Xavier Lazzaro	IRD	Responsible for PP 5

Annex 5: List of documents reviewed

1. PIF
2. UNDP Project Document
3. UNDP Social and Environmental Standards
4. Project Initiation Report
5. Project Implementation Report (PIRs) from 2018 to 2022.
6. Quarterly progress reports
7. Annual work plans
8. UNDP Peru and UNDP Bolivia Audit Reports
9. Mid-Term Evaluation Report
10. Updated Evaluation Results Framework
11. Grant agreement between UNDP and the Science Foundation (EC12 and EC 13), signed in 2020.
12. Micro-Capital Grant Agreement signed between UNDP-Bolivia and IRD-France, signed in 2018.
13. Micro-capital grant agreement between UNDP and Asociación para la Investigación y Desarrollo Sostenible Suma Marka - ONGD for the delivery of grant funds, signed in 2018.
14. Agreement between UNDP and the IUCN International Union Environmental Law Centre, signed in 2020.
15. Agreement between UNDP and the Environmental Quality Unit of the Ecology Institute of the Universidad Mayor de San Andrés for the implementation of Bioremediation of the Huatajata and Bahía Cohana areas of Lake Titicaca and cultural-economic revaluation of totora reeds, signed in 2018.
16. Progress reports of project activities.
17. All monitoring reports prepared by the project
18. Monitoring and Evaluation Plan
19. Binational Steering Committee Meeting Minutes 2018 to 2021
20. Binational Technical Committee meeting minutes from 2017 to 2021.
21. Project maps
22. List of Binational Workshops and Meetings
23. Combined reporting of project expenditures and financial reports.
24. Terms of reference for consulting and services
25. List of assets acquired under the project
26. Pilot project management tools:
    - Guide for the application of ancestral measures for the control of sedimentation at the source - A contribution of ancestral knowledge for integrated watershed management, in June 2022 (Pilot Project 01-B-01).
    - Guide for the construction of artificial wetlands of Totora, prepared by the Aquatic Ecology Unit of the Ecology Institute of the UMSA in June 2022 (Pilot Project 03-B-03).
    - Guide for the elaboration of community plans for water and land management in micro-watersheds, in 2021. (Pilot project 10-P-05)
    - Methodological guide for the research and limnological monitoring of Lake Titicaca with emphasis on the eutrophication of Lago Menor, between January 2019 and June 2022 (Pilot Project 05-B-05).

- Guide on the technological platform for water management - case applied to the Ilave river and proposal for the monitoring network of water resources in the Ilave river, in June 2022 (Pilot project 08-P-03).
- Manual of actions for the revitalization of wetlands (Pilot Project 02-B-02).

27. Complementary Studies Instruments (EC)
    - EC1 - Hydroclimatic update and hydrological modeling in the Lake Titicaca watershed, Peru.
    - EC2 - Hydroclimatic update and hydrological modeling in the Lake Titicaca basin, Bolivia.
    - EC3B - Technical Report of Supervision of Consultancy "Coodinador/a of the study for the estimation of multi-sectorial water demand of the Titicaca - Desaguadero - Poopó - Salar de Coipasa system.
    - EC3P - Estimation of multi-sectoral water demand.
    - EC 4 - Climate change scenarios.
    - EC6 - Methodological guide for climate change risk studies in TDPS.
    - EC 7B - Inventory of pollutant sources in the TDPS water system - in the Bolivian TDPS.
    - EC 7P - Inventory and analysis of pollutant sources in the Peruvian area of the TDPS water system.
    - EC 8 - Systematization and analysis of water quality information of the TDPS water system.
    - EC 9 - Elaboration of the proposal for the Integral Environmental Monitoring System in the TDPS Water System.
    - EC 10 - Evaluation of the conservation status and proposal of a strategy and Binational Action Plan for the Conservation and Sustainable Use of the species of the genus Orestias spp. in lakes Titicaca, Poopó and Uru Uru.
    - EC 12 - Characterization of underwater habitats, diagnosis of threats and assessment of the population status of the Titicaca giant frog (Telmatobius celeus) through the snorkel transect technique.
    - EC 13 - Genetic evaluation of the populations of the genus Telmatobius in Lake Titicaca and adjacent areas.
    - EC 14 - Proposed actions for the conservation of indicator species: Titicaca Grebe.
    - EC 15 - Binational diagnosis of the status of the cattail cattails Schoenoplectus
    - EC 16 - Analysis of the fisheries situation in Lake Titicaca, Bolivian sector.
    - EC 18 - Analysis of the fisheries situation in Lake Poopó and Uru Uru.
28. Project Gender Plan, March 2022.
29. Environmental Education and Communication Strategy
30. Citizen Participation Strategy.
31. Campaign "Our clean watershed, our home".
32. Communication products, including folders, brochures and posters.
33. Project web portal.
34. Project social networks: Facebook, YouTube and Instagram.
35. Exit strategy and sustainability of:
    - Project exit strategy.
    - Rationale and proposal for the sustainability of the OLT - Lake Titicaca Permanent Observatory in the medium and long term.
    - Sustainability strategy of the pilot project "Phytoremediation techniques in water bodies affected by domestic wastewater. Inland Bay of Puno.

- Rationale and proposal for sustainability of the 03 automatic hydrological stations implemented by the pilot project 08-P-03 "Implementation of water monitoring in the Ilave river basin, Puno Region" - UNDP/GEF; in the medium and long term.
- Proposal for the sustainability of pilot project 09-P-04, Monitoring the Impact on Water Quality in Areas of High Fish Farming Pressure through the use of Automatic Stations. Bahía Mayor de Puno.
- Proposal for a sustainability strategy for pilot project p6-P-01, Techniques to reduce sediment and mercury loads generated by mining activities in the headwaters of the Ramis river basin.
- Strategy and sustainability plan for implemented actions of pilot projects and complementary studies - Bolivia.

36. Peace Declaration and Action Plan documents.
37. Information from articles and journals related to the TDPS system, shared by the project team.

