TERMINAL EVALUATION OF THE UNEP / GEF PROJECT 2095 "SUSTAINABLE MANAGEMENT OF THE WATER RESOURCES OF THE LA PLATA BASIN WITH RESPECT TO THE EFFECTS OF CLIMATE VARIABILITY AND CHANGE"

Evaluation Office of UN Environment Programme
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Front cover: Uruguay River, Salto Grande

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Terminal Evaluation of the project: Sustainable management of the water resources of the La Plata Basin with respect to the effects of climate variability and change
GEF ID: 2095
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ABOUT THE EVALUATION

Report Language: English

Evaluation Type: Terminal Evaluation

Brief Description: This report presents the results of the Terminal Evaluation of the UNEP-GEF project Sustainable management of the water resources of the La Plata Basin (LPB) with respect to the effects of climate variability and change, implemented between 2011 and 2016. The project's overall goal was to strengthen transboundary cooperation among the riparian country governments of Argentina, Bolivia, Brazil, Paraguay, and Uruguay to ensure management of shared water resources of the LPB in an integrated sustainable manner, within the context of climate variability and change, while capitalizing on development opportunities. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partner, the relevant agencies of the project in the participating countries, project stakeholders, and broader international community involved on IWRM of transboundary river basins.

Key words: water; climate change; climate variability; IWRM; TDA; SAP; Transboundary; River; Aquifer; International Waters; La Plata Basin.

About the Evaluation Consultants

Alex Pires is a civil engineer and sustainability specialist with 19 years of experience working with more than 30 countries in 3 continents on complex operations on water, environment and climate for both public and private sectors. He has led and participated in more than 40 projects and programmes at local, national and global level. He has worked across the whole project cycle from planning, design and execution, to monitoring, reporting and evaluation, closely working with businesses (from diverse industries such as energy and agriculture); governments; multinational organizations; development banks; global funds; NGOs; research institutions; and think tanks.

Over the last 13 years, he has developed a profoundly rich international background in the provision of specialized services, particularly through my work within Multilateral Organizations (such as the UNEP) and private sector (including EU and US companies). This includes:the creation of 70+ knowledge products such as manuals, handbooks, technical notes, reports, papers, etc; the organization of more than 30 capacity building and outreach initiatives, such as seminars, conferences, trainings sessions, webinars, and structured dialogues; and - the development of international networks in support of public-private cooperation. His work has been acknowledged with 16 awards given by relevant institutions such as UN-Habitat and development agencies.He is proficient in English, Spanish and Portuguese with basic level of French and Catalan, and notions of German, having lived and worked in Barcelona, Panama, UK and Brazil.

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APPR	Annual Project Performance Report
CAB	Cultivando Agua Boa
CAF	Latin American Development Bank
CIC	Intergovernmental Coordinating Committee of La Plata Basin
DSS	Decision Support System
DPP	Demonstration Pilot Project
EA	Executing Agency
EOU	Evaluation Office of UNEP
FMO	Fund Management Officer
GEF	Global Environment Facility
GS/OAS	General Secretariat of the Organization of American States
IA	Implementing Agency
ILC	Indigenous people and Local Communities
IMWG	Inter-Ministerial Working Group
INPE	Brazilian National Institute for Space Research
IW	International Waters
IWB	Integrated Water Balance
IWRM	Integrated Water Resources Management
LPB	La Plata Basin
M&E	Monitoring and Evaluation
M&R	Monitoring and Reporting
MSP	Medium-Sized Project
MTR	Mid-Term Review
MTS	Medium Term Strategy
NGO	Non-Governmental Organisation
NPUs	National Project Units
OECD/DAC	Organisation for Economic Co-operation and Development/ Development Assistance Committee
OAS	Organization of American States
PCU	Project Coordination Unit
PDF	Project Development Fund
PIR	Project Implementation Review
PoW	Programme of Work and Budget
PPF	Public Participation Fund
PRC	Project Review Committee
ProDoc	Project Document
SAP	Strategic Action Program
SC	Steering Committee
SMART	Specific, Measurable, Assignable, Realistic and Time-specific
TDA	Transboundary Diagnostic Analysis
TE	Terminal Evaluation

TG	Thematic Group
TM	Task Manager
ToC	Theory of Change
UNEP	United Nations Environment Programme
UNESCO-IHP	United Nations Educational, Scientific and Cultural Organization - International Hydrological Programme

PROJECT IDENTIFICATION TABLE

Table 1 - Project summary

GEF Project ID:	2095: Sustainable management of the water resources of the La Plata Basin with respect to the effects of climate variability and change		
Implementing Agency:	UNEP	**Executing Agency:**	General Secretariat of the Organization of American States (GS/OAS)
Sub-programme:	Ecosystem Management	**Expected Accomplishment(s):**	#1 The capacity of countries and regions to increasingly integrate an ecosystem management approach into development and planning processes is enhanced [2].
UNEP approval date:	7 Sept 2010	**Programme of Work Output(s):**	#311 and #314[2]
GEF approval date:	25 June 2009	**Project type:**	Full Size Project
GEF Operational Programme #:	n/a	**Focal Area(s):**	IW / CC-SPA
		GEF Strategic Priority:	IW-1; IW-3, CC-SPA
***Expected* start date:**	May 2010	**Actual start date:**	March 2011
***Planned* completion date:**	March 2016	**Actual completion date:**	December 2017
***Planned* project budget at approval:**	US$ 61 746 087	**Actual total expenditures reported as of 30-Jan-18:**	US$ 96 084 909
GEF grant allocation:	US$10 730 000	**GEF grant expenditures reported as of 30-Jan-18:**	US$ 10 660 000
Project Preparation Grant - GEF financing:	US$725 000	**Project Preparation Grant - co-financing:**	US$ 980 624
***Expected* Full-Size Project co-financing:**	US$ 99 279 783	**Secured Full-Size Project co-financing:**	US$ 99 279 783
First disbursement:	21 Sept 2010	**Date of financial closure:**	Still open
No. of revisions:	3	**Date of last revision:**	March 2016
No. of Steering Committee meetings:	10	**Date of last/next Steering Committee meeting:**	**Last:** May 2016 / **Next:** n/a
Mid-term Review *(planned date):*	Sept 2012	**Mid-term Review (actual date):**	March 2013
Terminal Evaluation *(planned date):*	June 2018	**Terminal Evaluation (actual date):**	June 2018
Coverage - Countries:	Argentina, Brazil, Bolivia,	**Coverage - Region(s):**	South America

[2] Expected Accomplishment and Programme of Work Outputs were determined at the time of the evaluation.

GEF Project ID:	2095: Sustainable management of the water resources of the La Plata Basin with respect to the effects of climate variability and change		
	Uruguay Paraguay,		
Status of future project phases:	Medium-Sized Project "Preparing the Ground for the Implementation of La Plata Basin Strategic Action Program" approved by GEF on July 2018 with US$ 1,995,000 from GEF financing to be implemented in two years. Implementing Agency: Latin American Development Bank CAF / Executing Agency: GS/OAS		

EXECUTIVE SUMMARY

1. The project "Sustainable management of the water resources of the La Plata Basin with respect to the effects of climate variability and change" (GEF ID 2095) has been an ambitious effort to strengthen transboundary cooperation among the riparian country governments of Argentina, Bolivia, Brazil, Paraguay and Uruguay to ensure management of shared water resources of the La Plata Basin in an integrated sustainable manner, within the context of climate variability and change, while capitalizing on development opportunities. The project was implemented from March 2011 through to December 2017, which included an approved 18 months extension. The total project budget was US$ 61 764 087, of which US$ 10 730 000 (17%) was in the form of a grant from the Global Environmental Facility.
2. This report presents results of the Terminal Evaluation which has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned. It involved several phases including, initial review of project design and stakeholder analysis, development of a reconstructed Theory of Change at evaluation, desk review, field mission, extensive interviewing with a wide range of project actors, triangulation of data and data analysis.
3. The overall evaluation of the project was rated as Moderately Satisfactory (see summary at Table 19). Strategic Relevance, Effectiveness and Financial Management were rated in the 'Satisfactory' range, while the project had lower ratings for Project Design Quality, Efficiency, Monitoring and Reporting, Sustainability and Factors Affecting Performance. One of the project's contribution was the generation of knowledge of the hydro-climate resources of the La Plata Basin and the creation of a network between national governments, technicians and specialists within the whole region, strengthening the relationship and collaborative work.
4. The project's strategic relevance stands out as a particular strength due to the fact that it was designed and implemented based on the main national and regional priorities of water management of the five riparian countries, with good complementarity with existing interventions.
5. The original ProDoc did not include a Theory of Change, as it was not a UNEP requirement at the time. The Terminal Evaluation team did extensive work, in consultation with the project partners, to construct the Theory of Change of the intervention at evaluation. The project had a complex results framework with a significant number of outputs and outcomes. It was expected that the delivery of 25 outputs would lead, during the life of the project, to the achievement of 12 direct outcomes, which in turn would place the process of change in three intermediate states towards the desired impacts.

6. Six outputs were fully delivered (24%), seventeen were partially delivered (68%) and two were not delivered (8%). The most important outputs to achieve outcomes were delivered. They are the outputs of the components I and IV, especially the output IV.1.2 (Strategic Action Program). Several of the more important outputs were not properly communicated nor presented to end users outside the sphere of the project, and sometimes even for the other stakeholders involved on the project. Majority of the outputs were considered of good quality and utility by users. There was a high level of ownership of the national actors involved in their preparation (i.e. country-level studies). However, majority of the outputs were not delivered in a timely manner.
7. Four direct outcomes were achieved (33%), five were partially achieved (42%) and three were not achieved (25%). The most important direct outcomes to attain intermediate states were achieved or partially achieved. Changes of behaviour, attitude/action, condition, knowledge and skills among the stakeholders involved in the project had taken place, but they were, in several cases, limited in scope, magnitude and effectiveness.
8. There is a moderate likelihood of the intended, positive impacts becoming a reality. Majority of the assumptions for progress from project outputs to direct outcomes are partially held. To achieve the long term goal of the project, the follow on phase should aim to enable the identified drivers to support transition from direct outcomes to intermediate states as well as from intermediate states to impacts.
9. Regarding the financial management of the project, the evaluation verified the application of proper financial management standards and adherence to UNEP's financial management policy.
10. The complex model of governance and the supervision arrangements led to delays and shortcomings. The project had two no cost extensions, the first was signed on 2014 to extend from March to June 2016 and the second signed on April 20th 2017 to extend the project to December 2017. These factors undermined the efficiency of the project.
11. In terms of monitoring and reporting, although the project contained a monitoring and evaluation plan budgeted and based on a very detailed Logical Framework, the project lacked a method of data collection and a process to promote feedback from the monitoring and reporting system to the implementation of the project.
12. The evidence indicates that it is moderately unlikely that the direct outcomes will be maintained and further developed. The socio-political sustainability of the project depends largely on the political will and social appropriation of the products and results. The weakness of the communication and knowledge management strategy reduced the impact that the project could have had on a critical mass of people to only the group of technicians and professionals who

participated in the various Thematic Groups formed in each country. The financial sustainability of the project outcomes has a moderate dependency on future financial flows to persist. Despite the approval of the La Plata Basin GEF Medium-Sized Project, in July 2018, that brought secured funding for the next couple of years, no evidence was found to support that the riparian countries governments, major water users and regional/local authorities are bringing and/or will bring the necessary financial resources to sustain the benefits that were brought by the project. In terms of institutional sustainability, some partners consider that the Intergovernmental Coordination Committee of the Plata Basin is the most relevant mechanism to provide sustainability and boost the results of the project, however its capacity was not increased after the closure of the project.

13. With respect to factors affecting the project performance, country ownership and driven-ness, and quality of project management and supervision were rated Satisfactory. Nevertheless, the implementation of the project did not take into account the human rights approach such as the rights of indigenous peoples and the gender perspective. There were also limitations on the participation, communication and public awareness activities to be carried out by the project.

