



ASSESSMENT OF DEVELOPMENT RESULTS PERU

EVALUATION OF UNDP CONTRIBUTION



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EVALUATION OF UNDP CONTRIBUTION **P E R U**

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ASSESSMENT OF DEVELOPMENT RESULTS: PERU

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FOREWORD

The Evaluation Office of the UNDP conducts independent country-level evaluations called Assessment of Development Results (ADR) which assess the relevance and strategic positioning of UNDP's support and its contributions to a country's development. The purpose of an ADR is to contribute to organizational accountability and learning and to strengthen the programming and effectiveness of UNDP. This report presents the findings and recommendations of the ADR that was conducted in Peru, covering the period of two country cooperation frameworks from 2001 to 2005 and from 2006 to 2010.

At the end of the 1980s, Peru faced an institutional, financial and economic crisis: a State in bankruptcy conditions with hyperinflation. The approach of governments in the 1990-2000 period consisted of dismantling much of the State apparatus and reconstructing a minimalist State within the framework of a policy of economic liberalization. In addition, to combat terrorism, the Armed Forces were involved in an anti-subversive war. In 2000, in the midst of a progressive loss of democratic legitimacy, President Alberto Fujimori was forced to resign amid corruption scandals and accusations of human rights violations.

During the period evaluated here, Peru has created institutional structures and started a long-range decentralization of political authority in order to strengthen democratic governance. In the economic sphere, Peru has shown one of the greatest growth rates in Latin America, attained a significant reduction in poverty, and now belongs to the category of upper-middle income countries. Nonetheless, public dissatisfaction with the political parties and public authorities has reached high levels. Social and environmental conflicts have been on the increase.

During the latest two programming cycles, the strategic framework of UNDP in Peru was significantly revised in order to accompany the national

democratization process and to respond to the requirements of the Millennium Development Goals. Since 2004, UNDP engaged in refocusing its programme privileging more substantive support, due to changes in national public policies as well as in UNDP's own strategy. UNDP's cooperation with the public sector has been very tight and the organization has been capable to respond to short-term needs (such as the earthquake of 2007) and structural changes (decentralization) without losing its strategic focus. Cooperation with non-governmental organizations had lower financial weight but some innovative initiatives were supported.

In the domain of poverty reduction, UNDP achieved important results through analytical support to public policy formulation and by contributing to the start-up of public programmes. It also supported smaller field initiatives with benefits for local beneficiaries but less clear effects at the sectoral level. In the area of crisis prevention and recovery, UNDP made a remarkable contribution in creating disaster-response capacity. A critical issue will be actual learning from experience by public authorities, in view of future disaster management.

In the area of the environment, potentially innovative initiatives such as models for watershed and natural reserve management were conducted and may be exploited by formulating capitalization strategies. Support to national authorities was given through useful, albeit discrete, initiatives. There is a new important strategic orientation of UNDP: strengthening the country's capacity to adapt to climate change and access new innovative financing opportunities, such as carbon financing.

UNDP in Peru is in a state of transition from providing primarily assistance in managing public resources to a form of support that responds to the conditions of an emerging country. UNDP must gain permanent recognition as a cooperating

partner that adds value to the human development of the country with quality services and verified effectiveness. The evaluation recommends responding to these challenges by further focusing and deepening the organization's strategic axes and emphasizing its support to public administration and the civil service system and by strengthening the capacity of regional and municipal governments.

The evaluation also recommends that UNDP further diversify its partnerships and clarify its cooperation strategy with civil society and the private sector and with new emerging partners (global funds and private foundations) in order to reduce risks and vulnerabilities and strengthen programme sustainability. The issue of social conflict in Peru also represents a new challenge and may require more direct UNDP involvement in the area of democratic representation.

This evaluation benefited greatly from the collaboration of the UNDP Country Office in Peru, particularly of the Resident Representative, Jorge Chediek, of the Deputy Representative, Silvia Rucks, and of the Programme Manager, José González-Vigil. The Regional Bureau for Latin America and the Caribbean, representatives of the Government of Peru, civil society organizations, bilateral and multilateral donors and of the UN System in Peru also supported the ADR evaluation process.

A team comprising Markus Reichmuth, team leader, Elsa Bardález del Águila and Rosa Flores Medina, team specialists, and Fabrizio Felloni, task manager, carried out the evaluation. I am very grateful to them for their excellent work.

I would also like to thank the external reviewers, Alfredo Stein, development economist, and Inder Ruprah, Senior Economist at the Evaluation Office of the Inter-American Development Bank, for their useful comments, which helped improve the quality of the report. I would like to thank Cecilia Corpus, Thuy Hang, Anish Pradhan and Charita Bondanza for their administrative support as well as Maria Paz Ferreres, research assistant.

I hope that the results and recommendations can support the response of UNDP to the development challenges of the country and provide lessons that are relevant for the organization and its international partners.



Saraswathi Menon
Director, Evaluation Office

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ACRONYMS

ADR	Assessment of Development Results
AEDES	Specialized Association for Sustainable Development
AECID	Spanish Agency for International Technical Cooperation for Development
AP	Political party Acción Popular
APCI	Peruvian Agency for International Cooperation
BCPR	Bureau of Conflict Prevention and Recovery of UNDP
BCR	Central Reserve Bank
CAS	Administrative Service Contract
CAN	Andean Community of Nations
CCA	Common Country Assessment
CCF	Country Cooperation Framework
CERIAJUS	Integral Reform of Justice Administration Commission
CCNU	UN Coordination Centre
CIES	Consortium for Economic and Social Investigation
CMAN	High Level Multisectoral Commission
CNR	National Reparations Council
CPAP	Country Programme Action Plan
CR	Reparations Council
CVR	Truth and Reconciliation Commission
DAC	OECD Development Assistance Committee
COFIDE	Financial Development Corporation
CONADIS	National Council for the Integration of Disabled Persons
CONAM	National Council for Environment
CONCYTEC	National Council for Science, Technology and Technological Innovation
CONFENADIP	Peruvian National Confederation for Disabled Persons
COPRI	Commission for the Promotion of Private Investment
DESCO	Centre for the Study and Promotion of Development
DPA	UN Department of Political Affairs
EC	European Commission
FAO	Food and Agriculture Organization
FENAMAD	Native Federation for the Madre de Dios River and its tributaries
FIP	Italian-Peruvian Fund
FONCODES	Cooperation Fund for Social Development
FOPRI	Fund for the Promotion of Private Investment
FORSUR	Fund for the Reconstruction of South of Peru
GEF	Global Environment Facility
GTZ	German Technical Cooperation
IDEHPUCP	PUCP Institute for Democracy and Human Rights
HDI	Human Development Index

IEP	Institute for Peruvian Studies
IDB	Inter-American Development Bank
ILO	International Labour Organization
INDH	National Human Development Report
EIU	Economist Intelligence Unit
INDECI	National Institute for Civil Defence
INEI	National Institute of Statistics and Computing
INTERNOR	Committee for the Interregional Coordination of the Northern and Eastern Macro Region (the Amazon, Cajamarca, Lambayeque, Piura, San Martín and Tumbes)
IOM	International Organization for Migration
MDG	Millennium Development Goals
MEF	Ministry of Economy and Finance
MCLP	Round Table on Combating Poverty
MIMDES	Ministry of Women and Social Development
MINAM	Ministry of Environment
MINCETUR	Ministry of Foreign Trade and Tourism
MINJUS	Ministry of Justice
MINSA	Ministry of Health
NA	National Agreement
NCHS	National Centre for Health Statistics of the World Health Organization
NGO	Non-Governmental Organization
EO	UNDP Evaluation Office in New York
OHR	Office of the High Representative
PAHO	Pan American Health Organization
PCM	Presidency of the Cabinet of Ministers
PCR	Prevention of Crises and Recovery
PPD	Small Grant Programme
PPC	Christian Popular Party/Partido Popular Cristiano
PPD	Small Projects Programme of the Global Environment Facility
PROCAM	Team for Promotion and Training in the Amazon
PRODOC	Project Document
PRODUCE	Ministry of Production
PROINVERSION	Promotion of Private Investment Agency
PROMPERU	Commission for Exports and Tourism Promotion
PROMPEX	Commission for Export Promotion
PRONAA	National Programme for Food Assistance
PRONAMACHS	National Programme for the Management of River-Basin Hydrography and Soil Conservation
PUCP	Pontificia Universidad Católica del Perú
RBLAC	Regional Bureau for Latin America and the Caribbean of UNDP
REDICAS	South American Camelids Information Network
SENASA	National Service of Agricultural Health
SERVIR	National Civil Service Authority

SIDA	Swedish International Development Cooperation Agency
SINADECI	National Civil Defence System
TRAC	Target for Resource Assignment from the Core
UN-Peru	United Nations in Peru
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNAP	Altiplano National University
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNIC	United Nations Information Centres
UNICEF	United Nations Children Fund
UNIFEM	United Nations Development Fund for Women
UNV	UN Volunteers
USAID	United States Agency for International Development
WB	World Bank
WHO	World Health Organization
WFP	World Food Programme

EXECUTIVE SUMMARY

INTRODUCTION

Assessments of Development Results (ADRs) provide an independent evaluation of the contribution UNDP has made to the development of the countries in which it operates.

The objectives of the ADRs are:

- (i) to support the process of reporting to the Executive Board and the interested countries
- (ii) to contribute to learning towards planning of future UNDP activities by generating evidence based on the programme results and the quality of their strategy

This ADR covers the period from 2001 to 2009, which includes the UNDP strategic plans for the 2001-2005 and 2006-2010 cycles.¹ It provides input for the next UNDP strategic document for Peru.

This evaluation takes into account two main aspects: (i) contribution to the achievement of the development results (programme area); (ii) UNDP's strategic position in Peru. The assessment of the programming aspect considered the following criteria: effectiveness, efficiency and sustainability. The evaluation of strategic positioning was based on the criteria of relevance, responsiveness, partnerships and promotion of United Nations values. In order to carry out the study, two missions – preparatory and main – were conducted. They took place in April and June 2009 respectively.²

The report took into consideration the comments made by the UNDP office in Peru, the Regional

Bureau for Latin America and the Caribbean (RBLAC), and the Peruvian Government during the presentation of the mission and the initial report. According to UNDP Evaluation Office (EO) procedures, the main report was submitted for internal examination and review by two external specialists.³ At the end of the evaluation process, a workshop was held in Lima, on 10 November 2009, to discuss the findings and recommendations with 45 representatives of UNDP, the Government, international organizations, non-governmental organizations and academic institutions.

CONTEXT

According to the latest census (2007), Peru had a population of 28.2 million. The fertility rate has been decreasing steadily in recent decades, with 2.6 births per woman in 2007 against 2.9 in 2000 (World Bank 2009). This, compounded by an increase in emigration, explains a reduction in the population growth rate, which currently stands at 1.6 percent as against 2.6 percent at the beginning of the 1980s. The population is young, almost a third being under 15. Of the population, 72 percent live in urban areas, mainly in the coastal cities. Peru has a high diversity of cultures with 71 ethnic groups of which 10 percent are located in the Andean Area and 90 percent in Amazonia.⁴ The National Institute of Andean, Amazonas and Afro-Peruvian Populations (INDEPA) estimated a total indigenous population of 4,137,754 for 2007. The most numerous ethnic groups are the Andean communities, particularly the Quechua and the Aymara, which

¹ This ADR has been conducted in line with the decision of the UNDP Executive Board (2007/24).

² The mission team comprised Markus Reichmuth, consultants' team leader; and Rosa Flores Medina and Elsa Bardález del Águila, consultants. Fabrizio Felloni (evaluation specialist) participated in both missions.

³ Inder Ruprah, Senior Economist, Office of Evaluation and Oversight, Inter-American Development Bank; Alfredo Stein, economist and university lecturer.

⁴ INDEPA, 'Ethnolinguistic Map', 2009.

represent 83 percent and 11 percent respectively of the total indigenous population (INEI 2007).

Natural risks. The country is exposed to substantial seismic risks (superposition of tectonic plates beneath the Peruvian coast) and climate change. On 15 August 2007, Peru suffered a strong earthquake in the south, which left around 596 dead and 75,286 destroyed and uninhabitable houses.

Peru was headed by the government of President Alberto Fujimori in the 1990s. The government managed to stabilize the economy and put the country on the path of growth. In addition, to a large extent, it eliminated terrorism from the country. Nevertheless, after corruption scandals, President Fujimori was forced to resign in 2000, which made possible the return of a more democratic form of government.

During the period evaluated, Peru has created institutional structures to strengthen democratic governance. These include participative institutions to attain a consensus and start a long-range decentralization of political authority (e.g., the creation of 25 regional governments in 2002). These efforts took up a good part of the State's political energy during the first half of the decade, leaving little to devote to the creation of effective public sector institutions. Although Peru has shown one of the greatest economic growth rates in Latin America and has obtained a remarkable reduction in poverty, public dissatisfaction with the political parties and public authorities has reached high levels. Social and environmental conflicts have been on the increase (University of Lima, Social Barometer 2008).

UNDP IN PERU

At the beginning of this decade, UNDP reviewed its support programme to Peru. This allowed it to devote substantial attention to the return to a more democratic form of government, a priority that has continued throughout the decade. The move towards greater democracy complied with the Millennium Declaration of the United

Nations setting the Millennium Development Goals (MDGs), accepted by practically all the Peruvian political parties. UNDP has been an important ally of the State, reflected in the fact that more than 90 percent of its programme derives from government resources. The disfunctionality of the public administration prompted UNDP to support the management of major public programmes. In the second programming cycle (2006-2010), the newly elected Government and UNDP (headquarters and country office) recognized the need to lay the bases for a more efficient public administration, which would lead to a gradual reduction in UNDP support for the administration of public resources.

EFFECTIVENESS

UNDP in Peru tackled various aspects of democratic governance.

In the area of human rights and the justice system, this evaluation has studied several national initiatives established and fortified with UNDP support, such as the Truth and Reconciliation Commission, the Defensoría del Pueblo (Ombudsman) and the Special Congressional Disability Commission, as well as the reform of the judicial system. UNDP has effectively helped pave the way for major public policies and concerted action. UNDP support encouraged the contribution of other international cooperation agencies. The Defensoría del pueblo has increased its presence and prestige. The improvements in the judicial system have been remarkable. Still, overall reform – a longer term objective – has not yet been achieved. Structural inertia and resistance have been an issue here.

In the area of State modernization, development results have been mixed. Support to the Congress achieved some infrastructural improvements but had little effect on the performance of parliamentary functions, with but modest advances in some aspects of importance for human rights (e.g. gender representation; MDG Sub-Commission, interrupted). In the early years of this decade, governments faced

the pressing need to reconstitute and extend democracy (including decentralization), leaving reform of the executive authority for later. UNDP was a valuable ally in assisting with the administration of public resources, guaranteeing transparency, although sometimes with a limited substantive contribution. The present Government has begun to address State reform with new legislation for public employment and the recent creation of an authority responsible for civil-service careers over the longer term. This has reduced the demand for UNDP support in the administration of public resources and projects, a change actively endorsed by the organization.

In the area of decentralization, UNDP has made a pertinent change in its initial support strategy by deciding to establish offices in several regions to directly support the respective governments. UNDP support to decentralization has spread over three levels: national (Secretaría Nacional de Descentralización), regional (support to the regions) and NHDR publication. The decentralization of political power is an irreversible fact of enormous importance for human development outside the capital, but it is still at an early stage and requires the long-term creation of skills.

In the area of poverty reduction and the MDGs, the evaluation noted the effect of UNDP support in the formulation of social policies, by facilitating the establishment of ample public poverty-reduction programmes that used the Human Development Index to focus resources. The strategic alliance with the Round Table (*Mesa de Concertación*) to combat poverty, with hundreds of groups throughout the country, has increased awareness and established cooperation mechanisms. The publication of the MDG progress-measurement reports, with the support of UNDP, has helped the public policies involved, including budgetary allocations, to tread the right path. UNDP's promotion of access to microcredit, especially for women, has had a limited effect in contrast to the ample and already well-established microcredit industry in the country.

Crisis prevention and recovery includes three different areas of action: natural-disaster prevention, emergency aid and support to developing mechanisms to cope with social conflicts. UNDP made major contributions to analysing the country's risk profiles and supported the National Civil Defence Institute throughout the decade. As the national response to the earthquake in the south showed in mid-2007, implementation of preventive measures and the capacity to respond to emergencies are still at an early stage. The need to strengthen these capacities is enormous at the local, regional and national levels. The same applies to social-conflict management. Support for the National Agreement between the main political parties and the civil forces of the country to ensure 30 public governing policies continues to be of importance in preserving this mechanism, yet the Agreement is not a "budgetary unit", which limits its influence in the implementation of the policies.

The environment and energy area has been characterized by a small portfolio during this decade. Support for the establishment of the new Ministry of the Environment has, as in many other cases, been much appreciated by the responsible authorities, although it took the form of one-off and precise intervention. The Ministry still needs investment to ensure its capability to act in future. Small environmental-conservation projects for specific zones were supported. Although limited in geographic scope, these projects develop river-basin management models and sustainable, community-based, natural-resource management approaches, with a potential for being replicated if a pertinent strategy is developed. In recent years, UNDP strengthened its internal structure and advocacy initiatives in the theme of climate change.

EFFICIENCY

By reducing the size of its portfolio, the UNDP office in Peru has made progress in reducing the risk of dispersion of the programme. At the same time, it has concentrated the available resources (specially human resources) on a slightly

smaller set of activities. UNDP-Peru managed a programme of \$100 million with approximately 1.4 percent of its own resources and a ratio of programme administration expenses of 4 percent. This refers to the UNDP regular resources: percentages increase when other resources are considered such as those of the GEF and trust funds (in such case, the ratio of total expenditures rises to 11-16 percent, see chapter 3.4). In principle, this is a considerable achievement, although it does largely reflect the weight in the UNDP portfolio of the assistance provided to the management of public resources. The budget compliance attained in implementing the programme has been described as satisfactory according to the balanced scorecard system. The introduction of business and specific management instruments for the country (Atlas system, manuals, follow-up and evaluation systems, etc.) has improved the availability of management-specific information, although (specially in the case of Atlas) it has led to a generalized perception of greater bureaucratization and slowness in the way in which UNDP conducts its administrative practices.

SUSTAINABILITY

The evolution of the political context and policies in Peru has favoured the objectives of promoting democracy and human development over the long term. In the first programming cycle (2001-2005), weaknesses in State capacities induced UNDP to continue providing assistance to public-resource management. Nevertheless, both the Government and UNDP changed strategy in the second programming cycle to establish conditions that favoured the total assumption of management responsibilities by the State agencies, thereby creating more propitious conditions for UNDP exit strategies at the central level. At the regional and municipal level, large unfulfilled needs persist in public administration.

There are still areas (e.g., support for Congress, the justice sector and microcredit and, partially, the area of crisis prevention and recovery) in which UNDP support or the weaknesses of the

organizations concerned have led to insufficient institutional stability. The incipient institutional changes or social benefits may not be able to continue or may be subject to changes in political orientation.

There are also areas of intervention, such as the National Agreement or the Round Table (*Mesa de Concertación*), where it is hard to define a clear exit strategy for UNDP. On the one hand, there is a need for certain mechanisms and processes to remain independent of the Government in order to be effective. On the other, a complete transfer of responsibilities to civil society could limit financial and administrative resources, and thereby diminish their influence, visibility and credibility as an instrument of dialogue between State and society.

STRATEGIC THEMES

UNDP has the complex, multi-sectoral task of promoting human development. The corporate thematic areas are ample. The UNDP portfolio in Peru has been relevant to the implementation of its mandate, but it includes a broad range of activities. As has already been observed, UNDP has endeavoured to focus its efforts more precisely, although it still has to formulate specific guidelines for each thematic area.

Across-the-board activities and themes not necessarily in the form of projects – such as advocacy, interaction with partners, generation and dissemination of important analysis and consultation for the MDGs, and interagency cooperation – have enhanced the image and prestige of UNDP. These activities, unrelated to projects, are tending to gain in importance in an emergent country such as Peru, where national capacities are increasing and the relative importance of external project support is declining.

In Peru, and especially in Lima, there exist capacities and analytical skills to diagnose subjects of public interest, but there are shortcomings when it comes to putting the analysis into practice. The real lack of capacity of the public sector

to implement well-designed proposals has been an important obstacle. UNDP, as stipulated in its mandate, has responded mainly to requests from the Government. The weaknesses of the State agencies initially led UNDP to play an important role in assisting with the implementation of projects and public policies to guarantee transparent management. This tendency is now being inverted. A new area of UNDP involvement is reform of the civil service, a cornerstone in fortifying the capacity of the State to implement programmes and policies. This is one of the activities of highest strategic priority undertaken by UNDP in recent years.

UNDP has provided important support to the Peruvian Agency for International Cooperation (APCI), from its very inception in 2002. The office of the UN Representative has played an active role in bringing the UN agencies together and in tabling subjects of relevance for Peru, highlighting its role as an important partner of the APCI. The UNDP Peru programme also plays an active role in promoting South-South cooperation. It is one of the greatest users in Latin America of the resources offered by the Perez Guerrero Fiduciary Fund, created by the United Nations with precisely this objective.

The UNDP Peru programme is currently in “transition” from primarily supporting the administration of public resources to a configuration that caters to the needs of an emerging country. While not having abundant resources of its own to contribute, UNDP tries to strengthen its image as a cooperating partner that adds value to the human development of the country, with quality services and effectiveness. The programming features that best respond to present and future challenges include:

- (i) the reformulated strategy to support decentralization, with a presence in the regions;
- (ii) the ability to generate knowledge and standards for human development by means of the INDH;

- (iii) the ability to mobilize its regional and global cooperation network;
- (iv) its advocacy in matters of great importance for human development such as climate change or the settlement of social conflicts;
- (v) the strengthening of the APCI’s ability to coordinate international cooperation and to convene the agencies to deal with present and future matters of national importance.

RECOMMENDATIONS

This evaluation generally validates the key strategic directions taken by UNDP in Peru during the past two programming cycles. However, considering the wide range of activities and the Peruvian context, it recommends greater focusing on and tailoring of the programme to the needs of a middle-income emerging country.

STRATEGY IN THE THEMATIC AREAS

1. To sharpen its focus, it is recommended that UNDP in Peru elaborate specific strategic guidelines in each thematic area in the context of the next CPD. This will help better define the contents of and weight between the programmatic areas, as well as linkages with non-project activities, and enhance selectivity in initiatives to be supported in order to further focus on the excluded population. Clearer guidelines for strengthening the focus on matters of gender equity are also to be provided across the thematic areas.
2. In the area of democratic governance, the “seed project” model has been useful to start up new State institutions or parliamentary commissions. UNDP should nonetheless privilege involvement in substantive formulation and ensure that there is clear institutional anchoring and an explicit plan to transfer knowledge and experience to the institutions concerned, in order to improve sustainability prospects. Opportunities should be explored for a line of support to help raise the level of

democratic representation of political parties, drawing from experience in other countries (e.g. Guatemala).

3. Also in governance, and in line with the new internal reorientation of UNDP in favour of decentralization, it is recommended that the rationalization of the legal system within and between the three levels of public administration (municipal, regional, central) be supported in view of improving its capacity to respond to human development challenges and the achievement of MDGs. In particular, there is a great regional and municipal need – and an almost total lack of adequate opportunities – for introductory practical training, including South-South peer learning, to newly elected mayors and regional presidents during the period between the elections and their assuming responsibilities.
4. In crisis prevention and recovery, the 2007 earthquake and several lessons drawn by the National Civil Defence Institute, as well as by the United Nations Disaster Assessment and Coordination (UNDAC), on the national-response capacity underline great needs in articulating a concerted system for making decisions and taking action from the central to local level. A more systemic approach should be adopted and greater continuity in the learning process encouraged so that knowledge on disaster prevention and collective rapid response can be accumulated and systematized.
5. In the area of social conflict management (classified in Peru under CPR), the base of support and intervention should be broadened beyond the Presidency of the Cabinet of Ministers, as UNDP is managing it in 2009. Moreover, in higher poverty areas, it is recommended that interventions in CPR be more clearly linked with those in environment and poverty.
6. In the areas of poverty reduction and MDGs, UNDP has made substantial contributions to the study, promotion, and monitoring

of progress on MDGs. However, to attain the MDGs it is necessary to cooperate with institutions, policies and programmes of different nature. UNDP should identify with better precision the levels, fields and the specific MDGs it should promote concretely. In the specific case of microfinance, UNDP should clarify what value it expects to add in a well-developed sub-sector and decide whether supporting microfinance is actually one of its own priorities.

STRATEGIC INSTRUMENTS

1. UNDP should further reduce its involvement in administrative support to central State entities, giving more attention to strengthening the capacities of regional and municipal governments. UNDP's commitment in the SERVIR project and in decentralization is a more appropriate strategic option to create a more permanent civil service.
2. It is recommended that UNDP systematize lessons learned and disseminate them among its partners. This includes: (i) experiences in support to administration of public resources; (ii) innovations supported in environment (watershed and natural reserve management) and (iii) initiatives in poverty reduction (issues focusing on excluded populations).
3. Further diversification of partnerships is recommended, not only territorially (more activities out of the capital), but also with respect to sectors (civil society, private sector, academia, etc.), global partners (e.g. mobilizing the UN network to make available South-South policy advice) and funders (global funds, private foundations, etc.). A more diversified partnership can reduce risks and potential vulnerabilities of UNDP such as those observed in the late 1990s. At the same time, it can provide a broader-based support platform – more independent of political changes – to strengthen the negotiating capacity of the poor and thus promote the achievement of the MDGs.

4. In order to gain a broader and more accurate recognition of its commitment to human development, the overall UNDP-Peru communication strategy should be fine-tuned. This should be done by combining quiet diplomacy, where indicated, with broader regular feedbacks from various partners to UNDP and from UNDP to the public at large, particularly in view of the diversification of its presence in the country through the opening of regional offices.
3. New operational instructions from the RBLAC and other headquarter-based bureaux, in both the programming and operational spheres, should be embedded in an early corporate communication strategy so that the country office can foresee its evolution and prepare the ground with national counterparts affected by the changes.

Concerning integration in Latin America, UNDP-Peru should support and strengthen the positioning of the country in the framework of South-South cooperation, taking the opportunity of the existing UNDP networks.

HEADQUARTERS SUPPORT

1. The definition of UNDP role in an emerging country cannot be limited to the experience of individual country offices. It is recommended that – following the example of the Bratislava consultation of 2009 – regional discussions be encouraged on the changing role of UNDP in such countries and on the means of maintaining and strengthening UNDP’s role as a unique, universal cooperation partner. UNDP has valuable lessons to share on the programme’s adaptation to an evolving context (growing country capacities, supporting decentralized governments, promoting new broad themes such as climate change effects).
2. UNDP should review and adapt selected corporate-management information instruments (aspects of the Atlas system such as external access, balanced scorecard, executive snapshot, and partnership survey). At present they require considerable resources and time for trouble-shooting, to the detriment of more substantive work and do not always include appropriate instruments to capture what they intend to measure.

Chapter 1

INTRODUCTION

Assessments of Development Results (ADRs) provide an independent appreciation of the contribution of UNDP to the development of the countries where it operates. The purpose of the ADR is to report on and learn lessons from the UNDP strategy and operations in the country based on the evidence collected and for the programming of its future activities.

The present ADR, approved by the UNDP Executive Board (2007/24), evaluates two programming cycles contained in the strategic documents for the periods 2001-2005 and 2006-2010. This period has seen the tenure of three governments: Valentin Paniagua (November 2000-July 2001), Alejandro Toledo (2001-2006), and Alan García (2006 to date). UNDP has had three resident representatives in this period: Kim Bolduc (1998-2002), Martín Santiago (2003-2005) and Jorge Chediek (2005 to date). UNDP and the United Nations System (UNS) in Peru are currently reviewing the UNDAF, which may be extended in view of the national elections in 2011.

The objectives of this ADR are: (i) to identify progress made towards the anticipated development results of the documents of the past two UNDP programming cycles; (ii) to analyse how UNDP in Peru has been positioned to add value to the country's efforts to promote its development; (iii) to present conclusions and lessons learned with a view to the organization's future positioning in Peru.

THE EVALUATION PROCESS

Following the guidelines set by the UNDP Evaluation Office (EO), a team of three consultants (one international and two national⁵) and an EO evaluation specialist were in charge of the process. The approach and method to be followed, the conceptualization and the mapping-out of the key players – identified in an inception report – were defined by means of a desk study, interviews at UNDP Headquarters in New York and a preliminary mission to Peru in April 2009.

The main three-week mission took place from 31 May to 20 June 2009. Numerous interviews were organized in the capital, as were field trips. At the close of the mission, three feedback meetings were held with: (i) UNDP-Peru senior management, (ii) UNDP administrative and programming personnel and (iii) the Peruvian International Cooperation Agency (APCI), the counterpart representing the Peruvian Government. Comments made at these meetings were taken into account while drafting the report. The evaluation team is grateful to the UNDP personnel, Government authorities and all the people interviewed during the main mission for their assistance.

According to EO procedures, the draft report was reviewed by EO and two external advisers.⁶ The main report drew on the comments of the UNDP country office, the Regional Bureau for Latin America and the Caribbean (RBLAC) and the Government of Peru. At the end of the evaluation process, a workshop was held in Lima,

⁵ Markus Reichmuth, team leader; Rosa Flores Medina and Elsa Bardález del Águila, consultants. Fabrizio Felloni (evaluation specialist) participated in the preliminary and main missions.

⁶ Inder Ruprah, Senior Economist, Evaluation and Oversight Office, Inter-American Development Bank; and Alfredo Stein, economist and university lecturer.

on 10 November 2009, to discuss the findings and recommendations with 45 representatives of UNDP, the Government, international organizations, non-governmental organizations and academic institutions.