Other documents:

38. Carneiro, A. P.; Morato, J.; Peixoto, H.; Bradley, S.; Muller, A.. Synthesizing and standardizing criteria for the evaluation of sustainability indicators in the water sector. ENVIRONMENT, DEVELOPMENT AND SUSTAINABILITY, https://doi.org/10.1007/s10668-019-00508-z, 2019.
39. Carneiro, A. P.; Morato, J.; Peixoto, H.; Figueroa, A.; Zuluaga, L.; Botero, V.. Sustainability Assessment of indicators for integrated water resources management. SCIENCE OF THE TOTAL ENVIRONMENT, v. 578, p. 139-147, 2017.
40. Carneiro, A. P. Multi-criteria and Participatory Approach to Socio-Economic, Environmental and Institutional Indicators for Sustainable Water Use and Management at River Basin Level. PhD Thesis. UNESCO Chair on Sustainability. PhD Program in Sustainability, Technology and Humanism. Barcelona: Universitat Politècnica de Catalunya, 2015.
41. GEF Evaluation Office, Ethical Guidelines, Evaluation Document No. 2. 2007.
42. GEF Evaluation Office. Evaluation of the GEF focal area strategies - Technical paper 3: international waters. 2014
43. GEF Evaluation Office. Review of Outcomes to Impacts (ROtI) method. 2009
44. GEF Independent Evaluation Office (IEO). GEF Evaluation Policy. 2019
45. GEF IW:LEARN UNDP. GEF International Waters Public-Private Partnerships Guidebook. 2013
46. GEF IW:LEARN UNDP. Project Management Manual - Everything you need to know
47. GEF IW:LEARN, GEF Guidance Documents to Economic Valuation of Ecosystem Services in IW Projects. 2019.
48. GEF IW:LEARN. Climate Variability and Change Impacts in GEF IW - A Guidance. 2014
49. GEF IW:LEARN. GEF Transboundary Diagnostic Analysis/Strategic Action Programme Manual. 2013
50. GEF Policy: FI/GN/01 Guidelines on Co-financing. 2018
51. GEF STAP, Achieving enduring outcomes from GEF investment. 2019.
52. GEF STAP, Innovation and the GEF. 2019
53. GEF STAP, Integration: to solve complex environmental problems. 2018.
54. GEF STAP, STAP guidance on climate risk screening. 2019
55. GEF STAP, The Political Economy of Regionalism: The Relevance for International Waters and the Global Environment Facility: A STAP Issues Paper. Global Environment Facility, Washington, D.C. (2014).
56. GEF UNDP, SGP Scaling Up Community Actions for International Waters Management. 2016.

57. GEF UNDP. Communicating for Results! A Communications Planning Guide for International Waters Projects. 2006
58. GEF UNEP International Waters - A portfolio overview: From tools and methodologies to innovative initiatives and experience with integration and ridge to reef
59. GEF, GEF 5 Focal Areas Strategy. 2011
60. GEF, Policy on Stakeholder Engagement. 2017.
61. GEF. From Community to Cabinet: Two decades of GEF action to secure transboundary river basins and aquifers. 2012
62. GEF. Guidelines on core indicators and sub-indicators (ME/GN/02). 2019
63. GEF. Guidelines on gender equality (SD/GN/02). 2018
64. GEF. Guidelines on the implementation of the policy on stakeholder engagement (D/GN/01). 2018
65. GEF. Policy on monitoring (ME/PL/03). 2019
66. GEF. Policy on stakeholder engagement (SD/PL/01). 2017
67. GEF/C.52/Inf.06/Rev.01. Guidelines on the project and program cycle policy. 2017.
68. GEF/R.7/19. GEF-7 replenishment programming directions. 2018.
69. GEF/STAP/C.57/Inf.04. Theory of change primer. 2019
70. Granit. J., Liss Lymer, B., Olsen, S., Tengberg, A, Nõmmann, S. and Clausen, T. J.. A conceptual framework for governing and managing key flows in a source-to-sea continuum: A STAP Advisory Document. Global Environment Facility, Washington, D.C. 2017.
71. Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects. 2017.
72. Independent Evaluation Office of GEF International Waters Focal Area Study. 2016.
73. Mee, L., and Adeel, Z. Science-Policy Bridges Over Troubled Waters - Making Science Deliver Greater Impacts in Shared Water Systems. United Nations University Institute for Water, Environment and Health (UNU-INWEH), Hamilton, Canada. 2012
74. Ministry of Environment of Peru. National Biodiversity Strategy 2021 and its Action Plan 2014-2018.
75. Ministry of Environment of Peru. Third National Communication of Peru to the United Nations Framework Convention on Climate Change. 2016
76. OAS. Framework program of the La Plata River Basin : implementation process and primary outcomes. - 1st ed . - Autonomous City of Buenos Aires : Intergovernmental Coordinating Committee of the Countries of the La Plata Basin - CIC ; United States : Organization of American States - OAS, 2017.
77. OAS. Hydroclimatology of the La Plata Basin - 1st special edition - Autonomous City of Buenos Aires : Intergovernmental Coordinating Committee of the Countries of the La Plata Basin - CIC ; United States: Organization of American States - OAS, 2017.
78. OAS. Implementation of Integrated River Basin Management Practices in the Pantanal and Upper Paraguay River Basin ANA/GEF/UNEP/OAS: Strategic Action Program for the Integrated Management of the Pantanal and the Upper Paraguay River Basin - ANA ... [et al. [et al.] - Brasília: TDA Desenho & Arte Ltda. 2005. 320p.
79. OAS. Demonstrative Pilot Project Resolution of conflicts over water use in the Cuareim/Quaraí river basin - 1st special edition - Autonomous City of Buenos Aires: Intergovernmental Coordinating Committee of the Countries of the La Plata Basin - CIC; United States : Organization of American States - OAS, 2017.
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82. OAS. Transboundary Diagnostic Analysis for the La Plata River Basin - TDA. - 1st special edition - Autonomous City of Buenos Aires : Intergovernmental Coordinating Committee of the Countries of the La Plata Basin - CIC ; United States : Organization of American States - OAS, 2017.
83. PIF UNEP GEF ID9770 project 'Implementation of the Strategic Action Programme to ensure Integrated and Sustainable Management of the Transboundary Water Resources of the Amazon River Basin' 2017
84. ProDoc UNEP-ACTO GEF IW 2364 project 'Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin Considering Climate Variability and Climate Change' (2011-2018), 2010
85. Russi, D., ten Brink, P., Farmer, A., Badura T., Coates, D., Förster, J., Kumar, R. and Davidson, N. The Economics of Ecosystems and Biodiversity (TEEB) for Water and Wetlands. IEEP, London and Brussels; Ramsar Secretariat, Gland. 2013
86. Terminal Evaluation of the GEF - UN Environment Project "Sustainable management of the water resources of the La Plata Basin with respect to the effects of climate variability and change" GEF ID: 2095 (2019)
87. Terminal Evaluation Report of Bermejo SAP II - Implementation of the Strategic Action Programme for the Bermejo River Binational Basin: Phase II (2011)
88. Terminal Evaluation Report of GEF Guarani - Environmental Protection and Sustainable Development of the Guarani Aquifer System Project (2009)
89. Terminal Evaluation Report UNDP GEF ID2931 project "Adaptation to Climate Change through Effective Water Governance" Project (PACC) (2008-2014)
90. Terminal Evaluation Report UNIDO GEF-5 IW-POP ID 4799 project 'Implementing Integrated Measures for Minimizing Mercury Releases from Artisanal Gold Mining', 2017.
91. Terminal Evaluation Report UNDP GEF PROJECT ID 5284 project "Integrated Water Resources Management in the Puyango-Tumbes, Catamayo, Chira and Zarumilla Transboundary aquifers and river basins", 2020.
92. UNDAF Bolivia, United Nations Cooperation Framework for Sustainable Development, 2018-2022
93. UNDAF Peru, United Nations Cooperation Framework for Sustainable Development 2017-2021
94. UNDG. Results-based Management Handbook, 2011
95. UNDP Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects. 2020
96. UNDP Independent Evaluation Office on "Evaluation planning and implementation during Covi-19" issued March 31, 2020
97. UNDP Style Manual. 2008
98. UNDP. Annual Report on Evaluation, 2017.
99. UNDP. Evaluation Policy, 2016
100. UNDP. The importance of biodiversity and ecosystems for economic growth and equity in Latin America and the Caribbean: An economic valuation of ecosystems, 2010.
101. UNDP. National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures. 2011.
102. UNDP. Programme and Operations Policies and Procedures (POPP), 2018.
103. UNDP. Programme and Project Management (PPM), 2018.
104. UNDP. Strategic Plan 2018-2021