14. Five strategic questions were presented for this Terminal Evaluation:

    a. <u>How has the project made a difference in regard to the sustainable management of the shared resources of the La Plata Basin compared to the situation before the project?</u>

       A remarkable contribution of the project was the increased knowledge production related to the sustainable resource's management in the five countries; and, together with this, greater interaction and networking amongst technicians and professionals who participated in the Thematic Groups and in the Inter-ministerial Working Group. In fact, evidence shows that the technicians who developed the models and plans are using the products of the project. However, this good dynamic did not translate into strengthening of official cooperation through legal policies or frameworks or strengthening the management capacity of the Inter-governmental Coordinating Committee of the Plata Basin.

    b. <u>How was the approach adopted by the project the best possible to address sustainable management of the La Plata Basin?</u>

       Country ownership and driven-ness was a strong feature of this project. Each country took a national leadership role on strategic guidance of project delivery, endorsing project results, provision of in-kind resources and, to some extent, advocating for changes to achieve higher level results. The 17 Thematic Groups and the 5 Inter-Ministerial Working Groups were also positive features of the project to promote integration across sectors and among the five countries.

c. How was the project able to further strengthen the integrated approach among the La Plata Basin countries to advance the sustainable management of the Basin? Will the integrated approach be sustainable financially, institutionally and socio-politically?

   The project promoted relevant approaches toward the integrated sustainable management, such as integrating surface and ground water management, and modelling climate variability and change. The project promoted relevant changes that may lead to the expected impacts, but the magnitude, breadth and effectiveness of the results might not be sufficient to achieve the desired impacts within a reasonable time. The answer for the second part of the question above (sustainability) was summarized -n paragraph 12 (above).

d. How did the project engage the right partners and stakeholders to ensure delivery of results and their sustainability? Were the implementation and execution arrangements, including accountability framework, suitable for an optimal delivery of the project?

   A vast array of institutions, mainly national governmental bodies, from the five countries, participated in the project activities and in the 17 Thematic Groups. Nevertheless, the project did not have a clear stakeholder's analysis, neither proper descriptions of the roles and capacities of key actors and stakeholders. The possibility of achieving a broader participation of water users, civil society organizations, indigenous populations and others was lost. Regarding the implementation and execution arrangements, some elements of the project design and implementation mechanisms could not be considered as the best possible approach for optimal project delivery, among them, the large amount and size of the expected results, and the complex decision-making process.

e. How were the local level results at the pilot sites replicated/scaled up elsewhere nationally or regionally? Does each pilot have its own upscaling strategy or is there an overarching generic one?

   Neither a generic nor specific replicating / scaling up strategies were produced. With a few exceptions, the approaches developed at pilot projects have not been adopted on a much larger scale and the achievements of the project have not yet been repeated or explicitly applied in new/different contexts.

15. The evaluation team identified seven lessons learned: to have in place binding institutional implementation arrangements within basin wide cross sectoral and regional integration; to build trust processes in project management so that there is strong ownership of the country; the project inception phase and mid-term review should unpack the complexity of the project helping to simplify its implementation mechanisms; to map the institutional and legal frameworks at project design and update at inception phase; a participation strategy is crucial

for IWRM; to have an effective communication strategy to promote the participation of civil society; and to build a knowledge management system to promote accessibility, flows and exchange of knowledge.

16. This Terminal Evaluation concludes with ten central recommendations: (i) to properly communicate the project outcomes and the validation/appropriation of the Strategic Action Program; (ii) to use the Strategic Action Program in its full power and to assign the resources to bring to life its propositions; (iii) to promote the La Plata Basin Decision Support System as a relevant tool to support decision making; (iv) to make accessible to the public all products/studies produced by the project; (v) to encourage scientific publications; (vi) to consolidate some products of high relevance; (vii) to integrate climate adaptation with water resources management; (ix) to strength the human rights and gender dimensions; and (x) to formulate UNEP guidelines on co-financing.

17. El proyecto " Programa Marco para la gestión sostenible de los recursos hídricos de la Cuenca del Plata, en relación con los efectos de la variabilidad y el cambio climático" (GEF ID 2095) ha sido un esfuerzo ambicioso para fortalecer la cooperación transfronteriza entre los gobiernos de los países ribereños de Argentina, Bolivia , Brasil, Paraguay y Uruguay, para garantizar la gestión de los recursos hídricos compartidos de la cuenca del Plata de manera integrada y sostenible, en el contexto de la variabilidad y el cambio climático, al tiempo que se aprovechan las oportunidades de desarrollo. El proyecto se implementó desde marzo de 2011 hasta diciembre de 2017, e incluyó una extensión aprobada de 18 meses. El presupuesto del proyecto fue de US$ 61 764 087, de los cuales US$ 10 730 000 (17%) fueron aportados por el Fondo para el Medio Ambiente Mundial.

18. Este informe presenta los resultados de la Evaluación Final, que tiene dos propósitos principales: (i) proporcionar evidencia de resultados de cumplimiento de los compromisos adquiridos en el proyecto, y (ii) promover el aprendizaje, la retroalimentación y el intercambio de conocimientos a través de los resultados y las lecciones aprendidas. La evaluación tuvo varias fases, incluyendo la revisión inicial del diseño del proyecto y el análisis de las partes interesadas, el desarrollo de una Teoría del Cambio reconstruida durante la evaluación, revisión documental, visita de campo, entrevistas con una amplia gama de actores del proyecto, triangulación de información y el análisis de datos.

19. La evaluación general del proyecto fue calificada como Moderadamente Satisfactoria (ver resumen en la Tabla 19). La Relevancia estratégica, la Efectividad y la Gestión financiera fueron calificadas en el rango "Satisfactorio", en tanto que la Calidad del diseño del proyecto, la Eficiencia, el Monitoreo y la Presentación de informes, la Sostenibilidad y los Factores que afectan el desempeño se clasificaron en un rango inferior. Una de las contribuciones principales del proyecto fue la generación de conocimiento de los recursos hidroclimáticos de la Cuenca del Plata y la creación de una red entre gobiernos nacionales, técnicos y especialistas en toda la región, fortaleciendo la relación y el trabajo colaborativo.

20. La Relevancia estratégica del proyecto se destaca como una fortaleza particular, debido al hecho de que fue diseñado e implementado en base a las principales prioridades nacionales y regionales de gestión del agua de los cinco países ribereños, con una buena complementariedad con las intervenciones existentes.

21. El Documento de Proyecto original no incluía una Teoría de Cambio, ya que en ese momento no era un requisito del Programa de las Naciones Unidas para el Medio Ambiente. El equipo de Evaluación Final realizó un trabajo extenso, en consulta con los socios del proyecto, para construir la Teoría del Cambio de la

intervención en la evaluación. El proyecto tenía un marco de resultados complejo con un número significativo de productos y resultados. Se esperaba que la entrega de los 25 productos conduciría, durante la vida del proyecto, al logro de 12 resultados directos, lo que a su vez colocaría el proceso de cambio en tres estados intermedios hacia los impactos deseados.

22. Seis productos fueron entregados en su totalidad (24%), entre ellos los más importantes para alcanzar resultados, como los de los Componentes I y IV, especialmente el producto IV.1.2 (Programa de Acción Estratégica). Diecisiete productos fueron entregados parcialmente (68%) y dos no fueron entregados (16%). Varios de los productos más importantes no fueron comunicados ni presentados adecuadamente a los usuarios finales fuera del ámbito del proyecto, e incluso a los otros interesados involucrados en el proyecto. La mayoría de los resultados fueron considerados de buena calidad y utilidad por los usuarios. Hubo una gran apropiación de los actores nacionales involucrados en su preparación (es decir, estudios a nivel de país). Sin embargo, la mayoría de los resultados no fueron completados de manera oportuna.

23. Se lograron cuatro resultados directos (33%), cinco se lograron parcialmente (42%) y tres no se lograron (25%). Los resultados directos más importantes para alcanzar estados intermedios se lograron o se lograron parcialmente. Se habían producido cambios de comportamiento, actitud / acción, condición, conocimiento y habilidades entre las partes interesadas involucradas en el proyecto, pero fueron, en varios casos, de alcance, magnitud y efectividad limitados.

24. Existe una probabilidad moderada de que los impactos positivos previstos se conviertan en realidad. La mayoría de los supuestos para el progreso de los productos del proyecto a los resultados directos se mantienen parcialmente. Para lograr el objetivo a largo plazo del proyecto, la fase de seguimiento debe apuntar a colocar a la mayoría de los impulsores para apoyar la transición de los resultados directos hacia los estados intermedios, así como los impulsores de los estados intermedios hacia los impactos.

25. Con respecto a la gestión financiera del proyecto, la evaluación verificó la aplicación de estándares adecuados de gestión financiera y el cumplimiento de la política de gestión financiera del Programa de las Naciones Unidas para el Medio Ambiente.

26. El complejo modelo de gobernanza y los arreglos de supervisión provocaron demoras y deficiencias. El proyecto tuvo dos ampliaciones de plazo sin costo adicional, la primera se firmó en 2014 para extender de marzo a junio de 2016 y la segunda se firmó el 20 de abril de 2017 para extender de mayo a diciembre de 2017. Estos factores minaron la eficiencia del proyecto.

27. En términos de monitoreo y reporte, aunque el proyecto contenía un plan de monitoreo y evaluación presupuestado y basado en un Marco Lógico muy

detallado, el proyecto carecía de un método de recolección de datos y un proceso para promover la retroalimentación del sistema de monitoreo y reporte a la implementación del proyecto.

28. La evidencia indica que es moderadamente improbable que los resultados directos se mantengan y desarrollen aún más. La sostenibilidad sociopolítica del proyecto depende en gran medida de la voluntad política y la apropiación social de los productos y resultados. La debilidad de la estrategia de comunicación y gestión del conocimiento redujo el impacto que el proyecto pudo haber tenido en una masa crítica de personas a solo el grupo de técnicos y profesionales que participaron en los diversos grupos temáticos formados en cada país. La sostenibilidad financiera de los resultados del proyecto tiene una dependencia moderada de los flujos financieros futuros para persistir. A pesar de la aprobación por parte del Fondo Mundial del Ambiente de un proyecto de tamaño medio para la Cuenca del Plata en julio de 2018 que aportó fondos para los siguientes dos años, no se encontró evidencia que respalde que los gobiernos de los países ribereños, los principales usuarios de agua y las autoridades regionales y locales aportarán los recursos financieros necesarios para mantener los beneficios que trajo el proyecto. En términos de sostenibilidad institucional, algunos socios consideran que el Comité Intergubernamental de Coordinación de los Países de la Cuenca del Plata (CIC) es el mecanismo más relevante para proporcionar sostenibilidad e impulsar los resultados del proyecto, sin embargo, su capacidad no aumentó después del cierre del proyecto.

29. Con respecto a los factores que afectan el desempeño del proyecto, la apropiación y el impulso del país, y la calidad de la gestión y supervisión del proyecto fueron calificados como Satisfactorios. Sin embargo, la implementación del proyecto ha sido ciega al enfoque basado en los derechos humanos, los derechos de los pueblos indígenas y la perspectiva de género. También hubo limitaciones en las actividades del proyecto en materia de participación, comunicación y sensibilización a la comunidad.

30. Se presentaron cinco preguntas estratégicas para esta Evaluación Final:

a. ¿En qué manera el proyecto ha marcado una diferencia en la gestión sostenible de los recursos compartidos de la Cuenca del Plata con respecto a la situación anterior?

Una contribución notable del proyecto ha sido la mayor producción de conocimiento relacionada con la gestión sostenible de los recursos hídricos en los cinco países; y, junto con esto, una mayor interacción y trabajo en red entre técnicos y profesionales que participaron en los Grupos Temáticos y en el Grupo de Trabajo Interministerial. De hecho, la evidencia muestra que los técnicos que desarrollaron los modelos y planes están utilizando los productos del proyecto. Sin embargo, esta buena dinámica no se tradujo en el fortalecimiento de la cooperación oficial a través de políticas o marcos legales

o en el fortalecimiento de la capacidad de gestión del Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata.

b. ¿Cómo ha sido el mejor enfoque adoptado por el proyecto para abordar la gestión sostenible de la Cuenca del Plata?