KEY CRITERIA

In keeping with its terms of reference, the evaluation considers two main aspects: (i) development results (programming aspect) and (ii) strategic positioning (Table 1.1). Aspects relating to management are considered to the extent they have influenced the development results and strategic positioning. In the case of the development results,

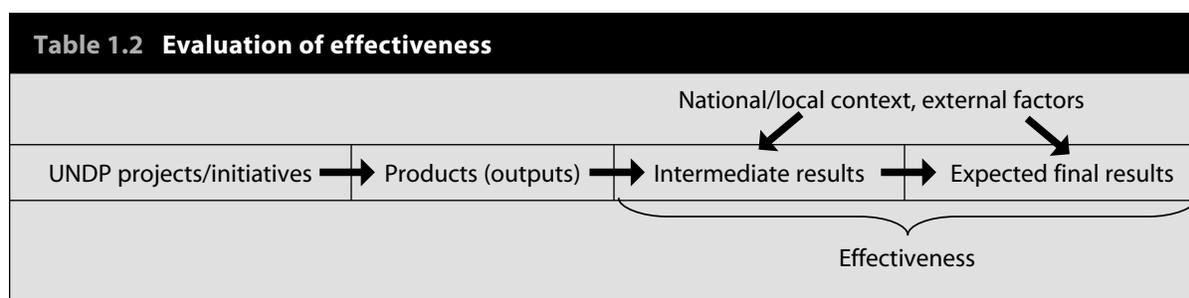
Table 1.1 Evaluation criteria	
Strategic positioning	Aspects relative to management*
<ul style="list-style-type: none"> • Relevance • Responsiveness • Partnerships • Special subjects: gender, South-South cooperation, coordination of UN system 	
Development results	
<ul style="list-style-type: none"> • Effectiveness • Efficiency • Sustainability 	
* Considered to the extent that they help explain development results and strategic positioning	

the criteria considered are effectiveness, efficiency and sustainability. In order to evaluate the strategy, relevance and responsiveness, partnerships and the promotion of United Nations values are the applied criteria. These are standard criteria adopted by the EO in all its ADRs. The evaluation team set a series of sub-criteria (Annex D) based on the ADR method manual the EO is currently preparing.

With respect to the evaluation of effectiveness, some of the expected results refer to complex and long-term changes⁷, whereas UNDP interventions frequently span two to four years. Hence, there were some cases in which evidence of the final results could not be shown, but it was possible “to observe” intermediate results and processes. Although partial, such results and processes as changes in attitudes, new approaches and methods, and the dynamization of players and institutions, together with other external factors, can contribute to attaining the expected results (Table 1.2). Frequently, UNDP support consists of facilitating processes and enhancing their quality.

DATA-COLLECTION METHODS

Desk study. The ADR analysis is based on the role, positioning and contribution of UNDP to development in Peru as shown by the evidence collected by the evaluation team. The first stage was devoted to reviewing the documents available on United Nations and UNDP strategies and



⁷ For example, Outcome 51: “Modernized key sectors of the public administration with UNDP support in its technical processes, operative management and strategic positioning in its areas of action”.

operations at the corporate level and in the country, as well as studies and reports by other international scientific research organizations and institutions (see bibliography in Annex H).

Project review and field visits. The next step was to sample⁸ 21 projects and programmes implemented in the 2001-2009 period.⁹ The sampling was necessary given the large number of existing projects (140 “development projects” according to the Atlas classification, corresponding to 120 projects and actual programmes). The financial volume of the sampled projects corresponds to around 45 percent of the total portfolio volume.

Key players representing the State, international agencies, NGOs, civil society organizations, scientific research institutions and UNDP, were interviewed in Lima, defined through a mapping exercise during the preparatory mission and completed before the main mission (see list of people met in Annex F).

Finally, in the second week of the main mission, field trips were organized to interview beneficiary organizations, project personnel, authorities and counterparts. Given the limited time available for the on-site interviews (four days), three departments with direct UNDP activities (Ica, Junín, Tacna) were selected. Two regions were physically visited, and, in the case of the third (Junín), the main participants, mainly from the regional government, were interviewed in Lima where they happened to be. During the field trips, it was possible to gain first-hand knowledge of the activities of half of the projects in the sample. The field trips included communities affected by the earthquake in southern Peru in August 2007, as well as one of the four recently established UNDP regional offices.

Thematic and strategic round tables. For a better appreciation of the strategic subjects and the sector, 10 thematic and strategic round tables were organized with external sectoral specialists (Government, civil society, politicians, academia, and UNDP advisers). The analysis presented in this report uses the triangulation of written information generated in the discussions with the UNDP team and in the strategic and programming interviews with the partners and beneficiaries, as well as that obtained through direct on-site observations.

UNDP-supported initiatives comprise a set of activities performed by various players influenced by different aspects of the national context (history, public policies and economic cycles). The UNDP contribution to development was considered by requesting information on the nature of its interventions, as well as by identifying concrete examples of the effects generated by the instruments, institutional mechanisms, resources, skills, and knowledge introduced by this agency. This is a qualitative analysis based on the evidence and the triangulation of the data available.

⁸ The sampling combined the following criteria: (i) representativeness of the expected UNDP results (outcomes) (ii) representativeness of the corporate thematic areas covered by UNDP-Peru and the main sub-thematic areas; (iii) consideration of both programming cycles; (iv) appreciation of the strategic priority of projects and programmes according to the country office; (v) availability of project/programme evaluations; (vi) the possibility of visiting activities in the field. (The details of the sampling are available in Annex C).

⁹ Corresponding to 31 “Atlas projects”.

NATIONAL DEVELOPMENT CONTEXT

2.1 GEOGRAPHIC AND DEMOGRAPHIC BACKGROUND

Peru, which has an area of 1,285,216 sq km, is located in the west of South America and borders the Pacific Ocean. To the north lies Ecuador; to the north-east, Colombia; to the east, Brazil; to the south-east, Bolivia; and to the south, Chile. On its territory are ecosystems recognized world-wide for their great diversity, such as the cold sea of the Peruvian Current, the dry forests on the north coast, the high forests, and the tropical Amazonian forests, where the diversity of species is the greatest. Peru has 69 million hectares of forests, and is the second country in Latin America and the fourth world-wide for tropical forests.¹⁰ The foggy forests, on the Eastern Andean slopes, are of enormous importance for world-wide biodiversity and the stability of the Amazonian river basin. The Peruvian sea is one of the most important fishing grounds on the planet. The country also has great mining wealth, including copper, silver, gold, petroleum, natural gas and coal, and a great potential for the generation of hydroelectric energy.

Peru is a democratic presidential republic with a multiparty political system. It is divided into 24 regions and the Constitutional Province of Callao. Each region has an elected government, including a President and a Council that serves a four-year term. According to the latest census (2007), the population of Peru is 28.2 million.¹¹

The fertility rate has been declining steadily in recent decades, with 2.6 births per woman in 2007 as against 2.9 in 2000.¹² This, together with an increase in emigration, explains the fall in the population growth rate, which currently stands at 1.6 percent as against 2.6 percent at the beginning of the 1980s. In terms of age, the population is young, almost a third under 15 years. Some 72 percent of Peruvians live in urban zones, mainly in the coastal cities. The country has a high diversity of cultures with 71 ethnic groups. Of these, 10 percent are located in the Andean area and 90 percent in the Amazon.¹³ The National Institute of Andean, Amazonian and Afro-Peruvian People (INDEPA) considers the total indigenous population in 2007 to have been 4,137,754, the largest ethnic groups being the Andeans, especially the Quechua and Aymara that account for 83 percent and 11 percent respectively of the total indigenous population of the country (INEI 2007).¹⁴

Natural risks. The country is exposed to substantial seismic risks (superposition of tectonic plates under the Peruvian coast) and climate change. On 15 August 2007, Peru suffered a strong earthquake in the south that left around 596 dead and 75,286 destroyed and uninhabitable houses.

¹⁰ MINAM, PROCLIM Programme, 2009.

¹¹ INEI, 'Population and Home Census', 2007.

¹² World Bank Indicators 2009.

¹³ INDEPA, 'Ethnolinguistic Map', 2009.

¹⁴ There are no exact figures on the number of indigenous people because the census does not ask specific questions related to it. So the breakdown is made according to mother tongue. INDEPA estimates exclude children under 3 years.

2.2 POLITICAL AND INSTITUTIONAL CONTEXT

Colonization and institutional instability. Peru was the cradle of the Inca empire. In the 16th century, the area was conquered by the Spanish who, in 1542, established a settlement governed by a viceroy with its capital in Lima. In 1821, Peru declared independence from Spain. Since then, the country has been characterized by political instability, alternating between constitutional governments, military coups, and dictatorial governments. In 1980, Peru returned to democracy after a 12-year period of military government (Table 2.1).

At the end of President García's first government (1985-1990), an institutional, financial and economic crisis gripped the country. The State was bankrupt with macroeconomic imbalances that caused hyperinflation. President Fujimori (1990-2000) responded by dismantling much of the institutional apparatus and reconstructing a minimalist State within the framework of economic liberalization. In addition, to combat terrorism, the Armed Forces were involved in an anti-subversive war. In 1992, President Fujimori dissolved Congress and deactivated the judiciary. A Constituent Congress with a pro-government majority approved a new Constitution in 1993. The division of public powers was to a great extent

non-existent. Two months after being elected for a third term, in 2000, President Fujimori was forced to resign amid corruption scandals and accusations of human rights violations.¹⁵

Between 2000 and 2001, the interim government of President Paniagua, with the former United Nations Secretary-General, Javier Perez de Cuellar, as Prime Minister and Minister of Foreign Affairs, introduced reforms to restore democratic institutions and organized new elections. The elected government of Alejandro Toledo (2001-2006) continued the policy of democratization and promoted decentralization as one of the key reforms. In November 2002, the first elections were held for 25 regional presidents. However, the transfer of responsibilities and funds to the regions has been slower than had been hoped due to lack of experience and technical skills in the regions and due to legislative shortcomings.

Challenges for democratic governance.

According to several sources, including UNDP and the World Bank, a series of factors have significantly impeded political stability and the rule of law in Peru:

- the coexistence of different cultural segments in Peruvian society, dispersed over very diverse regions (Lima, the coast, mountain

Table 2.1 Succession of Governments in Peru, 1980–2009

Periods	President	Political party	Comment
1980 1985 1985 1990	Fernando Belaúnde Terry Alan García	Acción Popular APRA	Return to democracy
1990 1995 1995 2000 July 2000 Nov. 2000	Alberto Fujimori Alberto Fujimori Alberto Fujimori	Cambio 90 Cambio 90 Cambio 2000	1992 coup. Congress closed Re-election under '93 Constitution Disputed 3rd election. Stepped down
Nov 2000 July 2001 2001 2006 2006 present	Valentín Paniagua Alejandro Toledo Alan García	Acción Popular Perú Posible Acción Popular	Second term as President

Source: ADR (2009)

¹⁵ Former President Fujimori has been sentenced to 25 years' imprisonment.

range, forest), with the consequent diversity of perceptions of values and a low degree of cultural integration;

- a long history of political-economic centralism which favoured Lima and the coastal region in terms of state action and the distribution of power and wealth;
- coexistence of a legal system that places priority on procedures (legalistic approach), with a broad informal sector (it is estimated that 60 percent of the economically active population is in the informal sector), showing the inability of the legal system to act as an integrating force for most of the population;
- a State apparatus that simply pieced together successively accumulated norms and procedures without any uniform rationality, resulting in static, impractical systems that weakened their capacity and operation and obstructed their reform;
- the presence of drug trafficking and its sequels (Peru is the world's second largest cocaine producer, with remarkable exposure to the influence of the Mexican cartels).

Low confidence in political parties, public institutions and policies. A survey at the end of 2008 reveals problems of confidence of the Peruvian society in its public institutions¹⁶ (Table 2.2).

Historical factors that have contributed to this situation included the inability of public institutions and the political parties to show results and to establish effective bonds with the public. Although from 2000, the parties showed more concerted behaviour with democratic aims, the fragility of their hold on society was demonstrated by the recurrence of their tendency to seek immediate results and to pursue vested interests.

The breach between the regions and Lima. The latest elections and the accession of Alan García to the Presidency were marked by a political cleavage between the regions, particularly between the Andean south, and Lima. This breach redraws the political map of the country and reveals the weight acquired by radical positions in regional areas. This is apparent from the evolution and geographic distribution of protests and social conflicts, as the monthly

Table 2.2 Results of the confidence survey of public institutions in Peru, Dec. 2006, Nov. 2008

Institution	Trustworthy		Not trustworthy		Don't know/ No answer	
	2006	2008	2006	2008	2006	2008
Central Government	34.7	23.5	42.3	67.7	22.9	8.8
Regional Governments	26	23.2	41	62.7	33	14.1
Municipalities	38.6	41.4	57.9	54.8	3.5	3.8
Congress of the Republic	20.1	11.8	74	84.2	5.9	4
Judiciary	15.2	17.9	78.8	76.9	6	5.2
Auditor-General	27.1	21.6	34.5	52.4	38.4	26
Defensoría del Pueblo (<i>Ombudsman</i>)	46.4	51.3	36.2	38.5	17.4	10.2

Source: University of Lima, 'Social Barometer: Annual Survey of Confidence in Institutions,' Lima/Callao (4th and 5th Surveys, 2006 and 2008)

¹⁶ Tanaka, Martin, "Situation and prospects of Latin American political parties: The Peruvian case", in *Political Parties in the Andean Region: Between Crisis and Change*, IDEA International Lima, 2004.

follow-up reports of the Defensoría del pueblo show.¹⁷ With the central political decisions to improve democratic governance and decentralize the public administration to the regions, social conflicts were expected to grow. Central, regional, municipal authorities confront the challenge of developing mechanisms and instruments for handling conflicts. In its latest monthly report on latent and active social conflicts, the Defensoría del pueblo noted the absence of dialogue between the opposing parties in most cases. This demonstrates the difficulty of creating democratic mechanisms to solve conflicts of interests, mainly in the interior region.

2.3 ECONOMIC CONTEXT

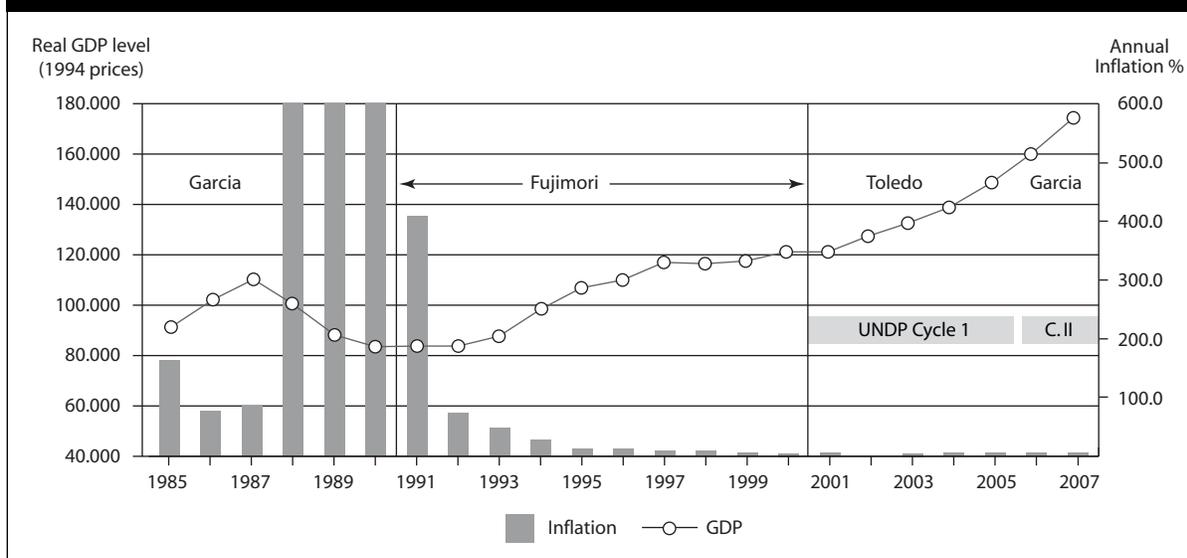
Political reforms and liberalization in the 1990s.

Peru achieved sustained economic growth after a fundamental reform of the state apparatus and policies in the 1990s, implementing a broad agenda

of liberalization of the economy in agreement with the Washington Consensus. Inflation was brought under control from levels in the three or four figures (Graph 2.1). With State functions reduced to regulation and administration, macro-economic planning was concentrated in the Ministry of the Economy and Finance (MEF). The multi-year Macro-economic Framework (MEF) has been the main frame of reference for public state policies, including social policies.

Latin American economic growth leader in the present decade. Following the strict policy of macro-economic stability of the 1990s, Peru is going through the longest period of expansion in its history. It was led by the rise in the prices of its main export products and, in recent years, by a strong growth in domestic demand (consumption and investment), favoured by the international context of low interest rates, worldwide growth and good trading conditions. Also,

Graph 2.1 Macro-economic evolution of Peru 1985-2007
(column: rate of inflation; line: real GDP)



Source: World Bank, World Development Report (2008)

¹⁷ Independent body created by the 1993 Constitution to protect the constitutional and fundamental rights of individuals and the community, to ensure that the State administration meets its obligations and that the people benefit from public services. It is located in Lima (five offices), with 31 offices and modules in all the national territories. The Defensoría offers the public “Ombudsman”-type services and publishes statistics on current conflicts in the country. Its decisions are not binding, but it has impact and considerable prestige, and is very present in public opinion. Its May 2009 report states that 92 (43 percent) of the total of 212 conflicts are concentrated in five mountain departments (Junín, Cajamarca, Puno, Ayacucho and Cusco), and 22 (20 percent) are in Lima or of national proportions.

exports became a motor for growth. Although international economic conditions favoured all regions of South America, Peru had one of the best performances in Latin America from 2001 and even in 2008 and 2009 in the midst of the global economic crisis. The limited involvement of the Peruvian banks in “toxic” financial instruments, the relatively comfortable situation of public indebtedness and international reserves, combined with substantial private and public investments, have enabled Peru to resist the effects of the world-wide crisis.

Emergent medium-high-income country. Peru is one of the medium-high income countries, having in 2008 passed the \$3,856 per capita threshold applicable to this group of countries according to the World Bank classification (Gross National Income p.c., Atlas method). Two risk-classifying agencies put Peru in the “degree of investment” category in 2008 (Fitch) and 2009 (S&P), thereby facilitating access to credit markets and better financing conditions.

2.4 HUMAN DEVELOPMENT SITUATION AND MILLENNIUM DEVELOPMENT GOALS

Poverty reduction. Economic expansion as of 2002 had a redistributive and inclusive impact on the country, generating jobs and contributing to poverty reduction. Total poverty fell from 48.6 percent to 36.2 percent between 2004 and 2008 (which in absolute terms would indicate that the number of poor was reduced by approximately 2.7 million). Hence extreme poverty fell from 17.1 percent to 12.6 percent, in that period,¹⁸

which implies that the number of extremely poor diminished by around 0.988 million people.

Despite the positive trend, poverty continues to be one of the main problems affecting the country along with three areas of exclusion: economic (low participation), legal and political (low representation) and social, sexual and ethnic.¹⁹ Attention should be drawn to the significant difference in the conditions of human development between urban and rural communities – partly offset by the development programmes implemented by the Government, especially those within the framework of the Growth Strategy. Nevertheless, differences still persist, given that the reduction of poverty in the four-year period was greater in the urban (-37.1 percent) than the rural areas (-14 percent).²⁰

The most critical situation is in the rural mountain range. Although the poverty rate there has been reduced by 7 percentage points between 2004 and 2008, it continues to be high, affecting 68.8 percent of the population in the area.²¹ Also noteworthy is the high level of the Gini coefficient inequality of incomes: 0.479 (2008), which shows a slight reduction in relation to 2004, when it stood at 0.492.²²

The latest data on child malnutrition in Peru (NCHS/WHO) (2007-2008) reveals a serious prevalence of chronic malnutrition (*stunting*, that is, low height for age) in children of up to 5 years old. At the national level, the rate is 21.9 percent, while in the rural mountain range the prevalence reaches an average of nearly 40 percent.

¹⁸ INEI, Technical Report, Poverty Situation, 2008.

¹⁹ INEI, ENAHO, 2008. From the ethnic point of view, the extreme poverty rate of the population whose mother tongue is not Spanish was 30.0 percent in 2008 (2.4 times greater than the national average), and total poverty was 60.4 percent (1.7 times greater). The latest INEI report does not give poverty indicators by sex. For the MDG report, it provided only information on single-parent homes. Data for this category indicate that in 2008, the poverty rate of families headed by a woman was 25.8 percent and the extreme poverty rate was 7.4 percent, whereas for families headed by a man the figures were 21.5 percent and 6.8 percent respectively.

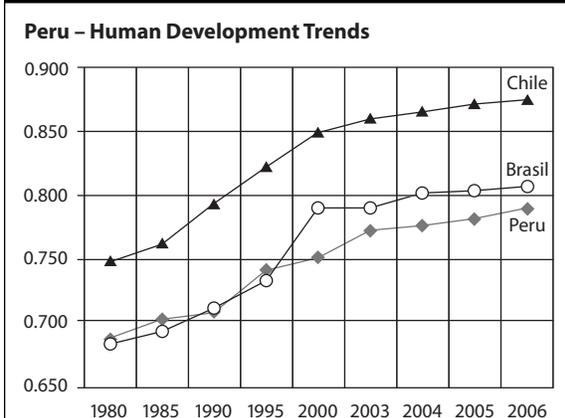
²⁰ INEI, Technical Report, Poverty Situation, 2008.

²¹ INEI, Technical Report, Poverty Situation, 2008.

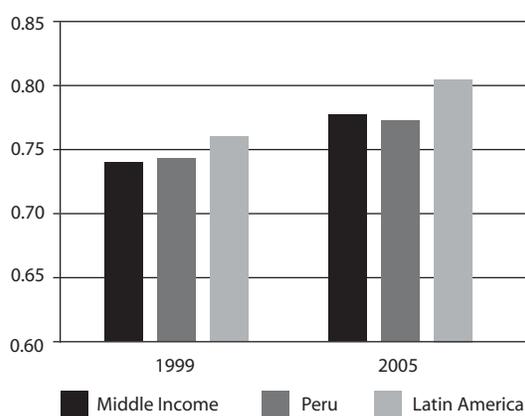
²² INEI, Poverty Statistics, 2004-2008.

The Human Development Index (HDI) has improved. The HDI for Peru reached a value of 0.788 in 2006 (Table 2.3), which places it 79th on the list of all countries for which this index is calculated, thus classifying it as a country of average human development (between the first four in this category). Its progress was particularly marked in the 1980-2003 period, in line with other emergent countries of South America. In the present decade, Peru has had a lower increase than the Latin American average, which rose by 6 percent in 1999-2006 as against 4 percent in Peru (Graph 2.2).

Graph 2.2 Evolution of the Human Development Index in Peru



Source: UNDP Human Development Index 2008 tables



Source: UNDP Human Development Report (2002-2009 update)

Other key socio-economic indicators (in particular, infant mortality, life expectancy, empowerment of women) showed significant improvements from 1999 to 2006, except in adult education (Table 2.3).

Table 2.3 Human Development Indicators, 1999 and 2006

	1999	2006
Human Development Index	0.743	0.788
Human Poverty Index (Hpi-1)	12.9	11
Life Expectancy Index	0.72	0.766
Infant-mortality rate (per 1000 live births, %)	42	18
Adult literacy rate (% of 15 years and over)	89.6	88.7
Development index according to sex	0.724	0.784

Source: UNDP HDI Update 2008 and INEI 2007

Progress in meeting the MDGs. According to the UN Millennium Development Goal Indicators,²³ Peru presented the following situation:

Goals with the *greatest probability of attainment*:

- **Goal 2 – Achieve universal primary education.** Student registrations reached 96 percent in 2007, according to official sources. The literacy rate among young people (15-24 year-olds) is higher than for the population in general, 95 percent as against 88 percent; the main challenges associated with this indicator include reducing regional disparities and placing greater emphasis on completing primary education and attaining a better quality education.
- **Goal 3 – Promote gender equality and the empowerment of women.** There are no longer any significant differences in the educational levels of men and women; women can be seen

²³ <http://mdgs.un.org/unsd/mdg/Home.aspx>

to be playing a greater role in the economically active population. Also, in recent years, women have been playing a greater political role: the indicator of legislative positions occupied by women rose from 7 percent to 29 percent between 1990 and 2006.

- **Goal 4 – Reduce child mortality.** The infant mortality rate in children of 5 and under fell from 78 to 20 per thousand live births between 1990 and 2007; something similar has happened with the general infant mortality rate, which is today 17 percent. The main challenges here are related to reducing regional disparities and improving the education of mothers.

Goals with a *reasonable probability of attainment*:

- **Goal 1 – Eradicate extreme poverty and hunger.** The fight against poverty is making good headway but the reduction rate will have to continue to attain the goal of 27.3 percent by 2015. Progress, albeit limited, has also been made in reducing undernourishment or caloric deficiency in families. To attain this goal it will be necessary that economic growth and the Government's development measures continue with a view to also reducing regional disparities.
- **Goal 5 – Improve maternal health.** The rate of maternal mortality (240 per 100,000) continues to be a serious problem despite the reduction since the 1990s. No records are maintained that allow greater precision in scrutiny. One cause for cautious optimism on this goal, however, is the increase in childbirths attended by specialized personnel, from 52 percent in 1991 to 75 percent in 2007.

Goals with *little probability of attainment*:

- **Goal 6 – Combat HIV AIDS, malaria and other diseases.** The main advances have

been in reducing the incidence of – and mortality from – malaria and tuberculosis, but it continues being high. Around 25 percent of all the tuberculosis cases registered in the American continent are in Peru. The incidence of AIDS is low, but several factors prevent progress, including the little use made of modern methods of protection and the low perception of risk.²⁴

- **Goal 7 – Ensure environmental sustainability.** The main problems related to the conservation of biodiversity are water and air contamination, inadequate disposal of solid waste, soil erosion, over-fishing and deforestation.

2.5 INTERNATIONAL COOPERATION IN PERU

According to DAC and APCI statistics, official development cooperation in Peru reached \$591 million. This comprised \$251 million in official loans²⁵ and \$340 million in non-reimbursable official technical cooperation (APCI).

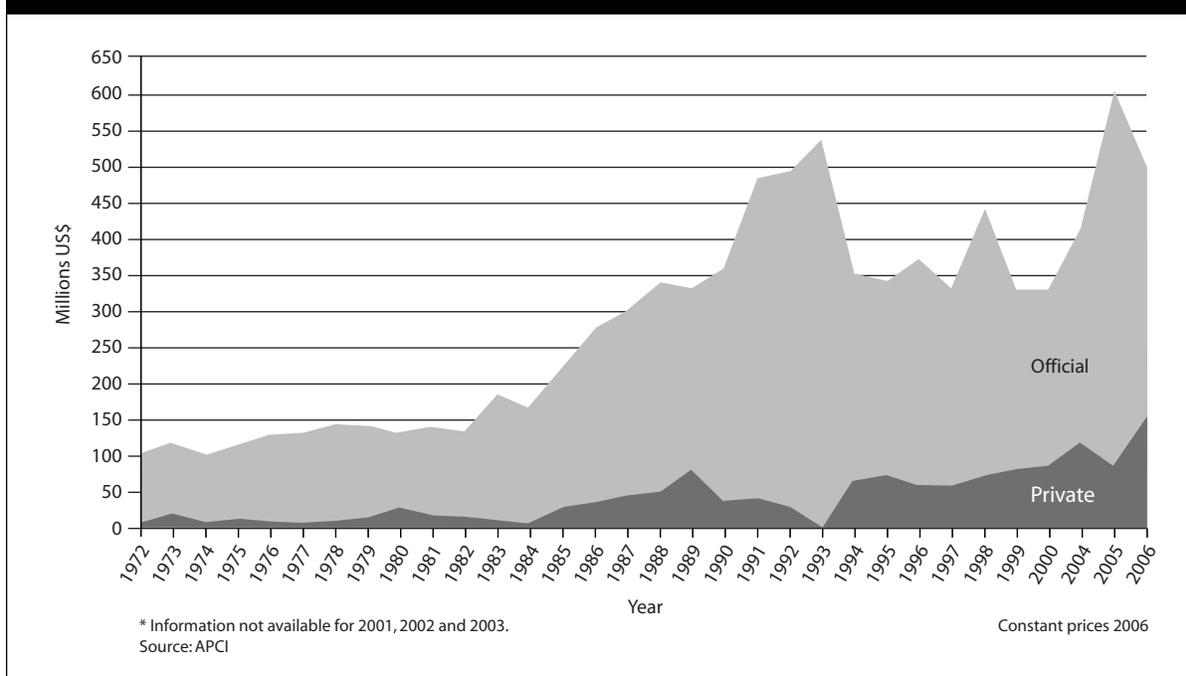
Reinstitutionalization of the management of non-reimbursable international cooperation.

In the 1990s, international cooperation was handled by a secretariat attached to the Presidency of the Republic that directly determined the use of these resources. The transitional Government decided to reformulate this management with the support of UNDP. At the end of 2001, the Peruvian International Cooperation Agency (APCI) was created as an independent organization attached to the Ministry of Foreign Affairs. The APCI fundamentally acts as the overseer of non-reimbursable international cooperation (reimbursable aid is managed by the Ministry of Economy and Finance). The APCI aims to direct non-reimbursable international cooperation through a new National Policy for International Technical Cooperation. It seeks to maintain

²⁴ Lower than 1 percent but with prevalence in high-risk groups of 10 percent (Resumen Ejecutivo Informe del Cumplimiento de los Objetivos de Desarrollo del Milenio Perú 2008 – Borrador, Octubre 2009)

²⁵ DAC: http://stats.oecd.org/Index.aspx?DataSetCode=ODA_RECIPIENT

Graph 2.3 Non-reimbursable cooperation obtained by Peru, 1972-2006



Mentioned in APCI, 'Situation and Trends of International Cooperation in Peru, 2006', Lima, June 2008

assistance levels (which have been decreasing from 2005) as well as to channelling it towards areas of greatest needs in a coordinated manner.

Non-reimbursable cooperation. Non-reimbursable cooperation for Peru comprises official and private components. The official component grew rapidly between 1984 and 1993 and again between 2001 and 2005, before declining. The private component followed a contrary pattern, falling off from the end of the 1980s to 1993 and increasing from the end of the 1990s until 2006 (Graph 2.3).

According to the APCI, non-reimbursable cooperation in 2006 reached \$495.6 million, with an official component of \$340.1 million and a private component of \$155.5 million (Table 2.4). The official component comprised predominantly bilateral contributions (\$301.7 million or 91 percent, Table 2.4).

Table 2.4 Non-reimbursable cooperation in Peru 2006 (dollars million)²⁶

Total	495.6 (100%)	
Official	340.1 (69%)	
	bilateral	301.7
	multilateral	38.4
Private	155.5 (31%)	

Source: APCI (2008)

A more detailed analysis of non-reimbursable bilateral cooperation (not shown in the table) indicates that the main contributors were the Governments of the United States (54 percent), Spain (7.6 percent), Italy (4.7 percent), Germany (4.2 percent) and Belgium (4 percent). As for non-reimbursable multilateral cooperation, the

²⁶ The APCI (2008) makes it clear that the information derived from the flow of official cooperation does not necessarily represent the total amount provided by donors. The APCI registers the declarations made by the implementing bodies which does not always include all the operating costs; this accounts for the differences between these figures and those provided by the DAC.

contribution of the United Nations Agencies was \$35.2 million (\$1 million in the case of UNDP), which corresponds to 92 percent of non-reimbursable multilateral cooperation and to 12 percent of the total of non-reimbursable official cooperation.