105. UNDP. Environmental and Social Screening Procedure. 2016
106. UNEG. Code of Conduct for Evaluation in the UN system. 2008.
107. UNEG. Ethical Guidelines for Evaluation. 2008
108. UNEG. Impact Evaluation in UN Agency Evaluation Systems: Guidance on Selection, Planning and Management, 2013.
109. UNEG. Integrating Gender Equality and Human Rights in Evaluation - UN-SWAP Guidance, Analysis and Good Practices. 2014
110. UNEP. Green Infrastructure Guide for Water Management: Ecosystem-based management approaches for water-related infrastructure projects. 2014.

Annex 7 - Evaluation Criteria Matrix

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
Criterion: Relevance		Question: How does the project relate to the main objectives of the GEF focus area and to local, regional and national environmental and development priorities?	
1. Was the project objective aligned with national and local long-term priorities, policies, plans and strategies?	Level of coherence between project objective and national priorities, policies and strategies, as indicated in official documents	PRODOC, Project Initiation Report - Interviews with design participants -Interviews with Implementing Partner and key project stakeholders -Review of official government documents	Analysis of documentation and interviews others
2. To what extent was the project aligned with the UNDP Strategic Plan, the CPD, the UNDAF, the UN Sustainable Development Cooperation Framework (UNSDCF), the SDGs and GEF strategic programming?	Level of coherence between project objective and results frameworks: with UNDAF, CPD, UNDAF, UNSDCF, UNSDCF and GEF strategic programming.	Project documents. UNDP and GEF strategies and strategic documents. UNDP Officers - UNDP-GE Regional Technical Advisor.	Document analysis Interviews with UNDP and project staff.
3. To what extent did the project address the needs and interests of all specific and/or relevant stakeholder groups?	Level of linkage between needs and interests of all specific and/or relevant stakeholder groups and those of the project.	PRODOC - Project Initiation Report - PPG Validation Workshop Report -Participants in the design - Implementing partner and key stakeholders of the project	Analysis of documentation, interviews.
4. To what extent was the participation of key stakeholders incorporated into the project?	Degree of participation in the project by all specific stakeholder groups.	-PRODOC -Project Initiation Report -Project key players -Periodic reports and PIR.	Documentation analysis, data analysis, interviews.
5. Were previous experiences and appropriate technical opinions adequately incorporated into the project design?	Level of incorporation of technical experiences and visions in the project design.	-PRODOC -Participants in the design -UNDP officials.	Documentation analysis, data analysis, interviews.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
6. To what extent was the project in line with the environmental and development priorities of Bolivia and Peru?	Existence of a clear relationship between project objectives and the environmental and development priorities of the countries.	Project documents. National HR, Environment and Development plans and policies.	Document analysis. Interviews with UNDP and project staff. Interviews with key stakeholders at the national level.
7. To what extent was the project in line with the environmental and development priorities of the regions/localities of Puno, La Paz and Oruro?	Existence of a clear relationship between project objectives and local/regional environmental and development priorities.	Project documents. Reference documents at the local and regional level that address HR, Environment and Development priorities.	Document analysis. Interviews with UNDP and project staff. Interviews with key local/regional stakeholders. Field visits
8. Does the project provide relevant lessons and experiences for future similar projects?	Level Systematization of lessons learned Degree to which key stakeholders are aware of lessons learned.	-Project documentation -Periodic reports, PIR -Key players.	Documentation analysis, data analysis, interviews.
Criterion: Effectiveness		Question: To what extent have the expected results and objectives of the project been achieved?	
9. Are the project objectives likely to be achieved? To what extent are they likely to be achieved?	Level of progress toward project objectives relative to the level expected at the current point of implementation.	-Project documentation -Periodic reports, PIR Key stakeholders.	Documentation analysis, data analysis, interviews.
10. What are the key factors that contribute to the success or failure of the project?	Level of documentation and preparation for projects, assumptions and impact drivers.	-Project documentation -Periodic reports, PIR Key stakeholders.	Documentation analysis, data analysis, interviews.
11. What are the main remaining risks and barriers to achieving the project objective and generating overall environmental benefits?	Presence, evaluation and preparation to mitigate risks, assumptions and expected impact factors.	-Project Documents -Project Team -Project Stakeholders.	Documentation analysis, data analysis, interviews
12. To what extent are the key assumptions and impact drivers relevant to achieving the Global Environmental Benefits?	Actions taken to address key assumptions and target impact drivers.	-Project documentation -Periodic reports, PIR Key stakeholders.	Documentation analysis, data analysis, interviews.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
13. To what extent did the M&E systems ensure effective and efficient project management?	Quality and adequacy of project oversight mechanisms (oversight bodies, quality and timeliness of reporting, etc.) Level of progress of required adaptive management actions related to identified backlogs	Project documents -Project team -Project key players -Project stakeholders	Analysis of documentation, interviews.
14. To what extent has the project achieved institutional, political, legal and scientific-technical capacity building for Integrated Water Resources Management?	Indicators of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.
Results			
15. To what extent has the project achieved Outcome 1: Transboundary Diagnostic Analysis (TDA) and the TDPS Strategic Action Program (SAP)?	Indicators for outcome 1 of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.
16. To what extent has the project achieved Outcome 2: Improved institutional capacity for IWRM implementation in the TDPS system?	Indicators for outcome 2 of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.
17. To what extent has the project achieved outcome 3: Lessons learned from pilot projects and input into SAP formulation?	Indicators for outcome 3 of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.
18. To what extent has the project achieved Outcome 4: Up-to-date, accurate and relevant TDPS management information is available and accessible to enable the EAP to be implemented in an	Indicators for outcome 3 of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
adaptive manner, including attention to social and gender variables?			
19. To what extent has the project achieved Outcome 5: Stakeholders are aware of the core issues of the TDPS system, are empowered and act in the context of IWRM to advance viable solutions?	Indicators for outcome 3 of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.
20. To what extent has the project achieved Outcome 6: Key stakeholders are actively and articulately involved in addressing the core problems of the TDPS system?	Indicators for outcome 3 of the project's strategic results framework/logical framework.	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews. Field visits.
21. Have they contributed or are the **results** likely to contribute to the achievement of the project objectives?	Level of logical linkage between project results and expected impacts.	-Project documents - Project team -Project key players -Project periodic reports -PIR.	Documentation analysis, data analysis, interviews.
22. **Have the planned outputs been** produced and have they contributed to the project outcomes and objectives?	Level of progress of project output indicators in relation to expected indicators Level of logical linkage between project outputs and expected outcomes/impacts.	-Project documents - Project team -Project key players -Project periodic reports -PIR.	Documentation analysis, data analysis, interviews.
23. Are the impact level results likely to be achieved, and are they likely to be of sufficient scale to be considered global environmental benefits?	Environmental indicators Level of progress of the results matrix.	-Project documents - Project team -Project key players -Project periodic PIR reports.	Documentation analysis, data analysis, interviews.
Criterion: Efficiency		Question: Was the project implemented efficiently in accordance with international and national norms and standards?	
24. To what extent was there an efficient and economical use of resources and strategic allocation of resources	Financial execution vs. budget Actual vs. planned human resources Adequacy of coordination	- Project Documents - Implementing Partner - Project Team - Audit Report (if available) and	Analysis of documentation, interviews. Field visits.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