La propiedad y el impulso del país fueron una característica importante de este proyecto. Cada país asumió un papel de liderazgo nacional en la orientación estratégica de la ejecución del proyecto, avalando los resultados del proyecto, la provisión de recursos en especie y, en cierta medida, abogando por cambios para lograr resultados de mayor nivel. Los 17 grupos temáticos y los 5 grupos de trabajo interministeriales también fueron características positivas del proyecto para promover la integración entre sectores y entre los cinco países.

c. ¿Cómo pudo el proyecto fortalecer aún más el enfoque integrado entre los países de la Cuenca del Plata para avanzar hacia la gestión sostenible de los recursos? ¿El enfoque integrado será sostenible financiera, institucional, social y políticamente?

El proyecto promovió enfoques relevantes hacia la gestión sostenible integrada, como la integración de la gestión de las aguas superficiales y subterráneas, y el modelado de la variabilidad y el cambio climático. El proyecto promovió cambios relevantes que pueden conducir a los impactos esperados, pero la magnitud, amplitud y efectividad de los resultados podrían no ser suficientes para lograr los impactos deseados en un tiempo razonable. La respuesta para la segunda parte de la pregunta anterior (sostenibilidad) se resumió en el párrafo anterior.

d. ¿Cómo involucró el proyecto a los socios y actores interesadas para garantizar la entrega de resultados y su sostenibilidad? ¿Fueron los arreglos de implementación y ejecución, incluido el marco de rendición de cuentas, adecuados para una entrega óptima del proyecto?

Una amplia gama de instituciones de los cinco países, principalmente organismos gubernamentales nacionales, participaron en las actividades del proyecto y en los 17 grupos temáticos. Sin embargo, el proyecto no tenía un análisis claro de los actores interesados, ni descripciones adecuadas de sus roles y capacidades. Se perdió la posibilidad de lograr una participación más amplia de usuarios de agua, de organizaciones de la sociedad civil, poblaciones indígenas y otros. Con respecto a los arreglos de implementación y ejecución, algunos elementos del diseño del proyecto y los mecanismos de implementación no podrían considerarse como el mejor enfoque posible para la entrega óptima del proyecto, entre ellos, la gran cantidad y tamaño de los resultados esperados, y el complejo proceso de toma de decisiones.

e. ¿Cómo se replicaron / ampliaron los resultados del proyecto a nivel local, regional o nacional? ¿Cada proyecto piloto tuvo su propia estrategia de escalamiento o hubo una estrategia genérica?

No se produjeron estrategias de replicación / ampliación genéricas ni específicas. Con algunas excepciones, los enfoques desarrollados en los proyectos piloto no se han adoptado a una escala mucho mayor y los logros del proyecto aún no se han repetido o aplicado explícitamente en contextos nuevos / diferentes.

31. El equipo de evaluación identificó siete lecciones aprendidas: establecer acuerdos de implementación institucional vinculantes dentro de la integración regional e intersectorial en toda la cuenca; construir procesos de confianza en la gestión de proyectos para que haya una fuerte apropiación en cada país; la fase de inicio del proyecto y la revisión a medio plazo deberían desentrañar la complejidad del proyecto y ayudar a simplificar sus mecanismos de implementación; mapear los marcos institucionales y legales en el diseño del proyecto y actualizarlos en la fase inicial; una estrategia de participación es crucial para la GIRH; tener una estrategia de comunicación efectiva para promover la participación de la sociedad civil; y construir un sistema de gestión del conocimiento para promover la accesibilidad, los flujos y el intercambio de conocimiento.

32. Esta evaluación final concluye con diez recomendaciones centrales: (i) comunicar adecuadamente los resultados del proyecto y la validación / apropiación del Programa de Acción Estratégica; (ii) utilizar el Programa de Acción Estratégica en todo su poder y asignar los recursos para hacer realidad sus propuestas; (iii) promover el Sistema de Apoyo a las Decisiones de la Cuenca del Plata como una herramienta relevante para apoyar la toma de decisiones; (iv) poner a disposición del público todos los productos / estudios producidos por el proyecto; (v) fomentar las publicaciones científicas; (vi) consolidar algunos productos de alta relevancia; (vii) integrar la adaptación climática con la gestión de los recursos hídricos; (ix) fortalecer las dimensiones de los derechos humanos y de género; y (x) formular directrices sobre cofinanciación.

34. O projeto “Gerenciamento sustentável dos recursos hídricos da Bacia do Prata com relação aos efeitos da variabilidade e mudança climática” (GEF ID 2095) representou um esforço ambicioso para fortalecer a cooperação entre os governos dos países integrantes da bacia: Argentina, Bolívia, Brasil, Paraguai e Uruguai. O projeto buscou promover a gestão compartilhada dos recursos hídricos da Bacia do Prata, de maneira sustentável e integrada. Ele foi desenvolvido considerando os contextos de variabilidade e mudança climática, buscando fomentar oportunidades de desenvolvimento. O projeto foi implementado de março de 2011 a dezembro de 2017, incluindo uma extensão aprovada de 18 meses. O orçamento total do projeto foi de US$ 61 764 087, dos quais US$ 10 730 000 (17%) foram na forma de aportes financeiros do Fundo Global para o Meio Ambiente (GEF).

35. Este relatório apresenta os resultados da Avaliação Final. Os seus dois objetivos principais são: (i) fornecer evidências dos resultados para atender aos requisitos de prestação de contas e (ii) promover o aprendizado, o feedback e o compartilhamento de conhecimentos por meio da divulgação dos resultados alcançados e das lições aprendidas. A avaliação envolveu várias fases, incluindo, revisão inicial do design projeto e análise dos atores envolvidos, o desenvolvimento da Teoria da Mudança do projeto, análise documental, visitas de campo, extensas entrevistas com uma ampla gama de atores do projeto, e triangulação de informações e análise de dados.

36. A avaliação geral do projeto foi classificada como Moderadamente Satisfatória (ver o resumo na Tabela 19). A Relevância Estratégica, a Eficácia e a Gestão Financeira foram classificadas na faixa 'Satisfatória', enquanto Qualidade do Projeto, Eficiência, Sustentabilidade, Fatores que Afetam o Desempenho, Monitoramento e Relatórios tiveram uma classificação inferior. Uma das contribuições do projeto foi a geração expressiva de conhecimentos sobre os recursos hídricos da Bacia do Prata e a criação de uma rede de colaboração entre representantes governamentais, técnicos e especialistas na região, fortalecendo o relacionamento e o trabalho cooperativo.

37. A relevância estratégica do projeto se destaca como ponto forte. Contribui para isso o fato do projeto ter sido implementado com base nas principais prioridades nacionais e regionais relacionadas à gestão hídrica dos cinco países da bacia do Prata. Houve boa complementaridade com diversas intervenções existentes.

38. O ProDoc original não incluía uma Teoria da Mudança, pois não era requisito da ONU Meio Ambiente na época. A equipe responsável pela Avaliação Final fez um extenso trabalho, em consulta com os parceiros do projeto, para construir a teoria da mudança do projeto no momento da avaliação. O projeto possuía um complexo marco lógico, com um número significativo de produtos e resultados

diretos esperados. Almejava-se que a entrega de 25 produtos levasse, durante a vida do projeto, à obtenção de 12 resultados diretos que, por sua vez, levariam o processo de mudança à três estados intermediários em direção aos impactos desejados (ver Anexo 7).

39. Seis produtos foram totalmente entregues (24% do total), dezessete foram parcialmente entregues (68%) e dois não foram entregues conforme descrito nos documentos de projeto (8%). Os produtos mais importantes para alcançar os resultados esperados foram entregues: os resultados dos componentes I e IV, especialmente o resultado IV.1.2 (Programa de Ações Estratégicas). Contudo, diversos produtos importantes não foram devidamente comunicados nem apresentados à usuários finais, em especial aqueles que estavam fora da esfera de atuação do projeto. Em alguns casos, eles não foram inclusive apresentados aos atores envolvidos no projeto. A maioria dos produtos foi considerada de boa qualidade e utilidade pelos usuários. Houve uma elevada participação dos atores nacionais envolvidos na preparação dos protudos. No entanto, a maioria dos produtos não foi entregue em tempo hábil.

40. Quatro resultados diretos foram alcançados (33% do total), cinco foram parcialmente alcançados (42%) e três não foram alcançados (25%). Os resultados diretos mais importantes para atingir estados intermediários foram alcançados ou parcialmente alcançados. Ocorreram mudanças de comportamento, de atitude / ação, de conhecimento e de habilidades das pessoas envolvidas no projeto, mas elas foram, em vários casos, limitadas em escopo, magnitude e eficácia.

41. Há uma probabilidade moderada dos impactos positivos pretendidos se tornarem realidade. A maioria das premissas para a conversão dos produtos em resultados diretos estão parcialmente presentes. Para alcançar o impacto de longo prazo almejado pelo projeto, a seguinte fase do Programa Marco deve buscar garantir a presença da maioria dos impulsores necessários para apoiar a transição dos resultados diretos aos estados intermediários, bem como os impulsores necessários para apoiar a transição dos estados intermediários aos impactos esperados.

42. Em relação à gestão financeira do projeto, a avaliação verificou a aplicação de padrões adequados de gestão financeira e a aderência à política de gestão financeira da ONU Meio Ambiente.

43. O complexo modelo de governança e supervisão levou a atrasos, impactando a eficiência do projeto. O projeto teve duas extensões de prazo sem incremento de custos. A primeira foi assinada em 2014 para estender o projeto de março a junho de 2016 e a segunda assinada em 20 de abril de 2017 para estender o projeto a dezembro de 2017.

44. Em termos de monitoramento e relatórios, o projeto continha um plano de monitoramento e avaliação orçado e baseado em um Marco Lógico bem

detalhado. Contudo, o projeto carecia de um método de coleta de dados e de um processo para promover feedback do sistema de monitoramento e relatórios que retroalimentasse a implementação do projeto.

45. As evidências indicam que é moderadamente improvável que os resultados diretos sejam mantidos. A sustentabilidade sócio-política do projeto depende em grande parte da vontade política e da apropriação social dos produtos e resultados. As debilidades das estratégias de comunicação e de gestão do conhecimento reduziram o impacto que o projeto poderia ter sobre uma massa crítica de pessoas. Este impacto ficou limitando apenas para o grupo de técnicos e profissionais que participaram dos vários Grupos Temáticos formados em cada país. A sustentabilidade financeira dos resultados do projeto tem uma dependência moderada de fluxos financeiros para persistir. Destaca-se a aprovação do Projeto de Médio Porte do GEF da Bacia do Prata, em julho de 2018, que garantiu financiamento para os próximos dois. Contudo, não foram encontradas evidências que demonstrem que os governos dos países da Bacia do Prata, os principais usuários de água e as autoridades regionais / locais estão colocando ou colocarão os recursos financeiros necessários para sustentar os resultados alcaçados pelo projeto. Em termos de sustentabilidade institucional, alguns parceiros consideram que o Comitê Intergovernamental Coordenador dos Países da Bacia do Prata (CIC) é o mecanismo mais adequado para promover a sustentabilidade dos resultados do projeto e ampliar seu impacto. No entanto, não houve o aumento da capacidade deste organismo após o encerramento do projeto.

46. Com relação a fatores que afetam o desempenho do projeto, o enfoque baseado na participação ativa dos governos dos países nas decisões do projeto e a qualidade da gestão e supervisão do projeto foram classificadas como satisfatórias. No entanto, a implementação do projeto careceu de uma abordagem baseada nos direitos humanos, nos direitos dos povos indígenas e na perspectiva de gênero. Houveram também limitações nas atividades de conscientização pública participação e comunicação que deveriam ser implementadas pelo projeto.