Private cooperation. The financial contribution of several NGOs and national foundations (e.g. Solaris Association Peru, Peruvian Eco-Development Society, Population Promotion and Development Centre) and international bodies (e.g. the Association for Aid to the Third World, Foundation Aid in Action, Foster Parents Plan International Inc., Ford Foundation) is significant, sometimes comparable to that of bilateral donors such as Spain or Japan.

Interest in fulfilling the Principles of the Declaration of Paris. The APCI has defined an agenda of high-priority measures to meet the principles of appropriation, compliance, harmonization, result-oriented management, and mutual responsibility for cooperation.²⁷ These include:

- implementing the National International Technical Cooperation Policy;
 - developing national and sub-national skills for the design, pursuit and evaluation of the activities financed with cooperation aid;
 - supporting activities based on national strategies, institutions and procedures;
 - identifying synergies between the construction of a national evaluation system and cooperation;
 - institutionalizing the forum of international cooperation;
 - encouraging the discussion of specific subjects with the cooperating sources;
 - promoting greater use of baskets of funds;
- committing the Peruvian State to ensuring the sustainability of activities conducted with the help of cooperation;
 - improving mutual reporting mechanisms.

The increase in the effectiveness of international cooperation through such measures is a long-term objective that will require substantial improvements in state procedures.

²⁷ See Presentation to the Donors by the APCI Executive Director, Carlos Pando Sanchez: Management Principles in the Peruvian International Cooperation Agencies, Lima, February 2009; http://www.apci.gob.pe/noticias/attach/Lineamientos_de_Gestion.ppt

Chapter 3

UNDP IN PERU

3.1 THE STRATEGIC CONTEXT

Revision of the programme at the beginning of the decade. In the 1990s, UNDP had supported the management of the Peruvian Government with technical assistance in a wide range of areas. These comprised the reorganization and modernization of the State, including its ambitious privatization programme; the development of the border zone with Ecuador to support the bilateral Peace Agreement; the work of the office of the Defensoría del pueblo; the return of persons displaced by the subversive violence; environmental-protection measures and, after the disaster caused by El Niño, support to respond to emergencies and to reinforce the civil-defence system. The latter area has resulted in plans to establish “sustainable cities” that take account of the potential natural risks. The Management Assistance Fund, administered with UNDP aid and under its norms, facilitated the hiring of a substantial number of State consultancies to cope with the somewhat underdeveloped legal situation of the public services in the 1990s.

The tendency to centralize the executive, which somewhat increased during President Fujimori’s

second term, had weakened the balance of power. Then there was the increasing problem of corruption. This put international organizations, including UNDP, in some delicate situations. The forced change of Government in October 2000 facilitated the planning of the UNDP programme, taking account of new UN guidelines such as the Millennium Development Goals. An agreement was reached with the interim government led by Prime Minister Javier Perez de Cuellar, the former United Nations Secretary-General, to support the transition towards new elections and to encourage a national dialogue for greater democratization.

Programme reorientation in the second programming cycle. Beginning in 2005, the Regional Bureau for Latin America and the Caribbean of UNDP mandated a fundamental programme reorientation. The programmes and activities of UNDP were geared towards substantive contributions to development, rather than providing traditional project development services. UNDP-Peru’s new approach is demonstrated by several indicators pertaining to strategy adaptation, programme composition, and by their financial implication (see below).

Table 3.1 UNDP-Peru strategic-planning instruments

Scope	Instruments	
	2001–2005	2006–2010
UNDP – corporate level	MYFF I 2000–2003 MYFF II 2004–2007	UNDP Strategic Plan 2008-2011
United Nations System in Peru (UNS)	Common Country Assessment 1998 (CCA)	United Nations Development Assistance Framework, 2006–2010 (UNDAF)
UNDP-Peru	Second Cooperation Framework 2001–2003, extended to 2005 (CCF II)	Country Programme Document 2006–2010 (CPD)
UNDP-Peru with the Government of Peru		Country Programme Action Plan 2006–2010 (CPAP)

Source: ADR Peru, 2009

Planning instruments. During the period evaluated, UNDP approved two strategic documents: the Second Country Cooperation Framework of 2001-2003 (CCF II), extended until 2005, the Country Programme Document 2006-2010 (CPD) and the Country Programme Action Plan (CPAP). The United Nations Agencies in Peru approved the first United Nations Development Assistance Framework (UNDAF) 2006-2010, to coincide with the second programming cycle. These documents represent the main framework for the present evaluation.

Convergence between UNDP mandate and political developments. While including elements of continuity, the UNDP programme in the first evaluated cycle (CCF II) also made a change of emphasis towards democratic governance. The area was allocated the largest budget in the UNDP financial plan for the entire period analysed. As of 2001, UNDP facilitated the hiring of a select group of high-level “thinkers” to diagnose the country situation and make policy proposals to the Government. The discussions were aimed at re-establishing and strengthening democratic governance (reconciliation, dialogue, reinforcement of the division of public powers through judicial and other reforms), as well as promoting the issues of the environment, gender equity and poverty reduction. Special attention was paid to preparing the first National Human Development Report, “Taking advantage of the opportunities”, published in 2002.

From 2001, a high degree of convergence could be observed between the UNDP mandate to promote human development and the desire of the Peruvian Government and society to progress democratically towards development. The first programming cycle (2001-2005) was devoted primarily to a reorientation of planning with the broad participation of

various sectors as well as the UN System Agencies in the country. The 2006-2010 CPD took account of the UNDAF 2006-2010, itself the result of a long process of shared planning.

3.2 UNDP-PERU STRUCTURE AND ORGANIZATION

Predominance of administrative staff. The operational area has much importance in the organizational structure of the office (organizational chart in Annex I). Of the 72-member staff, 68 percent work in the operational area (finance, human administration, resources, procurement, information, etc.). Programme personnel represent 22 percent of the total staff. The Operations Department meets the demands both of UNDP counterparts – in project administration, drawing up terms of reference, tendering, procurement, etc. – as well as those from within the organization.²⁸ In line with Government policy, UNDP has been rapidly transferring Peruvian personnel to national counterpart agencies. The introduction of the Atlas system in 2004 has necessitated additional personnel, especially to enter project data since external access is limited. There are seven staff members assigned to the Resident Coordinator’s Office and Administration (Table 3.2).

Table 3.2 UNDP-Peru Human Resources by Area

Area	People	Proportion of the total
RC Office and Administration	7	10%
Programme ²⁹	16	22%
Operations	49	68%
Total	72	100%

Source: ADR, based on UNDP-Peru data

²⁸ The operations personnel also take care of the interagency requirements specified in the Memoranda of Understanding (MOU) that include payments, cash flow, reports, hiring of personnel, coordination of events/conferences and customs clearance for 20 agencies plus those not resident in the country.

²⁹ According to UNDP-Peru, the four-member HDR team contributes to programme activities. This team is contracted through project modality and, as all the project staff, is not counted in the human resources of the UNDP office, according to the definitions of the organization.

Operations management is structured by areas of responsibility, with specialists in each. Programme management acts as a unit: the allocation of projects takes account of the specialization of the staff and the connection between projects. In this sense, the same specialist may be responsible for projects in different areas and therefore pertaining to different development results. They are all coordinated and supervised by the programme manager.

Deconcentration of UNDP presence. Starting in 2009, four UNDP project offices will be opened in Tumbes, Tacna, La Libertad and Junín to support the regional governments. This comes as part of a UNDP-Peru strategy formulated in 2007 to support decentralization of public administration. Initially a coordinator was designated in each of these offices. Also, a team comprising United Nations System consultants and volunteers was programmed. Previously, because of the centralism in the country, UNDP counterparts were in Lima where public policies were managed for the entire country. The wise decision to deconcentrate will increase the visibility of UNDP outside the capital, which, until recently was confined to emergency operations and the setting up of “seed” projects (\$50,000 per project) with funds from the GEF Small Projects Programme (SPP).

Managing the programme: putting the house in order with major instructions from the corporate offices. At the beginning of the first evaluated cycle, there was an obvious overall need to introduce stricter rules for the hiring of personnel and the calling for tenders for purchases and acquisitions in projects executed with and on behalf of governmental organizations. The introduction of Atlas – an obvious necessity throughout UNDP – ended up replacing a system that had worked well for Peru. The perception of poor management of this change by UNDP acquired resonance in

the country. The country office still requires four people just to enter data because of a lack of external access. The Peru office, in agreement with five other UNDP country offices, has introduced the MAERA system. This will offer a complementary online project-handling system. UNDP-Peru has concluded a re-engineering of functions and processes that has made office operations far sounder.

M&E improved in the second cycle. Since June 2002, the office has had a follow-up and result-evaluation manual prepared by UNDP EO, which was adapted and complemented with a Regional Project-Management Manual (2006). In November 2006, the country office established a monitoring and evaluation (M&E) unit, with an international programme officer and a national programme assistant. In the past three years, the unit has provided tools for continual monitoring in the financial (periodic reports), administrative (application of UNDP norms and agreements, with 70 to 80 audits a year) and substantive (results) areas. It has sought to chart progress in new DEX and NEX projects – the latter on the basis of a manual introduced at the beginning of 2009 – with result-oriented planning. M&E functions as a project-management instrument that makes planning, follow-up, and evaluation tools available, an example of good practice that can be replicated. In the second cycle (including 2009), UNDP-Peru evaluated 16 projects and four outcomes. Progress was also made in the applicability of the administration/management Atlas module.³⁰ In general, between 2003 and 2009, the office programming and operative processes were more firmly structured. Despite all this, from the viewpoint of the UNDP staff and partners, the handling of projects has become slower and more bureaucratic.

³⁰ This includes four components (results and indicators; risk handling, with ratings; problems and challenges; and lessons learned). Decentralized access to the module, which would allow the projects to enter the information directly, still does not work.

3.3. THE PROGRAMMES IN THE TWO EVALUATED CYCLES: 2001-2005 AND 2006-2008

The definition of outcomes. Considering the new country context since 2001, programme renewal is reflected in the matrix of results of both the evaluated programming cycles. During the 2001-2005 cycle, the country programme was organized around 20 expected results. In the second cycle, the scheme was simplified and reduced to eight results (Annex B). In the process of reducing the outcomes, correspondence was retained with the four corporate thematic areas.³¹

The greatest reduction in outcomes has occurred in the areas of MDG Achievement and Poverty Reduction as well as Energy and Environment. In the former, the outcomes are reduced from eight to two and, in the latter, the five expected results (two of which were identical) have been concentrated in one. Given the dispersion generated by the large number of outcomes, the simplification has been important to the extent it allows better connection with projects and more consistent monitoring and evaluation of the expected results.

In terms of initiatives directly related to the development results (“development projects”) re-categorized according to the CPD 2006-10, the greatest number of projects is under “Administration of justice and dissemination of citizens’ rights improved with UNDP input, through the implementation of the recommendations of the Truth and Reconciliation Commission and the training of operators in the justice and citizens’ protection sector.” This group comprises 43 projects, 26 of which correspond to the 2001-2005 cycle and 17 to the second (Annex B).

Abundant portfolio of projects but with measures to avoid dispersion.³² Atlas information shows that in the 2001-2008 period a total of 336 projects were recorded (225 corresponding to the period 2001-2005 and 111 to the period 2006-2008). Out of these, 140 corresponded to “development projects,” according to the country office. The others were related to administrative processes and smaller activities not always directly attributable to development results. For this evaluation, the list of 140 “development projects” was used as a basis for the sampling of projects.³³

In the 2006-2008 cycle, there was a reduction in the number of projects approved, average budget and period of execution. Sixty projects, compared to 80 in the first cycle, were generated for a total budget of \$75.257 million. This represented an average \$1.254 million per project (see Graph 3.1). The average project period was 2.3 years, down from 4.6 years during the 2001-2005 cycle.³⁴

In July 2009, UNDP faced a remarkable change as the Government of Peru implemented a new Administrative Service Contract Law (CAS). The measure includes not only two previous categories of non-permanent employment in the public sector but also a good part of the employment of the advisory personnel previously contracted through the UNDP-supported Management Assistance Fund. With this new category, the Ministry of Economy and Finance has included on the State payroll personnel who had been serving the public sector, but had been paid through the Management Assistance Fund. The Government has now offered them the social benefits envisaged by Peruvian law and partially levelling out the difference between the civil service and the standards applied by UNDP

³¹ With the exception of *outcomes* 1 and 3 that do not correspond to the new framework and of Outcome 15 which, being considered as corresponding to *outcome* 52, has been moved from the area of Democratic Governance to that of Crisis Prevention and Recovery.

³² The evaluation mission is grateful for the complete and well-structured operational and financial documentation since 2004.

³³ Already towards the end of the 1990s, UNDP was beginning to reject orders from the Executive Authority to administer major acquisitions without tenders on the order of the State, e.g. a large order for tractors from China.

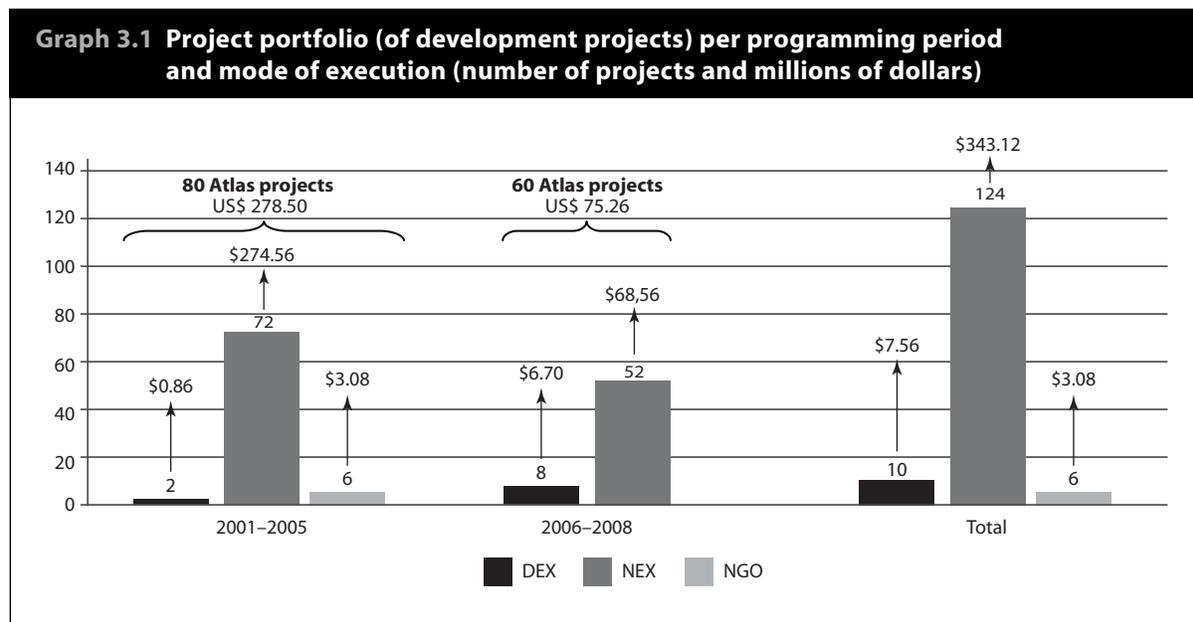
³⁴ Considering the totality of UNDP-managed projects (both “development projects” and other activities), the total number of active projects was reduced from 191 in December 2007 to 124 in October 2009.

(including greater benefits). At the same time, the MEF has taken under its jurisdiction the Management Assistance Fund, the conditions of which were previously subject to UNDP norms. UNDP welcomes this development, although it can mean a loss of flexibility for the State itself. In addition, UNDP will not be able to recover administrative costs (2.5 percent). In terms of project staff contracted by UNDP, this was reduced from an average of 2,500 in 2006 to somewhat less than 500 in 2009.

There has been a relative change in portfolio structure in the second programming cycle due to the greater relevance of direct execution projects (DEX). The proportions of such projects have shifted, in number, from 2.5 percent in the 2001-2005 period to 13.3 percent, and, in budgetary terms, from 10.3 percent to 8.9 percent, respectively. Nevertheless, projects

executed by a national agency (NEX) continue to be the norm, in spite of a slight decrease from 90 percent to 86.7 percent in number and from 98.6 percent to 91.1 percent in budgetary terms, respectively. In practice, projects executed by NGOs disappeared (Graph 3.1).³⁵

The democratic governance aspect is of utmost importance, both in terms of number of projects (59 percent) and of budget (55 percent). Among the projects of greatest budgetary relevance are “FOPRI Executive Direction” (2001-2005 cycle) and “PROMPERU Institutional Strengthening” (2006-2008 cycle), at \$28 million and \$22 million, respectively. Another excellent, although significantly smaller, area in number of projects is that of poverty reduction and Millennium Goals. The portfolio comprises 33 projects, of which the most important are “Implementation of the JUNTOS Programme” and “Urban Work”. Both,



Source: Prepared by the Evaluation Mission from UNDP Peru Development Activities: Effective projects (selected by the UNDP Peru Office, April 2009)

³⁵ In budgetary terms, the most relevant NEX projects in the 2001-2005 cycle are: “FOPRI Executive Direction”, “Implementation of the JUNTOS programme”, “Implementation of the Urban Work programme”, “Development and Political Communication Strategy of the Executive Authority” and “INDECI Management Improvement”. These five projects represented 53 percent of the total NEX budget of the period. In programming cycle 2006-2008, the most significant NEX projects are: “PROMPERU Institutional Strengthening” and “Consultancy and Top-Level Management of the Public Sector”. The former had a budget of \$22 million and the second of \$15 million, representing 54 percent of the total NEX budget for the period.

corresponding to period 2001-2004, represent 67 percent of the total portfolio budget in this area. In the 2005-2008 period, the portfolio in this area was significantly reduced; the State ran the corresponding programmes.

The crisis prevention and recovery portfolio is smaller in volume, comprising 17 projects, with three financially predominant ones (“Development and Political Communication Strategy of the Executive Authority”, “Improvement of INDECI Management” and a project with the EU on the subject of conflict prevention). The smallest portfolio is that of environment and sustainable development, with 10 projects (seven of the 2001-2005 and three of the 2006-2008 cycles) and a budget of \$7 million. In 2008, negotiations began for four new projects worth \$20 million; they are currently awaiting GEF approval.³⁶

3.4. FINANCIAL MANAGEMENT OF THE OFFICE

During the 2004-2008 period, according to UNDP-Peru, the office attained the highest levels of project execution in 2006 and 2008. In 2006, more than \$112 million of projects were executed, while the figure for 2008 was \$103 million. The area of democratic governance accounted for three-quarters of the total projects executed,

followed by poverty and MDGs (14.2 percent), crisis prevention and recovery (4.9 percent) and energy and environment (2.77 percent), respectively (Table 3.3).

Importance of external resources, mainly public. UNDP-Peru’s regular resources barely reached \$1.5 million in 2008, \$1 million down from the preceding year. This accounts for only 1.4 percent of the total expenses and 36.6 percent of the administrative expenses, less than in the preceding years (Table 3.4). If resources mobilized through the GEF, trust funds and the CCF are taken into account, the percentage of the total expenditures rises from 11 percent to 16 percent in 2006-2008.³⁷ This situation highlights just how dependent UNDP-Peru is on external resources (mainly from the State of Peru). Such high leverage of funds implies risks in the business model. The strategic changes introduced in 2009 led to a halving of the reserves on extra-budgetary funds – the number of months of financing secured through funds outside UNDP core funding – from 33 to 16, in first place due to a reduction of mainly-administrative projects.

UNDP Peru office administrative expenses in 2008 reached \$4 million, which represents 4 percent of the total office outgoings (Table

Areas	2004	2005	2006	2007	2008
MDGs and poverty reduction	19.2	11.1	10.5	12.7	15.5
Democratic governance	61.6	79.3	94.4	65.3	77.8
Energy and environment for sustainable development	1.7	2.3	3.4	4.9	1.2
Crisis prevention and recovery	2.7	3.3	3.9	5.2	8.8
Unspecified	0.621	0.290	0.150	0.340	0.310
Total	85.9	96.3	112.4	88.4	103.5

Source: Atlas Snapshot

³⁶ In addition, they will be financed by FODM/UNDP funds.

³⁷ Elaboration by UNDP Peru country office (October 2009).

3.4). This is a relatively low percentage for the performance of office functions, although the evaluation has not made a more detailed analysis (by entering management expenses as programming expenses, the coefficient becomes more favourable).

The most relevant resources come from the Government of Peru, whose participation in the portfolio budget reached 96 percent in the first programming cycle. A greater differentiation of resources is apparent in the second cycle,

with a reduction in the relative weight of the Government, which remains high at 82 percent, and an increase in that of other sources such as bilateral agencies, the GEF and the other United Nations Agencies (Graph 3.2).

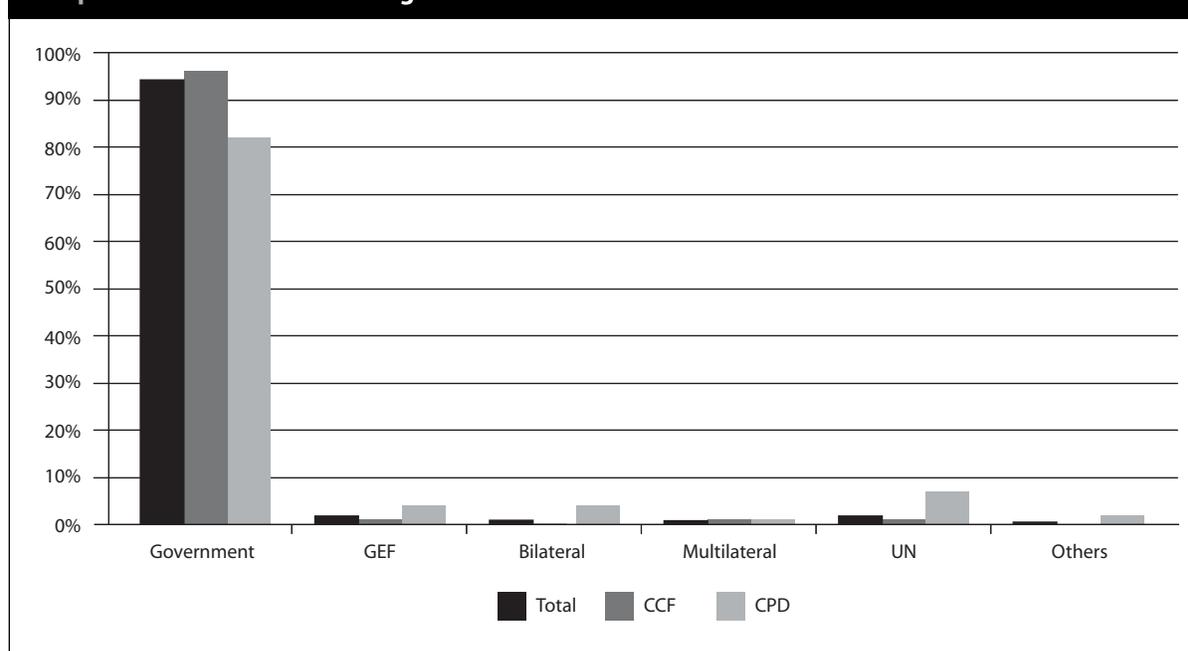
The rates of execution display differences according to areas of activity. The annual levels of financial implementation for the 2004-2008 period constitute a reference for the efficiency of the office (Table 3.5). Information on what was programmed each year versus what was

Table 3.4 UNDP Peru execution and management expenses (2004-2008)

	2004	2005	2006	2007	2008
A. Total programme execution (million dollars)	85.4	96.3	112.4	88.4	103.5
B. Management expenses (million dollars)	3.1	3.0	3.5	3.6	4.1
C. Regular UNDP resources (million dollars)	0.9	0.8	1.0	1.0	1.5
D. Ratio C: A (%): regular resources/exec. total	1.1%	0.8%	0.9%	1.1%	1.4%
E. Ratio C: B (%): regular resources/management expenses	29.0%	26.7%	28.6%	27.8%	36.6%
F. Ratio B: A (%): management/total exec. expenses	3.6%	3.1%	3.1%	4.1%	4.0%

Source: Atlas Snapshot

Graph 3.2 Resources according to financial source



Source: ADR based on Atlas-Snapshot financial information (2009)

Table 3.5 Rates of implementation per year (2004-2008) (Completed/Planned)						
Area	2004	2005	2006	2007	2008	Total
MDGs and poverty reduction	45.8%	51.7%	85.4%	82.3%	90.2%	63.7%
Democratic governance	82.6%	88.0%	87.7%	90.4%	86.4%	87.1%
Energy and environment for sustainable development	68.3%	73.7%	48.6%	87.9%	89.2%	69.0%
Crisis prevention and recovery	91.0%	92.2%	93.3%	94.4%	96.3%	94.2%
TOTAL	69.7%	80.1%	85.4%	89.2%	87.8%	82.2%

Source: Atlas Snapshot

implemented shows that the highest rate was attained in 2007 in which 89.2 percent of the total programmed resources were implemented. As a reference, UNDP qualifies 80 percent implementation of the budget as satisfactory (“on track”, green flag). At areas level, crisis prevention and recovery (with its response to the earthquake in the south of Peru) and democratic governance attained the greatest rates of resource implementation during the period. At the other end of the scale are the reductions in poverty and MDGs, especially those relative to 2004 and 2005 in which they attained only 45.8 percent and 51.7 percent, respectively.

According to UNDP’s balanced scorecard for 2008, of the 18 criteria that qualify, 13 have the green flag (target achieved), three have the yellow flag (within acceptable range³⁸) and two have the red flag (target missed).

Among those with the red flag are “knowledge sharing” and “cost recovered from the trusts and costs shared with third parties”, the former corresponding to the Qualification and Development area and the second to that of Financial Resources. According to country office personnel, the definition of these indicators is not always the most convincing. In the case of knowledge sharing, the number of e-mails

actually sent to UNDP practice groups that operate mainly in English is being measured and here the personnel of the country office can be at a linguistic disadvantage. In the case of cost recovery, here there was an explicit decision by the country office to collect cost-recovery percentages lower than those anticipated by UNDP.³⁹

The results of the balanced scorecard criteria pertaining to the area of “client satisfaction” were not available during the main mission. During the evaluation process, the representatives of projects indicated that although they considered that UNDP still had the advantage of showing greater agility than the State in the execution of resources, this agility had been seriously affected since Atlas was introduced. Its application was absorbing massive efforts and time to the detriment of the management of its projects.

In general, several balanced scorecard indicators can be a useful source of information for the UNDP regional bureaux for following up specific items. Nevertheless, for evaluation purposes, this is not always an objective and suitable source for measuring the managerial or programming efficiency of a country office.

³⁸ “Management efficiency ratio, gender balance in professional positions, programme expenditures.”

³⁹ It was decided not to increase the percentage to the rate variation set by headquarters in the case of previously signed projects.

Box 1. Summary of the main findings in Chapter 3

- During the past two programming cycles, the UNDP strategic framework in Peru was significantly revised in consonance with the national democratization process and the MDGs. UNDP has now increased its commitment in support of decentralization. This explains the financial weight that the area of democratic governance has in the portfolio.
- The evaluation noted a progressive simplification of the results expected of the office (reduction of outcomes, clearer connections between corporate thematic areas, outcomes and projects) and an improved system of M&E (planning tools, more evaluations including those of outcome) that form a management-assistance instrument.
- The office depends on external resources (mainly from the Government of Peru and gradually from bilateral donors, the GEF and the funds of other agencies). UNDP's own resources are insufficient to cover the office's management expenses.
- In several countries, UNDP dependency on external and public resources usually incurs a risk of dispersion and involvement in insubstantial administrative activities. Although the UNDP portfolio in Peru is considerably large, limits have been placed on these risks, partly by state policies and partly by the UNDP's own policy of no longer accepting projects of pure assistance to resource administration and of concentrating on more strategic and substantive activities.
- Nevertheless, the history of assisting with the management of public funds and the complexities of the new computer systems explains the relative importance of the administrative personnel (68 percent of the country office total). The introduction of Atlas allowed for better management of overall financial information. At the same time, its complexity made the negotiation processes with UNDP slower and more bureaucratic.

Chapter 4

UNDP CONTRIBUTION TO NATIONAL DEVELOPMENT RESULTS

4.1 EFFECTIVENESS

In this section, effectiveness analysis will refer to expected UNDP results (Annex B). Although reference is made to specific projects to provide concrete examples (with tables that synthesize the progress and limits of the projects), UNDP's contribution to development results is considered in broader terms than the immediate objectives of the individual projects.

4.1.1 STRENGTHENING OF DEMOCRATIC GOVERNANCE

4.1.1.a Human rights and justice⁴⁰

This area includes activities relating to the Truth and Reconciliation Commission (CVR)⁴¹ the Defensoría del Pueblo (Ombudsman), the Special Parliamentary Commission on Disability and various institutions in the justice sector. The contribution of UNDP has in most cases included liaison work, support for strategic plans and projects and for human resources, training (work teams or consultancies) and the operational and programming costs of new or existing organizations.

In the case of the CVR, initial UNDP support made the work of the Commission possible. Several UNDP projects associated with it have worked well as **“seed” initiatives to open areas of action and public policies**. Several entities supported (public administrations, academic institutions) have developed the ability to understand and face the impact of the conflict produced by terrorism and the reality of the victims. The actions of agencies directly dependent on the State have, subject to the contingencies of political endorsement, been slow and inconsistent and their results more variable and limited. Although there has been tangible progress in catering to and ensuring the rights of the victims, the effects of the reparation procedures proposed have not been very significant. The contribution for the Specialized Public Prosecutor's Office made significant progress possible, which is essential during the initial stages in processing cases of human rights and forensic investigation. There has been a gradual but complex institutional evolution combining major progress – e.g. the implementation of diverse recommendations by the Defensoría del Pueblo (Ombudsman) and the training of skilled forensic investigation teams – with considerable weaknesses.⁴²

⁴⁰ Outcome 50, according to the 2006-10 classification recently adopted by UNDP-Peru.

⁴¹ Created in 2001, the Truth and Reconciliation Commission (CVR) was commissioned to prepare a report on armed internal violence in Peru during the 1980-2000 period.