(funds, human resources, time, etc.) to achieve results? a. What elements contributed to the relevant difference between the budget proposed in PRODOC and the costs reported by the project? b. Were difficulties encountered in the procurement mechanisms? If so, how can this be addressed/mitigated in the future?	and communication mechanisms structure Quality of project monitoring mechanisms (oversight bodies, quality and timeliness of reporting, etc.).	Mid-Term Evaluation Report.	
25. To what extent were project funds and activities delivered in a timely manner?	Level of compliance with project activities within the planned timeframe Level of compliance with budgets and annual POAS.	- Project Documents - Project Team - Project Stakeholders.	Documentation analysis, data analysis, interviews.
26. Did the project make efficient use of local capacity during implementation?	Proportion of expertise used from international experts compared to national experts Quantity/quality of analysis conducted to assess local capacity potential and absorptive capacity.	- Project Documents - Project Team - Project Stakeholders.	Documentation analysis, data analysis, interviews.
27. What has been the cash contribution and in-kind co-financing for project implementation?	% execution of cash and in-kind co-financing vs. expected level.	-Project documents - Project team.	Documentation analysis, data analysis, interviews.
25. Have expenditures been made in accordance with international norms and standards?	Cost of project inputs and outputs in relation to norms and standards for donor projects in the country or region.	-Project documents - Project team.	Document analysis. Interviews.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
26. Was adaptive management used or needed to ensure efficient use of resources?	How appropriate the project's adaptive management options have been in terms of the external context.	Project documents. Quarterly and annual progress reports. Minutes of the Project's Board of Directors.	Document analysis. Interviews.
27. To what extent has the results-based management approach been used during project implementation?	Quality of results-based management reports (progress reports, monitoring and evaluation).	Project documents. Quarterly and annual progress reports.	Document analysis. Interviews.
28. To what extent have the financial and accounting systems been adequate to manage the project and to produce accurate and timely financial information?	Accuracy, quality and adequacy of the project's financial systems.	Project documents. Financial reports.	Document analysis. Interviews.
Criterion: Sustainability		Question: To what extent are there financial, institutional, socio-political, socio-economic or environmental risks to sustain project results in the long term?	
29. To what extent are sustainability issues adequately integrated into the project design?	Evidence/quality of the sustainability strategy.	Project documents.	Document analysis.
30. Have financial sustainability strategies been integrated during project implementation? To what extent are project outcomes likely to be dependent on continued financial support? What is the likelihood that financial resources will be available once GEF assistance ends to support continued benefits (income generating activities and trends that may indicate that adequate financial resources are likely to	Level and source of future financial support to be provided to relevant activities and sectors after project completion. Commitments from international partners, government or other stakeholders to provide financial support.	Project documents. Final project report. Minutes of the Board of Directors.	Document analysis. Interviews.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
be available to sustain project outcomes)?			
31. Are stakeholders likely to have or achieve an adequate level of "ownership" of the results, and is there a commitment and interest in ensuring that the benefits of the project are sustained?	Level of initiative and involvement of relevant stakeholders in project activities and results.	-Project documents -Project team -Project key players.	Analysis of documentation, interviews.
32. What is the degree of political-institutional commitment among project stakeholders and beneficiaries to continue working on project results after project closure? What is the risk that the level of stakeholder interest (at local, national and regional levels) will be insufficient to allow project results / benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow?	Evidence that the project partners and beneficiaries will continue the activities beyond the end of the project. Level of participation and ownership that stakeholders and interested parties have over the results and their degree of interest in maintaining them.	Project documents. Quarterly and annual progress reports. Closure strategy.	Document analysis. Interviews. Field visits.
33. Is the existing technical-institutional capacity at the national and local levels adequate to guarantee the sustainability of the results achieved?	Existing capacity level at the end of the project	Project documents. Final project report. Closing strategy.	Document analysis. Interviews. Field visits.
34. Do the legal frameworks, policies, and governance structures and processes within which the project operates present risks that may jeopardize the sustainability of project benefits? To what extent do project outcomes depend on socio-political factors? To what extent does the project	Adequacy of governance structures	Project documents. Final project report. Closing strategy.	Document analysis. Interviews. Field visits.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
outcome depend on issues in relation to institutional frameworks and governance?			
35. Are there environmental risks that may undermine the future flow of project impacts and Global Environmental Benefits? To what extent are there environmental risks or threats, including those arising from climate change, that may affect the maintenance of project outcomes over the long term?	Identification of potential threats and risk assessment.	Project documents. Final project report. Closing strategy.	Document analysis. Interviews. Field visits.
36. To what extent are socio-economic risks or threats likely to affect the sustainability of project results in the long term?	Identification of potential threats and risk assessment.	Project documents. Final project report. Closing strategy.	Document analysis. Interviews. Field visits.
37. What are the most important challenges that could hinder the sustainability of project results?		Project documents. Final project report. Closing strategy.	Document analysis. Interviews. Field visits.
Criterion: Gender equality and women's empowerment		Question: How did the project contribute to gender equality and women's empowerment?	
38. To what extent did the project adopt a participatory, gender and intercultural approach during its design and implementation?	Level of progress of the Gender Action Plan Level of progress of gender-related targets in the project's results framework.	-PRODOC, Project Initiation Report -Reports of similar experiences -Key actors -Periodic reports and PIR.	Analysis of documentation and interviews
39. To what extent did the project contribute to gender equality, women's empowerment and to what extent were these approaches incorporated into the project?	Level of progress of the Gender Action Plan Level of progress of gender-related targets in the project's results framework.	-PRODOC, Project Initiation Report -Reports of similar experiences -Key actors -Periodic reports and PIR.	Analysis of documentation and interviews.
40. How did gender outcomes advance or contribute to the	Existence of logical linkages between gender	-Project documentation -Key players -Project team -Periodic reports and PIR.	Analysis of documentation and interviews.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
project's environmental, and/or resilience outcomes?	results and project outcomes and impacts.		
Criterion: Impact		Question: Is there any evidence that the project has contributed to reducing environmental stress or improving ecological status, or has it led to progress towards these outcomes?	
41. To what extent did the project contribute to the country program outcomes, SDGs, UNDP Strategic Plan and GEF strategic priorities?	Level of contribution of project results to the country program, the SDGs, the UNDP Strategic Plan, GEF strategic priorities and the development of national priorities.	-Review of UNDP strategic documents - Interviews with UNDP Officers - Periodic reports.	Analysis of documentation and interviews.
42. To what extent did the project generate and/or will it enable the generation of verifiable improvements in ecological status and verifiable reductions in ecosystem stress? [38]	Level of verifiable improvements in ecological status and verifiable reductions in ecosystem stress.	Project documents. Final project report. Minutes of the Board of Directors. GEF focal-area tracking tolos Implementing Partner, UNDP officials and the UNDP-GEF Regional Technical Advisor and key project stakeholders - Periodic reports and PIR.	Document analysis. Interviews. Field visits.
43. Since the project, has there been any contribution to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, confidence building and conflict resolution bodies,	Extent of changes in policy/legal/regulatory frameworks attributable to the project.	-Project documentation - Implementing partner, UNDP officials, UNDP-GEF Regional Technical Advisor and project stakeholders Periodic reports and PIR.	Documentation analysis, data analysis, interviews.