47. Cinco questões estratégicas foram apresentadas para esta avaliação final:

    a. <u>Como o projeto fez a diferença em relação à gestão sustentável dos recursos compartilhados de Bacia do Prata, em comparação com a situação anterior ao projeto?</u>

    A notável contribuição do projeto foi o incremento da produção de conhecimento relacionado com a gestão sustentável dos recursos hídricos na Bacia do Prata; Juntamente com isso, houve uma maior interação e articulação entre técnicos e profissionais dos cinco países que participaram dos Grupos Temáticos e dos Grupos de Trabalho Interministerial. De fato, as evidências mostram que os técnicos que desenvolveram os produtos do projeto estão usando os modelos e planos produzidos. No entanto, essa boa

dinâmica não se refletiu no fortalecimento da cooperação oficial por meio de políticas ou estruturas legais, nem no fortalecimento da capacidade de gerenciamento do Comitê Intergovernamental Coordenador dos Países da Bacia do Prata.

b. Como a abordagem adotada pelo projeto foi a melhor possível para alcançar a gestão sustentável da Bacia do Prata?

A apropriação dos países foi uma característica marcante deste projeto. Cada país assumiu um papel de liderança nacional na orientação estratégica das entregas do projeto, endossando os resultados, aportando recursos e, até certo ponto, advogando mudanças para alcançar resultados de mais alto nível. Os 17 Grupos Temáticos e os 5 Grupos de Trabalho Interministeriais também foram características positivas do projeto para promover a integração entre setores e entre os cinco países.

c. Como o projeto foi capaz de fortalecer ainda mais a abordagem integrada entre os países da Bacia do Prata para avançar na gestão sustentável da Bacia? A abordagem integrada será sustentável financeira, institucional e sócio-política?

O projeto promoveu abordagens relevantes para a gestão sustentável dos recursos hídricos, como a integração da gestão de águas superficiais e subterrâneas e a modelagem das variabilidades e das mudanças climáticas. Por um lado, o projeto promoveu transformações relevantes que podem levar ao alcance dos impactos esperados. Por outro lado, a magnitude, amplitude e eficácia dos resultados podem não ser suficientes para alcançar os impactos desejados dentro de um prazo razoável. Acerca da sustentabilidade financeira, institucional e sócio-política devem ser considerados os pontos sinalizados no parágrafo (acima).

d. Como o projeto envolveu os parceiros e as partes interessadas de forma a garantir a entrega de resultados e sua sustentabilidade? Os arranjos de implementação e execução, incluindo a estrutura de prestação de contas, foram adequados para a entrega ideal do projeto?

Uma vasta gama de instituições, principalmente órgãos governamentais nacionais dos cinco países, participou das atividades do projeto e dos seus 17 Grupos Temáticos. No entanto, o projeto não teve uma análise clara nem uma descrição apropriada dos papéis e capacidades dos principais atores sociais, econômicos e políticos relacionados com a bacia. Foi perdida a possibilidade de alcançar uma participação mais ampla de usuários de água, organizações da sociedade civil, populações indígenas e comunidades tradicionais. Alguns dos arranjos de implementação e execução não puderam ser considerados como a melhor abordagem possível para a entrega ideal do projeto. Entre eles estão a grande quantidade e ambição dos resultados esperados e o complexo processo decisório.

e. Como os resultados dos projetos-piloto em nível local foram replicados em outros locais, ou ampliado nacional ou regionalmente? Cada piloto tem sua própria estratégia de ampliação ou existe uma estratégia genérica abrangente?

Não foram produzidas estratégias genéricas nem específicas de replicação / ampliação. Com algumas exceções, as abordagens desenvolvidas em projetos piloto não foram adotadas em uma escala mais ampla e os resultados dos projetos pilotos ainda não foram replicados ou reproduzidos de forma explicita em contextos novos / diferentes.

48. A avaliação final identificou sete as lições aprendidas: (i) dispor de acordos institucionais vinculativos de implementação integrando de forma ampla diversos setores e regiões da bacia; (ii) construir processos de confiança na gestão de projetos para que haja uma forte apropriação do país; (iii) reduzir a complexidade do projeto na fase de arranque e na revisão intermediária, ajudando a simplificar seus mecanismos de implementação; (iv) mapear, durante a concepção do projeto e na sua fase inicial, os marcos institucionais e jurídicos; (v) considerar que uma estratégia de participação é crucial para a Gestão Integrada dos Recursos Hídricos; (vi) ter uma estratégia de comunicação eficaz para promover a participação da sociedade civil; e (vii) construir um sistema de gestão do conhecimento para promover acesso, fluxos e troca de conhecimentos.

49. Esta Avaliação Final conclui com dez recomendações centrais: (i) comunicar adequadamente os resultados do projeto e validar o Programa de Ações Estratégicas; (ii) usar o Programa de Ações Estratégicas com todo o seu potencial e alocar os recursos para tornar realidade as atividades e ações previstas nele; (iii) promover o Sistema de Apoio à Decisão da Bacia do Prata como uma ferramenta relevante para apoiar a tomada de decisões; (iv) tornar acessíveis ao público todos os produtos / estudos produzidos pelo projeto; (v) incentivar publicações científicas; (vi) concluir alguns produtos de alta relevância; (vii) integrar a adaptação às mudanças climática com a gestão de recursos hídricos; (ix) fortalecer os direitos humanos e dimensões de género; e (x) formular diretrizes sobre co-financiamento.

I. INTRODUCTION

51. This document presents the Terminal Evaluation of the UNEP / Global Environment Facility (GEF) project "Sustainable Management of the Water Resources of the La Plata Basin with respect to the Effects of Climate Variability and Change" (hereafter called "La Plata Basin project" or LPB project).

52. The Executing Agency was the General Secretariat of the Organization of American States (GS/OAS), while the Implementing Agency was UNEP. The Intergovernmental Coordinating Committee (CIC) for the La Plata Basin (LPB) countries was the major executing partner in cooperation with the following national institutions:

- Argentina: Ministerio de Planificación Federal, Inversión Pública y Servicios, Secretaría de Obras Públicas, Subsecretaría de Recursos Hídricos de la Nación.
- Bolivia: Ministerio de Medio Ambinete y Agua, Dirección de Cuencas Hídricas.
- Brazil: Ministério do Meio Ambiente, Secretaria de Recursos Hídricos e Ambiente Urbano.
- Paraguay: Secretaría del Ambiente. Dirección General de Protección y Conservación de Recursos Hídricos.
- Uruguay: Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente. Dirección Nacional de Aguas.

53. The Project Approval Decision Sheet was signed by Angela Cropper, Deputy Executive Director of the United Nations Environment Programme, on 16th July 2010 and the project action sheet was signed by John Noisette, Chief of UNEP Programme Corporate Services, on 15th September 2010. Officially, activities began in March 2011 and had an intended completion date of June 2016, which was extended to December 2017. The total secured budget of the project was $61 764 087. The Mid Term Review was done in March 2013 by an independent consultant. The final report of the project was done in December 2017.

54. In line with the UNEP's Evaluation Policy[3], the Terminal Evaluation was undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. This Terminal Evaluation covers the period between the project since its approval to its completion. It has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among the project partners. The evaluation also aims to identify lessons of operational relevance for future project formulation and implementation. Target audiences are UNEP, the GEF, the OAS, CIC, the

[3] https://wedocs.unep.org/rest/bitstreams/9801/retrieve

implementing partners, the government of the five LPB countries (Argentina, Bolivia, Brazil, Paraguay and Uruguay), major stakeholders of LPB and broader international community involved on Integrated Water Resources Management of transboundary river basins.

55. Currently there is a GEF Medium-Sized Project[4] being implemented to build the bridge to the second phase of the Framework Program. The evaluation team consider that the key actors responsible for this project could benefit from this evaluation. We hope they will take advantage of the future activities of the LPB Framework Program to bring the necessary "moment of force" to make the "change wheel" of the LPB Framework Program turn. This change process would lead to the shared management and sustainable use of water and other resources of the La Plata Basin, as well as to the reduction of negative impacts due to climate variability and change, and the implementation of adaptive measures in the LPB.

[4] GEF Project "Preparing the Ground for the Implementation of La Plata Basin Strategic Action Program"

II. EVALUATION METHODS

56. The Terminal Evaluation (TE) used a participatory approach whereby key stakeholders were kept informed and consulted throughout the evaluation process. The Evaluation Team maintained close communication with project stakeholders and promoted information exchange throughout the evaluation phase in order to increase collaboration and ownership of the evaluation findings. The evaluation team organized nineteen virtual meetings and twenty-four in-person meetings with the project team and key stakeholders. Furthermore, there was regular and fluid communication and reporting back on progress and difficulties to the Evaluation Manager, who provided support for the evaluation consultants. The UNEP Task Manager, Organization of American States (OAS) and Intergovernmental Coordinating Committee (CIC) were constantly informed on the evolution of the work and were engaged in discussions on emerging findings throughout the evaluation process.

57. The evaluation was conducted based on sound principles of integrity, honesty, confidentiality, systematic inquiry and cultural sensitivity. The TE involved a series of stages with data collection through both primary and secondary methods. The phases of the evaluation process were:

    a. Inception Phase: initial desk review, stakeholder analysis, assessment of project design quality, introductory interviews with project staff, evaluation framework and development of Theory of Change (ToC) at design
    b. Data Collection (interviews, surveys, visits) and Field Mission
    c. Development of ToC at evaluation
    d. Data Analysis-Triangulation and Preliminary Findings Meeting
    e. Report-writing and review.

58. The **inception phase** included an initial review of the relevant background and project documents, such as ProDoc, project reports, project publications, Mid-Term-Review, UNEP and Global Environment Facility (GEF) guidelines / background documents. The assessment of the quality of project design was conducted during the inception phase, including the review and formal rating of various aspects of the original approved ProDoc (see section V.B). A stakeholder analysis of the key actors of the project and key stakeholders of La Plata Basin (LPB) were also done (see section III.C). An inception meeting happened with the participation of the major stakeholders, including OAS, UNEP, CIC director and the representative of the La Plata Basin (LPB) countries. During the inception phase, the evaluation consultant conducted 10 introductory interviews with project staff and there was intense exchange of messages (e-mail and instant messaging application, specially WhatsApp) with key project partners. The main elements of the evaluation framework were defined, including draft protocols for interviews, surveys and the evaluation matrix. This initial phase established a

baseline understanding of the project implementation process, results achieved and management mechanisms.

59. The GEF LPB project was approved in 2010 under the result framework methodology. The original ProDoc did not include a **Theory of Change** as it was not a UNEP requirement at the time. However, according to the current provisions of both GEF and UNEP, the results framework should be reconstructed into a Theory of Change approach. A **ToC at Design**[5] was reconstructed during the initial desk review phase of the evaluation based on the results framework and ProDoc. It was improved by significant and beneficial inputs from the Evaluation Manager and from a peer review process within the UNEP Evaluation Office. During the data collection phase, the process was further refined, the ToC at Design was reviewed and validated by the project team. Then, the **ToC at Evaluation** was finalised and used to assess the project's delivery of outputs, achievement of outcomes and likelihood of impact. This work has helped the evaluation team to reconstruct the history of the project, identifying the changes incorporated since its initial approval, drivers, assumptions and expected results to be achieved (see detailed information at Section IV).

60. The methodology for **data collection** and triangulation was based on three categories of information/sources: a) further desk review of documents, b) in-depth interviews with project stakeholders during field missions and with follow up through virtual channels,, and c) use of structured surveys. Both quantitative and qualitative evaluation methods were adopted to determine project achievements against the expected outputs, outcomes and impacts.

61. During the data collection phase an in-depth **documentary review and analysis** was done, when more than 100 documents produced by the project were examined. An exhaustive analysis of the ProDoc (a 654 pages long document, including 27 appendices) was carried out, including the baseline study, annual work plans, the logical framework and its budget. Project reports were also analysed in detail, including progress and financial reports, final technical report, Steering Committee and Project Coordination meeting minutes, Project Implementation Review reports and Tracking Tools, cash requests, and quarterly and annual progress and expense reports. Documentation related to project outputs was also analysed including the technical publications, communication products, Transboundary Diagnostic Analysis, Strategic Action Program, maps, plans and models, produced by the project (see in ANNEX 1 a complete list of documents reviewed).