⁴² The reduction in exhumations as compared to the total that would be necessary (around 4000, according to CVR ex-commissioners) is the most dramatic illustration of the difficulties in this field. The Defender's Reports (Nos. 97, 112 and 132 of 2005, 2006 and 2008, respectively) review both the progress and weaknesses, which include a shortage of resources, reduced skilled staff, extension and disorder of the functions of the competent bodies (reversing the initial specialization), lack of coordination among the diverse organizations in the justice sector, and concentration of cases in Lima, among others. The reports describe the complex institutional trajectory mentioned (the Office of the Special Public Prosecutor for Forced Disappearances, Extrajudicial Executions and Exhumations were passed to other new entities of the Public Prosecutor's Office in August 2005). The CVR reported 4644 burial sites, on which figure is based the calculations of the commissioners consulted on the matter.

UNDP support contributed to the start-up of the Defensoría del Pueblo and **catalysed alliances and support for international cooperation** that permitted their development. The victims of the conflict were heard by the Defensoría del Pueblo on such key issues as regularization of the legal situation of forced disappearances and identity card issuance. Other affected communities were made aware of their rights and encouraged to lodge their claims. The Defensoría del Pueblo has learned how to mobilize funds of its own. Nevertheless, its impact in fulfilling the recommendations of the Truth Commission has been limited for want of a clear commitment from the State and of sufficient involvement of regional governments.

The Special Parliamentary Commission on Disability has had a relatively sizeable impact on Parliament. The Equal Opportunities Act (2007) was a landmark in this area. The “special” status of the Commission entails a certain institutional weakness. It is very dependent on the individual characteristics of the parliamentarians who preside over and support its activities. Despite the significant progress made, the concept of disability has not been instilled sufficiently in the public conscience. The “medical” approach to disability still prevails. Coordination among associations of people with disabilities is weak and limited. This is a long-term process that sometimes exceeds the UNDP’s capacity for action.

In the justice sector, UNDP’s contribution has helped generate proposals, systems and processes in creating new institutions or strengthening existing ones. **Despite major achievements**, sufficient coordination is lacking among the executing organizations. In general, **it has not been possible to launch a more integral reform** of the justice-management system. The intrinsic complexity of reforming an entire system and the

inertia and resistance of the structure and players have inhibited UNDP action.

4.1.1.b Modernization of the State⁴³

Parliament. **The technical modernization of Congress has had infrastructural effects, but limited effects on the exercise of parliamentary functions.** First stages of UNDP support for Parliament resulted in the modernization of the infrastructure, computerization and the enhancement of the technological capacity of the institution. Subsequent activities furthered that technological modernization. Processes in specific areas have included the promotion and formation of a cross-party group of parliamentary women, a sub-commission on MDGs and the initiatives of the Commission on Disability. The Parliamentary Groups have more technical-assistance resources to develop their activities and play a more important role in parliamentary processes. The presence of Parliament in society has been reinforced, albeit to a limited extent. Nevertheless, there are communication gaps between the activities conducted with the organic structures of the parliamentary service such as the lack of continuity of the hearings concerning the Citizens’ Participation Office.

Supporting the promotion of private investment. Between 1992 and 1996, the Government conducted an intense process of privatization⁴⁴ of companies and State assets that, at the end of the 1980s, accounted for between 15 percent and 20 percent of GDP.⁴⁵ After the sale of State assets, from the second half of the 1990s, the priority turned to concessions for the construction or infrastructural renovation and promotion of private investment.

The 1990s: UNDP supported privatization programmes. From 1992 to 2002, UNDP supported privatization and private-investment

⁴³ This area corresponds to Outcome 51.

⁴⁴ Ruiz Caro, A. ‘Privatization in Peru: a process of *chiaroscuro*’, New Society No. 207, 2007.

⁴⁵ In 1991-1992, the Government established the Private Investment Promotion Commission (COPRI); Special Privatization Commission (CEPRI); Private Investment Promotion Fund (FOPRI), which, in 2002, was converted into the Private Investment Promotion Agency – PROINVERSIÓN – to promote State-independent investment.

**Table 4.1 Examples of main results and processes generated – Outcome 50
Democratic Governance – Human Rights and Justice**

Project	Progress towards the expected results	Sources
Support for the CVR	<p>(+) Topics included in the public agenda (human rights, reparations, exclusion) by the CVR; public policies and services; national entity for peace, reparation and reconciliation (CMAN), National Reconciliation Plan, on the model of NGOs for persons affected by political violence; National Reparations Council (CNR), Central Registry of Victims; studies, development of regulations by CVR and IDEHPUC.</p> <p>(-) Well-known but limited progress in meeting CVR recommendations. Weak state commitment. Slow, inconsistent CMAN and CNR processes giving limited results. Specialized Public Prosecutor's Office has 4000 graves to exhume.</p>	<p>Outcome Evaluation. 22 2007</p> <p>UNDP interviews; ex-chair CVR, commissioners and team; Defensoría del Pueblo (Ombudsman), MINJUS, CNR, IDEHPUC, CNDDHH.</p> <p>Project reports, documentation⁴⁶</p>
Support for the Defensoría del Pueblo (Ombudsman)	<p>(+) The Defensoría is today sound, competent and socially recognized. Assistance given to those affected: regularization of the legal situation of forced disappearances, issue of identity card; Rights of the child, disabled and those affected by HIV/AIDS. The Yuyanapaq exhibition preserves and spreads the memory of the conflict.</p> <p>(-) The impact with respect to CVR recommendations is limited, central State commitment is weak and there is insufficient involvement of regional governments.</p>	<p>Outcome Evaluation. 22 2007</p> <p>UNDP interviews, Defensoría del Pueblo (Ombudsman), ex-Defensor and ex-Assistant Defensor (Ombudsman), IDEHPUC, CNDDHH</p> <p>Project reports, documentation</p>
Support for the Commission on Disability	<p>(+) The Special Commission on Disability is a powerful lobby in Congress. With studies and legislation, it has brought about public policies and positive changes that benefit the disabled: Equal Opportunities Act (setting standards in health, education, access, attention, work, childhood, transport and communications).</p> <p>(-) CED depends partially on the political will of Parliament. Disability is not well instilled in the public conscience. The "medical" approach still prevails.</p>	<p>Outcome Evaluation. 21 2007</p> <p>UNDP interviews, Congress Disability Com., CONFENADIP, CONADIS governing body, Defensoría del Pueblo (Ombudsman)</p> <p>Project reports, documentation</p>
Support for the Justice-Management System.	<p>(+) Schemes to boost and advance the reform of the system: CERIAJUS (Integral Reform of Justice Administration Commission) is a catalyst; computerization of Peruvian law (for digital access); anticorruption courts reinforcing the prosecution of corruption; court-appointed defence councils apply the new Code of Penal Procedure; increase in jurisdiction (of judges and public prosecutors; police court magistrates).</p> <p>(-) The contents and effectiveness of the projects are very unequal in time (multiple players, bias and needs, difficulties in adopting a common aim). There is no mechanism that assures coordination among institutions or management conditions for all of them. Despite UNDP efforts in this matter, ultimately its support depends very much on the requests of each of the organizations and the conditions that they present.</p>	<p>Outcome Evaluation. 22 2007</p> <p>UNDP interviews, MINJUS, JUSPER/World Bank</p> <p>Project reports, documentation</p>

The compilation of information included a group discussion on Human Rights and Justice (see Annex F).

⁴⁶ References in Annex H.

**Table 4.2 Examples of main results and processes generated – Outcome 50 (continued)
Democratic Governance – Modernization of the State**

Project	Progress towards the expected results	Sources
Support for the technical modernization of Congress	(+) Improved infrastructure and technological capacity in expediting parliamentary business; the groups receive more technical advice; greater presence of Congress before society (hearings; role of the communications office). (-) Limited achievements: parliamentary women’s group; MDG sub-commission (discontinued); execution 2008 low (42%) concentrated in three components: representation (hearings), communication and technological modernization. Little liaison between components and within them (representation, training and advisory services) difficulty in producing added value, in which the disconnection from organic structures (parliamentary service) weighs heavily. This depends on the decision of the (political) parliamentary organization.	Evaluation 2008; Mid-term evaluation (2000) Interviews with current and former Congressmen, current and former project leaders, current and former members of Congress Co-op. office and parliamentary service, former senior officials, IDEA International Project reports, documentation

promotion programmes under agreements with the Government. The support took the form of hiring of consultants, facilitation of technical assistance in procedures and specialized legal consultants, verification of compliance with norms and standards, managing financial operations.⁴⁷ By 2008, Peru had signed and executed 130 investment-promotion projects globally with UNDP assistance, involving a total outlay of \$285 million in Government resources.

Evolution towards a supporting and advisory role. In the period evaluated, UNDP tended to assume a supervisory role to guarantee transparent management. In this way, it also responded to the criticisms for the administrative support given to the government programmes in the 1990s. In 2004, UNDP, in its agreement with PROINVERSIÓN, stipulated the obligatory application of its new, more demanding

management norms for personnel hiring and procurement.⁴⁸

Another important instance of UNDP involvement was in the modernization of the Ministry of Foreign Trade and Tourism (MINCETUR), created in 2002. UNDP facilitated the hiring – as with its predecessor⁴⁹ – of consultants and companies specialized in negotiating and signing a Free Trade Agreement with the U.S. MINCETUR could count on national and international specialists to prepare for and conduct negotiations with such international organizations as the FTAA and WTO as well as with individual countries, including the USA with which a Free Trade Agreement was signed.⁵⁰

A third stage: supporting the integral reform of the public administration service. In June 2008, the Peruvian Government created the National Civil Service Authority (SERVIR) in an

⁴⁷ UNDP participation in the qualification and facilitation of investments in recent years has been reduced to an average of 40 percent of the expenses executed by PROINVERSIÓN, which is now prioritizing back-stopping.

⁴⁸ In 2009, the Government integrated into its own administration personnel of PROINVERSIÓN projects, previously contracted through UNDP-supported initiatives.

⁴⁹ The Ministry of Industry, Tourism, Integration and International Commercial Negotiations.

⁵⁰ MINCETUR still had 72 consultants under contract with UNDP until recently; this number was reduced substantially from 1 June 2009 by the introduction of new public-employment legislation (the CAS, see previous chapter). Specialists continue to be hired via UNDP, but by the job, no longer under short-term contracts that are successively renewed.

effort to strengthen the institution.⁵¹ UNDP was one of the first organizations to offer assistance. This initiative is of enormous potential impact, especially since many of the problems in the public administration had been related to weaknesses in the public employment system (see chapter 5).

Virtual library of International Cooperation in Peru. UNDP has been assisting the Peruvian International Cooperation Agency (APCI) since

its inception. The agency is seeking a more substantive role in guiding and coordinating international cooperation in line with national policies and priorities. The virtual library project, which compiles, preserves, organizes, catalogues, digitizes and disseminates information from and on international cooperation, is the first of its kind in Latin America. It is expected to help fulfil the commitments assumed under the Paris Declaration.

**Table 4.3 Examples of main results and processes generated – Outcome 50 (continued)
Democratic Governance – Supporting the Promotion of Private Investment**

Project	Progress towards the expected results	Sources
Support for the promotion of private investment	(+) Privatization process in the 1990s made possible by management through agreements with UNDP; facilitation of the hiring of high-level specialists that would hardly have been available without UNDP assistance; UNDP played a training role with regard to management norms and standards, absorbed to a great extent by PROINVERSIÓN (-) Facilitation of solutions through institutions created specifically, useful for a while (i.e., during privatization of State assets) but not over the long term.	2 PRODOCs (2001, 2009) Interviews with UNDP official and project personnel (head of finance/budget), interviews with two ex-directors of PROINVERSIÓN, representatives of the private sector Documents (see footnotes)
Support for MINCETUR	(+) Crucial facilitation of highly specialized knowledge for international, commercial negotiations, lacking in the country, as well as in the other areas of the Ministry's jurisdiction (-) Making some of the specialized employment managers dependent via UNDP in order to make State actions viable is not justified over the medium and long term	PRODOC MINCETUR 2004 MINCETUR Report 2005 PRODOC PROMPERU 2001 PROMPERU Evaluation 2006 Interview with director-general, MINCETUR
Virtual BNP/APCI Library	(+) To make IC agency documentation accessible in the country to encourage learning, to spread lessons learned, to improve proposals, to facilitate coordination/cooperation with and between the IC; exit strategy exists. (-) No negative aspects observed.	PRODOC APCI 06 Interviews with director and five APCI employees; BVP Activities Management Report 2008
Support for SERVIR	(+) One of the strategically most important initiatives for creating skilled personnel and accumulating long-term experience/knowledge at different levels of the State. (-) No negative aspects observed; one of the main risks is the possible opposition of the political parties to the establishment of a professional and independent civil service.	SERVIR brochures Interviews with SERVIR director and head of UNDP Operations, Publications of the NGO Transparency

The information compilation included two group discussions on State Modernization and Coordination of International Cooperation (see Annex F).

⁵¹ At the same time, three other legislative decrees were adopted to promote simplification of administrative procedures and the modernization of the State.

4.1.1.c Decentralization⁵²

UNDP support in this area dates back to 2002, when the decentralization process began. UNDP was the first cooperation agency to make a contribution in this field. In 2006, the National Human Development Report was devoted to decentralization in order to contribute information and analytical tools. That year, UNDP-Peru formulated an institutional decentralization-support strategy which included interventions at three levels: (i) support to central Government institutions (Secretaría Nacional de Descentralización); (ii) support to development of macro-regions (CENSUR, INTERNOR, CIAM, Pilot Region Amazonas-San Martín); (iii) support to the regional governments of Tumbes, La Libertad, Junín, Tacna, Arequipa, Ica, Callao and San Martín. The strategy includes

the preparation of material and information on NHDR accompanying the process as well as the opening of regional offices of UNDP.

Innovation, continuity and increased coherence in the drive for decentralization. Agreements were signed with regional governments on such projects as “Support for the development of the regions within the framework of the decentralization process” and “Support for the technical and operative modernization of the Regional Government of Junín” (May 2008, DEX project). Five projects are running and three are under preparation.⁵³ The projects currently in operation have created or strengthened capacities in management, planning, liaison with civil society and fund-raising. They have also begun, or drawn up proposals for, development initiatives.

**Table 4.4 Examples of main results and processes generated – Outcome 49
Democratic Governance – Decentralization**

Project	Progress towards the expected results	Sources
Support for the technical and operative modernization of the Regional Government of Junín (RGJ)	(+) Processes in hand, with fortified RGJ capacities: institutional re-engineering; regional development vision and planning process; creation of the National Coffee Institute; cooperation with civil society and private sector; macro-regional integration. (–) Difficulties can arise from resistance to change or insufficient pre-existing skills among the RGJ personnel; slowness of national investment processes (MEF).	UNDP interviews and adviser decentralization, RGJ chair and team, Nat. Internat. Forum, Junín/Mincetur CERX, ICG. Project information, documentation
Support for the development of the regions within the decentralization process	(+) Five UNDP regional offices with agreements with regional governments up and running and active contact with governing body. Reinforced skills in regional governments (management, planning, investment, citizen liaison, and fund-raising) will result in development projects, improved budgetary execution, and interregional integration. (–) Possible difficulties: contingent to endorsement by governing body, change of team; regional government factors. (skills/pre-existing regulations, level of involvement of top management).	UNDP interviews and adviser decentralization. Decentralization secretary-PCM, RGJ chair and team, Nat. Internat. Forum, Junín/Mincetur CERX, ICG, Internor, Parliam. Com. on modernization and decentralization, Regional Government Assembly Project information

The information compilation included a group discussion on Decentralization and Regionalization (see Annex F)

⁵² Corresponds to Outcome 49.

⁵³ Other relevant initiatives are the PCM Secretariat decentralization support project, the Amazonas-San Martín regional pilot project, and a project with INTERNOR.

In the case of the Regional Government of Junín, the capacities of institutions are being enhanced in such areas as planning, investment, M&E, legal formulation and communication and liaison with society, through joint support from UNDP and the Canadian International Development Agency. Collaboration and coordination with other regional governments and the private sector have been set in motion. However, the Regional Government of Junín has detected resistance to change among its personnel. This has resulted in difficulties for the reform process, insufficient human-resources skills and complexities in the national investment processes handled by the Ministry of Economy and Finance.

4.1.2 POVERTY REDUCTION AND MDGS⁵⁴

Follow-up of MDGs recognized for their incidence in national debate and social policy.

The first report on the attainment of the MDGs was issued in 2004 and the second has just been finalized. The document results directly from the technical and financial effort of UNDP. The MDGs have been constituted with a view to driving the State and they appear in all official documents, especially in the national strategies and the current Multi-annual Social Framework 2009-2011 defined by the Presidency of the Cabinet of Ministers (PCM). Technical support for the MDG report is broadly recognized. Its preparation, under the leadership of the PCM, counts on the participation of all government departments, as well as of the main players conducting social policy.

Round Table on Combating Poverty (*Mesa de Concertación para la Lucha contra la Pobreza*) drives participative joint-planning and budget processes. UNDP has been a strategic ally for

the Round Table representatives⁵⁵ in creating this institution. The round table facilitates dialogue between the State and civil society as well as fortifying the social players and the debilitated democratic processes of the previous decade. UNDP support in creating this institution consisted not only of “seed resources” and administrative aspects but also of the strategic definition and structuring of the first Round Table team. Together with UNDP, the Round Table set up its executive council, comprising ten members, one of whom represents UNDP. This participation of UNDP, as of the technical cooperation representative, is permanent. Each of the five UNDP regional coordinator has been invited to sit on the executive council of the respective local round table.

The **challenge** UNDP took with the **JUNTOS poverty reduction programme** (conditional money transfers) **has become a key aspect of the national social policy.** Without UNDP support, as of 2005, it would not have been possible for this programme to acquire the proportions and coverage that it now has. When it was developed, the rest of the international cooperation community was sceptical and distrustful and did not want to become involved. Today, Juntos caters to 420,491 extremely poor homes in 638 rural districts (87 percent of the districts where extreme poverty affects more than 50 percent of the population) in 14 departments. It has benefited 1,019,517 children under 14 years of age in 28,867 population centres and indirectly benefited 2,296,064 relatives. A recent assessment by the World Bank concludes that the programme has had positive effects on poverty, income and consumption, although its sustainability can be questioned. More funds have been spent on foods of greater nutritional quality, but no impact can be

⁵⁴ Corresponds to Outcomes 47 and 48.

⁵⁵ The MCLP considers the fight against poverty part of an integrated approach to human development. The presence of 728 active groups (26 regional, 159 provincial, 535 district, eight population centers and seven other areas) demonstrates the existence of a national network of participation and skill development throughout the national territory. Its progress has been significant; nevertheless, the situation of more than 500 existing groups, the present state of which is not known, remains to be analysed. Similarly, it is recognized that the achievements, as far as the inclusion of the sectors in extreme poverty is concerned, are still limited because the groups existing in remote places require greater assistance and support.

observed in the final indicators of infant nutrition, anaemia, cognitive development.

Contribution to income generation among urban poor by development of organizational skills in local management. The project “A trabajar urbano” was started to mitigate the effects of the economic recession at the beginning of the current decade, addressing particularly the creation of temporary employment through small-investment labour-intensive projects. During its five years of operation, the project generated 316,055 temporary jobs. Approximately 20,000 positions of four months’ duration were created a year. UNDP participation, very active in the initial stage, consisted of start-up resources, including technical assistance for setting up the operational platform. According to the evaluation commissioned by the project, the programme was able to reach the poorest districts. By the involvement of women, it contributed to the generation of communal assets and a temporary increase in the family income of the participating communities. The same evaluation noted that the programme’s main contribution was the reduction of the infrastructure deficit in marginalized urban areas. Nevertheless, the assessments showed, the poor quality of the jobs generated did not allow the beneficiaries to develop any skills for obtaining a regular job. Nor did the assessments find evidence of coherent participation of the community and its organizations in the management of local development. This was attributed in part to the highly centralized and

standardized implementation and the absence of adequate management instruments.⁵⁶

During the period evaluated for the ADR, UNDP has played a **fairly limited role** in the area of **microfinance**.⁵⁷ The only significant active project⁵⁸ is the local “Microfinance Services and Enterprise Development Programme” conducted by the Financial Development Corporation (COFIDE). UNDP contributed a consultant to help design the intervention method. During the implementation process, UNDP administered the project resources, which mostly came from COFIDE but also had a UNDP component.

The sub-component of the programme including rural development (financial literacy with a view to the setting up of mutual-support groups) has shown the most visible results. In Chiclayo, the first region in which it was implemented, the programme has enabled the people in the mutual-support groups to rise from subsistence level to one of market involvement. It has also helped to develop their ability to handle financial resources, capitalization and monitoring tasks. Still, UNDP contribution has been marginal in the assessed period, especially considering the impressive size of the micro-enterprise sector in Peru.⁵⁹ This is also true when compared with other sources of international cooperation supporting the microfinance sector through the Partnership of Private Organizations for Promoting the Development of Small and Micro-enterprises (COPEME).⁶⁰ The question thus pertains to the actual value added of UNDP in this area.

⁵⁶ UNDP, ‘Final Appreciation of the Urban Work Programme 2002-2006’, Lima, Peru, 2007

⁵⁷ The small grants initiatives are classified as Outcome 48.

⁵⁸ The rest of the projects corresponding to the Outcome 48 portfolio are of modest proportions (it is estimated that they do not exceed \$30,000) and very limited in concrete scope: Subregional Intellectual Property System; Development of Latam Technological Optomechanical Industries Package; Harmonization of Agricultural Commercial Crop Evaluation Norms and Procedures in Peru, Colombia and Bolivia; Plant Genomics and Capacity Building in Latin America; Harmonization of Norms for Value-Added Timber Products in South America.

⁵⁹ According to the Superintendencia de Bancos, Seguros y AFP, the assets of the 36 non-bank microfinance organizations (Cajas Municipales, Cajas Rurales, EDPYMES), represented more than 6 percent of the total assets of the financial system in September 2008; to this a similar volume of assets corresponding to the microfinance activity of banking institutions should be added. The portfolio quality is good (arrears < 5 percent), that is, the country has a strong microfinance industry.

⁶⁰ The support the World Bank “Consultative Group to Assist the Poor” provides COPEME has enabled 12 organizations related to small grants to be awarded the CGAP Financial Transparency prize.

**Table 4.5 Examples of main results and processes generated – Outcomes 47 and 48
Reduction of Poverty and MDGs**

Project	Progress towards the expected results	Sources
JUNTOS	<p>(+) Key project of the country Social Strategy. Catering to 420,491 families in extreme poverty from 638 rural districts through monetary incentives conditional upon attending school and child growth control. World Bank assessment indicates that it has had positive impacts on poverty indicators, income and consumption.</p> <p>(-) Still no appreciable impact on infant nutrition, anaemia and cognitive development indicators for which it was created</p>	<p>PRODOC 2005</p> <p>Substantive appreciation 2006</p> <p>Assessment 2008</p> <p>Participation of Juntos specialists in discussion group</p> <p>Interview with general manager of the programme, UNDP official</p>
Urban Work	<p>(+) Created from the initiative of the previous government. During the first five years, it generated 316,055 temporary jobs of four months' duration each. It also contributed to the generation of communal assets</p> <p>(-) Jobs of poor quality and, because of their temporary character (according to the formulation of the programme), they did not guarantee the families a permanent income. It did not promote the coherent participation of the community.</p>	<p>PRODOC 2002</p> <p>Substantive appreciation 2002; 2007</p> <p>Impact assessment 2003</p> <p>Participation of two Constructing Peru programme specialists (ex-Urban Work) in discussion group</p> <p>Interview with ex-Minister of Labour</p> <p>Interview with UNDP official</p>
Round Table on Agreement to Combat Poverty	<p>(+) Institutional space that facilitates dialogue between the State and civil society. National network for participation and the development of active local skills comprising 728 Round Tables that participate in the processes of concerted planning and participative budgets.</p> <p>(-) Support needed for round tables in the more remote districts, as well as the verification of the situation of more than 500 round tables that have been set up and on which no information is currently available.</p>	<p>PRODOC 2002</p> <p>Round-Table Statistics</p> <p>Report on combating poverty and MLCP proposals. 2007.</p> <p>Annual Concerted Follow-up Report on the Strategic Budgetary Programmes for the 2008 period. MLCP</p> <p>Interview with the MLCP technical secretary; national president MLCP; members of the Tacna MLCP; UNDP official</p>
Sembrando	<p>(+) NGO project catering to 10,000 families a year with a package of integrated social and productive activities. Able to reach rural towns up to an altitude of 2500 metres not covered by any State programme.</p> <p>(-) Limited coverage</p>	<p>PRODOC 2007</p> <p>Participation of seeding specialist in discussion group</p> <p>Interview with the president of the Institute of Labour and Family (First Lady) and Vice-President; UNDP Official</p>
Microfinance Services	<p>(+) Setting up of mutual groups (UNICAS), development of small-grant and networking skills. The 170 networks have managed to capitalize 1 million soles.</p> <p>(-) Very localized achievements and experience and difficulties in expanding to other areas of the country. Enterprise Development Centre still not off the ground.</p>	<p>PRODOC 2004</p> <p>Participation of two specialists from the COFIDE Inclusive Rural Enterprise Development Programme in discussion group</p> <p>Interview with the director-general of the Small-Grants Services Programme</p>

The information compilation included two group discussions on Poverty and the Millennium Goals (see Annex F).

4.1.3 CRISIS PREVENTION AND RECOVERY

A limited number of projects and volume of funding characterizes this area of the programme. It is divided into three areas: Strengthening the ability to prevent and mitigate the effects of natural disasters; supporting post-disaster situations; and supporting the prevention and management of social conflicts.⁶¹

Prevention of and response to natural disasters⁶²

Technical contributions of value to institutional construction capacities. The disaster caused by *El Niño* in 1997-1998 resulted in the accelerated development of a national disaster-prevention system. UNDP intensified its support for the effort. A first landmark was the presentation of the most exhaustive investigation conducted in Peru, “Disaster Reduction – Living in Harmony with Nature”, in 2002. Then, throughout the decade, UNDP significantly facilitated the development of the National Civil Defence System (SINADECI) through the Civil Defence Institute (INDECI), the central, governing and directive body of the system. In addition, the “Sustainable Cities” project prepared and published an Atlas of natural dangers with risk maps of 134 cities throughout the country (including three in Ecuador). More than 80 have municipal ordinances approving the study.

In the absence of an assessment of Outcome 53 (planned for the first half of 2009, but postponed), information from the projects was triangulated with that obtained in interviews, external field trips and documents.⁶³ What emerges from the institutional and operational situation of SINADECI is an approach extending beyond the emergency to encompass reconstruction and recovery. Considerable progress has been made in analysis and studies with UNDP support. However, there remain major questions about the capacity to react to national, regional and

local disasters and the ability to apply preventive measures. (For instance, there is scant observance of the prohibition on construction in high-risk zones). Similar questions persist on the ability for concerted response in the case of a major disaster. UNDP continues supporting Peru with new projects, such as the Humanitarian Network, an initiative to prepare public and private actors for a possible earthquake in Lima. UNDP’s continued facilitation of the initiative has been appreciable.

Rapid and concerted response to the earthquake in the south of Peru; developing methods, whose application requires political will at various levels. The response to the 2007 earthquake in the south of Peru involved a series of external agencies, coordinated by the UNS Representative in Peru. In the immediate aftermath, direct technical assistance was provided locally (municipalities), nationally (FORSUR and ministries) and internationally (external agencies). In mid-2008, UNDP/BCPR consolidated the recovery process for sustainable reconstruction – “Overcoming the earthquake” – in support of local governments. UNDP collaborated with UNICEF, UNFPA, FAO, PAHO/WHO, PMA and UNV in the initiative. A visit to the earthquake-affected region shows the complexity of the recovery, resettlement and reconstruction and the creation of earning opportunities. Faced with the great need to locally coordinate the activities among various institutions and with the authorities, UNDP continued UNDAC work by establishing four UNDP coordination centres. Each contained its own team of specialists, thereby attaining tangible results as a point of convergence and provider of training and technical assistance.

Nevertheless, the learning and concertation ability of the entire system at the local, regional and national level to prevent and respond to disasters continues to present immense

⁶¹ The Web page www.UNDP.org.pe, Area of action: Crisis Prevention and Recovery, gives a concise summary of UNDP activities in this area.

⁶² Corresponds to Outcome 53.

⁶³ e.g., Zapata, Antonio, ‘The seismic wave of 2007 in the Peruvian State’, Survey Document, IEP, Lima, 2008.

challenges. In particular, the capacity of mayors and regional municipalities and governments to take advantage of the lessons is limited by a paucity of resources and skills. UNDP has facilitated a project for the development of the necessary guidelines in two municipalities, now extended to others. INDECI has had the response to the 2007 earthquake evaluated (“Lessons Learned in the South”). At the request of UNDP, a UNDAC mission did the same in 2009, presenting 42 recommendations for implementation in the short term, which is a tremendous challenge for the national system.

National Agreement (Acuerdo Nacional)

The National Agreement resulted in a dialogue forum that has moulded public policy. UNDP made it possible for the parties to reach the National Agreement in 2002 at a difficult political moment for the country and today helps to maintain it. The National Agreement has become a platform for discussion

and politico-social agreement that has had an important repercussion on the establishment of policies, processes, guidelines and the consolidation of subjects and approaches. A notable effect have been 30 state policies that are in line with the human development approach. Today, the Agreement remains in operation but, with time, the clarity of its role and – with it – its effectiveness in relation to the previous phases has been diluted, given the change in the national context. The Technical Secretariat has focused its attention on the regions. Thus, some Regional Agreements have been concluded to elicit the commitment of regional governments to the state policies as well as their participation in the central dialogue and promotion of public policies. The Agreement faces a paradox: its greatest strength lies in its independence of the Presidency of the Cabinet of Ministers (organic and – mainly – financial) but this is unfavourable to its formal institutionalization within the State structure.

**Table 4.6 Examples of main results and processes generated – Outcome 53
Crisis Prevention and Recovery – Natural Disasters**

Project	Progress towards the expected results	Sources
INDECI management improvement	(+) Training of INDECI specialists and facilitation of its functions; a natural disaster prevention and response policy exists. (-) Weak institutional configuration for coordinated system operation at various levels (local, regional, central) in case of disasters, with inclusion of post-emergency action (implementation of the recommendations of the INDECI analysis and the UNDAC mission is crucial).	PRODOC INDECI 2003 PRODOC Carabaya 2006 + progress report; field trip; Interview with INDECI assistant manager and several specialists UNDAC Mission Report 2009 UNDP and INDECI publications
Earthquake consolidation	(+) Humanitarian assistance and facilitation of institutional coordination in the affected areas very useful; development of methods for reconstruction and recovery processes; support for municipalities and facilitation of local/regional relations with Lima; major technical inputs (approaches, plans, manual, etc.); new activities to strengthen joint response capacity in the future. (-) A year’s intense support is inconclusive (the project specialists do not follow through to the close of the project) ⁶⁴ .	PRODOC 2008; interviews with ex-vice minister of housing, head of programme and adviser, as well as independent investigator; extensive field trip; documentation from 33 coordination centres including manual

The information compilation included a group discussion on Crisis Prevention and Recovery (see Annex F).