[38] UNDP Comment: It is important to consider that the Project, according to its planning, focuses mainly on capacity building, knowledge generation, and common planning mechanisms (TDA and SAP). In this sense, except for the pilots, it should be considered that the Project did not consider the reduction of environmental pressures by its own actions.

Evaluation Criteria Questions	Indicators	Sources	Data Collection Technique
information sharing systems, etc.)?			
44. To what extent has the project established the basic conditions that will eventually achieve the intended impact of the project, including lasting improvements in socio-economic and environmental status, and the overall environmental benefits of the GEF? What is the likelihood that the impact will be achieved?	Degree to which the basic conditions are established and probability of achieving impact.	Project documents. Final project report. Minutes of the Board of Directors. GEF focal-area tracking tolos.	Document analysis. Interviews. Field visits.
Other Topics			
45. To what extent did the project results contribute to climate change adaptation and mitigation?	Positive effects of the project on climate change adaptation and mitigation.	-Project documentation -Key players -Project team -Periodic reports and PIR.	Documentation analysis. Interviews.
46. To what extent did the project adopt an appropriate approach to address cross-cultural and human rights during its design and implementation?	Level of progress of the project in relation to the interculturality and human rights approach	-PRODOC, Project Initiation Report -Reports of similar experiences -Key stakeholders -Periodic reports and PIRs	Documentation analysis. Interviews.

Annex 6: Cofinancing Table

Sources of co-financing	Name of co-financier	Type of co-financing	Amount of co-financing confirmed PRODOC	Investment mobilized	Cofinancing reported as of June 30, 2022
Host Government	Government of Bolivia	Donations	$ 14,800,000	Investment mobilized	$ 17,910,986
Host Government	Government of Bolivia	In kind	$ 1,500,000	Recurring expenses	$ 2,136,569
Host Government	Government of Peru	Donations	$ 8,795,623	Investment mobilized	$ 9,574,812
Host Government	Government of Peru	In kind	$ 8,178,077	Recurring expenses	$ 5,614,000
Civil Society Organization	IUCN	In kind	$ 120,000	*(not established or not applicable)*	$ -
Civil Society Organization	CAFOD	In kind	$ 66,000	Recurring expenses	$ 81,051
Host Government	IES Mariano Melgar	In kind	$ 229,000	*(not established or not applicable)*	$ -
GEF Agency	UNDP Peru	Donations	$ 50,000	Investment mobilized	$ 50,000
GEF Agency	UNDP Peru	In kind	$ 25,000	Recurring expenses	$ 25,000
GEF Agency	UNDP Bolivia	Donations	$ 50,000	*(not established or not applicable)*	$ -
GEF Agency	UNDP Bolivia	In kind	$ 25,000	Recurring expenses	$ 75,135
GEF Agency	CAP NET UNDP	In kind	$ 265,000	*(not established)*	$ -
Total			**$ 34,103,700**		**$ 35,467,553**

Source: Cofinancing Document

Annex 7: ET Rating Scales

Ratings for Results, Effectiveness, Efficiency, M&E, Implementation/Monitoring, Execution, Relevance	Sustainability Ratings
6 = Highly Satisfactory (AS): exceeds expectations and/or has no deficiencies. 5 = Satisfactory (S): meets expectations and/or with minor or no deficiencies. 4 = Moderately Satisfactory (MS): more or less meets expectations and/or some deficiencies. 3 = Moderately Unsatisfactory (MI): somewhat below expectations and / or significant deficiencies 2 = Unsatisfactory (I): substantially below expectations and/or major shortcomings 1 = Highly Unsatisfactory (AI): with severe deficiencies Cannot be evaluated (N/E): the available information does not allow an evaluation.	4 = Probable (P): Negligible Risks 3 = Moderately Probable (MP): moderate risks 2 = Moderately Improbable (MI): significant risks 1 = Unlikely (I): serious risks Not evaluable (N / E): The expected impact and magnitude of risks to sustainability cannot be assessed.

Annex 8: Signed UNEG Code of Conduct Form

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

Evaluators/Consultants:

1. It must present complete and fair information in its assessment of strengths and weaknesses so that the decisions or actions taken are well founded.
2. It should disclose the full set of evaluation results along with information about their limitations and have this accessible to all those affected by the evaluation with expressed legal rights to receive results.
3. Must protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize timely demands, and respect the right of individuals to opt out. Evaluators must respect the right of individuals to provide confidential information, and must ensure that sensitive information cannot be traced back to its source. Evaluators are not expected to evaluate individuals, and should balance an evaluation of management functions with this general principle.
4. Sometimes they discover evidence of wrongdoing while conducting evaluations. Such cases should be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight bodies when there is any doubt as to whether and how they should be reported.
5. Must be sensitive to beliefs, manners and customs and act with integrity and honesty in their dealings with all stakeholders. In accordance with the United Nations Universal Declaration of Human Rights, evaluators should be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those with whom they come into contact in the course of the evaluation. Knowing that the evaluation could adversely affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a manner that clearly respects the dignity and self-respect of stakeholders.
6. Are accountable for their performance and products. They are responsible for the clear, accurate and fair presentation, either written and/or oral, of study imitations, findings and recommendations.
7. It should reflect sound accounting procedures and be prudent in the use of evaluation resources.
8. It must ensure that the independence of judgment is maintained and that the results and recommendations of the evaluation are presented independently.
9. You must confirm that you have not been involved in the design, implementation or advice on the project being evaluated and that you have not carried out the mid-term evaluation of the project.