62. **Individual and in-group interviews** were carried out with project implementing and executing agencies, representatives of the five countries, members of the Project Coordination Unit and National Project Units, relevant staff on CIC,

[5] During the inception phase of the terminal evaluation a 'ToC at Design' was reconstructed based on the information given in the project documents. This was reviewed during the evaluation data collection phase and was revised based on interviews with key actors to provide the reconstructed 'ToC at Evaluation'.

members of the Inter-Ministerial Working Groups and of the Technical Groups, project partners, project beneficiaries, including local communities in the LPB countries, and key actors related to Integrated Water Resources Management of LPB. The interview protocols, questionnaires and the selection of the interviewees were done using the evaluation matrix. The evaluation matrix was developed aimed at answering relevant questions on all the UNEP evaluation criteria including relevance, project design, effectiveness, likelihood of impact, financial management, efficiency, monitoring and evaluation, sustainability and factors affecting performance as well as answering the five strategic questions presented in the Term of Reference of the TE (see the strategic questions on Section VI.i). The Evaluation Matrix pointed out the overarching questions to be asked to different stakeholder groups involved in the project (including, project staff, partners, etc.).

63. The interviews conducted during the field mission were in-person, but the other interviews and meetings of this evaluation were done using internet communication platforms (i.e. Skype, Go to Meeting), and telephone. Semi-structured interview protocols and questionnaires designed for each interview were used as initial guidance, and an adaptative approach was applied during the meetings. The interviewer aimed to build trust and make the interviewee feel as comfortable as possible to provide the information/evidence necessary for the evaluation. All interviews started with an opening question aimed to make the interviewee more relaxed and willing to cooperate. There was a limit on the number of questions asked, aiming to avoid the interviews being too long. A thank you e-mail was sent after the interviews, confirming that the interviewee would receive a copy of the TE report once it is published.

64. Communication via e-mail was also used to collect additional evidence. For example, there were several communications with the UNEP Fund Management Officer on financial management issues of the project. Communication using WhatsApp was also adopted, and two WhatsApp groups were particularly relevant to facilitate the communication flow (one involving the three members of the evaluation team, and the other with the evaluation team, OAS and TM).

65. Eighty-eight stakeholders were interviewed during this evaluation (see ANNEX 2). The criteria for the selection of interviewees was based on the role they played in the project and their availability/interest in contributing to the evaluation. The evaluation aimed to include as much as possible an appropriate representation of genders and social groups: 38% of the interviewees were female, and all stakeholders' groups involved on the project were interviewed, including academics, local governments, local farmers and local communities. Representatives of all Technical Groups (TG) were invited to participate and members from 14 of the 17 TGs participated in the evaluation. All responses from interviewees were treated in confidence with anonymity maintained.

66. The definition of the **field mission agenda** was made in close coordination with the CIC secretariat, the Implementing Agency, the Executing Agency, the national coordinators (especially the ones from the countries visited: Argentina, Brazil and Uruguay), the liaison people responsible for the Demonstrative Pilot Project of Cuaren/Quaraí, and the UNEP Evaluation Office. The selection of the pilot projects aimed to explore how the change process embedded in the project had played out in a complex transboundary situation. The field mission took place between 11 to 23 November 2018, and included interviews and meetings in Buenos Aires and Montevideo, and site visits and interviews in Artigas/Quaraí at the frontier between Uruguay-Brazil (see travel plan on ANNEX 3). Sixty-three in-person interviews were carried out by the lead evaluator during the field mission. Both one-to-one interviews and group-discussion interviews were carried out. The meetings in Buenos Aires happened back-to-back with a CIC meeting. The evaluation consultant was invited to: a) deliver a short presentation about the evaluation process for the members of the CIC, and b) to conduct a group discussion about the project. This allowed the evaluation to benefit from having the key players of the project at the same table and to gather information from the CIC secretariat and the representatives of the 5 LPB countries.

67. After the field meeting the Evaluation Consultant organized with the country coordinators of **Brazil and Paraguay**[6]**, follow-up meetings** with their national stakeholders who participated in the project. The field mission did not include visits to the capitals (Brasilia and Asunción) and these follow-up meetings were a good strategy to widen the data collection among the countries and to support the verification of some project findings. The meetings happened in December 2018 and 15 people actively participated in the discussions.

68. **Structured surveys were used twice in** the data collection phase. Once before the field mission when questionnaires were sent to key stakeholders (exploratory survey). Secondly a survey was administered at the late stage of the data collection, when the national coordinators were invited to answer an electronic survey form (follow-up survey).

69. The **exploratory survey** included two categories of questionnaire: a) an open questionnaire asked by the CIC to be sent to the countries, and b) confidential questionnaires tailored for specific stakeholders. **The open questionnaire** had 18 questions, including the strategic questions presented in the Term of Reference for this evaluation and other questions related to strategic relevance, nature of external context, efficiency, effectiveness, sustainability and lessons learned (see ANNEX 4). It was sent by e-mail to the CIC secretariat who distributed it to the country representatives. The Government of Brazil and Paraguay responded to the open questionnaire. The **confidential questionnaires** tailored for specific stakeholders had between three and four questions. They were sent by e-mail to some of the people who would be interviewed during the field mission. It aimed

[6] Bolivia was also invited for a meeting and several dates were proposed, but despite the availability and interest of the evaluation team the meeting did not take place.

to get further information on their engagement in the project, their initial opinion on some of the strategic questions and set the scene for the in-person interview. Response rate was low, only three out of twelve responded, but all interviewees confirmed that these introductory questions helped to make the in-person interviews more productive and gave more room for the interviewer to ask other complex questions.

70. The **follow-up survey** happened in April 2019 and comprised eight questions to be answered by the five country representatives (see ANNEX 5). It was done using Google Forms, and for each question respondents were invited to answer yes or no and then they could provide further explanation in text about their answer. Questions were related to some elements of a national nature, such as the use of some project outputs, some possible changes happening at the level of project outcomes, the presence or not of some drivers and assumptions. The answering rate was high (80%) and the explanation provided was of good utility for the evaluation. Qualitative and quantitative analyses were used to handle and integrate the answers provided into the data analysis process.

71. **Data analysis** involved transcribing, translating, coding and organizing the findings according to a thematic analysis approach. Data was triangulated from all sources to provide evidence for the evaluation. The evaluation sought to identify not only what happened in the project but where possible, to explain underlying issues influencing why, exploring various complex dynamics related to project performance and presenting diverse perspectives about project challenges and successes. The evaluation also took into consideration the baseline conditions and trends in relation to the intended project outcomes and impacts. The Evaluation Office Ratings Criteria Matrix was then applied to generate the ultimate ratings recorded in this TE. It is important to take note on the long period, nine years, between project approvals (2010) to this evaluation (2019). During this period the requirements, guidance and criteria of UNEP and the GEF for the evaluation of projects have been changed/improved.

72. A **Preliminary Findings meeting** was carried out in March 2019 with the participation of the CIC, the Implementing Agency, the Executing Agency, and national coordinators. A Power Point presentation was sent to the participants before the meeting. This process helped share preliminary findings, enhanced the participation of the project team, acted as a means to ensure all information sources had been accessed and provided an opportunity to verify emerging findings.

73. The **report-writing and review process** followed the Evaluation Office guidelines and templates. This report presents a detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence[7].

74. Some **limitations** faced by the evaluation were related to:

[7] The final version of TE must include a description of the review process of first and second draft.

- The PCU was not operational anymore and there had been several changes regarding key actors of the project (including the OAS – project manager, and CIC director). The long period from conclusion of the technical activities (December 2016) to official closure of the project (December 2017) contributed to this situation. Despite these limitations, all key actors were contacted and could collaborate with the evaluation.
- Sometimes there was a longer than desired delay to receiving answers of questions sent by e-mail. Some project stakeholders were already involved in other projects / activities and this might explain this delay. Relationship building and an engagement strategy were used to motivate timely answering and Skype / WhatsApp were tools used to speed-up some answers.
- The complexity of the execution arrangement in which three institutions somehow shared an executing agency role for the evaluation (CIC, OAS and PCU) was another factor that affected the evaluation. Furthermore, none seemed to be in an ideal position to support the evaluation: CIC director has changed and there was no more technical staff of the project available; OAS Project Manager changed to a new position at OAS and despite his interest, he actually had little time to collaborate[8]; and the evaluation team perceived some tension between former PCU members and the current CIC secretariat, reducing the windows of cooperation. The evaluation team had to invest more time and dedication to overcome these limitations.
- The project had a complex results framework with a significant number of outputs, outcomes, stakeholders, drivers and assumptions. Furthermore, the results framework was inconsistent with the definitions of the Organization for Economic Co-operation and Development/ Development Assistance Committee. The information was dispersed throughout the 654 pages long ProDoc and some contradictions were found. This increased the time taken to reconstruct a comprehensive ToC at Design to assess the effectiveness and sustainability of the project (see Section IV).
- Possible limitations related to language did not occur because the evaluation team was composed of native speakers of the three languages of the project: Portuguese, Spanish and English.

[8] Despite this, it is relevant to mention that there was a team at OAS supporting the evaluation, in constant communication with the former OAS Project Manager, aiming to reply in an accurate and timely manner. As reported by the OAS, the former OAS Project Manager devoted plenty of time, and the team at the OAS had sufficient scope to provide information to the evaluation process.

III. THE PROJECT

A. Context

75. In 2001, the five La Plata Basin (LPB) countries agreed on the need to develop a Framework Program for the La Plata Basin. During 2005-2007, the Framework Program was designed and the project currently under evaluation was flagged as Phase 1 of the LPB Framework Program.

76. Furthermore, the project was also developed to respond, by further strengthening the integrated approach to the management of the La Plata Basin, to the priority environmental concerns identified during the project preparation phase. These concerns were: flooding and drought management (including adaptation to climate change and variability), erosion and sediment transport, water contamination, energy generation and navigation problems, the lack of alert systems, and loss of biodiversity and wetlands in the La Plata Basin. Their root causes were related to high sediment transport rates, land and soil degradation, unsustainable groundwater exploitation, uncontrolled urbanization and land-use changes. Major consequences to the environment and human well-being were deterioration of water quality, problems for the basin's energy infrastructure, biodiversity loss, fluvial navigation problems, ecosystem degradation, marine and fluvial biodiversity degradation, microclimate changes and the economic, social and environmental impacts of flooding.

77. External challenges to this basin included gaps in available data and climate variability. The changing climate, particularly the variability associated with El Niño/La Niña periodicities, influences the basin's hydrology and has economic effects on riparian populations. The generally low gradient of the basin exacerbates the effects of increased runoff, which is confined by limited conveyance capacity.

78. The external challenges of the project were related to the fact that this natural basin is shared by five different countries and, as a consequence, is affected by the existing gaps both in management tools in each country and in the capacity of their institutions to act. In effect, the social and environmental impact is different in each country and, therefore, each one applies country-specific regulations, priorities and different policies aiming to solve the same problems.

B. Objectives and Components

79. The overall Project **Objective** was "to strengthen transboundary cooperation among the riparian country governments of Argentina, Bolivia, Brazil, Paraguay, and Uruguay to ensure management of shared water resources of the LPB in an integrated sustainable manner, within the context of climate variability and change, while capitalizing on development opportunities".