⁶⁴ Nevertheless, UNDP will continue assist in Ica through the establishment of an office as part of its support for decentralization.

Prevention and management of social conflicts⁶⁵

The Defensoría del Pueblo monitors social and environmental conflicts throughout the country. In its report at the end of March 2009, the ombudsman refers to the existence of 268 social conflicts, of which 212 are active and 56 latent. Half of them, 133, are socio-environmental in character. In 84 cases, there is dialogue, while in eight cases, it has been suspended. In the rest, there is no dialogue.

Creating tools for democratic management of potential social and environmental

conflicts. UNDP, in 2007-2008, supported an initiative of the Presidency of the Cabinet of Ministers (PCM), “Prevention of conflicts in Peru”, co-financed by the European Union. The primary objective was the empowerment of the local and regional authorities, political groups and representatives of civil society in the prevention and management of conflicts. In three districts, the project provided a framework of tools, training, techniques and methods to improve effectiveness in the handling of existing conflicts.⁶⁶ The challenge is to ensure that these advances are not diluted. Moreover,

Table 4.7 Examples of main results and processes generated – Outcome 52 Conflict Prevention

Project	Progress towards the expected results	Sources
Support for the National Agreement	<p>(+) The National Agreement (NA) is a consolidated platform of dialogue and politico-social agreement. Its clearest results in State action and the public agenda are the 30 state policies; contribution to creating CEPLAN; Regional agreements based on those policies. Even with a minor profile and effect, NA is still a valuable forum.</p> <p>(-) Its role, just as the composition of the NA Forum, must be updated with the present context and in line with its characteristics specific to other discussion fora such as Congress.</p>	<p>2008 Evaluations and Outcome 52 2008</p> <p>NA interviews (Technical Secretariat team members and ex-members); ex-NA TS employees. International IDEA; NA Forum (AP, Change 90, New Majority, PPC, “We are Peru”)</p> <p>Project information, documentation</p>
Conflict Prevention in Peru	<p>(+) Decentralization reveals discontent within the population; the central State has begun to recognize that governance requires democratic conflict-handling skills; the PCM project with UNDP and EU is an important contribution.</p> <p>(-) Project still too “encapsulated” in the PCM; cooperation with the Defensoría del Pueblo (Ombudsman) requires expansion both within and outside the PCM; insufficient on-the-job training included in current conflicts (UNDP has two new projects in preparation).</p>	<p>PRODOCs 2006-2007 and 2009; Assessment Outcome 52;</p> <p>Interviews with secretary-general, head of team of advisers and four PCM advisers;</p> <p>Information from the Defensoría del Pueblo (Ombudsman) and communication with its social conflict unit.</p>

The information compilation included a group discussion on the National Agreement (see Annex F).

⁶⁵ Outcome 52.

⁶⁶ Main results: (i) The function and mandate for the analysis, prevention, handling and pursuit of social conflicts has been introduced and reinforced at the highest level of the executive (the PCM); (ii) a method successfully applied in three pilot districts has had positive results and the lessons learned must be systemized and spread so that they become work guides for similar cases and can be used to create guideline documents for the new UAPC personnel; (iii) a training manual for the prevention and handling of socio-environmental conflicts, a methodological guide for an early-warning system (the SAT) and a municipal conflict-management manual for good local government have been published and distributed as a direct product of the project with the PCM.

they should be enhanced by involving Regional Governments while institutionalizing and fortifying the Conflict Prevention Analysis Unit (UAPC) in the PCM. In addition to a second project with the PCM financed through EU funds, UNDP is involved in an initiative to develop conflict management capacities with national and regional stakeholders and substantial bilateral financing.

4.1.4 ENVIRONMENT AND ENERGY/ SUSTAINABLE DEVELOPMENT

Small portfolio with a perspective volume increase. During the evaluated period, the portfolio in this area comprised 10 projects for a total amount of \$7.2 million, dealing with a single result, Outcome 54. The portfolio of the second programming period has a smaller number of projects but, in budgetary terms, the amount is practically the same. This means projects of greater financial value were generated in the second period. The portfolio has substantial GEF funding, with 14 projects (three funded by GEF) and five in the process of approval. In relation to the total portfolio of effective UNDP-Peru projects, it accounts for only 2 percent. There is emphasis on increasing its size and adding issues of importance for human development such as climate change.

Support for the national authority. Those involved in this sector emphasize the support UNDP is offering to the national authority: formulation of basic laws (Framework Law of National System for Environmental Management, June 2004; General Environmental Law, June 2005); and support for the institutional strengthening of the Ministry of the Environment. Although falling within the UNDP climate change strategy, the support offered generally has been quite discrete.

Participative watershed and natural reserve management models. Outstanding among the projects with verified results are the “Amarakaeri biodiversity conservation and sustainable use” and the “Cotahuasi basin” projects, both generated in the second programming period. Although closed, their strategy can serve as a model for other interventions.⁶⁷

The Amarakaeri project not only managed to have indigenous communities directly run a communal reserve but also induced the National Institute of Natural Resources to grant representatives of local organizations, including eight indigenous communities, a management contract. The creation and consolidation of a tourism company and the construction of a tourist infrastructure are by-products of the activities. Nevertheless, the municipal officers still require management training. Legal and illegal mining activities in the reservation can endanger the sustainability of the results. One problem not contemplated by the project is related to the exploitation of hydrocarbons in the intervention area.

In the case of the Cotahuasi project, UNDP initially assisted the implementer (an NGO) in the design and then in monitoring, follow-up and assessment. The project objective was to implement an integrated ecosystem approach that counted on the participation of the authorities and local communities to counter soil degradation in the River Cotahuasi basin. The project contributed to the legal recognition of the Cotahuasi sub-river basin as a Landscape Reserve, thereby protecting 474,600 hectares. Other results include the elimination of agricultural chemicals and the improvement of income by the introduction of alternative activities based on the sustainable use of natural resources such as commercialization of anise and mint. Conversely, it was possible to consolidate a model of participative work by creating river-basin management committees. UNDP, together with the FAO, PNUMA and the PAHO-WHO, has initiated

⁶⁷ As in the case of the input to the GEF project “Promoviendo la Gestión Sostenible de las Tierras en las Bambas”, and the programme “Gestión Integral Adaptativa de Recursos AltoAndinos”.

Table 4.8 Examples of main results and processes generated – Outcome 54 Environment and Sustainable Development

Project	Progress towards expected results	Sources
Amarakaeri biodiversity conservation and sustainable use	(+) Action taken with an indigenous federation that achieved the following successes: Making the most of the Amarakaeri Municipal Reserve, placing the management of the reserve in the hands of representatives of the communities in accordance with the level of their skills; creation of a tourist company and infrastructure that will allow income generation. (-) Illegal mining activities continue to endanger the resources of the reserve. The project did not contemplate the threat of hydrocarbon exploitation.	PRODOC 2002 Final independent evaluation report. 2007 Interview with ex-programme coordinator Interview with the UNDP environmental focal-point officer and his assistant.
Cotahuasi Basin	(+) Legal recognition of the Cotahuasi Sub-river Basin as a Landscape Reserve; consolidation of a participative model for the management of river basins; design, approval and implementation of 21 Agendas in the various municipalities in the sub-river basin. (-) Forest-related goals remain pending.	PRODOC 2004 Mid-term evaluation report. September 2007 Interview with the UNDP environmental focal-point officer and his assistant.

a new project based on this experience (F-MDO Joint Programme).

Although individual innovative initiatives do exist, it is important to continue formulating a strategy to capitalize, replicate and articulate the gains with the support of national authorities, lest projects remain isolated experiences with marginal incidence at the sectoral level, due to the paucity of financial resources.

Noteworthy is a new area of strategic orientation of UNDP: the strengthening of the national capacity to adapt to climate change and access new innovative opportunities to finance both adaptation and mitigation. Even though such initiatives are quite recent and their effects will be better evaluated in the future, some important steps can be mentioned. Among these are the strengthening of the UNDP team (inclusion of a specialist in carbon financing), the pre-appraisal of 25 possible projects that may reduce CO2 emissions and the organization of 25 sub-national, national and international events, contributing to knowledge exchange.

4.2 PROGRAMMING EFFICIENCY

With regard to this criterion, note was taken in chapter 3 of UNDP-Peru's simplification of the framework of results and improvements in the monitoring and evaluation system as well as the acceptable financial execution rate – according to corporate criteria – during the 2004-2008 programme period (82 percent).

Progressive reduction of portfolio avoiding excessive fragmentation. A characteristic of the UNDP-Peru portfolio is its broad range of projects. Although the portfolio includes major projects (such as JUNTOS, Urban Work, Improvement of INDECI Management), the majority have budgets of less than \$500,000, with half of them under \$100,000. The biggest portfolio was that of the 2001-2005 period, with 80 projects. Partly because of the institutional strategy of the office and of UNDP at regional level, the portfolio was reduced in the 2006-2008 cycle, both in terms of number (60 new projects) and budget. With this change, the portfolio weight of medium-to-small projects (from \$100,000 to \$499,000) increased considerably but that of very small projects was reduced (Table 4.9).

Table 4.9 Development project portfolio according to programme cycles by budget size

Total BUDGET ranges	2001-2005		2006-2008		Total	
	No. of projects	%	No. of projects	%	No. of projects	%
Less than \$100,000	25	31.3%	17	28.3%	42	30.0%
from \$100,000 to \$499,999	16	20.0%	25	41.7%	41	29.3%
from \$500,000 to \$999,999	11	13.8%	3	5.0%	14	10.0%
from \$1,000,000 to \$4,999,999	14	17.5%	10	16.7%	24	17.1%
from \$5,000,000 to \$10,000,000	6	7.5%	1	1.7%	7	5.0%
\$10,000,000 and up	8	10.0%	4	6.7%	12	8.6%
Total	80	100.0%	60	100.0%	140	100.0%

Source: Atlas Snapshot

Atlas and new manual of procedures affect financial-execution efficiency. The change-over to the Atlas computer system implied a learning phase in the office of more than a year, with implications for the global performance of projects. While recognizing the necessity of a new system for recording and monitoring projects at the global level, UNDP-Peru found itself having to replace a system that was functioning satisfactorily. The introduction of Atlas and the new UNDP operation manual, moreover, gave rise to complaints of delays in the execution of programmed activities.⁶⁸ The new regional manual required over a year's adaptation.⁶⁹ At the same time, UNDP-Peru contributed to structuring the substantive work at the corporate level; its format for project-result reporting has been adopted by the UNDP Regional Office.

UNDP's role in the implementation of public programmes in the past has been criticized. This is because, in certain periods, given the lack of a civil service law, it became a means of contracting consultancies at competitive fees, sidestepping ordinary State procedures. Conversely, UNDP assistance in the execution of public programmes

supports continuity of State activities, especially in critical stages and changing times.⁷⁰ There are still limitations in the operational capacity of the State apparatus, which make the 3.5 percent UNDP commission seem moderate as compared to the risks of non-execution or postponed execution.

For some years now, UNDP-Peru has preferred to scale down its involvement in projects in which it assists with the administration of resources. The State has gradually increased its skill in handling public programmes and has been integrating the project personnel (e.g. PROINVERSION, MINCETUR) under its own administration. In addition, UNDP is working to improve public-sector efficiency with its support for civil service reform.

4.3 SUSTAINABILITY

The sustainability of UNDP support depends, in the first place, on skills of the national players, the vast majority of whom are public servants subject to the civil-service regulations, which pose many barriers to efficient procedures (see chapter 5).

⁶⁸ According to UNDP-Peru, some projects questioned the new Operaton Manual, claiming that the profits and benefits for consultants could possibly increase costs.

⁶⁹ This includes the first Spanish translation of the norms and corporate formats for the handling of NEX projects.

⁷⁰ There also are projects whose expenses cannot be handled by the State apparatus (e.g. National Agreement, Round Table on Combating Poverty). The organizational and operational structure of these projects is such that they cannot be included in that of the State for making the relevant outlays (payment of promoters, facilitators, events, trips, etc), which is why UNDP support, including administrative assistance, was requested.

Propitious context. The prospect of sustainable results is fairly propitious in Peru and offers points of convergence with UNDP strategy. The country is in the process of a major drive to modernize the State and upgrade skills in a context of continued economic growth (albeit somewhat inhibited by the present international crisis). The democratic system is gradually extending and consolidating its roots. An incremental decentralization and regionalization process is taking place that, ultimately, will be not only economic but also political. At the same time, painstaking efforts are being made to maintain growth and to lay the bases for this in the various regions of the country where investment, productive development and integration with national and international economic dynamics are being promoted. However, these processes of domestic economic integration with social inclusion are progressing unequally. Social conflict will continue to exist into the foreseeable future.

Exit, expansion and replication strategies. The chances of sustainability of results vary from one area to another according to the characteristics of the interventions. Where poverty and MDGs are concerned, UNDP support has made an initial contribution to large social programmes later assumed by the State, which executes, finances and expands them. Similarly, modernized State institutions recently took over the staff maintained by UNDP for a series of important projects such as PROINVERSIÓN and MINCETUR. The same is happening with the social programme JUNTOS and others. In projects supporting decentralization, the exit strategy is established along with the parameters governing UNDP intervention, a practice followed more consistently in the second programming cycle.

In the most recent area of the programme, the environment, some favourable factors have been identified for sustainability. The operation and maintenance of the Amaraeeri project has been transferred to the community by legal provisions. However, these are still small experiments with a strategy for replication that requires a clearer definition.

Difficulties in institutional anchoring or system functionality. In the case of contribution to Parliament, the results may be considered durable in some specific lines of action. Some legislation and policies have already had an effect on society, especially in the areas of gender discrimination and disability. Other components involving technical assistance, such as strengthening skills to promote social inclusion and equal opportunities and developing parliamentary groups and reporting, are not only poorly implemented but also are inconsistent. This is largely because of the absence of mechanisms to ensure their continuity or to firmly anchor them in the institutional framework. Action ultimately depends on the will of the powers in Parliament. One example in the area of poverty is that of microfinance projects that have attained certain significant effects through the training and capitalization of the users but do not yet have a defined exit strategy.

In the area of justice, some initiatives – such as the establishment of the offices of the anticorruption advocate-general, public prosecutor’s offices for the application of the new Penal Procedural Code and magistrates’ courts – have borne fruit. In other cases, important processes have been launched, such as CERIAJUS and the reform of the court system. But in the latter case, as well as in some training initiatives, no clear mechanisms are outlined to ensure the continuity of initiatives or the sound acquisition of the skills that have been imparted. The justice system is complex, involves multiple players, is fraught with all types of resistance to and difficulties of change, and will be difficult to operate without a practical strategy to introduce an integrating vision in the interventions.

Crisis prevention and recovery is another area where sustainability conditions are mixed. UNDP contributes to the institutional skill-building process (INDECI, PCM, etc.). Where emergencies are concerned, the experience gained from the Pisco earthquake has the potential to be productively exploited through new projects not only with the Presidency of the Cabinet of

Ministers (PCM)⁷¹ but also with a larger group of stakeholders. Where prevention is concerned, there is still a need for mechanisms or strategies for applying the risk-handling instruments (maps, building regulations) already developed in order to secure the progress made.

In some areas, formulating exit strategies is complex. Support in the area of human rights has contributed to its consolidation on the public agenda, although with setbacks caused by vacillating political will. UNDP involvement helps

to counterbalance this. Although there is an ample range of relatively specific interventions, continued support will help ensure that the subjects remain topical and that the State follows them up properly. There are more complex cases in which no exit strategy is clearly definable, such as the National Agreement and Round Tables to Combat Poverty. That is because these organizations need to be independent to be effective, which is why its direct financial management by the State is not an obvious option. Thus, UNDP support for them will have to continue for the foreseeable future.

Box 2. Summary of the main findings in Chapter 4

- The effectiveness of progress towards the expected results (outcomes) has, in general, been quite satisfactory, with some limitations due to slowness in the reconstruction of the public administration (see also chapter 5) and some tools applied by UNDP. In the area of democratic governance, with “seed initiatives”, technical skills have been created and the profile of new and existing institutions has been enhanced. One limiting factor has been the need to seek political endorsement (e.g. Parliament, Truth Commission). Support for modernization of the State has undergone several stages and new prospects are being opened up in the creation of more permanent skills through support for civil-service reform.
- In the area of poverty reduction, UNDP contributed to the launch of major, wide-ranging public programmes, although the long-term impact of some is questionable. A separate Outcome (48) has been created for microfinance: the results are encouraging from a qualitative point of view but they involve marginal resources and interventions, questioning the added value of UNDP in this sub-area.
- In the case of crisis prevention and recovery, UNDP has done a remarkable job in creating skills to respond to natural disasters. Questions remain on the nationwide institutional configuration and the effective learning of lessons from experience for future action.
- In the environmental area, there are initiatives with a potential to innovate at the strategic level related to climate change (new projects in carbon financing) and in principle replicable activities at the project level such as the Cotahuasi experience of river-basin management in the Interagency Programme and the Bambas project to be executed directly by the MINAM. The support for the national authority has taken the form of useful but very discrete actions, especially directed at the MINAM.
- Efficiency has been moderately satisfactory. The portfolio contains an ample range of activities. Nevertheless greater selectivity of recent years has avoided dispersion in a plethora of micro-activities. The adoption of Atlas and new procedures has made operations more cumbersome.
- The sustainability prospects are also moderately satisfactory. The national context has enabled UNDP progressively to identify exit strategies. In some areas (Parliament), institutional anchorage has not been completed and in others, (justice) gradual interventions face the great complexity of the system. As for facilitating the administration of national projects, both UNDP and the Government have progressed in managing conditions that increase national capacities to implement activities and programmes within the framework of national policies.

⁷¹ “Support programme for a peace culture and the strengthening of national conflict prevention and constructive handling skills”, a project with European Commission funding that builds on another UNDP and EC project conducted with the PCM, “Conflict Prevention in Peru: development of skills for handling conflicts and promoting dialogue at national level”, implemented in 2007.

Chapter 5

STRATEGIC POSITIONING OF UNDP

This section will evaluate UNDP contribution to Peru's development strategy, in terms of the relevance of the support offered, the responsiveness to the country priorities and the value added by its participation in meeting the challenge of development.

This position is viewed in the context of the country's development of recent decades, which, as is seen in chapters 2 and 3, was marked by deep changes in political activities. Of these, mention should be made of the transition from a State-run economic model in the second half of the 1980s to a liberal model in the 1990s, and from a centralist and authoritarian form of government in the 1990s to broad democratization and a process of decentralization from 2000 onwards.

5.1 RELEVANCE

UNDP cooperation with Peru is governed by a Technical Assistance Agreement concluded in 1961.⁷² The substantive institutional mandate of UNDP is to promote human development, i.e., help the country, mainly the State, to establish and improve conditions that allow greater human development, particularly for the disadvantaged sections of the population. The MDGs approved by the members of the UN in 2000, with agreed goals for 2015, form an important subset of this mission.

Adaptation of the programme with better strategic relevance. UNDP-Peru began to refocus its programme after introducing stricter criteria for assisting in the administration of public resources

in 2004. In substance, promotion of the MDGs affected the way in which they were included in the national policies of the National Agreement, signed by all of the country's main political and social forces. In addition, work began to establish an area-based approach as a result of the process of decentralization under way in the country.

Given the broad convergence between national political intentions and the UNDP mandate in the period under review, the coherence of the organization's support for the country's strategies and policies was obvious; it was a matter of responding to Peru's greatest needs on the basis of concrete demands.

Yet the task of delimiting priority areas was not easy. The definition of the focal UNDP corporate development areas or challenges remains generic. The documents specific to each country, as in the case of the CPD, CPAP and MANUD, do add contextual elements but a high level of generalization nevertheless remains.⁷³ To this is added the inheritance of a vast and diversified portfolio. UNDP has recently made explicit efforts to reduce and concentrate the portfolio in Peru, but the official documents and classification of expected results (outcomes) generate a complexity of terms and dimensions in the absence of more practical and detailed strategic guidelines.

The importance of relevant cross-cutting aspects. The activities of UNDP-Peru include initiatives not related to projects or those that became projects only later. These initiatives are aimed at facilitating the activities of public players

⁷² Article 1 stipulates that "The Organization(s) shall provide the Government with technical assistance (...), based on the requests received from the Governments and approved by the Organization(s) concerned".

⁷³ According to UNDP-Peru, Headquarters had insisted that CPD 2006-2010 be prepared before the presidential election, which resulted in a more general text.

in the areas of policies, laws, programmes and projects, the advocacy of values based on human rights (e.g., with the NHDR, see section 5.2), the liaison between players in different fields (meetings and events), coordination between international cooperation agencies, and the inclusion of gender equity. The very active and revitalizing role of the UNDP Representative and managers is recognized in promoting solutions for present and future challenges in its four programming areas and related fields, and in involving a wide range of players, i.e. Congress, organizations in the making such as CEPLAN⁷⁴, civil society and the private sector, to facilitate joint reflection. It is difficult to measure such effects, but the various feedbacks to this evaluation on UNDP management in recent years have been consistently positive.

5.2 RESPONSIVENESS AND PROPOSAL CAPACITY

The country has the necessary analytical capacity but the State has problems in implementing practical solutions. This evaluation shows the capacity in Peru, and mainly in Lima, to analyse the various aspects of human development in the country. It includes many good diagnoses, plans and proposals. At the same time, the tendency of the public sector is to respond to identified challenges by firstly creating laws. UNDP contributed to the drafting of more than 70 bills, decrees, regulations, directives, ordinances and technical standards, including a new Procurement and Acquisition Act published in June 2008.

At the same time, however, several interviewees, inside the State and outside, deplored the fact that the response to challenges is often dispersed, bogged down in formalities, and that laws and policies, once adopted, are not applied. This happens mainly because public administration is not properly organized, resulting in a lack of

continuity, learning and sustained implementation of policies.⁷⁵ As will be seen shortly, these are factors that the State has tried to address in various ways – in several circumstances, with the cooperation of UNDP.

Recognized UNDP contribution to diagnosing the situation and making proposals viable.

UNDP has facilitated diagnoses of the human development situation in the country and promoted the approach by:

- helping to draw up two reports on the attainment of the MDGs in Peru;
- publishing basic analyses, such as the National Human Development Reports, the UNDP Notebooks and other material for the human development team;
- preparing the country situation analytical documents, including the “Potentials Map” study;
- conducting project and outcome-level evaluations and other review exercises.

As frequently mentioned in this ADR, senior State officials turn to UNDP for help in making new ideas and projects viable and carrying them through in the framework of policies and reforms. In the areas of governance and environment, UNDP has facilitated the establishment of the Truth and Reconciliation Commission, the National Agreement, the Defensoría del Pueblo (Ombudsman), new ministries (MIMDES, MINCETUR, MINAM) and organizations such as SERVIR, among many others. In the fight against poverty, UNDP has been the main facilitator of massive programmes such as *A Trabajar Urbano* and JUNTOS. In conflict prevention and recovery, UNDP has helped decisively in reinforcing disaster response, as in the August 2007 earthquake. One of UNDP’s

⁷⁴ CEPLAN is the National Strategic Planning Centre, created in May 2005 and put into operation in 2008, which is envisaged to act as a long-term State planning body. But the State has not granted it an influential position in the national apparatus.

⁷⁵ Current project managers tend to request greater information and to start new initiatives from scratch, but which are barely implemented, instead of following a policy already established by those who preceded them.

outstanding comparative advantages has therefore been its ability to make new initiatives relevant to promoting human development viable throughout the country. In part, this advantage is due to the existence of legal, procedural and cultural disincentives and barriers to the State's ability to make policies and implement decisions.

Studies and publications of recognized quality.

In 2000, UNDP established a conceptual scheme for the preparation of the NHDR in Peru. An independent team was assigned to the UNDP Representative to bring shortcomings in human development in the country to the fore for discussion. The NHDR (2002), on the country potential, had an influence on the perspectives of the incoming Government. In 2004, there followed a report on competitiveness, i.e., how to use the identified potential and, in 2006, a thorough consideration of decentralization. The latest NHDR – “The Density of the State” – is about to be published. With these reports, UNDP has made its name as a reference in matters of human development both in the academic world and for State agencies – including the National Statistics Institute that used NHDR data for its own statistics. The calculation of the Human Development Index has improved progressively and has been used as a base for selecting and channelling social assistance through State programmes (e.g. Urban Work, JUNTOS). Distribution of the NHDR has also been improved by the circulation of short and separate versions. Moreover, UNDP has published UNDP Notebooks (15 to date) and books on specific subjects, as well as a series of manuals and guides.⁷⁶ Thus, UNDP has developed its own analysis and proposal capacity, which has had positive repercussions on the State and civil society.

5.3 PARTNERSHIPS

Close alliances with the State. Graph 3.2 on the financial volume of the programme demonstrates that UNDP works mainly with State funds. This fact would indicate a high degree of responsiveness

to Government requests. Nevertheless, the management instruments offered by UNDP have at the same time have been a palliative to the need to better regulate State operation.

In the first programming cycle evaluated here, UNDP introduced stricter rules for assistance with handling public resources in, among other areas, hiring of consultants, acquisitions and financial procedures. At the same time, UNDP, at corporate level, called for less administrative and more substantive development support. In the second programming cycle (2006–2010) both UNDP and the Government agreed that the UNDP's public resource management assistance modality should not be continued when it does not contain substantive contributions to reforms. From its side, the Government has taken crucial measures in this respect, including the new Administrative Service Contract Law (CAS), the end of UNDP's participation in the Management Assistance Fund, new legislation on procurement (formulation of which has been supported by UNDP) and the introduction of SERVIR programme.

The geographic presence of UNDP reflected the high degree of its ability to respond to Government requests. In the first programming cycle, its work was concentrated mainly in Lima, since the supported policies and programmes were handled from the central government. Once decentralization started to gain strength and UNDP reviewed its support strategy, *inter alia* by UNS interventions in the area of the CPR, the organization began to spread to various regions of the country, e.g. with support offices for Regional Governments. Over the medium term, UNDP expects to establish 10 units.

Smaller contributions, such as overseeing the JUNTOS programme or the new SERVIR authority, can be of greater strategic importance from a development point of view than larger projects to assist in administration of resources,

⁷⁶ www.UNDP.org.pe/publicaciones

such as PROINVERSION. SERVIR, in particular, is potentially one of the most important initiatives for ensuring permanent public-management skills.

Looser programming relations with sectors of society in contrast to the weight of cooperation with the State. Financially, support from UNDP as an intergovernmental organization for sectors of civil society is comparatively small.⁷⁷ A good part of this collaboration concerns small interventions, frequently outside the context of projects, such as surveys and publications by academic organizations. There is a clear strategic tendency to run projects with civil-society, private-sector or academic institutions that represent or work with other organizations in these areas. This is the case with private institutions such as Confiep and the Peruvian Press Council (CPP), the Economic and Social Investigation Partnership (CIES) and IDEHPUC.⁷⁸ Similarly, IDEA International is working on political projects with UNDP and civil society (particularly the civil association, Transparency). The 30 UNDP projects and activities for the two periods evaluated primarily involve entities from the academic and private sectors.

Another form of partnership with private institutions and social organizations has been through the GEF Small Grant Programme (SGP).⁷⁹ The UNDP Peru office indicates that it treats these in a similar way to a big project, keeping an eye on their results with a view to turning their experiences to advantage in larger government or regional projects.

Working more with non-governmental organizations requires that UNDP take a stand on the matter and obtain funds from other sources,

even international and national private foundations. UNDP-Peru has managed to benefit from the MDG funds from Spain, made available to the organization at corporate level. It has won projects in four areas (the environment, youth and employment, infancy/nutrition/food security, and private-sector development), as well as the GEF SGP and the South-South cooperation projects of the Perez Guerrero Trust Fund (see below), benefiting mainly basic groups.

UNDP work with the National Agreement and Round Table is an example of developing interventions that focus the efforts of a variety of civil-society and State players as well as agents and beneficiaries, showing its positive aptitude and results. Nevertheless, projects conducted by the State have the greatest relative weight in the UNDP portfolio. Of these, there are a few in which UNDP combines support to public organizations and to the third sector, or which involve parallel and complementary intervention by civil society. This could prove a useful formula for harnessing the effectiveness or relevance of the State activities supported.

UNDP image in the country. UNDP publications have decisively influenced the generally good image UNDP enjoys in the country, particularly in the case of the Government and international cooperation. Another factor that influenced the image has been the response of the UN system to the earthquake in the south. The reputation of UNDP, which has limited resources of its own, rests not on financial contribution, as in the case of the multilateral development banks, but on its lean and appropriate support to initiatives that are potentially key to human development. According to interviewees from

⁷⁷ On the basis of the activities/projects mentioned, they involve a budget of little more than \$9 million (of which approximately \$6.54 million was implemented) in the period under review.

⁷⁸ Confiep is the partner of the Global Compact in Peru whose network comprises 81 signatory organizations. CPP is developing a human rights dissemination project; some of the IDEHPUC projects work or have worked directly with regional civil society organizations and academia on aspects of human rights and justice. The CIES has repeatedly conducted academic projects with UNDP help and has developed a governance project for the 2006 elections.

⁷⁹ This programme covered 166 projects in Peru between 2001 and 2009, of which 69 were active during 2009 (until July) – see <http://sgp.undp.org>. Generally, each project concerns a basic organization or group; in some cases, the receiving organization is a local government, but those same players are their beneficiaries or are usually very involved in the projects.

civil society who had less immediate contact with UNDP, the organization is perceived mainly as a supplier of services to the public administration (including the contracting of consultants for the public sector). They knew no further details of the UNDP Peru programme. This image could be corrected with a more active public information campaign.

5.4 FULFILMENT OF UNITED NATIONS VALUES

5.4.1 PURSUIT OF THE MDGS

The importance of the work of UNDP in the pursuit of the MDGs is apparent from not only its action strategy and the MANUD, but also from the National Strategies. The Millennium Goals established by Peru, as indicated in chapter 4, have been set as part of the country assessment, and are included in the national strategic documents and those pertaining to the assessment of State management. All the State apparatus and civil-society players are represented in the various bodies set up under the leadership of UNDP for the attainment of the goals. The Congress of the Republic has set up a Special Commission on the MDGs that has disseminated the subject beyond the parliamentary sphere.