Evaluation Consultant Agreement Form

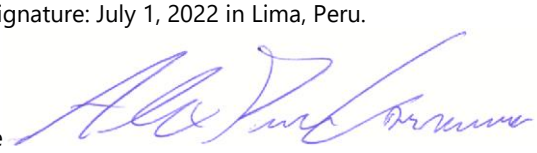
Agreement to abide by the Code of Conduct for Evaluation in the United Nations System:

Name of Evaluator: _Alex Pires Carneiro_____

Name of the Consulting Organization: United Nations Development Programme (UNDP)

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

Date of signature: July 1, 2022 in Lima, Peru.

Signature 

Annex 9: Signed Evaluation Consultant Agreement Form

GENERAL CONDITIONS FOR CONTRACTS OF INDIVIDUAL CONTRACTOR SERVICES

LEGAL **STATUS**

The Individual contractor shall be deemed to have the legal status of an independent contractor with respect to the United Nations Development Programme (UNDP), and shall not be considered, under any circumstances, as a "staff member" of UNDP under the UN Staff Rules or as a "staff member" of UNDP under the Convention on the Privileges and Immunities of the United Nations, adopted by the General Assembly of the United Nations on February 13, 1946. Similarly, nothing in or in connection with this Contract shall establish the relationship of employee and employer, principal and agent, between UNDP and the Individual contractor. The officers, representatives, employees or subcontractors of UNDP and the Individual contractor, if any, shall in no way be deemed to be employees or agents of each other, and UNDP and the Individual contractor shall be solely responsible for any claims arising out of or in connection with the engagement of such persons or entities.

2. STANDARDS OF CONDUCT

In General: The Individual contractor shall not seek or accept instructions from any authority external to UNDP in connection with the performance of its obligations under the provisions of this Contract. In the event that any authority external to UNDP seeks to impose any instructions under the Contract with respect to the Individual contractor's performance under the Contract, the Individual contractor shall promptly notify UNDP and provide any reasonable assistance requested by UNDP. The Individual contractor shall avoid any action that may adversely affect UNDP and shall perform the services under this Contract in the best interests of UNDP at all times. The Individual contractor warrants that no officer, representative, employee or agent of UNDP has received or will receive any direct or indirect benefit as a result of this Contract or the award thereof by the Individual contractor. The Individual contractor shall comply with all laws, decrees, rules and regulations to which this Contract is subject. Furthermore, in the performance of his or her duties, the Individual contractor shall comply with the standards of conduct set forth in the Secretary-General's Bulletin ST/SGB/2002/9 of 18 June 2002, entitled "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials and Experts on Mission". The Individual contractor shall comply with all Security Standards issued by UNDP. Failure to comply with such security standards shall constitute grounds for termination of the Individual Contract for cause.

Prohibition of Sexual Exploitation and Abuse: In the performance of this Contract, the Individual contractor shall comply with the standards of conduct set forth in the Secretary-General's bulletin ST/SGB/2003/13 of October 9, 2003, entitled "Special Measures to Protect Against Sexual Exploitation and Abuse". Specifically, the Individual contractor shall not engage in any conduct that may constitute sexual exploitation or sexual abuse, as defined in the bulletin.

The Individual contractor acknowledges and agrees that failure to comply with any provision of this Contract constitutes a breach of a material term of this Contract and, together with any other legal rights or remedies available to any person, shall be deemed to constitute grounds for termination of this Contract. Furthermore, nothing herein shall limit UNDP's right to refer any breach of the foregoing standards of conduct to the appropriate national authorities for appropriate legal action.

3. INTELLECTUAL PROPERTY RIGHTS, PATENTS AND OTHER PROPRIETARY **RIGHTS**

The right to such equipment and supplies as may be provided by UNDP to the Individual contractor for the performance of any obligation under the Contract shall remain with UNDP and such equipment shall be returned to UNDP upon termination of the Contract or when it is no longer required by the Individual contractor. Such equipment, upon return to UNDP, shall be in the same condition as when delivered to the Individual contractor, subject to normal wear and tear. The Individual contractor shall be responsible for compensating UNDP for damaged or spoiled equipment regardless of normal wear and tear.

UNDP shall be entitled to all intellectual property and other proprietary rights including but not limited to: patents, copyrights and trademarks, with respect to products, processes, inventions, ideas, know-how, documents and other materials prepared or collected by the Individual contractor in consequence of or during the performance of this Contract, and the Individual contractor acknowledges and agrees that such products, documents and other materials constitute work performed under the UNDP procurement. However, in the event that such intellectual property or other proprietary rights consist of any intellectual property or proprietary rights of the Individual contractor: (i) which existed prior to the Individual contractor's performance of its obligations under this Contract, or (ii) which the Individual contractor may develop or acquire, or may have developed or acquired, independently of the performance of its obligations under this Contract, UNDP shall not claim and shall not claim any ownership interest therein, and the Individual contractor shall grant UNDP a perpetual license to use such intellectual property or other proprietary right solely for the purpose of and for the requirements of this Contract. Upon UNDP's request, the Individual contractor shall take all necessary steps, execute all necessary documents, and generally shall secure the ownership rights and transfer the same to UNDP, in accordance with the requirements of applicable law and this Contract.

Subject to the foregoing provisions, any maps, drawings, photographs, mosaics, plans, reports, calculations, recommendations, documents and other information compiled or received by the Individual contractor under this Contract shall be the property of UNDP; shall be available for use or inspection by UNDP at reasonable times and places; and shall be treated as confidential and shall be released only to authorized officials of UNDP upon completion of the work under this Contract.

4. CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION.

Information that is considered proprietary information of UNDP or the Individual Contractor and that is delivered or disclosed by one Party ("Discloser") to the other Party ("Recipient") during the performance of this Agreement, and that is designated as confidential ("Information"), shall remain in the confidence of such Party and shall be handled in the following manner: the Recipient of such Information shall exercise the same discretion and care to avoid disclosure, publication or dissemination of the Discloser's Information as it would with similar proprietary information that it does not wish to disclose, publish or disseminate; and the Recipient may use the Discloser's Information only for the purpose for which the Information was

disclosed to it. The Recipient may disclose Confidential Information to any other party by prior written agreement with the Discloser, as well as with the Recipient's employees, officers, representatives and agents who have a need to know such Information in order to perform the obligations under the Contract. The Individual contractor may disclose Information to the extent required by law, provided that it is subject to and without exception to the Privileges and Immunities of UNDP. The Individual contractor shall give UNDP sufficient advance notice of any request to disclose Information in a manner that allows UNDP a reasonable time to take protective measures or other appropriate action prior to such disclosure. UNDP may disclose the Information to the extent required under the Charter of the United Nations, resolutions or regulations of the General Assembly or other governing bodies, or rules promulgated by the Secretary-General. The Recipient is not precluded from disclosing Information obtained by a third party without restriction; disclosed by a Discloser to a third party without obligation of confidentiality; which is known to the Recipient in advance; or which has been developed by the Recipient entirely independently of any Information disclosed to the Recipient under this Agreement. The foregoing confidentiality obligations and restrictions shall be in effect for the duration of the Agreement, including any extension thereof; and, unless otherwise provided in the Agreement, shall remain in effect upon termination of the Agreement.