80. The Project **Purpose** was to enable the riparian governments and stakeholders to obtain institutional and analytical tools to prepare the LPB Transboundary Diagnostic Analysis (TDA), and to formulate the Strategic Action Program (SAP) for adaptive and sustainable water resources management. To achieve its purpose the project had four Components and 12 Sub-Components (Table 2)

Figure 1 - General map of La Plata Basin (source CIC LPB)

Table 2 - Components and sub-components of LPB project (source: Project Document 2005)

Component I. Strengthening Basin-wide Cooperation Capacity for Integrated Hydro-Climate Management. The purpose was to develop a harmonized legal framework for the La Plata Basin for the integrated water resources management based upon plausible climate change scenarios, and to provide coordination and oversight capacity for project planning and management.	
Subcomponent I.1. Harmonizing the institutional and legal framework	Institutionalized legal, administrative and managerial tools, including a decision support system and public engagement, for sustainable utilization of the land and water resources of the LPB, within the context of climate variability.
Subcomponent I.2. Stakeholder Participation, Communication and Education	Enhanced communication and public participation would increase stakeholders and civil society public awareness, facilitated through the Public Participation Fund (PPF), engaged in basin activities and formulate the Strategic Action Program (SAP).
Subcomponent 1.3 Monitoring and Evaluation Plan	The progress and performance in all project components and achieving the development objective would be monitored and evaluated with satisfactory ratings.
Component II. Integrated Water Resources Management. Activities focused in the integration of the information generated during the diagnostic phase into the Transboundary Diagnostic Analysis (TDA) and in preparing the project's publications. The purpose was to provide the diagnostic and feasibility analyses, implementation costs, and technical information necessary to formulate a Strategic Action Program for the La Plata Basin.	
Subcomponent II.1. Integrated Water Balance.	An integrated water balance (IWB) methodology, including surface and groundwater resources would be developed for the LPB, and endorsed through the Intergovernmental Coordinating Committee of La Plata Basin (CIC) in support of adaptive Integrated Water Resources Management (IWRM) in the Basin.
Subcomponent II.2. Water Quality Monitoring and Assessment.	Through the regional water quality knowledge base, institutions responsible for water quality monitoring, would agree to a protocol and remedial actions.
Subcomponent II.3. Integrated groundwater management.	Pilot groundwater activities would provide information to formulate preliminary guidelines for integrated management of surface and groundwater resources of the LPB.
Subcomponent II.4. LPB Aquatic Ecosystems Management	Informed riparian countries would formulate a water-related biodiversity strategy and execute priority strategic actions in the Paraná Basin up to the Itaipú dam (Prana III) to address water pollution issues.
Subcomponent II.5. Controlling Land Degradation	To harmonize national actions including key stakeholders, to take cooperative-joint actions to control land degradation LPB wide, and to protect a critical ecosystem over 348.000km2, 4 million inhabitants, in line with the objectives outlined in the United Nations conventions UNCCD, CBD, UNFCCC and other international agreements.
Subcomponent II.6. Sustainable	Opportunities would be made available to mobilize financing for sustainable development of clean technologies for the LPB, and to protect natural and cultural

Development Opportunities	heritage sites within the context of recreational and ecotourism development in the Lower Uruguay River.
Subcomponent II.7. Pilot Demonstrations and Scaling-up Strategy	Based on the pilot demonstrations, a set of sound recommendations and agreed upon actions, on pollution and erosion control, early warning systems, water conflict resolution and biodiversity conservation, would be formulated for inputs into the SAP.
Component III. Hydro-climatic Modelling and Scenarios for Adaptation. The objective of this Component was to develop capacity for integrated water resources management including enhanced capacity for adapting to climate variability (related to El Nino/La Nina periodicities) and climate change, as recommended in the Second National Communications of Paraguay, Argentina and Brazil.	
Subcomponent III.1. Hydro-climatic scenarios	Improved riparian countries' capacity to better understand climate variability related impacts, identified through the hydro-climatic scenarios, would enable the definition of measures to address basin challenges for incorporation in the Basin SAP.
Component IV. Strategic Action Program (SAP) Formulation. The objective was to prepare a Strategic Action Program (SAP) for the La Plata Basin, technically sound and agreed, to advance and better define priority actions identified in the Framework Program, based upon a TDA focused on critical sub-basins and issues.	
Subcomponent IV.1. TDA and SAP	Transboundary Diagnostic Analysis (TDA) would be completed and Strategic Action Programme (SAP) would be formulated and endorsed by the five riparian countries, within the framework of the CIC.

C. Stakeholders

81. The Project was characterized by its participatory approach for implementation. A vast array of governmental institutions and stakeholders of all five riparian countries have been actively involved in project activities throughout its execution. Seventeen Thematic Groups (TGs) were established in each country for addressing specific issues. Thirteen of them addressed relevant topics for the basin and four targeted the Demonstration Pilot Projects (DPPs). Fifty-two institutions participated in the TGs (see list at ANNEX 6). This evaluation classified them in five groups: Governmental Institutions, National Agencies[9]; Universities & Science Institutions; Local / Regional Governments; and Bi-national Dam Entities and Water Committees. Two-thirds of the members were national institutions (24 governmental institutions and 11 national agencies from all 5 countries). Seven were universities and research institutions from Brazil, Paraguay and Uruguay. The three major bi-national entities responsible for the dam of Itaipu (Brazil-Paraguay), Yacyretá (Argentina-Paraguay) and Salto Grande (Argentina-Uruguay) were present. Five local government institutions

[9] These agencies include: weather and agro-meteorological forecasting services; geological services; surface and groundwater resource management agencies; organizations in charge of the operation, administration, and control of waterworks, waterways, hydroelectricity, and sanitation systems; technological development agencies, etc.

and two local water committees participated in the TGs of DPPs Confluence, Cuareim and Pilcomayo (see Figure 2).

82. The ProDoc identified several stakeholders. However, the project did not have a clear stakeholder analysis, including by gender/minority groupings, nor proper descriptions of the roles and capacities of key actors and stakeholders. Within the LPB context stakeholders go beyond the members of TGs (mostly governmental institutions) and include civil society leaders, representatives from indigenous people and local communities (ILCs), agricultural associations, other productive sector representatives (such as industry, energy, transportation, mining, fishery, and tourism), and major Non-Governmental Organisation (NGOs). These non-governmental stakeholders were only partially considered at local level for some of the pilot projects.

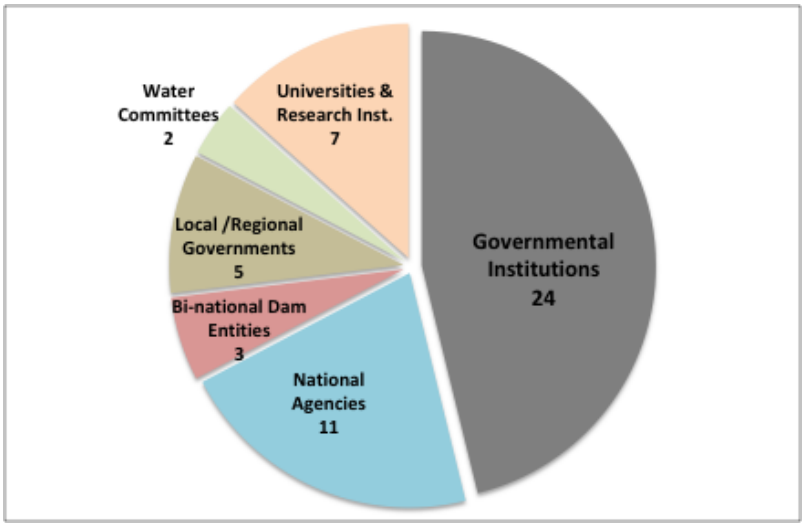

Figure 2 - Distribution of the institutions involved on the LPB project Thematic Groups

D. Project Implementation Structure and Partners

83. UNEP as the Implementing Agency (IA) of the Global Environmental Facility (GEF), was responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures and provide guidance on linkages with related UNEP - and GEF-funded activities. The UNEP monitored implementation of the activities undertaken during the execution of the project and provided technical and administrative oversight. It was responsible for clearance and transmission of financial and progress reports to the GEF. UNEP retained responsibility for review and approval of the substantive and technical reports produced in accordance with the schedule of work.

84. The General Secretariat of the Organization of American States (GS/OAS), due to its historic involvement in the basin and traditional partnership with UNEP in

similar projects within the region, acted as Executing Agency, consistent with UNEP requirements outlined in the UNEP-OAS signed agreement.

85. The Intergovernmental Coordinating Committee (CIC) was, according to the La Plata Basin Treaty, the organization designated to coordinate the implementation of basin-wide programs. During the project implementation, CIC was specifically charged with the development and implementation of a Decision Support System (DSS) for the Integrated Management of the Water Resources in the La Plata Basin, which included the Digital Base Map for the Basin. CIC was also charged with the implementation of activities in Component I related to legal issues and the institutional strengthening of the CIC. There was a Memorandum of Understanding between OAs and CIC.

86. The Project Coordinating Unit (PCU), hosted at the CIC, in close consultation with the UNEP and OAS and with the support of the National Project Unit (NPU), coordinated and supervised daily project operations; elaborated detailed terms of reference for project activities; reviewed progress and technical reports according to the overall work plan and its schedule of work; prepared overall progress and financial reports for submission to the IA/EA; prepared annual detailed budgeted work plan in accordance with the GEF approved project documentation and Monitoring and Evaluation (M&E) plan. The PCU specifically coordinated the formulation of the TDA and SAP.

87. The national execution of the project in each of the LPB countries was carried out by national institutions under the coordination of the National Project Units, which were led by a national technical representative who served as National Coordinator. The National Coordinators convened and coordinated the meetings of the Inter-ministerial Working Groups (IWGs) which were part of the NPUs. In addition, 17 Thematic Groups were established for addressing specific and sectoral issues, and pilot projects.

88. The Steering Committee (SC) was established as the highest authority in the decision-making for the conduct of the project. The SC was responsible for implementation oversight and deciding on the yearly project work plan and budget in accordance with GEF approved project documentation. The Secretary General of the CIC chaired the SC meetings. The Project Coordination Unit acted as Secretary for the meetings. The SC members include seventeen representatives:

- Three representatives for each of the LPB countries of the project, formed by the Political Representative on the CIC, by the Technical Representative on the CIC, and by a second Technical Representative selected by each country within the thematic areas of the project;
- A representative of UNEP, acting on behalf of the Implementing Agency;
- A representative of the OAS, acting on behalf of the Executing Agency.

89. Despite the triple representation of the countries (one political and two technical – see previous paragraph), the decision of the country on the SC was ultimately made by the "full potentiary"[10] representative of the country. Decisions were approved only by consensus, meaning that decisions could only be approved if all the five countries representatives agreed. The agencies (UNEP and OAS) were not voting members of the SC.