5.4.2 GENDER EQUITY

In the area of **gender equity**, note should be taken of the support offered by UNDP during the past decade for the establishment and strengthening of the Ministry of Women and Social Development (MIMDES, previously PROMUDEH), the Government institution responsible for promoting matters of gender

equity. During the present decade, UNDP support for this Ministry has been confined to the Concerted and Decentralized Management of Social Programmes project.⁸⁰

The UNDP Peru office deals with the matter of gender equity through UNIFEM, which has a specialist who collaborates with the MIMDES on a series of aspects.⁸¹ The gender-equity aspect is also included in the UNDP portfolio of projects, especially in those of the poverty reduction area. The beneficiaries of projects such as JUNTOS are women. In others, such as Urban Work, women formed the majority of the participants. With the BCPR, UNDP introduced the gender-equity aspect into reconstruction training after the earthquake with a specialist in charge of the subject, and the UNDP Representative is seeking opportunities to strengthen this wherever possible. In selecting groups of earthquake victims to re-establish their means of existence, preference was given to women by means of the GEF Small Grants Projects handled by UNDP. In general, it should be pointed out, the subject of gender equity is confined to the priority and characteristics of the portfolio of projects supported by UNDP and the support offered by UNIFEM through UNDP.

There is a general perception, within UNDP and outside, that the subject is still not sufficiently covered in its programmes. Partly, this reflects the centre of gravity of UNDP support, related mainly to fortifying institutional capacities that seek to benefit citizens without distinction of gender. The focus on disadvantaged communities – of which women constitute a significant segment in Peru – underscores an important additional dimension of programme impact.⁸²

⁸⁰ It should be added that, in Peru, the MIMDES is continuing the discussions on the promotion of the gender equity strategy that has been embodied in the new Equal Opportunities Act (2007). In the regions, the subject of gender equity is the responsibility of the Social Development Management of the regional governments, which have still not given the subject the importance it deserves. The Defensoría del Pueblo (Ombudsman) does, however, include the question of gender equity in its countrywide activities.

⁸¹ Method for the political participation of women (a study with indigenous women leaders); legal system with respect to violence against women (very frequent in Peru; MIMDES keeps a registry of femicides); sex-sensitive municipal budgets (fairly advanced); fiduciary fund (HIV – violence); Women's Observatory; Women's Police stations; Emergency Centres in MIMDES (little used).

Although in a diversity of projects, women are the prime beneficiaries of gender equity and empowerment of women is a parameter, this approach is not solidly embedded in the UNDP programme. The application and details depend to a considerable extent on those implementing the programmes, without explicit UNDP support instruments. As the approach of all UNDP projects and programmes is broadened, the organization will be required to incorporate specific directives on clearly defined and concrete contributions to gender equity.

5.4.3 FOCUS ON THE POOR AND EXCLUDED GROUPS AND SECTORS

The focus on the poor and excluded groups and sectors is reflected in UNDP support for projects that apply instruments specially designed to reach the target communities. Of these, Government poverty-reduction programmes that use targeting systems such as the JUNTOS programme, which uses the Homes Focusing System (SISFOH), and the Urban Work programme, which bases the selection of its beneficiaries on the two criteria of geographic focus and self-focus, are of special importance.⁸³ Of similar relevance are the environmental projects (especially those for poor rural communities and indigenous groups such as the Cotahuasi and Amarakaeri) and the human rights projects (e.g., the Defensoría del Pueblo, and especially those for the victims of terrorism, such as the CMAN and the CNR).

The variety of projects supported with small grants mainly serves very disadvantaged basic groups and organizations – usually indigenous

– in rural zones. In CPR, efforts are centred on assisting some of the victims who lost their homes and, frequently, their means of economic sustenance. The Human Development Index has become an instrument for focusing on and a reference for diverse projects being implemented by the Government and civil society. Moreover, UNDP, in its new approach to supporting regional governments, is beginning to pay greater attention to poverty zones.

Overall, in terms of strategy and tangible impact, there are certain weaknesses: (i) some imprecision in targeting of specific excluded groups and sectors; (ii) fragmentary information and knowledge on the progress made in assisting poor groups. Although the general “universe” of beneficiaries is covered, the specific interventions are not always sufficiently detailed to affect the concrete sub-groups at which they are specifically aimed or those for whom the support would be most relevant. There are certain shortcomings on quality and precision of the coverage obtained. More work is required on fine-tuning the prioritization mechanisms, implementation methods, and product objectives and institutionalization, in a way that would make UNDP support more useful.

5.5 INTERAGENCY AND INTERNATIONAL COOPERATION COORDINATION

Increased interagency coordination in the UNS.⁸⁴ With the elaboration of the UNDAF, a first step has been taken in a process of closer cooperation among UNS agencies in Lima.⁸⁵ These recognize the leadership and the efforts

⁸² In this respect, the ample support for the work of the Defensoría del Pueblo (that directly takes care of the human and civil rights of the populace and by means of its different adjuncts aimed at vulnerable communities, specifically the rights of the woman) can be included. Support relating to the CVR is another similar case. Mention should also be made of the fact that, in the area of governance, the projects run by IDEA with the civil association, *Transparency International*, in the political-electoral and partisan area include special strategies to achieve advances in gender equity, especially in equity in political participation and the fulfillment of the rights of the woman.

⁸³ UNDP supported the Inter-ministerial Commission on Social Affairs in the creation of the National Beneficiaries System that confers greater transparency on programmes to combat poverty.

⁸⁴ The compilation of information included a group discussion of the Coordination of the United Nations System in Peru.

⁸⁵ Including joint labour programmes, HIV-AIDS, environment, private sector. The recent adoption of four programmes for Peru by the Spanish Fund for the attainment of the MDGs has substantially contributed to coordinating the operations of 13 resident and non-resident UN agencies in the country.

to coordinate activities, in particular between UNICEF, UNFPA, ILO and UNDP⁸⁶, and also with WHO/PAHO and smaller country representations such as UNESCO. The concerted response to the earthquake highlighted the close communication among these agencies. Other agencies (such as the WFP) feel less affinity for the coordination meetings, which they do not consider very cost-effective. However, they do recognize the good atmosphere of collaboration created in past years. In spite of proactive coordination, it has not been possible to eliminate all duplication. In gender equity, for instance, MIMDES is supported by several agencies at the same time. Many agencies desire greater access to UNDP officials responsible for the respective areas and to be kept better informed, in the early stages, of responses to requests from the Government in areas that fall within the purview of some specialized agency. Given the organization's mandate and very broad range of involvement, UNDP programmes may overlap with those of other UNS agencies.

Substantial support for the national coordinating function of international cooperation (IC). UNDP has been a strategic partner of the APCI from its inception. After facilitating a study on international cooperation in other countries and possible lessons for Peru, UNDP supported the supervision, follow-up and modernization of the sector. Today, there are two coordination mechanisms with (bi)monthly meetings between the APCI and UNDP at the managerial (strategic matters) and operative levels (tools, mechanisms, audits, publications, events, etc.). The APCI has assumed the limited functions assigned to it, mainly overseeing the non-reimbursable projects of the IC agencies.⁸⁷ UNDP is currently supporting the introduction of an electronic project follow-up system,

thematic round tables, as well as operative aspects of the APCI.

The APCI is trying to assume more substantive functions, for which it can count on continuous UNDP support. Its new agenda is ambitious: to become the active manager of non-reimbursable IC, coordinating this with state policies and indicating the direction of IC, even in the regions.⁸⁸ To this end, the APCI seeks closer relations with a variety of State decision-makers such as ministries, the PCM and regional governments. The APCI counts on UNDP as a vigorous partner, with convening powers. In Peru, UNDP has fully assumed a function for which it is predestined, i.e. to stimulate coordination by summoning both the APCI and the cooperators (e.g. in the forum of international cooperation) and facilitating the revitalization of existing thematic round tables.

Activation of South-South cooperation. Technical cooperation among developing countries, or South-South cooperation, in Peru accounted for 2 percent of bilateral non-reimbursable IC in 2006 (mainly with Chile and Brazil). This can gain considerable weight with the growing importance of handling global public goods with neighbouring countries, to the extent the political situation permits. In the present decade, UNDP-Peru has been particularly active in trilateral cooperation. The main UNDP vehicle for such cooperation in the Latin American and Caribbean region is the Perez Guerrero Trust Fund, created by the Group of 77. Since 2000, UNDP-Peru has initiated most South-South cooperation projects (16 of 46) involving this Fund. These are small projects of up to \$70,000, 50 percent financed by the Perez Guerrero Trust Fund and other sources. Recognizing that Peru's development requires continuous external

⁸⁶ One example is the cooperation of the heads of these agencies in an MDG Fund project.

⁸⁷ The APCI also has functions related to the right to recover VAT paid by these projects. Therefore, IC agencies have a tangible interest in keeping the APCI informed of the financial and programming evolution of their projects (those that do not recover VAT come only for the APCI signature, without any subsequent systematic follow-up).

⁸⁸ Its agenda also includes maintaining the flow of non-reimbursable cooperation to Peru; setting up an Integrated National Cooperation System (even decentralized) in accordance with established policies; playing a joint role in the IC world (South-South cooperation); and supervising private cooperation (NGOs).

cooperation, the agency seeks to firmly position itself in South-South cooperation not only as a beneficiary but also as a participant in the vital framework.

5.6 UNDP ROLE IN EMERGENT COUNTRIES

Reduction in non-reimbursable international cooperation and the position of the APCI.

In absolute terms, contributions to Peru of non-reimbursable international cooperation grew over two decades from the mid-1980s. Because of the high economic growth, external aid has declined in relative terms during the present decade, reaching less than 3 percent of the national budget in 2006. The APCI (2008) argues in favour of continued international cooperation with emergent countries such as Peru for the following reasons: more than 41 percent of the world's poor population reside in these countries; their internal disparities, especially inequality of income and social exclusion, tend to slow down equitable human development; and the contribution from these countries to the provision of international public assets, especially environmental, is decisive for the region and the entire world. However, the character of cooperation for a country with increasing capacities will necessarily change.

Cooperation “in transition” towards new forms.

The UNDP Peru cooperation programme is in a state of transition from primarily assisting in the handling of public resources on orders from the State to a form of assistance that responds to the emergent conditions in the country. With limited resources of its own to contribute, UNDP must gain recognition from a cooperating partner that adds value to the human development of the country with quality services and verified effectiveness. The office is playing an active role in stimulating discussions on subjects of importance for the future of the country. Programming areas that respond to present and future challenges are:

- the reformulated decentralization-support strategy, with regional presence; in this area, nevertheless, the needs may include services that are close to the support of administration of resources in view of the need to construct public administration skills at the regional and municipal level;
- the ability to generate knowledge and standards for human development through the NHDR, the HDI and information on MDGs that can clarify options for social policies;
- the ability to mobilize its regional and global cooperation network with various countries;
- the advocacy of aspects of great importance for human development such as climate change or the settlement of social conflicts;
- the ability to rapidly and competently facilitate new activities to implement important human-development policies;
- its credibility in liaising with diverse players in subjects of mutual interest and particular importance in the regions;
- its privileged partnership with the national international cooperation coordinating agency and its power to convene – also its privileged access to high levels of government – in order to discuss subjects of importance for the country.

Box 3. Summary of the main findings in Chapter 5

- As of 2004, UNDP in Peru has committed itself to refocusing the programme, placing particular importance on substantive contributions and reducing emphasis on managing public resources (that had generated problematic situations at the end of the 1990s) and making important contributions with activities not directly contained in projects.
- UNDP cooperation with the public sector has been very close and the organization has managed to respond to conjunctural demands (such as the 2007 earthquake) and structural changes (decentralization) without losing its strategic focus. Collaboration with non-governmental organizations carries less financial weight but innovative initiatives have been supported. A few initiatives exist that combine UNDP collaboration between public organizations and civil society.
- With regard to gender equity, several projects focus on specific activities for women and have explicit objectives of empowerment of women. Nevertheless, they lack clear programming guidelines on how to apply the gender-equity approach throughout the programme. Through its support of public poverty-reducing activities, UNDP has tried to direct some activities to poor categories and groups. However, some defects in the focusing instruments and their execution have been identified, partly due to the generic focus at programme level.
- UNDP has been very active in coordinating the United Nations System, with appreciable results (although there remain some cases of duplication) and also in supporting State international cooperation coordination organizations (the APCI), even outside the UN and South-South system, placing its trust in a more forceful and substantive intervention by public organizations in managing non-reimbursable cooperation.
- Facing an evolving cooperation situation in an emergent country, UNDP already has some key instruments that can be improved in order to maintain its relevance.

CONCLUSIONS AND RECOMMENDATIONS

6.1 CONCLUSIONS

The objective of this ADR is to analyse how UNDP has positioned itself in Peru to add value to the country's development efforts, and to identify progress towards development. The evaluation arrives at the following conclusions:

1. **During the first programming cycle considered (2001-2005), UNDP supported the creation of institutional foundations for a return to broader-based democratic governance. It also introduced stricter norms of engagement in administering public resources on behalf of the Government, and took the opportunity of the consultations for the UNDAF 2006–2010 to devise a more substantive country programme.**

At the beginning of this decade, UNDP supported the institutional set-up for the return to more democratic governance in the country. At the same time, the organization worked to enhance its image amid perceptions that it was close to the Governments of the 1990s (chapter 3). UNDP has since introduced more elaborate rules for the administration of public resources at the corporate level (e.g. Atlas system) and specifically in Peru. The organization has thus strengthened its reputation for transparent management of public resources. However, these new norms have also led to a general perception of bureaucratization in UNDP's handling of programmes.

UNDP also facilitated a substantial participatory planning process of the UN System and its partners to establish the first UNDAF (2006–2010), a useful orientation document, although mainly for those participating directly in the exercise. The revival of

political party life in Peru coincided with the declaration of the MDGs by the UN, leading to their introduction and wide acceptance in the political and social arenas, an endeavour supported by UNDP. The evidence points to ample consistency between the Government's agenda and UNDP's mandate during the present decade.

During the second programming cycle, UNDP-Peru responded to several new challenges, such as the mid-2007 earthquake in the south, the emerging problem of environmental degradation, the pressing need to build public-administration capacity in the outlying regions (matched with revised UNDP country office internal guidelines in 2007), and the Government's political commitment to a long-term improvement of its civil service.

UNDP responded well to the evolving context and the new opportunities providing a setting more conducive to policy and a political framework. The organization became increasingly selective in determining its areas of intervention and added coherence and substantive content to its programme.

2. **Peru has experienced strong economic growth and a substantial reduction in poverty in the current decade. However, the construction of an efficient and effective public administration has lagged behind and a far-reaching process of decentralization has taken off slowly. UNDP's programme substantially facilitated new initiatives for broader-based democratic governance. In poverty reduction, the organization has made an impact more through analytical backstopping and "start-up" support than through its projects on the ground. Substantial UN cooperation to mitigate**

the damage caused by the 2007 earthquake, given the limited national and local responsiveness, heightened UNDP's standing in the country. The organization's reputation has been shaped as much by non-project initiatives as by its projects.

In all UNDP corporate areas, system-building needs in Peru continue to be considerable, although national response capacities are also improving. To help improve democratic governance in this decade, UNDP has facilitated and supported substantial participation and institutionalized cooperation processes (*concertación*) for discussing and influencing public policies. At the same time, all three State powers could count on substantial UNDP support to leverage new initiatives and support the implementation of policies and public management.

In the justice sector, UNDP has helped map out needed reforms in such areas as anti-corruption and human-rights prosecution, implementation of a new civil code, and peace justice capacities. Human rights were introduced in the national agenda. Policies and services have been established to address the needs of people affected by armed conflict and, more broadly, to protect and cater to the human and civil rights of all citizens, with increasing attention to poor and excluded groups.

In the area of poverty and MDGs, UNDP's help is particularly recognized under two aspects: analytical contributions (e.g., through discussion forums and National Human Development Reports) and start-up of programmes targeting the poorer strata of the population. Its own projects on the ground are not devoid of interesting approaches but are often marginal with respect to the weight of the subsector (e.g., microfinance) and sometimes are without a clear role (e.g., a strategy to test and diffuse innovations). In the area of environment and energy, new initiatives have been started on adaptation to climate change.

During this decade, UNDP helped lay the foundations for a national disaster-response system. As underlined by the response to the 2007 earthquake, this system is still in its infancy. UNDP has developed methodologies and buttressed networks for future responses to such emergencies with a view to longer-term recovery. Learning processes are under way, but the system-building tasks at the local, regional and national level remain huge. UNDP has also supported the relevant institutions in developing methods and capacities to manage the social conflicts in the country, half of which are related to the exploitation of natural resources.

Non-project-related activities have also, and sometimes strongly, shaped the image of UNDP and the UNS in Peru. UN coordination has the power to convene political and social players to discuss issues of major relevance to present and future human development in the country, or to respond to emergencies such as the 2007 earthquake. Its prestige in the country provides it with privileged access to public-sector institutions and leaders, mobilizes international cooperation agencies, facilitates public action and strengthens the advocacy of human development issues relating to the national agenda and to MDGs.

3. **UNDP has partnered with mainly State agencies during the current decade, applying support methods that addressed the weaknesses of the public administration. Pressure from both UNDP and national counterparts has now led to a diminution of UNDP's model of supporting the administration of public programmes in favour of more substantive cooperation methods as a strategic response to the country's evolving needs.**

Over 90 percent of the UNDP programme in Peru is financed by the Government and implemented by public agencies. There are significant national capacities, mainly concentrated in Lima, for analysing and diagnosing

development problems, but they have not been matched by corresponding implementation capacities. Furthermore, the long-time centralization of public administration in the capital has resulted in large differences in levels and approaches between Lima and the regions, to the detriment of the latter. A large-scale decentralization process was launched in 2002 but is progressing slowly.

This situation led to practice of substantially sidelining the complex procedures for public management by commissioning UNDP to support the administration of public resources based on its own norms. UNDP claims – rightly to some extent – that, in many cases, national personnel have been retained and professionalized in this process and that, in parallel, it has supported the creation of better public administration laws and regulations. Without the political will in the State to establish the basis for building public administration capacity, however, such efforts remain piecemeal and UNDP would need to continue its involvement in public-resource administration, to the detriment of more substantive tasks. The present Government has taken unprecedented steps to reform public management. It has created an improved contractual system for hiring public servants and public procurement. It has also established a new Civil Service Authority. These decisions have had noticeable repercussions on UNDP, especially since its project staff has been integrated into the Government administration.

Finally, UNDP support for political ‘concertation’ institutions not embedded in the public administration, such as the *Acuerdo Nacional* (National Agreement) and the *Mesa de Concertación* (Round Table), is crucial to ensure broader participation in shaping public policies, even though their influence on leading public sector agents sometimes seems low. They are also important in ingraining a culture and process of democratic negotiation and consensus-building. While supporting these concertation mechanisms,

this evaluation has found, in general, that UNDP-Peru has privileged programmatic cooperation to and through State agencies. Apart from the National Agreement and the Round Table, there are few activities in which UNDP combines cooperation with public as well as non-State entities, providing concrete opportunities for dialogue and safeguards against political interference.

4. **In 2008, Peru moved into the category of an emerging upper-middle-income country, in which traditional international development cooperation is losing weight. Notably its relationships with Asian countries have increased, as have transboundary issues. These realities challenge UNDP to adapt its agenda to the changing circumstances, a need recognized by UNDP-Peru’s management and reflected in some initiatives already undertaken.**

Increasing global multipolarity induces a weakening of the traditional North-South gradient and a diversification of development cooperation relationships. The emergence of new players beyond DAC members, increasing South-South cooperation and other shifts affect UNDP’s role in emerging countries, implying risks and opportunities. They may be conducive to strengthen UNDP’s role as a neutral, value-based partner. Whether this would be achieved would crucially depend on UNDP’s leadership being perceived as a neutral voice, independent of public authorities, which defends and strengthens the case for human rights and human development. Its acceptance by government and society will hinge on the perception of credible positions from a neutral vantage point.

UNDP-Peru has recognized these tendencies and in response taken strategic decisions, such as its new de-concentration strategy and the reinforcement of its climate-change desk. The establishment of offices in several regions places UNDP closer to where the main development needs lie, namely with

regional and municipal governments and civil society. This also brings it closer to the poorer population of the country, a group that – by mandate and given that Peru is an emerging country with growing own capacity – UNDP should cater for. Environmental influences such as a strong earthquake in the Lima region, expected with some likelihood, or possibly rising sea levels and other effects of global climate change imply high risks for human development, which exceed the country's response capacity. UNDP continues to support and strengthen the respective prevention and development agenda.

The evolving context is likely to induce a redrawing of UNDP's profile in its corporate areas or clusters. In the context of the next country programme, UNDP may be challenged to redefine its strategy of supporting different levels of government (central, regional and municipal) and the weight given to each, as well as to the different government powers (executive, legislative and judicial). This would be critical for maximizing the impact of human-development endeavours on its major target population, the excluded sections of the country. This may also affect the definition of different areas or clusters of intervention and their relative weight, relationships or synergies. The importance of programme activities not necessarily related to specific projects, such as advocacy, coordination, convening partners of different sectors or calling the attention to upcoming challenges, is likely to increase.

6.2 RECOMMENDATIONS

This evaluation generally validates the key strategic directions taken by UNDP in Peru during the past two programming cycles. However, considering the wide range of activities and the Peruvian context, it recommends greater focusing on and tailoring of the programme to the needs of a middle-income emerging country.

6.2.1 STRATEGY IN THE THEMATIC AREAS

1. To sharpen its focus, it is recommended that UNDP in Peru elaborate specific strategic guidelines in each thematic area in the context of the next CPD. This will help better define the contents of and weight between the programmatic areas, as well as linkages with non-project activities, and enhance selectivity in initiatives to be supported in order to further focus on the excluded population. Clearer guidelines for strengthening the focus on matters of gender equity are also to be provided across the thematic areas.
2. In the area of democratic governance, the “seed project” model has been useful to start up new State institutions or parliamentary commissions. UNDP should nonetheless privilege involvement in substantive formulation and ensure that there is clear institutional anchoring and an explicit plan to transfer knowledge and experience to the institutions concerned, in order to improve sustainability prospects. Opportunities should be explored for a line of support to help raise the level of democratic representation of political parties, drawing from experience in other countries (e.g. Guatemala).
3. Also in governance, and in line with the new internal reorientation of UNDP in favour of decentralization, it is recommended that the rationalization of the legal system within and between the three levels of public administration (municipal, regional central) be supported in view of improving its capacity to respond to human development challenges and the achievement of MDGs. In particular, there is a great regional and municipal need – and an almost total lack of adequate opportunities – for introductory practical training, including South-South peer learning, to newly elected mayors and regional presidents during the period between the elections and their assuming responsibilities.

4. In crisis prevention and recovery, the 2007 earthquake and several lessons drawn by the National Civil Defence Institute, as well as by the United Nations Disaster Assessment and Coordination (UNDAC), on the national-response capacity underline great needs in articulating a concerted system for making decisions and taking action from the central to local level. A more systemic approach should be adopted and greater continuity in the learning process encouraged so that knowledge on disaster prevention and collective rapid response can be accumulated and systematized.
5. In the area of social conflict management (classified in Peru under CPR), the base of support and intervention should be broadened beyond the Presidency of the Cabinet of Ministers, as UNDP is managing it in 2009. Moreover, in higher poverty areas, it is recommended that interventions in CPR be more clearly linked with those in environment and poverty.
6. In the areas of poverty reduction and MDGs, UNDP has made substantial contributions to the study, promotion, and monitoring of progress on MDGs. However, to attain the MDGs it is necessary to cooperate with institutions, policies and programmes of different nature. UNDP should identify with better precision the levels, fields and the specific MDGs it should promote concretely. In the specific case of microfinance, UNDP should clarify what value it expects to add in a well-developed sub-sector and decide whether supporting microfinance is actually one of its own priorities.

6.2.2 STRATEGIC INSTRUMENTS

1. UNDP should further reduce its involvement in administrative support to central State entities, giving more attention to strengthening the capacities of regional and municipal governments. UNDP's commitment in the SERVIR project and in decentralization is a more appropriate strategic option to create a more permanent civil service.
2. It is recommended that UNDP systematize lessons learned and disseminate them among its partners. This includes: (i) experiences in support to administration of public resources; (ii) innovations supported in environment (watershed and natural reserve management) and (iii) initiatives in poverty reduction (issues focusing on excluded populations).
3. Further diversification of partnerships is recommended, not only territorially (more activities out of the capital), but also with respect to sectors (civil society, private sector, academia, etc.), global partners (e.g. mobilizing the UN network to make available South-South policy advice) and funders (global funds, private foundations, etc.). A more diversified partnership can reduce risks and potential vulnerabilities of UNDP such as those observed in the late 1990s. At the same time, it can provide a broader-based support platform – more independent of political changes – to strengthen the negotiating capacity of the poor and thus promote the achievement of the MDGs.
4. In order to gain a broader and more accurate recognition of its commitment to human development, the overall UNDP-Peru communication strategy should be fine-tuned. This should be done by combining quiet diplomacy, where indicated, with broader regular feedbacks from various partners to UNDP and from UNDP to the public at large, particularly in view of the diversification of its presence in the country through the opening of regional offices.
5. Concerning integration in Latin America, UNDP-Peru should support and strengthen the positioning of the country in the framework of South-South cooperation, taking the opportunity of the existing UNDP networks.

6.2.3 HEADQUARTERS SUPPORT

1. The definition of UNDP role in an emerging country cannot be limited to the experience of individual country offices. It is recommended that – following the example of the Bratislava consultation of 2009 – regional discussions be encouraged on the changing role of UNDP in such countries and on the means of maintaining and strengthening UNDP's role as a unique, universal cooperation partner. UNDP has valuable lessons to share on the programme's adaptation to an evolving context (growing country capacities, supporting decentralized governments, promoting new broad themes such as climate change effects).
2. UNDP should review and adapt selected corporate-management information instruments (aspects of the Atlas system such as external access, balanced scorecard, executive snapshot, and partnership survey). At present they require considerable resources and time for trouble-shooting, to the detriment of more substantive work and do not always include appropriate instruments to capture what they intend to measure.
3. New operational instructions from the RBLAC and other headquarter-based bureaux, in both the programming and operational spheres, should be embedded in an early corporate communication strategy so that the country office can foresee its evolution and prepare the ground with national counterparts affected by the changes.

BASIC TERMS OF REFERENCE

1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.⁸⁹ The overall goals of an ADR are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board
- Support greater UNDP accountability to national stakeholders and partners in the programme country
- Serve as a means of quality assurance for UNDP interventions at the country level
- Contribute to learning at corporate, regional and country levels

In particular, EO plans to conduct an ADR in Peru during 2009. The ADR will contribute to a new country programme which will be prepared by the concerned Country Office and national stakeholders.

2. BACKGROUND

Peru, a country of more than 27 million inhabitants, has aimed since 2001⁹⁰ to fight corruption and strengthen democratic governance while sustaining economic growth. Reforms have produced a number of important changes including decentralization,

conceived as a key step for achieving the MDGs. Regional elections in November 2002 created 25 regions, each with a President, Vice President and Council. However, given the limited administrative and technical capacity at the regional level, the devolution of power and budgets has been slow. The Peruvian economy has been very successful in the past five years, growing at an average annual rate of 5 percent, yet the country faces the challenge of ensuring that economic progress benefits the whole population.

The Human Development Index for Peru is 0.788, which gives the country a rank of 79th out of 179 countries with data (Human Development Index 2008). The country has a per capita income of \$4,052 per year, about average for the region. The population living in poverty was 39.3 percent in 2007 – high, but significantly lower than the 48.6 percent of 2004⁹¹ – and extreme poverty ascended to 13.7 percent. There is a strong contrast between poverty in urban (25.7 percent) and rural areas (64.4 percent), and poverty is more acute in the highlands and thinly populated Amazon region than on the coast. Both the NHDI and the Country Programme identify exclusion as a fundamental problem, which has three dimensions: economic exclusion, through lack of participation; political and legal exclusion, through lack of representation, rights; and social exclusion, as much from gender as ethnicity.

Since 2001, UNDP-Peru supported the Government efforts to consolidate democratic governance, foster economic growth and improve the quality of life of disadvantaged populations.

⁸⁹ <http://www.undp.org/eo/documents/Evaluation-Policy.pdf>

⁹⁰ The end of the Fujimori regime.

⁹¹ INEI, Encuesta Nacional de Hogares continua.

Regarding democratic governance, a key undertaking was the support to the decentralization process and the provision of technical knowledge to regional and local governments. Also, UNDP launched projects aimed at creating employment in urban and rural areas, promoted the concept of sustainable human development, and developed a geographical reference tool for monitoring social programmes in the country.

The goal of UNDP in Peru for its 2006-2010 programming cycle was to support programmes aimed at building national production and employment capacities and the consolidation of democratic governance as conditions to achieve the MDGs and human development. UNDP was expected to continue providing quality policy advisory services, share best practices and support government efforts to build its capacity to address development challenges related to poverty reduction and the consolidation of the decentralization process.

The programme was organized in three key areas: i) development of human resources; ii) development of economic and social opportunities; iii) strengthening of democratic governance. For the development of human resources the UNDP in Peru was to support projects in the areas of poverty reduction, achievement of MDGs and of basic human rights. In the area of economic and social opportunities, it was expected to design and implement strategies to promote sustainable development by building on local capacities, and to foster the creation of small businesses and the development of new markets and employment—in partnership with the private sector, with a special focus on youth. Also, under this goal, the UNDP was to support the National Strategy for Biodiversity and promote local environmental initiatives. Finally, regarding the goal of strengthening democratic governance, it was expected to provide technical support for improving administrative skills at all levels of government, foster participation and dialogue between government and non-governmental entities, foster the use of statistical information in policy design, and build national capacities for crisis management. In

particular, UNDP was to provide support to the judicial system reform.

3. OBJECTIVES, SCOPE AND METHODOLOGY

The objectives of the Peru ADR include:

- To provide an independent assessment of the progress towards the expected outcomes envisaged in the UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.
- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- To present key findings, draw key lessons, and provide a set of recommendations for the management to make adjustments in the current strategy and next Country Programme.

The ADR will review the UNDP experience in Peru and its contribution to the solution of social, economic and political challenges. The evaluation will cover the ongoing and previous country programmes (2002-2005 and 2006-2010). Although it is likely that greater emphasis will be placed on more recent interventions (due to better availability of data, etc.) efforts will be made to examine the development and implementation of UNDP's programmes since the start of the period. The identification of existing evaluative evidence and potential constraints occur during the initial scoping mission (see section 4 for more details on the process).