5. MEDICAL AND TRAVEL INSURANCE AND DEATH, ACCIDENT OR SICKNESS **INSURANCE**

In the event that UNDP requires the Individual contractor to travel beyond the usual distance of the Individual contractor's residence, and upon prior written agreement, such travel shall be covered by UNDP. Such travel shall be economy travel when by air.

UNDP may require the Individual contractor to submit a Certificate of Good Health issued by a licensed physician prior to commencing work at any of UNDP's offices or premises or prior to engaging in any travel required by UNDP or in connection with the performance of this Contract. The Individual contractor shall provide such Certificate of Good Health as soon as possible upon request and prior to engaging in any travel, and the Individual contractor warrants the accuracy of such Certificate, including, but not limited to, confirmation that the Individual contractor has been fully informed of the inoculation requirements for the country or countries to which travel is authorized.

In the event of death, accident or illness of the Individual contractor attributable to the performance of services on behalf of UNDP under the terms of this Contract while the Individual contractor is traveling at UNDP's expense or performing any services under this Contract in any office or premises of UNDP, the Individual contractor or its employees shall be entitled to indemnification, equivalent to that provided under UNDP's insurance policy, available upon request.

6. PROHIBITION ON ASSIGNMENT; MODIFICATIONS The Contractor may not assign, transfer, pledge or dispose of this Contract, in whole or in part, or its rights, title or obligations hereunder, except with the prior written consent of UNDP, and any attempt to do so shall be null and void. The terms and conditions of any additional paperwork, licenses or other forms of consent with respect to any goods or services to be provided under this Agreement shall not be valid and enforceable against UNDP or in any way constitute an Agreement for UNDP, unless such paperwork, license or other forms of Agreements are the subject of a valid written order made by UNDP. No modification or change to this Contract shall be considered valid or effective against UNDP unless provided for by a valid written amendment to this Contract signed by the Individual contractor and an authorized official or recognized contracting authority of UNDP.

7. SUBCONTRACTING

In the event that the Individual contractor requires the services of subcontractors to perform any obligations under this Contract, the Individual contractor must obtain the prior written approval of UNDP for all subcontractors.

UNDP may, at its discretion, reject any proposed Subcontractor or require its removal without justification and such rejection shall not entitle the Individual contractor to claim any delay in performance or to cite excuses for failure to perform any of its obligations under this Contract. The Individual Contractor shall be solely responsible for all services and obligations performed by its subcontractors. The terms of all subcontracts shall be subject to and shall conform to the provisions of this Contract.

8. USE OF THE NAME, EMBLEM OR OFFICIAL SEAL OF THE UNITED NATIONS

The Individual contractor shall not advertise or make public the fact that it is performing services for UNDP for its commercial benefit or assets, nor shall it use in any way the name, emblem or official seal of UNDP or any abbreviation of the name of UNDP for purposes connected with its business or for any other purpose.

9. INDEMNIFICATION

The Contractor shall indemnify, defend and hold harmless at its own expense UNDP, its officers, agents and employees against all suits, claims, demands and liabilities of every nature or kind, including all costs and expenses for litigation, attorneys' fees, payments and settlement damages, based upon or arising out of or in connection with: (a) allegations or claims that UNDP's use of any patented item, copyrighted material or other goods or services provided to UNDP for use under the terms of this Agreement, in whole or in part, in whole or in part, in whole or in part, together or separately, constitutes an infringement of any patent, copyright, trademark or other intellectual property rights of any third party; or (b) any act or omission of the Individual contractor or any subcontractor or any person employed directly or indirectly by them in the performance of this Contract, which could result in legal liability to any party outside of this Contract, including but not limited to, claims and liabilities relating to workers' compensation claims of employees.

10. INSURANCE

The Individual contractor shall pay UNDP promptly for any loss, destruction or damage to UNDP property caused by the Individual contractor or by any subcontractor, or by any person employed directly or indirectly by them in the performance of this Contract. The Individual contractor is solely responsible for taking out and maintaining appropriate insurance required to perform all of its obligations under the Contract. The Individual contractor shall also be responsible for taking out, at its own expense, any life, health or other insurance it deems appropriate to cover the period during which the Individual

Individual contractor acknowledges and agrees that any insurance arrangements the Individual contractor may make shall not be construed as a limitation on the Individual contractor's liability arising under or in connection with this Contract.

11. LIEN AND SECURITY LIEN The Individual Contractor shall not cause or permit any security interest, lien or encumbrance created or levied by any person to be placed or remain on file in any public office or on file with UNDP to collect any monetary debt due or to become due to the Individual Contractor and owing to it by reason of work performed or for goods or materials furnished under this Contract or by reason of any other claim or demand against the Contractor. Individual.

12. FORCE MAJEURE; OTHER MODIFICATIONS IN THE CONDITIONS.

In the event of any Force Majeure Event and as soon as possible after such event has occurred, the Individual contractor shall notify UNDP in writing with full details thereof and of any change that would occur if the Individual contractor were thereby rendered unable, in whole or in part, to carry out its obligations and perform its responsibilities under the Contract. The Individual contractor shall also notify UNDP of any other change in the terms and conditions or of the occurrence of any event that interferes or threatens to interfere with the performance of this Contract. The Individual contractor shall also submit a statement to UNDP of the estimated costs likely to be incurred during the change in conditions or occurrence not more than fifteen (15) days after notification of the force majeure or other change in conditions or other occurrence. Upon receipt of the notice required under this clause, UNDP shall take such action as, in its sole discretion, it deems advisable or necessary under the given circumstances, including approval of a reasonable extension of time in favor of the Individual Contractor to enable the Individual Contractor to perform its obligations under this Contract.

In the event that the Individual contractor is unable to perform its obligations under this Contract, either in whole or in part, by reason of the occurrence of a Force Majeure Event, UNDP shall have the right to suspend or terminate this Contract on the same terms and conditions as provided in the Article entitled "Termination", except that the notice period shall be five (5) days in lieu of any other notice period. In any event, UNDP shall have the right to deem the Individual contractor permanently unable to perform its obligations under this Contract in the event the Individual contractor suffers a period of suspension in excess of thirty (30) days.

Force majeure, as defined in this clause, means acts of God, war (whether declared or not), invasion, revolution, insurrection or other acts of a similar nature or force, provided that such acts arise from causes beyond the control, fault or negligence of the Individual contractor. The Individual contractor acknowledges and agrees that, with respect to any obligations under this Contract to be performed by it in or for any area in which UNDP is engaged, or is preparing to engage, or to break commitment to any peace, humanitarian or similar operation, any delay or failure to perform such obligations arising out of or relating to extreme conditions within such areas or any incident of civil disturbance occurring in such areas shall not be deemed to be force majeure under this Contract.