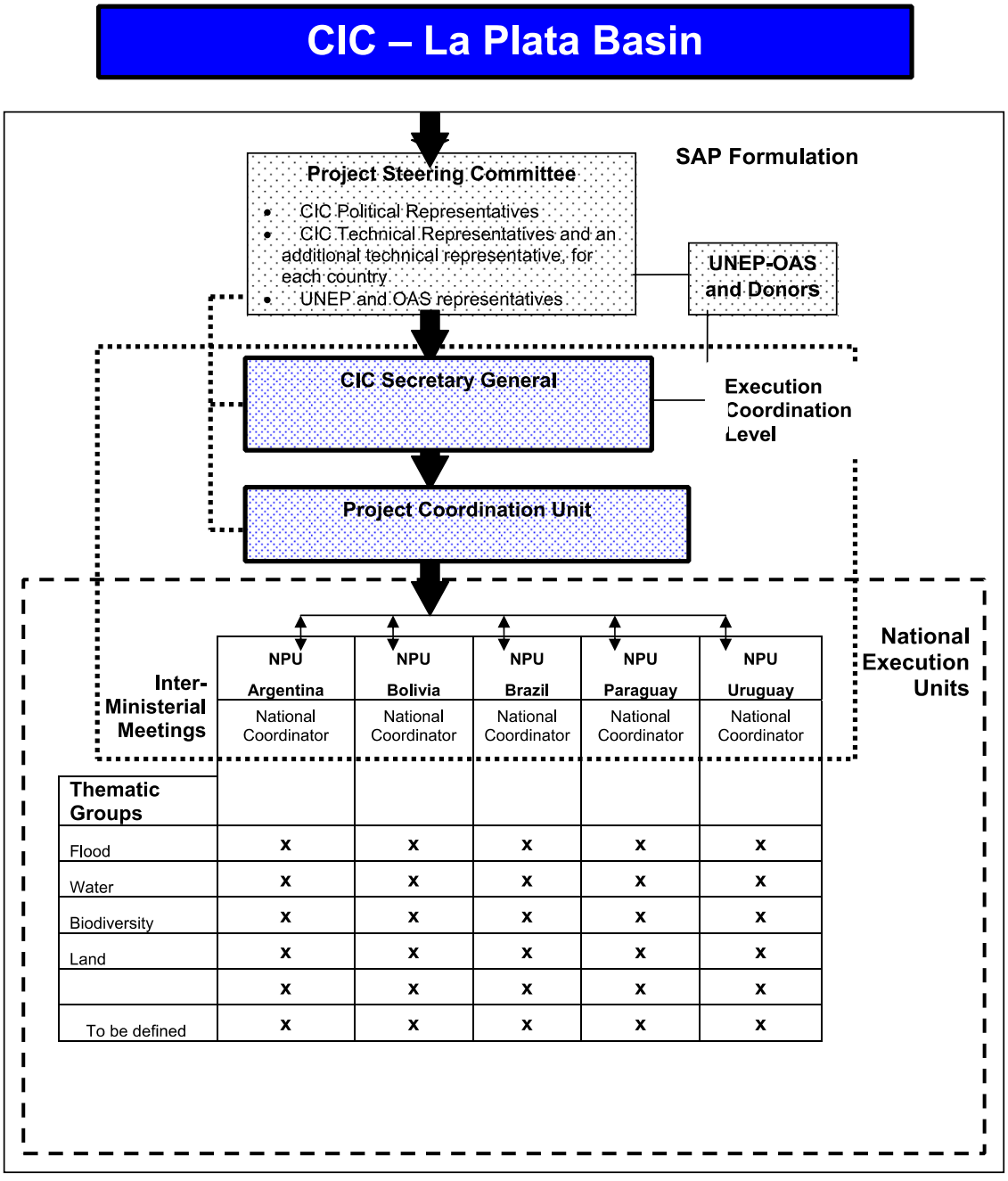

Figure 3 - LPB project Decision Making Flow Chart (source LPB ProDoc)

[10] The "full potentiary" is a term used by the LPB project to address the representative of the minister of foreign affairs acting as the political representative on CIC who was the final responsible for the decisions of the countries on the SC.

E. Changes in Design during Implementation

90. The project execution required one 3- month no cost extension (agreed in 2014) from March 2016 to June 2016 and a second 18-month no cost extension (agreed in 2017) from June 2016 to December 2017.. According to the Mid-Term Review (MTR), delays were caused by the project's long period of preparation; the use of TGs at national level (which complicated project execution and monitoring); a lack of permanent national structures in the riparian countries which could implement committee decisions; and the mismatched execution of integrated water balance and groundwater activities. However, no formal revision to the project results framework was made to reflect this longer project implementation period.

F. Project Financing

91. The total project budget was US$ 61 764 087, of which US$ 10 730 000 (17%) was in the form of a grant from the GEF. The rest was provided as in kind and in cash contributions from the governments of the five riparian countries (US$ 24 002 837) by companies such as Itaipu and the Intergovernmental Committee of Waterways (US$ 8 500 000), and by national research agencies (US$ 18 531 250). These co-financing resources were administered directly by their contributors and their expenses were not reported to the Project Management, so this report can only compare the budget and expenses made with the GEF resources.

Table 3 - Budget planned by component and financing source

COMPONENTS	GEF (US$)	Government (US$)	Other Counterp (US$)	Co-Finance (US$)	Total Co-Finance (US$)	TOTAL (US$)
COMPONENT I						
Harmonizing the Institutional and Legal Framework						
I.1.1.Technical and Institutional Capacity Building	1 264 756	2 299 750	0	47 000	2 346 750	3 611 506
I.1.2. Harmonization of Conceptual, Legal and Institutional frameworks	60 000	79 500	0	0	79 500	139 500
I.1.3. Decision Support System	634 000	444 600	0	90 000	534 600	1 168 600
Total I.1	1 958 756	2 823 850	0	137 000	2 960 850	4 919 606
Public Participation						

COMPONENTS	GEF (US$)	Government (US$)	Other Counterp (US$)	Co-Finance (US$)	Total Co-Finance (US$)	TOTAL (US$)
I.2.1. Communication and Promotion of Public Participation	200 000	162 791	0	0	162 791	362 791
I.2.2. Education for Responsible and Conscious Public Participation	255 000	203 489	0	0	203 489	458 489
I.2.3. Public Participation Fund (PPF)	200 000	0	0	0	0	200 000
Total I.2	655 000	366 280	0	0	366 280	1 021 280
Monitoring and Evaluation (M&E)						
I.3.1 Monitoring progress	15 000	248 000	0	0	248 000	263 000
I.3.2 Evaluating performance achievements	85 000	50 000	0	0	50 000	135 000
Total I.3	100 000	298 000	0	0	298 000	398 000
Total Component I	2 713 756	3 488 130	0	137 000	3 625 130	6 338 886
COMPONENT II						
II.1 Integrated Water Resources Manage-ment total II.1 to 7	4 380 300	7 231 231	7 500 000	1 378 000	16 109 231	20 489 531
II.1.1 IWB Methodology	90 000	612 644	0	0	612 644	702 644
II.1.2 LPB IWB	220 000		0	250 000	250 000	470 000
II.1.3 Dissemination	60 000	370 881	0	0	370 881	430 881
Total II.1	370 000	983 525	0	250 000	1 233 525	1 603 525
II.2 Water Quality and Contamination Assessment and Monitoring						
II.2.1. Information	875 750	1 367 321	0	0	1 367 321	2 243 071
II.2.2. Model	98 500	0	0	0	0	98 500
II.2.3. Action plan	417 250	0	0	200 000	200 000	617,250
Total II.2	1 391 500	1 367 321	0	200 000	1 567 321	2 958 821
II.3 Sustainable Management of Yrenda –Toba - Tarijeno Aquifer System (SAYTT)						
II.3.1: Priority Activity "Sustainable Management of the SAYTT	909 400	500 000	0	0	500 000	1 409 400
II.3.2: Aquifer	109 400	683 585	0	328 000	1 011 585	1 120 985
Total II.3	1 018 800	1 183 585	0	328 000	1 511 585	2 530 385
II.4 Biodiversity Management						
II.4.1North-south	60 000	100 000	0	0	100 000	160 000
II.4.2 Priority Activity Cultivando Agua Boa (Itaipu)	750 000	0	7 500 000	0	7 500 000	8 250 000

COMPONENTS	GEF (US$)	Government (US$)	Other Counterp (US$)	Co-Finance (US$)	Total Co-Finance (US$)	TOTAL (US$)
II.4.3 Sustainable biodiversity strategy	90 000	0	0	106 500	106 500	196 500
Total II.4	900 000	100 000	7 500 000	106 500	7 706 500	8 606 500
II.5 Land Degradation Control						
II..5.1 Diagnostic Analysis	33 000	293 500	0	0	293 500	326 500
II.5.2 Priority Activity SMP	50 000	120 200	0	0	120 200	170 200
II.5.3 Land Degradation and Control Strategy	7 000	168 300	0	0	168 300	175 300
Total II.5	450 000	582 000			582 000	1 032 000
II.6 Identification of Sustainable Development opportunities						
II.6.1 Clean technologies identified	70 000	166 800	0	0	166 800	236 800
II.6.2 Nautical Ecotourism Project	180 000	155 000	0	0	155 000	335 000
Total II.6	250 000	321 800	0	0	321 800	571 800
Subcomponents Pilots Demonstration Projects - II.7						
Biodiversity (Parana River)	207 000	794 000	0	750 000	1 544 000	1 751 000
Forecasting System (Paraguay- Paraná)	220 000	588 000	0	400 000	988 000	1 208 000
Use Conflict (Cuareim-Quaraí)	232 000	279 000	0	400 000	679 000	911 000
Mining Contamination (Pilcomayo)	213 000	411 076	0	70 000	481 076	694 076
Total Pilots	872 000	2 072 076	0	1 620 000	3 692 076	4 564 076
Total Component II	5 252 300	6 610 307	7 500 000	2 504 500	16 614 807	21 867 107
COMPONENT III						
III.1 A hydro-climatic forecasting system for the la Plata Basin	900 000	5 800 900	0	9 618 250	15 419 150	16 319 150
Total Component III	900 000	5 800 900	0	9 618 250	15 419 150	16 319 150
COMPONENT IV						
IV.1 TDA and SAP Preparation	1 292 824	2 038 000	1 000 000	600 500	3 638 500	4 931 324
Total Component IV	1 292 824	2 038 000	1 000 000	600 500	3 638 500	4 931 324
PROJECT MANAGEMENT						
Total Project Management	571 120	6 065 500	0	5 671 000	11 736 500	12 307 620
TOTAL	**10 730 000**	**24 002 837**	**8 500 000**	**8 531 250**	**51 034 087**	**61 764 087**

Table 4 - Budget and expenditures by outcome and component

COMPONENTS	Budget at Design (ProDoc) (US$)	Total Expended Until Dec 2017 (US$)	Expenditure ratio Expended: Planned
COMPONENT I			
I.1 Harmonizing the Institutional and Legal Framework	1 958 756	1 814 734	93%
I.2 Communication, Participation and Education	655 000	573 493	88%
I.3 M&E	100 000	357 865	358%
TOTAL COMPONENT 1	**2 713 756**	**2 746 092**	**101%**
COMPONENT II			
II.1 Integrated Water Resources Management	370 000	361 810	98%
II.2 Water Quality and Contamination Assessment and Monitoring	1 391 500	1 004 828	72%
II.3 Sustainable Management of SAYTT	1 018 800	815 631	80%
II.4 Biodiversity Management	900 000	651 128	72%
II.5 Land Degradation Control	450 000	212 752	47%
II.6 Identification of Sustainable Development opportunities	250 000	108 362	43%
II.7.1 Pilot Project - Biodiversity (Parana River)	207 000	218 356	105%
II.7.2 Pilot Project - Forecasting System (Paraguay-Paraná)	220 000	276 047	125%
II.7.3 Pilot Project - Use Conflict (Cuareim-Quaraí)	232 000	424 337	183%
II.7.4 Pilot Project - Mining Contamination (Pilcomayo)	213 000	134 074	63%
TOTAL COMPONENT II	**5 252 300**	**4 207 326**	**80%**
COMPONENT III			
III.1 A hydroclimatic forecasting system for the LPB	900 000	761 330	85%
TOTAL COMPONENT III	**900 000**	**761 330**	85%
COMPONENT IV			
IV.1 TDA and SAP Preparation	1 292 824	1 566 956	121%
TOTAL COMPONENT IV	**1 292 824**	**1 566 956**	121%
PROJECT MANAGEMENT	571 120	1 378 298	241%
GRAND TOTAL	**10 730 000**	**10 660 001**	**99%**

Table 5 - Budget and expenditures by financing source

GEF Funds (US$)		Co-Financing Governments (US$)		Co-Financing Other (US$)		Total (US$)	
Planned	Disbursed	Planned	Reported	Planned	Reported	Planned	Reported
10 730 000	10 660 001	24 002 837	85 424 909	27 031 250	18 337 250	61 764 087	114 422 160

IV. THEORY OF CHANGE AT EVALUATION

92. The Global Environment Facility (GEF) La Plata Basin (LPB) project was approved in 2010 using a results' focus. The original ProDoc did not include a Theory of Change (ToC), as it was not a UNEP requirement at the time. During project implementation, there were no documented changes in the project's intended results nor intervention logic. During the inception phase of the terminal evaluation a 'ToC at Design' was reconstructed based on the information given in the project documents. This was reviewed during the evaluation data collection phase and was revised based on interviews with key actors to provide the reconstructed 'ToC at Evaluation'. As far as possible the reconstructed TOC at Evaluation is in line with Organisation for Economic Co-operation and Development/ Development Assistance Committee (OECD/DAC) and GEF guidelines.