The overall methodology will be consistent with the ADR Guidelines and the new ADR methodology manual currently developed by EO. The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review specifically examining UNDP's contribution to national development results across the countries. It will assess key results, specifically outcomes

– anticipated and unanticipated, positive and negative, intentional and unintentional – and will cover UNDP assistance funded from both core and non-core resources.

The evaluation has two main components, the analysis of development outcomes and the strategic positioning of UNDP.

DEVELOPMENT RESULTS

The assessment of the development outcomes will entail a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. This includes an assessment of development results achieved and the contribution of UNDP in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP's positioning and capacities, partnerships, policy support); and achievements/progress and contribution of UNDP in practice areas (both in policy and advocacy); analysing the cross cutting linkages and their relationship to MDGs and UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using the available information, the evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP's contribution to outcomes with a reasonable degree of plausibility. A core set of criteria related to the design, management and implementation of its interventions in the country:

- **Effectiveness.** Did UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? Were there any unexpected results? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?
- **Efficiency:** How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to

ensure a more efficient use of resources in the specific country/sub-regional context?

- **Sustainability:** Is UNDP's contribution sustainable? Are the development results achieved through UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed? Was any exit strategy developed?

It should be noted that special efforts will be made to examine UNDP's contribution to capacity development, knowledge management and gender equality.

STRATEGIC POSITIONING

The evaluation will assess the strategic positioning of UNDP both from the perspective of organization and the development priorities in the country. This will entail: i) a systematic analysis of UNDP's place and niche within the development and policy space in Peru; ii) the strategies used by UNDP-Peru to strengthen the position of UNDP in the development space and create a position for the organization in the core practice areas; iii) from the perspective of the development results for the country, the assessment will evaluate the policy support and advocacy initiatives of UNDP programme vis-à-vis other stakeholders. In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP:

- **Relevance of UNDP programmes:** How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? Were there critical gaps in UNDP's programming that need to be addressed?
- **Responsiveness:** How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?

- **Equity:** Did the programmes and interventions of UNDP lead to reduce vulnerabilities in the country? Did UNDP intervention in any way influence the existing inequities (exclusion/inclusion) in the society? Was the selection of geographical areas of intervention guided by need?
- **Partnerships:** How has UNDP leveraged partnerships within the UN system as well as with national civil society and private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme and specifically UNDP's contribution (including issues related to the relevance and effectiveness of the Monitoring and Evaluation system). If during initial analysis these are considered important they will be included in the scope of the evaluation. Within the context of partnerships with the UN system and overall UN coordination, the specific issue of the development of joint programmes will be highlighted.

4. EVALUATION METHODS AND APPROACHES

DATA COLLECTION

In terms of data collection, the evaluation will use a multiple-method approach that could include desk reviews, workshops, group and individual interviews (at both HQ and the CO), project/field visits and surveys. The appropriate set of methods would vary depending on country context and the precise nature would be determined during the scoping mission and detailed in an inception report⁹².

VALIDATION

The evaluation team will use a variety of methods to ensure that the data is valid, including triangulation. Precise methods of validation will be detailed in the inception report.

STAKEHOLDER PARTICIPATION

The evaluation will identify key stakeholders, including Government representatives of ministries/agencies, civil society organizations, private sector representatives, UN Agencies, multilateral organizations, bilateral donors, and beneficiaries will take place. To facilitate this approach all ADRs include a process of stakeholder mapping that would include both UNDP's direct partners as well as stakeholders who do not work directly with UNDP.

EVALUATION PROCESS

The ADR process will also follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

Phase 1: Preparation

Desk review – Initially carried out by the EO (identification, collection and mapping of relevant documentation and other data) and continued by the evaluation team. This will include general development documentation related to the specific country as well as a comprehensive overview of UNDP's programme over the period being examined.

Stakeholder mapping – A basic mapping of stakeholders relevant to the evaluation in the country. These will include state and civil society stakeholders and should go beyond UNDP's traditional partners. The mapping exercise will also indicate the relationships between different sets of stakeholders.

Inception meetings – Interviews and discussions in UNDP HQ with the EO (process and methodology), the Regional Bureau (context and country programme) as well as with other relevant bureaux, including Bureau for Development Policy and the Bureau for Crisis Prevention and Recovery and others as appropriate including UN missions.

⁹² The scoping mission and inception report are described in section 5 on the evaluation process

Scoping mission – A mission to Peru in order to:

- Identify and collect further documentation
- Validate the mapping of the country programmes
- Get stakeholder perspectives on key issues that should be examined
- Address logistical issues related to the main mission including timing
- Identify the appropriate set of data collection and analysis methods
- Address management issues related to the rest of the evaluation process including division of labour among the team members
- Ensure the CO and key stakeholders understand the ADR objectives, methodology and process
- The task manager will accompany the team leader on the mission.

Inception report – This would involve development of a short inception report including the final evaluation design and plan, background to the evaluation, key evaluation questions, detailed methodology, information sources and instruments and plan for data collection, design for data analysis, and format for reporting.

Phase 2: Conducting ADR and Drafting Evaluation Report

Main ADR mission – A three- week mission focusing on data collection and validation will be conducted by the independent evaluation team. An important part of this process will be an entry workshop where the ADR objectives, methods and process will be explained to stakeholders. The team will visit significant project/field sites as identified in the scoping mission.

Analysis and reporting – Information collected will be analysed in the draft ADR report within three weeks after the departure of the evaluation team from the country.

Review – The draft will be subject to (a) factual corrections and views on interpretation by key clients (including the UNDP CO, Regional Bureau and the Government) (b) a technical review by the EO and (c) a review by external experts. The EO will prepare an audit trail to show how these comments were taken into account. The team leader in close cooperation with the EO task manager shall finalize the ADR report based on inputs received.

Stakeholder meeting – A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in Peru. The main purpose of the meeting is to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at country level.

Phase 3: Follow-up

Management response – UNDP Associate Administrator will request relevant units (usually the relevant CO and RB) to prepare a management response to the ADR. As a unit exercising oversight, the Regional Bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

Communication – The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new Country Programme Document. It will also be widely distributed in Peru and at UNDP headquarters and copies will be sent to evaluation outfits of other international organizations as well as to evaluation societies and research institutions in the region. Furthermore, the evaluation report and the management response will be published on the UNDP website⁹³ and made available to the public. Its availability will be announced on UNDP and external networks.

⁹³ www.undp.org/eo/

6. MANAGEMENT ARRANGEMENTS

UNDP EO

The UNDP EO task manager will manage the evaluation and ensure coordination and liaison with RB other concerned units at headquarters level and the Peru CO management. The EO will also contract a research assistant to facilitate the initial desk review and a programme assistant to support logistical and administrative matters. The EO will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the team leader, international and national consultants, as well as the preliminary research and the issuance of the final ADR report. EO will also cover costs of any stakeholder workshops as part of the evaluation.

THE EVALUATION TEAM

The team will be constituted of *three* members:

- team leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report;
- team specialist, who will provide the expertise in the core subject areas of the evaluation, and be responsible for drafting key parts of the report;
- national consultant, who will undertake data collection and analyses at the country-level, as well as support the work of the missions;

The team leader must have a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programmes in the field. All team members should have in-depth knowledge of development issues in Peru.

The evaluation team will be supported by a research assistant based in the Evaluation Office in New York. The task manager of the Evaluation Office will support the team in designing the evaluation, will participate in the

scoping mission and provide ongoing feedback for quality assurance during the preparation of the inception report and the final report. Depending on the needs the EO task manager might participate to the main mission too.

The evaluation team will orient its work by United Nations Evaluation Group (UNEG) norms and standards for evaluation and will adhere to the ethical Code of Conduct⁹⁴.

THE COUNTRY OFFICE

The CO will support the evaluation team in liaison with the key partners, and make available to the team all necessary information regarding UNDP's activities in the country and contribute to organizing stakeholder meetings at the end of the evaluation process. The office will also be requested to provide additional logistical support to the evaluation team as required. The CO will provide support in-kind (for example office space for the evaluation team) but the EO will cover local transportation costs.

7. EXPECTED OUTPUTS

The expected outputs from the team leader are:

- An inception report (maximum 20 pages)
- A comprehensive final report on the Peru Assessment of Development Results (maximum 50 pages main text plus annexes)
- A two-page evaluation brief
- A presentation for the Stakeholder Workshop

The drafts and final version of the ADR report will be provided in *Spanish*. The published document will also be translated in to English.

⁹⁴ The UN Evaluation Group Guidelines (UNEG) *Norms for Evaluation in the UN System and Standards for Evaluation in the UN System* (April 2005)

Annex B

RESULTS FRAMEWORK

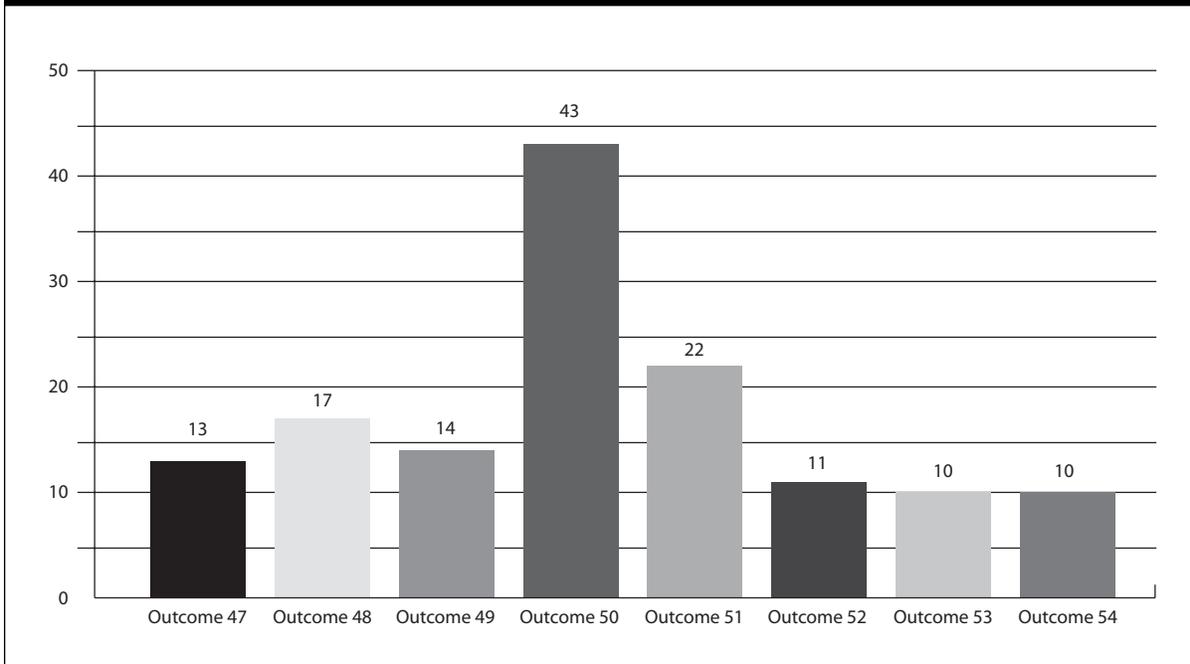
Table B.1 Comparison of Outcomes in the two programming cycles, UNDP Peru		
UNDP Focal Area	2001-2005 Outcomes	2006-2010 Outcomes
	<p>OUTCOME 1: Partnership established with the Government, main partners and UNCT to develop a consensual and broad base line allowing for monitoring progress made towards attaining the MDGs, and reflected in the MDGR.</p> <p>OUTCOME 3: Formulation of an expanded policy and implementation of sustainable development schemes by the national decision-takers .</p>	
Poverty reduction and MDGs	<p>OUTCOME 5: To support vulnerable groups affected by the economic and socio-political crisis.</p> <p>OUTCOME 43: Educational programmes and mobilization of civil society to prevent drug use and fight HIV/AIDS at national level.</p>	OUTCOME 47: Vulnerable groups affected by marginalization and socio-economic crises assisted with National Priority Programmes implemented with UNDP help.
	<p>OUTCOME 11: A: Implementation of training programmes to help civil society evolve national policies and dialogue;</p> <p>B: Creation of a prospective political dialogue forum comprising politicians, business leaders and civil society.</p> <p>OUTCOME 12: National strategies to provide neglected poor communities and groups with access to training in and use of Information Technology.</p> <p>OUTCOME 6: Improvement of the existing national programmes that support the financial sectors and increased knowledge of the importance of small grants in the eradication of poverty.</p> <p>OUTCOME 8: Support for the implementation of a cooperation system and fair competition.</p>	OUTCOME 48: Small-grant programmes and market access implemented for the poorest in at least two regions with UNDP support.
Democratic governance <i>(continued on next page)</i>	OUTCOME 24. Fortified local institutions and skills to implement decentralized programmes.	OUTCOME 49: State Regionalization and Decentralization Processes implemented with UNDP technical and operative support for central and regional bodies.

Table B.1 Comparison of Outcomes in the two programming cycles, UNDP Peru (continued)

UNDP Focal Area	2001-2005 Outcomes	2006-2010 Outcomes
Democratic governance (continued)	<p>OUTCOME 19: Support for the process of reforming the justice sector and creation of institutional skills.</p> <p>OUTCOME 21: To increase the knowledge of human rights and the legal and regulatory framework to improve access to justice.</p> <p>OUTCOME 22: Defensoría del pueblo (Ombudsman) and other human rights organizations, either existing and/or in operation, are effective.</p>	<p>OUTCOME 50: Administration of Justice and dissemination of Citizens' Rights improved with a contribution from UNDP, through the implementation of the recommendations of the CVR and the training of operators of the justice and Ombudsman sectors.</p>
	<p>OUTCOME 26: Improved efficiency and fairness in the delivery of public goods and services by means of privatization and franchise programmes as well as institutional fortification promoted and supported by UNDP, support for modernization of the public sector.</p>	<p>OUTCOME 51: Key sectors of the public administration modernized with UNDP support in its technical and operative management processes and strategic positioning in its areas of action.</p>
Crisis prevention and recovery	<p>OUTCOME 15: To fortify democratic government and improve the prevention and management of conflict by the use of democratic dialogue.</p>	<p>OUTCOME 52: Training in conflict prevention and handling at Central Government and Regional level, through the application of conflict identification and management tools and fortification of democratic dialogue.</p>
	<p>OUTCOME 38: Fortification of the national experience in the preparation, planning and mitigation of disasters.</p>	<p>OUTCOME 53: Training in risk prevention and response skills in respect of natural disasters provided with UNDP support, by including risk management in the national and regional development programmes.</p>
Environment and sustainable development	<p>OUTCOMES 28/31: The national Government meets its obligations under the conventions on biodiversity and climate change.</p> <p>OUTCOME 45: Support for private initiatives for the development and adoption of new technologies and varieties, leading to the elimination of the use of ODS.</p> <p>OUTCOME 34: Governments and local communities empowered to improve the management of the biodiversity and ecosystem services that they provide.</p> <p>OUTCOME 35: Framework of reformed policies and regulations to provide the poor with safe access to their right to biodiversity.</p>	<p>OUTCOME 54: Training in formulating environmental policies, designing regulations for the conservation and sustainable use of biodiversity and adaptation/mitigation of climate change fortified by the consolidation of public institutions and civil society at central, regional and local level.</p>

Source: UNDP Peru Office

Graph B.2 Number of projects by expected result (of the total effective projects)



Prepared by the evaluation mission from UNDP Peru Development Activities: Effective projects (selected by the UNDP Peru Office April 2009)

SELECTION OF THE PROJECT SAMPLE

1. SELECTION OF SAMPLE OF PROJECTS TO BE CONSIDERED

The selection of the project sample is based on the list of projects effectively implemented in the period under review. For this purpose, the UNDP Peru Office was asked for a shortlist.⁹⁵

The result was a collection of 140 projects approved since 2001, for which there were 83 Project Documents (Prodocs). The 140 projects comprise 20 programmes (with several projects per programme or award) and 98 independent projects. Around 90 percent of these are implemented nationally (NEX), equivalent to 97 percent of the registered financial volume in the Atlas.

As part of the sample-selection process, the programme management and officers were asked to classify their projects according to their strategic weight (high, average, low), so that those of greater importance for meeting UNDP objectives would have a greater chance of being selected.

Then the evaluation team selected projects implemented in both cycles, based on the following criteria:

- Degree to which the expected results (outcomes) are representative

- Degree to which the corporate areas covered by UNDP-Peru and the main sub-thematic areas in the Peru programme are representative
- Consideration of both programming cycles
- Evaluation of the strategic priority of projects and programmes according to the country office
- The existence of evaluations done on the project
- The possibility of visiting activities in the field

The result was a sample comprising 21 programmes and projects⁹⁶, which will be investigated in greater detail (Table C.1), including projects whose strategic priority the office had evaluated as high or medium. The financial volume of the projects in the sample accounts for around 45 percent of the total portfolio volume.

The global analysis of the portfolio will take account of the existence of projects of lesser strategic importance and the level of thematic concentration/de-concentration of the portfolio itself.

⁹⁵ Specifically, the following categories of projects, not considered “authentic” UNDP projects, were excluded by the country office: (i) Publications, advocacy activities and those of the HDI Unit; (ii) Infrastructural projects implemented by UNOPS; (iii) Projects of UNAIDS and other UN Agencies; (iv) Cancelled or suspended projects; (v) Projects registered but not implemented; (vi) Projects with little significant budget and cost (under \$20,000).

⁹⁶ The sample size corresponds to an average of seven projects per team member, determined according to practical feasibility guidelines.

Table C.1 Sample of projects and programmes to be assessed by ADR

Outcome*	Thematic area	Project	Cycle	Vol. US\$ million	Priority	Eval.	Geogr. AREA
50 (21)	Governance: H.R. and Justice (EB)	Support for the Disability Commission	I + II	0.191	high	yes	
50 (22)		Support for Defensoría del Pueblo	I	1	high	yes	Junin
		Support for the Truth Commission	I	sundry	high	planned	
47 (5; 43)	Poverty (RF)	Round Table	I + II	7.3	high	yes	Ica
		JUNTOS	I + II	28	high	yes	Junin
		Seeding	II	0.414	high	no	Ica, Junin?
		Work	I	28.75	high	yes	Junin, Arequipa
48 (6;8;11;12)		Small grants services	I	0.610	medium	no	
49 (24)	Governance: Regionalization (EB)	Support for the technical and operative modernization of the Junín Government	II	0.209	high	no	Junin
		UNDP support for regional development	II	2.224	high	no	
51 (26)	Governance: State Modernization (MR)	Support for promoting private investment	I	13.1	medium	no	
		Modernization of APCI	I	0.831	high	no	
		Technical fortification of Congress	II	2.493	high	no	
		Modernization of MINCETUR	I	16.6	high	no	
		SERVIR	II	being appr.	high	no	
52 (15)	CPR (EB)	Conflict Prevention (EC)	II	0.537	medium	no	
		National Agreement	I + II	Sundry	high	yes	
53 (38)		Earthquake consolidation	II	2.122	high	no	Ica
		Improve INDECI Management	I	30	high	no	
54 (28; 32; 34; 35 45)	Environment and Energy (RF)	Cotahuasi	I	0.870	high	yes	Arequipa
		Conservation and sustainable use of Amarakeri indigenous land	I	0.964	medium	yes	Madre de Dios
145.9 m = 45% of total portfolio volume							

RF = Rosa Flores EB = Elsa Bardález MR = Markus Reichmuth

*Outcomes according to 2006 "Project tree" in parenthesis.

Annex D

EVALUATION CRITERIA AND SUBCRITERIA

Table D.1 Evaluation criteria and sub-criteria

Programming Level: Contribution to Development Results	
Criterion	Key indicators, questions
Effectiveness	<ol style="list-style-type: none"> 1. Comparison between expected and effective achievements.⁹⁷ Application of the UNDAF-UNDP outcome indicators (if relevant). 2. Did the target communities benefit from the results? 3. Possible unanticipated results (positive and negative). 4. Level of learning from the experience, and potential for replication of successful experiences.
Efficiency	<ol style="list-style-type: none"> 1. Management efficiency: <ul style="list-style-type: none"> • according to the Balanced Scorecard parameters • disbursements • deadlines • costs/benefits • prompt delivery of reports • effectiveness of the monitoring and evaluation system 2. Programming efficiency: Did UNDP concentrate on key sectors or areas or increase the number of initiatives? 3. Is UNDP able to exploit synergies and potential connections between UNDP projects and those of other partners?
Sustainability	<ol style="list-style-type: none"> 1. Exit strategy planned from the outset and monitored. 2. Institutional continuity. 3. Ensured post-project financing: public sector resources (human, financial) and inclusion in the State or local government budget. 4. Participation and commitment of communities or users. 5. Were technical skills created? 6. Environmental sustainability.

⁹⁷ Interventions on governance often have long-term benefits. One way to gauge effectiveness is to ask about institutional/legal repercussions (laws or specific institutions, for example, and their current/eventual state) and about the processes that have been generated.

Table D.1 Evaluation criteria and sub-criteria (continued)

Strategic Level	
Criterion	Key indicators, questions
Relevance	1. Compatibility of UNDP strategies and interventions with: <ul style="list-style-type: none"> • National strategy and policy • UNDP corporate strategies and principles • Regional and international strategies and instruments 2. Compatibility with the country's needs, sustained by consistent analysis. 3. Executability, capability of national partners.
Responsiveness/ adaptability	1. Ability to respond to requests from partners and emergencies 2. Ability to respond to demands without sacrificing long-term basic objectives: balance between the short and long term.
Partnerships	1. Capitalization of partnerships to increase the impact <ul style="list-style-type: none"> • State/sector public sector • International cooperation (bilateral/multilateral) • Civil society • Private sector • Others
Strategic Level - Transverse Axes	
Subject	Key indicators, questions
Sort	1. Formulation and application of sexual equity approaches. Are the approaches concrete? 2. Results registered broken down according to sex.
Advocacy and player liaison	Effectiveness of advocacy methods (e.g. have efforts/choices/initiatives resulted in institutionalization? Has there been continuity of action/initiative by those who advocate? <ul style="list-style-type: none"> • Contacts with the Government • Contacts with the Parliament • Contacts with the mass media • Contacts with other donors • Contacts with civil society • Contacts with agencies • Synergies between projects
Coordination of External Cooperation and within the UNS	1. Level of UNDP programming coordination with other United Nations system agencies in the UNDAF context. 2. Optimization of the comparative advantages of UNDP with respect to the various agencies.
South-South cooperation	Use of experiences/skills of other developing countries.
Development of capacities	Some of these aspects will be considered under the effectiveness criterion. Some additional considerations may be devoted to the subject of public-programme management.
Management⁹⁸	Human organization and resources Financial management (including ATLAS) Follow-up, monitoring and evaluation of the activities Knowledge management, passing on the lessons learned

⁹⁸ The management aspects will be taken into account to the extent that they explain the results and the strategic positioning.

Table D.2 Subjects for focal groups

Strategic level of the Programme			
	Thematic area	Corresponding Outcomes	
1	Governance: HRs and justice	21/22/50: Administration of justice and dissemination of improved citizens' rights, implementing of the CVR recommendations and training of the justice sector and Defensoría del Pueblo.	The people to invite will be defined by the evaluation team
2	Governance: Modernization of the State	26/51: Key sectors of the public administration modernized (technical management, operative and strategic positioning).	
3	Poverty: Social agreement and projects	43/47: Vulnerable groups, affected by marginalization and socio-economic crises, catered to by high-priority national programmes.	
4	CPR: National Agreement and conflict prevention	15/52: Creation of skills to prevent and handle conflicts at central and regional levels with tools for identifying and managing conflicts and strengthening democratic dialogue. 38/53: Creation of risk-prevention and response skills to deal with natural disasters.	
5	MA: Sustainable handling of natural resources and energy	28/31/34/35/45/54: Training to formulate environmental policies, regulatory frameworks for the conservation and use of sustainable biodiversity and adaptation to and mitigation of climate change.	
Transverse subjects			
	Thematic area	Institutions/people to invite	
6	International cooperation coordination	Peruvian International Cooperation Agency Multilateral banks One or two bilateral agencies Specialist analysts UNS Resident Representative	
7	Coordination of the UN System	Agency representatives	

Table D.3 Questionnaire for evaluation interviews

Project: _____ Place: _____
 Date: _____
 Person(s) interviewed: _____
 Interviewer: _____

Criterion	Sub-criterion	Answers
Programme: Effectiveness	Objectives obtained? % Who/how many benefited? Unanticipated results (+/-) Lessons learned/expansion?	
Programme: Efficiency	Synergies between UNDP projects (examples)?	
Programme: Sustainability of results	Is/was there an exit strategy? What? Any local staff trained? Will project/results be continued by counterpart (staff, budget)? Have beneficiaries and communities been empowered? Environmental sustainability?	

Transversal subjects

Gender equity	Were concrete approaches and measures applied? Which? Did results differ by gender?	
Advocacy	Does the project advocate in favour of human development values? Which? How?	
Liaison of players	Was player liaison facilitated (which would not have happened without UNDP)?	

Strategic aspects

Criterion	Sub-criterion	Answer
Relevance	Essential subject? Relevant actions? In keeping with the needs of the poor? Balance of "macro-micro" actions?	
Responsiveness	Was a response given to beneficiaries' requests? Were short-term responses balanced against long-term objectives?	
Partnerships	Were alliances forged for greater effect (civil society, Government bodies, private sector, media, academia, etc.)? Is UNDP a substantive partner for the Government. (not only administration)? Relation with funders?	

Table D.4 Project sheets

A. Project Identification

1. No. 2. Project Code: 3. Atlas Project Code:

3. Project name : PILOT APPLICATION OF CITIZEN SUPERVISION IN JOINT SOCIAL PROGRAMME

4. Result to which it responds: 51

5. Areas:

5.1 Democratic Governance 5.3 Crisis Prevention and Recovery

5.2 Poverty Reduction 5.4 Environment and Energy

6. Project type:

6.1 NEX 6.2 DEX 6.3 NGO 6.4 N/A

Project	7. Start Date	8. End Date	9. Duration	10. State*
54115	2007	2009	3 years 1 month	1

* 1= In progress 2 = being closed 3 = closed

11. Institution executor: AUDITOR-GENERAL OF THE REPUBLIC

12. Total budget:

Project	Total	UNDP Contribution	Other sources	Name of the financial source
54115	\$20,000			

Observations: _____

Annex E

SOCIO-ECONOMIC INDICATORS

Table E.1 Human Development Indicators				
% (rank)	Peru	Chile	Latin Am.	Middle Inc.
HDI – index				
Human development index (value), 2006 [2005 for aggregates]	(79) 0.788	0.874	0.803	0.776
Human Poverty Index (HPI-1), 2005	(28) 11.6	3.7	–	–
Population living below \$2 a day (%), 2005	19.4	5.3	–	–
Population living below national poverty line 2000-2006*	53.1	17.0	–	–
Life expectancy index, 2005	0.761	0.889	0.797	0.764
Education index, 2005	0.872	0.914	0.873	0.843
Healthy Life				
Life expectancy at birth (years), 2005	70.7	78.3	72.8	70.9
Infant mortality rate (per 1,000 live births), 2005	23	8	26	28
Under-five mortality rate (per 1,000 live births), 2005	27	10	31	35
Maternal mortality ratio (per 100,000 live births), 2005 adjusted	240	16	–	–
Probability of not surviving past age 40 (% or cohort), 2000-2005	9.7	3.5	–	–
Population undernourished (% of total population), 2002-2004	12	4	10	11
Children underweight for age (% ages 0–5), 1996-2005	8	1	–	–
People without access to an improved water source (%), 2006*	7	5	9	16
Public expenditure on health (% of GDP), 2004	1.9	2.9	–	–
Education				
Adult literacy rate (% aged 15 and older), 1995-2005	87.9	95.7	89.9	89.9
Net primary enrolment rate (%), 2005	96	90	94	93
Net secondary enrolment (%), 2005	70	–	68	70
Public expenditure on education (% of GDP), 2002-2005	2.4	3.5	–	–
Capabilities of Women				
Gender-related development index (GDI) value, 2005	(76) 0.769	0.859	–	–
Gender empowerment measure (GEM), 2005	(32) 0.636	0.519	–	–
Seats in parliament held by women (% of total), 2005	29.2	12.7	–	–
Female professional and technical workers (% of total), 2005	46	52	–	–
Technology Diffusion				
Telephone mainlines (per 1,000 people), 2005	80	211	–	211
Cellular subscribers (per 1,000 people), 2005	200	649	439	279
Internet users (per 1,000 people), 2005	164	172	156	115
Patents granted to residents (per million people), 2000-2005	0	1	–	–
GDP, Population, Inequality				
GDP per capital, (PPP US\$), 2005	6,039	12,027	8,417	7,416
Population, total (millions), 2005	27.2	16.3	556.6	–
Fertility rate, total (births per woman), 2000-2005	2.7	2.0	2.5	2.1
Gini index, 2003 [Argentina: 2004]	52	54.9	–	–
Share of income, poorest 20%, 2003	3.7	3.8	–	–
Share of income, richest 20%, 2003	56.7	60	–	–

Source: HDR report 2007/2008 & HDI 2008 update

* HDI 2008 [tables]

Annex F

LIST OF PERSONS CONSULTED

PERSONS INTERVIEWED DURING THE ADR – UNDP MISSION

PUBLIC BODIES

- Alejandro Sánchez, Manager, CERX-Mincetur, Regional Government of Junín.
- Alfredo Pérez Galeno, Project Manager, *Ciudades Sostenibles*, National System for Civil Defence - INDECI
- Antonio González Norris, Department for Cooperation and International Negotiations, Ministry of Environment – MINAM.
- Aurelio Pastor Valdivieso, Member of the Congress and President of the Aprista Parliamentarian Unit, Congress.
- Aurora Riva Patrón, Jefa, Strategic Development Office, International Cooperation and Investments, Defensoría del Pueblo
- Luis Enrique Chavez, Permanent Representative, Peru Mission, UN
- Carlos Pando, Executive Director, Peruvian Agency for International Cooperation (APCI)
- Carlos Trujillo, National Director – Project 54278, Office of Planning, Budget and International Cooperation, Congress.
- Carmen Vildoso, Ministra, Ministry of Women and Social Development
- César Delgado Guembes, Head of the Documentation Center and Library (y ex Official Mayor), Congress.
- Dana Cáceres, Technical Secretariat team, National Agreement
- Enrique Aldave, General Manager, Regional Government of Junín.
- Federico Arnillas, Coordinator of the National Round Table on Combating Poverty.
- Félix Grandez, Technical Secretary of the National Round Table on Combating Poverty.
- Guido Lombardi, member of Congress, and former president of the Special Commission for the MDGs, Congress.
- Haydee Yong Lee, in-charge of the Vice Ministry of Housing and Urbanization Programmes, Ministry of Housing Construction and Sanitation.
- Isabel Chávez Aliaga, Parliamentarian Specialist from the Legal Office, *Procuraduría y Defensa de las Leyes* (and former official, Office of Planning, Budget and International Cooperation) Congress.
- Jacqueline Calderón, Director of the Administrative System III, Ministry of Justice.
- Jaime Márquez, Capacities Advisor, Decentralization Secretariat, Presidency of the Cabinet of Ministers
- Javier Masías, Director-General of Planning, Budget and Development, Ministry of Foreign Trade and Tourism.
- Jesús Vidalón Orellana, President of the Directorate and former vice-minister of housing, MiVivienda Fund.
- José Luis Álvarez Ramos, Regional Manager for Economic Development, Regional Government of Junín.
- José Reátegui, Consultant, Regional Government of Junín.
- Kathy Fernández, *Escuela de Control, Contraloría General de República*.
- Lily Loo-Kung Lee, Consultant, Ministry of Housing Construction and Reorganization
- Lourdes Murillo Principe, Bureau of Management and International Negotiation, APCI.
- Luis Gaviño, Director, *Escuela de Control*, Comptroller General of the Republic.