13. RESCISSION

Either party may terminate this Agreement, in whole or in part, by notifying the other party in writing. The notice period shall be five (5) days for contracts with a duration of less than two (2) months; and fourteen (14) days for contracts with a longer duration. The initiation of arbitration or conciliation proceedings pursuant to the clause below shall not be deemed "justification" or in itself a termination of this Contract. UNDP may, without prejudice to any other right or remedy to which it may have recourse, terminate this Contract in the event that: (a) the Individual contractor is declared bankrupt or subject to receivership or is declared insolvent, or if the Individual contractor applies for a moratorium on any payment or repayment obligation, or applies to be declared insolvent; (b) the Individual contractor is granted a moratorium or is declared insolvent; the Individual contractor assigns its rights to one or more of its creditors; (c) any Beneficiary is appointed because of the insolvency of the Individual contractor; (d) the Individual contractor offers a liquidation in lieu of bankruptcy or receivership; or (e) UNDP reasonably determines that the Individual contractor is subject to a material adverse change in its financial condition that threatens to impair or materially affect the Individual contractor's ability to perform any of its obligations under this Agreement.

In the event of any termination of the Contract, upon receipt of notice of termination by UNDP, the Individual contractor shall, except as may be directed by UNDP in such notice of termination or in writing: (a) promptly take steps to accomplish the performance of any obligation under this Contract in a timely and orderly manner, and in so doing, minimize expenses; (b) refrain from carrying out any future or additional commitments under this Contract from and after the date of receipt of such notice; (c) deliver to UNDP under this Contract, all completed or partially completed plans, drawings, all information and any other property; (d) perform the unfinished work in full; and (e) take such other action as may be necessary, or as UNDP may direct in writing, for the protection and preservation of any property, whether tangible or intangible, in connection with this Contract which is in the possession of the Individual contractor and in which UNDP has or may have an interest. In the event of any termination of this Contract, UNDP shall only be obligated to pay the Individual contractor compensation on a pro rata basis for not more than the actual amount of work performed to UNDP's satisfaction in accordance with the requirements of this Contract. Additional costs incurred by UNDP resulting from the termination of the Contract by the Individual contractor may be withheld from any sums owed by UNDP to the Individual contractor.

14. NON-EXCLUSIVITY

UNDP shall have no obligation or limitation on its right to obtain goods of the same kind, quality and quantity, or to obtain any services of the kind described in this Agreement, from any source at any time.

15. TAX EXEMPTION

Article II, Section 7 of the Convention on the Privileges and Immunities of the United Nations provides, inter alia, that the United Nations, including its subsidiary organs, shall be exempt from the payment of all direct taxes, except public utility charges; further exempting the United Nations from the payment of customs duties and similar taxes in respect of

refuse to recognize the United Nations tax exemption in respect of such taxes, duties or charges, the Individual contractor shall promptly consult with UNDP to determine a mutually acceptable procedure. UNDP shall have no liability for any taxes, duties or other similar charges to be paid by the Individual contractor with respect to any amounts paid to the Individual contractor under the Contract, and the Individual contractor acknowledges that UNDP shall not issue any income statements to the Individual contractor with respect to
any of the aforementioned payments.

16. AUDIT AND INVESTIGATION

Each invoice paid by UNDP shall be subject to a post-payment audit by auditors, either internal or external to UNDP or by other authorized or qualified agents of UNDP at any time during the term of the Contract and for a period of two (2) years following the expiration of the Contract or upon termination of the Contract. UNDP shall be entitled to reimbursement from the Individual contractor for amounts audited as having been paid by UNDP to other items not in accordance with the terms and conditions of the Contract.

The Individual contractor acknowledges and agrees that, from time to time, UNDP may conduct investigations relating to any aspect of the Contract or the award itself into the obligations performed under the Contract, and the operations of the Individual contractor generally in connection with the performance of the Contract.... UNDP's right to conduct an investigation and the Individual contractor's obligation to comply with such investigation shall not be extinguished by the expiration of the Contract or upon termination of the Contract. The Individual contractor shall provide its full and timely cooperation with inspections, post-payment audits or investigations. Such cooperation shall include, but is not limited to, the obligation of the Individual contractor to make its personnel and relevant documentation available for such purposes at reasonable times and on reasonable terms and conditions and to grant UNDP access to the Individual contractor's premises at reasonable times and on reasonable terms and conditions in connection with such access to the Individual contractor's personnel and relevant documentation. The Individual contractor shall require its agents, including, but not limited to, its attorneys, accountants or other advisers, to reasonably cooperate with inspections, post-payment audits or investigations conducted by UNDP.

17. CONFLICT **RESOLUTION**

Amicable Resolution: UNDP and the Individual Contractor shall make every effort to resolve amicably any dispute, controversy or claim arising in connection with this Contract or any breach, termination or invalidity relating thereto. In the event that the parties wish to seek an amicable settlement through conciliation proceedings, such conciliation shall take place in accordance with the UNCITRAL Conciliation Rules then in force or such other procedure as may be agreed by the parties. *Arbitration*: Unless any dispute, controversy or claim arising between the Parties in connection with this Agreement, or the breach, termination or invalidity thereof, is amicably settled as provided above, such dispute, controversy or claim may be submitted by either Party for arbitration in accordance with the UNCITRAL Arbitration Rules then in effect. The decisions of the arbitral tribunal shall be based on general principles of international commercial law. For all interrogatories for evidence, the arbitral tribunal shall be guided by the Supplementary Rules Governing the Presentation and Taking of Evidence in International Commercial Arbitration of the International Bar Association, 28 May 1983 edition. The arbitral tribunal shall have the right to order the return or destruction of the goods or any property, whether tangible or intangible, or of any confidential information furnished under this Contract, or to order the termination of the Contract, or to order that any other preventive measure be taken with respect to the goods, services or any other property, whether tangible or intangible, or any confidential information provided under this Contract, as appropriate, and in accordance with the authority of the arbitral tribunal under Article 26 ("Interim Measures of Protection") and Article 32 ("Form and Effect of the Award") of the UNCITRAL Arbitration Rules. The arbitral tribunal shall have no authority to award punitive damages. In addition, unless otherwise expressly provided in the Agreement, the arbitral tribunal shall have no authority to award interest in excess of the then prevailing LIBOR rate, and any interest shall be simple interest only. The Parties shall be bound by the
arbitration award resulting from the aforementioned arbitration process as a final resolution of any controversy, claim or dispute.

18. PRIVILEGES AND IMMUNITIES

Nothing contained in or relating to this Agreement shall be deemed a waiver, express or implied, of the Privileges and Immunities of the United Nations including its subsidiary organs.

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