Luis Miguel del Águila, Parliamentary Specialist, Special Commission on Disability, Congress.

Marco Antonio Núñez del Prado, Alternate National Director, Project 54278, Chief, Office of Planning, Budget and International Cooperation, Congress.

María del Carmen Bastos Ruiz, Assistant Executive Director – APCI.

María Ines Barnechea, Administrative Coordinator, Bureau for Cooperation to Combat Poverty.

María Isabel Gonzáles, Advisor to the Minister, Ministry of Women and Social Development.

María Rosa Boggio de Iguíñiz, Social Development Deputy Minister, Ministry of Women and Social Development.

Max Hernández, Technical Secretary, National Agreement.

Milagros Nuñez, Executive Director, JUNTOS.

Nelson Shack, Project Coordinator-General JUSPER (World Bank) and Judicial Adviser.

Nilo Delgado, Head of Budget, Bureau of Promotion of Private Investment, PROINVERSION.

Nuria Esparch, Executive President, National Civil Service Authority – SERVIR.

Paola Bustamante, Director of Management and International Negotiations, APCI

Patricia del Pilar Espichán, Manager, General Office of Administration, APCI

Percy Alvarado Vadillo, International Affairs and INDECI Cooperation, Andean Community

Raúl Molina, Secretary of Decentralization, Presidency of the Cabinet of Ministers

Renzo Chiri, Advisor to the Minister of Defence, Ministry of Defence

Rodolfo Fierro, Administrative Coordinator of the PMDE, PCM

Rosario Cerdán, *Escuela de Control*, Office of the Comptroller General of the Republic of Peru.

Rosario Dongo, Finance Manager, PROINVERSION

Soledad Bernuy, Project Manager, *Biblioteca Virtual*, APCI

Víctor Guerrero, Director-General, Congress.

Victor Hugo Neciosup, Parliamentarian Specialist of the Investigation Centre, Thematic Analysis and Statistics, Congress.

Vladimiro Huaroc, President of the Regional Government of Junín

INTERNATIONAL ORGANIZATIONS

María del Rocío Vesga, Consultant, Inter-American Development Bank

Rafael Roncagliolo, Manager for the Andean Countries, IDEA International, former Technical Secretary of the National Agreement

NGOS/CIVIL SOCIETY

Antonio Zapata, Institute for Peruvian Studies

José Carlos Agüero, National Coordinator for Human Rights

José Élice, Executive Director, *Reflexión Democrática*; former General Secretary, ex Manager of the consultants cabinet of PCM; ex *Oficial Mayor* at the Congress

Martin Pérez, National Coordinator for Human Rights

Pilar Nores de García, President of the *Sembrando* Programme, *Trabajo y Familia* Institute

Ronald Gamarra, Executive Secretary, National Coordinator for Human Rights, former anti-corruption solicitor

Virginia Borra, Trabajo y Familia Institute

UNDP – UNITED NATIONS

Jorge Chediek, Resident UNDP Representative, Resident Coordinator UN - Peru

Martín Santiago, former Resident Representative (2003-2005) - telephone interview

Kim Bolduc, former Resident Representative (1997-2003) - telephone interview

Silvia Rucks, Deputy Representative,
UNDP-Peru

José González-Vigil, Programme Manager

Alfonso Yong, Operations Manager

Alberto Suppa, Monitoring and Evaluation
Specialist

Helena Flores, Consultant, Ex Spanish Deputy

James Diego Leslie, In-Charge, Environment
and Climate Change

José Arias, Coordinator

Juan de la Puente, Advisor for Decentralization;
Technical Committee for the National
Agreement; former presidential adviser for
Governance and Civil Society relationships
(for President A. Toledo)

Luis Vargas Aybar, Special Advisor for
Representation

Manuel Flores, Consultant , former Uruguay
Senator

Mario Solari, Programme Official

Modesto Chalco, AmaraKaeri Programme
Director

Pilar Sifuentes, Programme Official

Raúl Salazar, Programme Official

Silvia Anicama, Programme Analyst

Susana Gatto, LAC Oversight & Support
Coordinator

Myriam Mendez Montalvo, BDP/Democratic
Governance Group

Carlos Vergara, Political Affairs Specialist, UN
/DPA

Delfin Ganapin, Global Manager - PPD

Catarina Oliva Monti, Programme Analyst,
Punto Focal, Social Responsibility and
HIV- AIDS.

Lisbeth Nuñez, *Punto Focal*, UNIFEM

Andrea Staeheli, Reactivación Economica
Local, CCNU-UNDP

Belsy Vásquez, Consultant for *Reactivación
Económica*, CCNU-UNDP

Boris Izaguirre, Housing Advisor,
CCNU-UNDP

Carla Márquez, Information Consultant,
CCNU-UNDP

Claudia Vergara, Information System Network,
CCNU-UNDP

Douglas Azabache, Housing Promotion and
Territorial Management, CCNU-UNDP

Henry Flores, UNDP Coordinator in Pisco

Hernán Chipana Huarcaya, Main Advisor,
UNDP

Julio Rojas, Coordinator, CCNU in Ica

Rosario Bendezú Herencia, Main Consultant,
UNDP

PRIVATE SECTOR/ ACADEMIC INSTITUTIONS

Aida Ugarte Cáceres, Administrator,
IDEHPUCP, ex-CVR Team

Beatriz Alva Hart, Consultant, former Congress
member, former Vice-minister of Work,
ex-CVR Commissioner

Fernando Villarán, Director, SASE

Iris Jave, Coordinator, Public Affairs and
Communications, IDEHPUCP, ex-CVR
Team

Jorge Danós, Abogado, Ehecopar study; former
Congress Advisor and former Chief Advisor
to the PCM

Salomón Lerner Febres, Executive President,
IDEHPUCP, former CVR President

Víctor Quinteros Marquina, Projects Assistant,
IDEHPUCP, ex-CVR Team

Walter Albán, Dean of the Law Faculty,
Pontificia Católica del Peru University, ex
Defensor del Pueblo(e)

VISIT TO ICA, PISCO, CHINCHA

PUBLIC BODIES

Carlos Quintanilla, FORSUR Coordinator,
Provincial Municipality of Pisco

Claudio Villaverde de la Cruz, Director and
Juridical Advisor, Provincial Municipality of
Pisco

Domingo Farfán Alcalde, Tambo de Mora
Municipality

Eduardo Figueroa Cersso, Technical Secretary of Civil Defence, Provincial Municipality of Pisco

Emilio Prado Magallón, Tambo de Mora Municipality

Fabiola Malpica, Planning Office, Tambo de Mora Municipality

General Manager of Ica.

Gumerendo García, Chief of *Entrega de Modules*, Provincial Municipality of Pisco

Gustavo Apartana Calderón, Tambo de Mora Municipality

Javier Galvez, Municipal Manager, Tambo de Mora Municipality

Jorge Bardáles GRUSC, Manager of *Participación Vecinal*, Provincial Municipality of Pisco

Jorge Luis Pineda Urbano, Public Receptionist, Provincial Municipality of Pisco

Luis Hernandez Director, Pisco Hospital, Region Chief, Ministry of Health.

MEF/SNIP Official in Ica

Municipal Regent of Santiago

Municipal Regent of Ica

Representative of *Construyendo Peru* in Ica

Representative of INDECI Ica

Rómulo Triveño Pinto, Regional President of Ica, Regional Government

Rubén Velásquez, Mayor, District Municipality of Tinguíña

INTERNATIONAL ORGANIZATIONS

Ascensión Martinez, Chief of Operations, Red Cross International Federation-FICR

Representative of GTZ

Canadian NGO Representative in Ica

NGOS/CIVIL SOCIETY

Alaín Coila, Director, Association of Enterprising Women of the Rural District of San Andrés, PPD beneficiaries

Alejandro Pisconte, Director, Jacques Cousteau Project Association, PPD beneficiaries

Armando “Cato” Legua Sueldo, *Alto el Molino* Manager, Advisoría a caso piloto de aplicación de proceso de expropiación

Daniele Ingratoci, Coordinator, SEA Educational Services *El Agustino* and Round Table on Institutional Development UNDP- Italian NGO ASPEN

Delia Cruz, President, Parcona Women’s Association

Delia de la Cruz and Associates, Manager, Colina de Villa resettlement advisory

Demecio Osorio Huacho, Director, *Nueva Juventud* Housing Association, Dios de Paracas city, PPD beneficiaries

Managers of the Livestock Farmers Association of Los Tunos

Elder Agüero Rospigliosi Supervisor, ADRA

Eloisa Ríos Cáceres, Director, Association of Enterprising Women of the Rural District of San Andrés, PPD beneficiaries

Elsa Saravia Paucar, Director, Community of artisanal extraction and marine fishery, PPD beneficiaries

Joana Manrique Morán, Director, Sightless Persons Association, PPD beneficiaries

Luis Manrique Morán, Director, Sightless Persons Association, PPD beneficiaries

Mida Castillo, Habitant of Pisco Playa, advisory for resettlement in critical situations

Miriam Rios Cáceres, Director, Association of Enterprising Women of the Rural District of San Andrés, PPD beneficiaries

Representative the Human Rights Commission of Ica

Representative of Ayacucho’s Displaced Populations

Representative of Women’s Federation of Ica

Segundo Rabanal Carrascal, Responsible, *Acción Social* Episcopal Commission - CEAS

Víctor Palacios Córdova, Project Coordinator, SEA Educational Services *El Agustino* and Round Table on Institutional Development UNDP- Italian NGO ASPEN

PRIVATE SECTOR

Fernando Koechlin, General Manager,
AproPisco, ex FORSUR
Ica Chamber of Commerce Representative

UNITED NATIONS SYSTEM

Carla Merediz, Communicator/Facilitator, UN
Volunteers
Celso Bambarén Alatrística, Project Manager
Emergencia del Sur, PAHO
José Vásquez, Emergency Coordinator,
UNICEF

VISIT TO TACNA

PUBLIC BODIES

Edgardo Flores Tacna, MLCP Regional
Coordinator
Fredy Cabrera, Social Development Manager,
Regional Government of Tacna
Hugo Ordoñez, President, Regional
Government of Tacna
Julio Peralta, Regional Counsellor, Regional
Government of Tacna
Maixa Vargas, MLCP Technical Secretariat of
Tacna
Marcial Turco, Social Development Manager,
Regional Government of Tacna
Noel Salazar, General Manager, Regional
Government of Tacna
Noemí Yatto Becerra, Tacna MCLP Member
Ralfó Liendo, Natural Resources and
Environment, Regional Government of
Tacna
Tomas Laqui, OPI Director, Regional
Government of Tacna

PARTICIPANTS FROM WORKING GROUPS

GOVERNANCE: STATE MODERNIZATION BY SECTORS

Ana Teresa Martínez Zavaleta, Ministry of
Production
Angel Jáuregui, Administrative Coordinator,
Judiciary
Christian León, General Coordinator of
Revalora Peru, Ministry of Work and
Promotion
Elena Pila, Director of the Oficina de
Cooperation Técnica Internacional,
Judiciary
Juan José Cárdenas, Advisor, Ministry of
Education
Luis Tagle Pizarro, National Director of
Urbanism, Ministry of Housing
Patricia Muñoz, Director of the General Office
for Social Communication, PCM
Víctor Gálvez, Ministry of Education

GOVERNANCE: HUMAN RIGHTS AND JUSTICE

Gino Costa, President, *Ciudad Nuestra* (ex
Minister of Interior, ex *Defensor del Pueblo*
Deputy)
Gisella Vignolo, Deputy for Human Rights and
Disabled Persons, Defensoría del Pueblo
Irma Beteta, CONADIS
Martín Portugal, Planification Chief,
CONADIS
Sofía Macher, President, CNR (former CVR
Commissioner)
Sonia Malca Silva, Vice president,
CONFENADIP

GOVERNANCE: DECENTRALIZATION AND REGIONALIZATION

Carlos Dianderas, Advisor, Congress
Gustavo Guerra-García, Technical Secretary,
Regional Governments, National Assembly

Jaime Márquez, Capacity Advisor,
Decentralization Secretariat, PCM
Mario Bazán, Executive Director, National
International Forum
Remigio Morales Bermúdez, Director, *Intenor*

GOVERNANCE: NATIONAL AGREEMENT

Andrés Reggiardo, *Cambio 90*
Fernando Andrade Carmona, *Somos Peru*
Javier Ocampo, National Secretary for
Communication, *Nueva Mayoría*
María Luisa Valdez, General Secretariat,
National Agreement
Mesías Guevara, General Secretary, *Acción
Popular*
Otto Cebreros, *Partido Popular Cristiano*

POVERTY AND MDGS: AGREEMENTS AND PROJECTS

Martín Pérez, *Construyendo Peru*
Janeth Díaz Morales, *Construyendo Peru*
Enrique Neuhauser, Inclusive Programme for
Rural Business Development, COFIDE
Enrique Kitamoto, Inclusive Programme for
Rural Business Development, COFIDE
Miguel Mejía, *Sembrando*
Roxana García Bedoya, *Consultanta*
Félix Grandez, Technical Secretary, MCLP
Freddy Bustamante Arce, *Juntos*
Elizabeth Castillo, *Juntos*

POVERTY AND MDGS: SOCIAL PROGRAMMES

Elena Ramos, Chief Advisor, Cabinet, Ministry
of Women and Social Development
Judith Guabloche, Chief of Social and Regional
Politics, BCR
Adelaida Prado, MDGs
Leonor Porles, CAN
Melva Bernales, *Consultanta*, World Bank
– Nicaragua

CRISIS PREVENTION AND RECOVERY: EMERGENCIES AND CONFLICTS

Efraín Vilca, Advisor to Minister Nidia Vilchez,
Ministry of Housing Construction and
Reorganization
Félix Miranda Reyes, Chief Unit for Planning,
Programming and Reorganization,
Ministry of Housing Construction and
Reorganization
Gustavo Riofrío, Investigator, DESCO
Rolando Luque, Deputy for Social Conflicts
Prevention and Governance, Defensoría del
Pueblo

COORDINATION OF THE UN SYSTEM

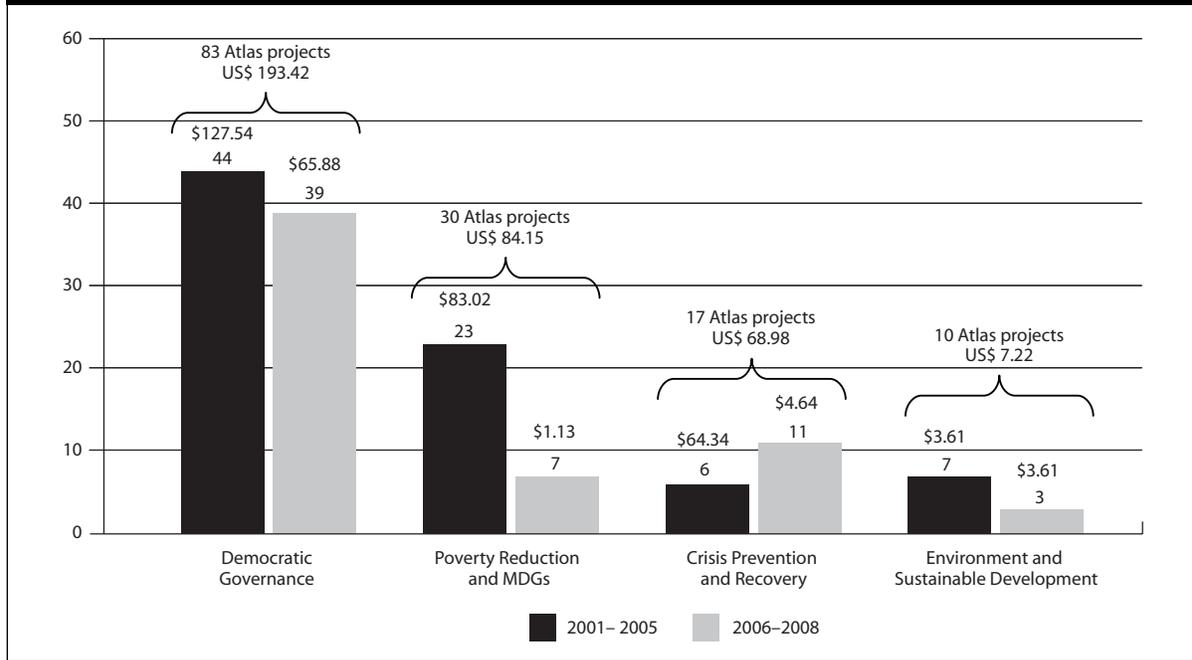
Eduardo Daccarett, Deputy Director, Sub-
regional Office for Andean Countries, ILO
Guido Cornale, UNICEF
Guy Gauvreau, Deputy Representative, WFP
Hugo Tamayo, Consultant, PAHO/WHO
Katherine Muller-Marin, Representative,
UNESCO
María Inés Scodellari, Information Official,
UNIC Peru
María Mercedes Barnechea, Auxiliary
Representative, UNFPA
Pilar Norza, Regional Office Director, IOM

COORDINATION OF INTERNATIONAL COOPERATION

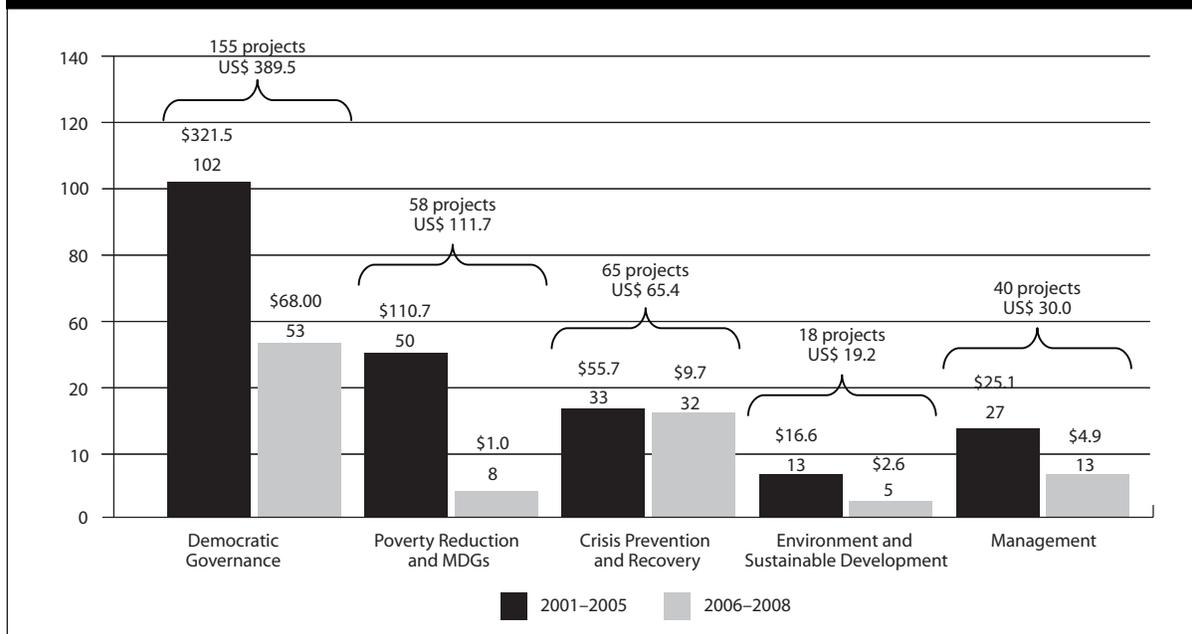
Silvia Rucks, Deputy Resident Representative,
UNDP.
Annika Anchorena, Coordinator, ASDI
Michael Rosenauer, Programme Manager
PROAGUA, GTZ
Carlos Latorre, Programme in-charge, AECID
Luis Puentes, Programme in-charge, AECID
Leonos Suárez, Programme Official, European
Commission Delegation
German Zappani, Financial Specialist /Chief
Operations, IDB
Allyson Phelps, Programme Official, USAID

FINANCIAL TABLES

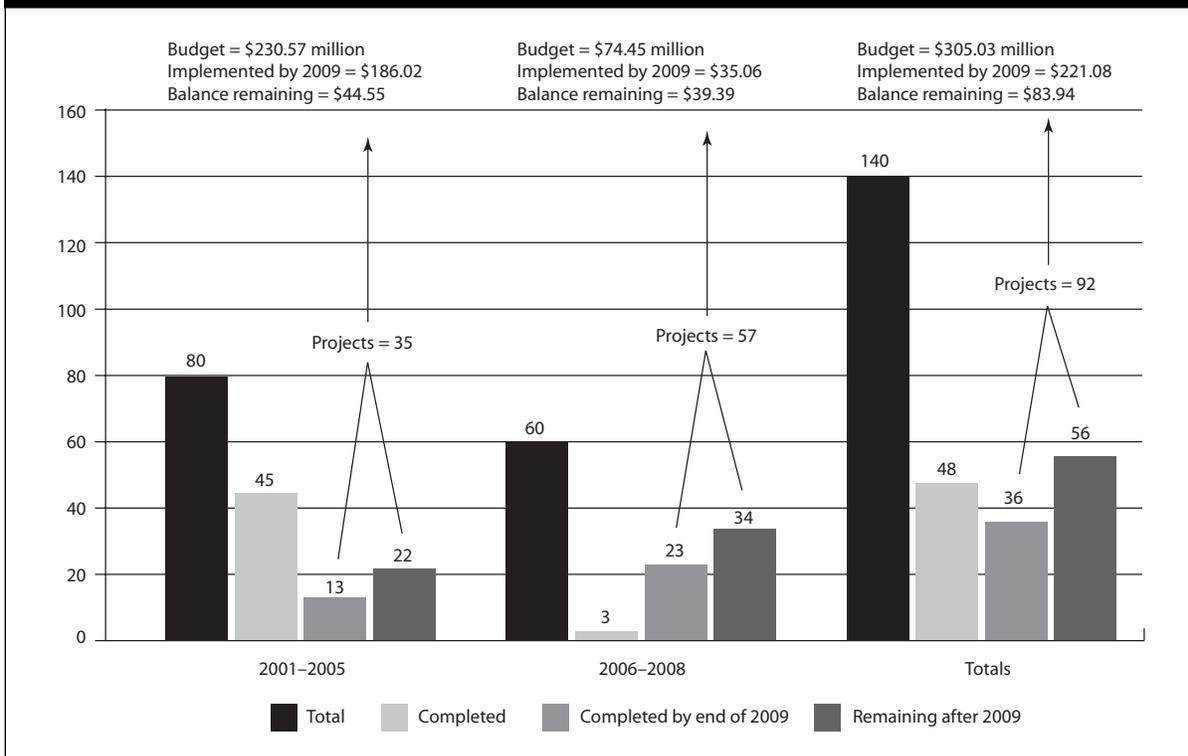
Graph G.1a Portfolio of development projects in each programming period according to area (number of projects and dollars million)



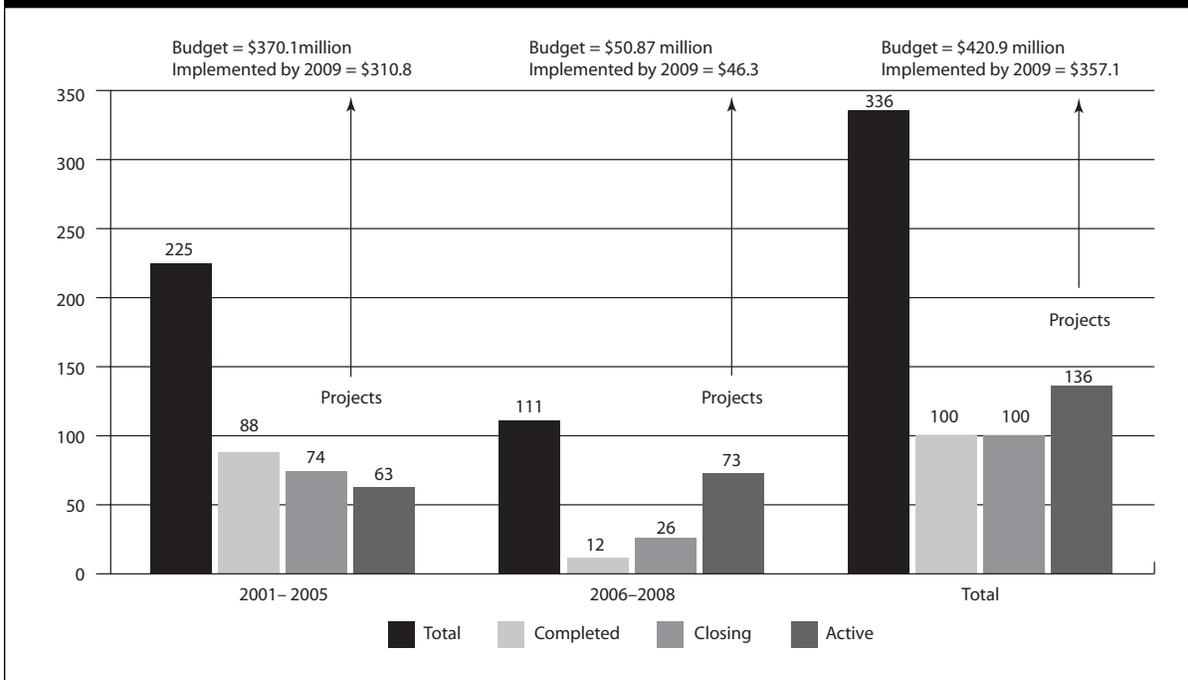
Graph G.1b Portfolio of total Atlas projects in each programming period according to area (number of projects and dollars million)



Graph G.2a Situation of development projects according to starting period



Graph G.2b Situation of Atlas projects according to starting period



Source: Atlas and UNDP Peru Office 2009

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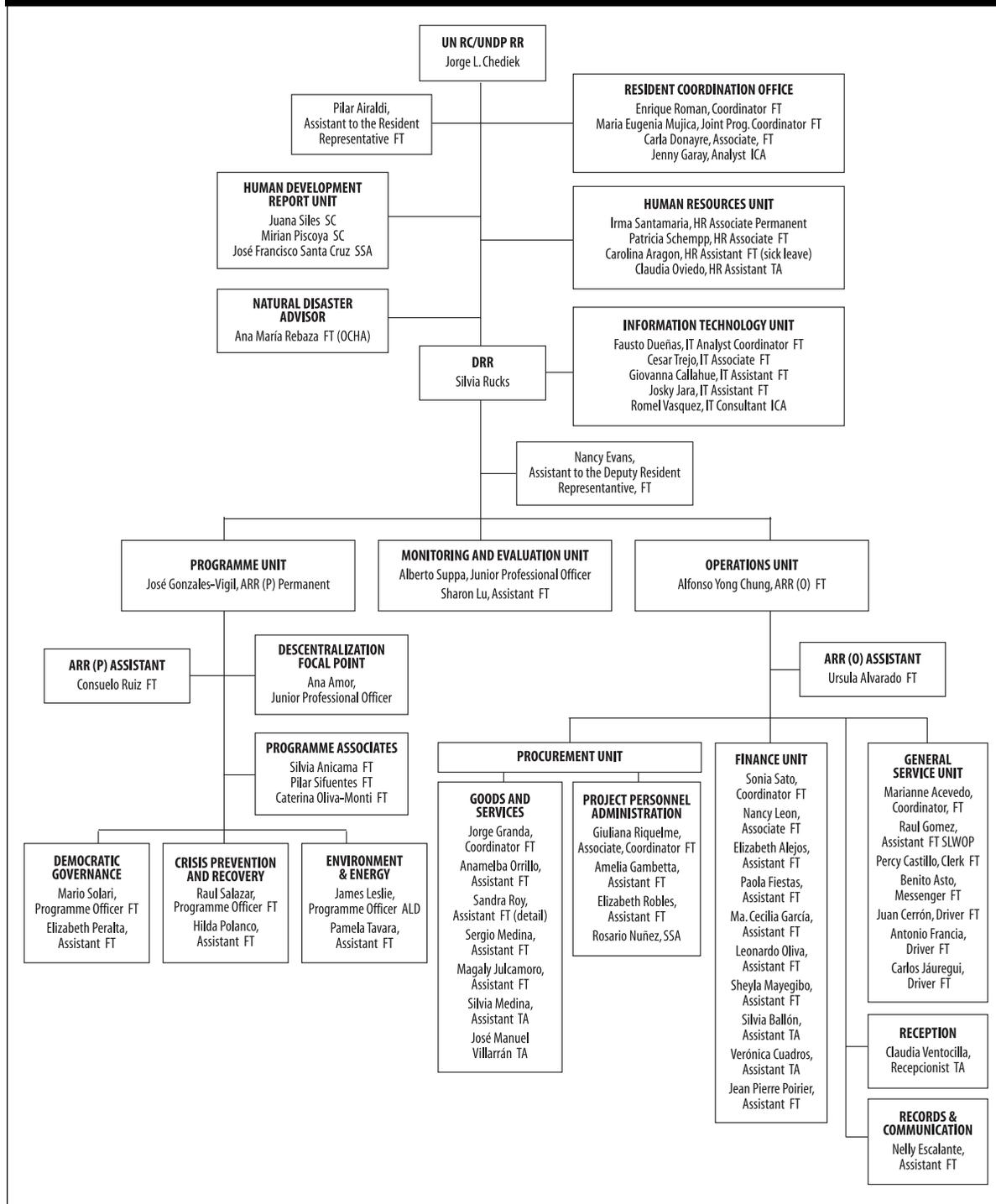
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UNDP-PERU ORGANIZATIONAL CHART

Graph I.1 UNDP-Peru organizational chart





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