93. Figure 4 (below) and Figure 7, Figure 8 and Figure 9 (see ANNEX 7) present the reconstructed ToC at Evaluation diagram with a sequence from outputs to outcomes and then to intermediate states through to the desired impact. It explains the process of change by outlining major causal pathways along the intervention. That is, the effects (outcomes) generated by the access to products (outputs) and which, in turn, lead to the intermediate states in line towards the desired impacts. The changes are mapped as a set of interrelated pathways, showing the required outcomes in logical relationship to the others.

94. The overall impacts of the project were to achieve the shared management and sustainable use of water and other resources of the LPB, as well as to reduce negative impacts (losses) and to implement adaptive measures (opportunities) due to climate variability and change. It was expected that the delivery of 25 outputs (access to, and gains from, goods and services delivered by a project) would lead, during the life of the project, to the achievement of 12 direct outcomes (change resulting from the use of outputs by key stakeholders), which in turn would place the process of change in three intermediate states (changes required in between project outcomes and impact) towards the desired impacts (long term changes in environmental benefits and human living conditions).

    These expected changes would be effectively achieved if a series of **assumptions** (contributing conditions that are largely outside the sphere of influence of the project) and **drivers** (contributing conditions that can, to a large extent, be influenced by the project) were met. Six assumptions and 37 drives were identified (see Table 24). Most drivers and assumptions were identified from Prodoc Appendix 1 "Project Result Framework" from assumptions/risks identified for each direct outcome and projects purpose and objective. They mainly involve national institutions' capacities. The main assumptions range from the continuing priority of sustainable environmental development in the public agendas of the LPB riparian countries to the continued urgency placed by climate threats and extreme events upon coordinated action for Integrated Water

Resources Management (IWRM) in LPB. As for the drivers, they are oriented towards many factors, such as the five riparian countries taking advantage of opportunities related to sustainable development and major water users and key stakeholders are engaged in the project activities, the development of the Strategic Action Program (SAP) and its implementation.

95. The ToC also indicates the main **stakeholders' groups** (SG) involved in the change processes. The roles they play on the causal chain and how they are affected by the changes are also presented here. The main stakeholders groups were organized in four categories, namely: Stakeholder Group 1 (SG1) Governmental Institutions, SG2 Private Sector, SG3 Civil Society Organizations and SG4 other stakeholders (Table 22). They correspond to 21 sub-categories, including SG1.1 Intergovernmental Coordinating Committee of La Plata Basin (CIC) and National Project Units (NPUs), SG2.5 Transportation sector, SG3.3 Local Communities and Small Farmers, among others. The stakeholder groups correspond, majorly, to institutions mentioned in project documents, especially the ProDoc section of "*identified responsible institution*".

COMPONENT I: IMPROVING THE TECHNICAL AND LEGAL CONDITIONS NECESSARY FOR PROVIDING THE PARTICIPATING INSTITUTIONS AND KEY STAKEHOLDERS WITH THE MANAGEMENT CAPACITY FOR THE FORMULATION OF THE SAP AND ITS SUBSEQUENT IMPLEMENTATION.

96. For that purpose, 4 outputs were to be delivered that lead to the achievements of 2 outcomes. Ten drivers would facilitate the achievements of those outcomes and 5 groups of key actors were called to lead this change process. The combined effects of all this were to improve the decisions made in LPB through the SAP (Intermediate State II) and strengthen the capacities of coastal countries to anticipate and adapt to climate variability and change (Intermediate State III).

97. The first outcome of Component I was that the countries would agree and adopt a harmonized legal framework, with administrative and management tools and a Support System for the Operational Decision on the sustainable use of water in the LPB (**Outcome I.1**). For that, CIC Secretariat and the 5 NPUs (SG1.1) with the collaboration of private sector entities (SG2) and Civil Society Organizations (SG3) would contribute to strengthened technical institutional capacities (Output I.1.1); propose for endorsement an adaptive transboundary IWRM conceptual legal framework (Output I.1.2), and make available a LPB Decision Support System for the CIC (Output I.1.3).

98. The second outcome of Component I was that local stakeholders and civil society would contribute towards the formulation of the Transboundary Diagnostic Analysis (TDA) & SAP (**Outcome I.2**). To do this, Regional and Local Governmental Institutions (SG1.4), would contribute to engage private sector entities (SG2), Civil Society Organizations (SG3) and the Academia (SG3.1) in the LPB activities (Output I.2.1).

COMPONENT II: SYNTHESIZE AND COMPILE THE INFORMATION GATHERED FROM SCIENTIFIC INVESTIGATIONS, FEASIBILITY STUDIES, AND INSTITUTION / CAPACITY ASSESSMENTS TO FORMULATE A STRATEGIC ACTION PROGRAM FOR THE LA PLATA BASIN.

99. For this, eighteen outputs were to be delivered that were intended to lead to the achievement of eight outcomes. Twenty-four drivers would facilitate the achievement of these outcomes. Ten different stakeholders' groups were expected to have key roles in the change process. Those combined effects were expected to improve the integrated management and sustainable use of water and natural resources in the LPB (Intermediate State I). This intermediate state would be achieved through the harmonization of national actions to protect critical ecosystems on LPB (Medium Term Outcome).

100. The first outcome of Component II was that an Integrated Water Balance (IWB) methodology would be endorsed through the CIC in support of adaptive IWRM in the LPB (**Outcome II.1**). For that, Governmental Institutions (SG1.2) with the National Agencies and Specialized Institutions (SG1.3), Civil Society Organizations (SG3), and Academia (SG3.1), and with adequate technical support provides by United Nations Educational, Scientific and Cultural Organization - International Hydrological Programme (UNESCO-IHP)(SG4.1) (DII.1.1), would contribute to develop a supply and demand IWB instrument, including surface and groundwater resources, to provide the necessary information to decision makers and the general public in support of adaptive IWRM in the La Plata Basin (Output II.1.1).

101. The second outcome of Component II was that through the regional water quality knowledge base, institutions responsible for water quality monitoring would agree to apply protocol and remedial actions. (**Outcome II.2**). With the active participation and support of Governmental Institutions (SG1.2 / D.8), National Agencies and Specialized Institutions (SG 1.3 / D.9) of the five basin countries, the information on water quality would be exchanged between the riverside institutions (Output II.2.1); environmental degradation models would be operational and integrated by qualified personnel to operate them (Output II.2.2); and a water quality action plan would be in use by LPB countries (Output II.2.3).

102. The third expected outcome of Component II was that the Yrenda –Toba - Tarijeno Aquifer System (SAYTT) groundwater management guidelines and plan would provide the basis of the groundwater strategy and assist the three countries (Argentina, Bolivia and Paraguay) in establishing basic legal and institutional mechanisms for sustainable management (**Outcome II.3**). Governmental Institutions (SG1.2), National Agencies and Specialized Institutions (SG1.3) would actively contribute to plan and execute a sustainable management system of the SAYTT (Output II.3.1). The change from output to outcome could be facilitated by the establishment of basic legal and institutional mechanisms for sustainable management of the SAYTT aquifer by the three governments (DII3.1). The project would make available to decision makers the guidelines for integrated basin-wide

groundwater management of the LPB (Outputs II.3.2). Active participation and support of key non-government stakeholders (D.8) and specialized institutions of the countries providing information, data and technical support (D.9) would also be relevant contributing factors.

103. The fourth expected outcome of Component II was that an ecological corridor for biodiversity conservation and water protection in the upper catchments of the LPB would be designed and endorsed within the CIC framework (**Outcome II.4**). It would be reached by the delivery of three outputs: the endorsement by CIC of the management plan and conservation strategy for the north-south wetland corridor, from Pantanal to Uruguay river mouth (Output II.4.1); the execution of the project "Cultivando Agua Boa" (CAB) in the Itaipu dam's reservoir sub basin with learning lessons and recommendations submitted for consideration in the TDA and SAP processes (Output II.4.2); and a sustainable biodiversity management strategy for fisheries and aquaculture resources would be prepared for endorsement (Output II.4.3). These changes could be facilitated if the three upper basin dam agencies (Itaipu, Salto Grande and Yaciretá) were to agree to support the upper LPB ecological corridor initiative (DII.4.1) and the LPB Biodiversity Management Strategy were integrated into the national policies within the context of the United Nations Convention on Biological Diversity (DII.4.2). The active participation and support of non-governmental institutions (D.8) and the provision information, data and technical support from specialized institutions of the five basin countries (D.9) was also expected to contribute to this outcome. Governmental Institutions (SG1.2), National Agencies and Specialized Institutions (SG1.3), with the collaboration of Regional and Local Governmental Institutions (SG1.4), Binational Dam Entities (SG1.5), Agribusiness (SG2.2) and Energy sector (SG2.3), Civil Society Organizations (SD3) and the Academia (SG3.1) would have key roles in the achievement of this outcome.

104. The fifth expected outcome of Component II was that all the countries would take cooperative-joint actions to better control land degradation at LPB and to protect a critical ecosystem (**Outcome II.5**). A land degradation diagnostic analysis would be prepared for adoption by LPB countries (Output II.5.1); a priority activity on Selva Misionera Pranaense (SMP) would be planned, executed and presented for inclusion in the SAP (Output II.5.2); and a basin-wide land degradation control strategy would be developed for its inclusion in the SAP (Output II.5.3). Governmental Institutions (SG1.2), National Agencies and Specialized Institutions (SG1.3), with support of non-government stakeholders (D.8) and specialized institutions of the five basin countries support (D.9) could contribute to achieve this outcome.

105. The next outcomes of Component II focused on opportunities for sustainable development. **Outcome II.6.1** would be the development and application of clean technologies at the LPB. The project would build an inventory of clean technologies to protect water resources and developed demonstration experiences of use

(Output II.6.1). National (SG1.2), Regional and Local Governmental Institutions (SG1.4), with the private sector (SG2) and Civil Society Organizations (SG3) are the major stakeholder groups to be engaged on the process. **Outcome II.6.2** would be the protection of natural and cultural heritage sites within the context of recreational and ecotourism development in the Lower Uruguay River. The project would expect to reach this outcome through the delivery of a demonstrative project of recreational tourism and nautical ecotourism in the Lower Uruguay River / Paraná Delta (Output II.6.2). Some drivers were expected to contribute to this change, such as private tourism companies and nautical clubs from Buenos Aires (Argentina) and the Department of Colonia (Uruguay) being interested to invest in nautical eco-tourism (DII.6.1); national environmental, hydrological, and tourist institutions joining efforts to support private tourism companies and clubs to develop the project by the 1st year, and including upscale actions in the SAP by the end of the project (DII.6.2); and Local communities and private sector supporting recreational and eco-tourism development in the Lower Uruguay-Parana/Delta River (DII.6.3).

106. Based on 4 pilot demonstrations, the last expected outcome of Component II focused on a set of sound recommendations and agreed upon actions on pollution and erosion control, early warning systems, water conflict resolution and biodiversity conservation for scaling-up and replication (**Outcome II.7**).

107. The first pilot demonstration consists of the development of a management plan for the conservation of biodiversity in the Parana River (**Output II.7.1**). It would involve Bi-national Dam Entities (SG1.5), the Civil Society Organizations (SG3), Local communities and small farmers (SG3.3) and Indigenous Peoples and their communities (SG3.4). This would be more effectively achieved if the civil society and stakeholders understood the need for international coordination for biodiversity management DII.7.4; and if the Yaciretá Bi-national Entity (YBE Argentina – Paraguay) and Itaipú International (Itaipú Bi-national Entity. Brazil – Paraguay) were effectively involved in the development of the demonstration project activities (DII.7.5).

108. **Output II.7.2**, the second pilot demonstration, would correspond to the development and operation of a hydrological alert system at the confluence of Paraguay and Parana Rivers, including a scale-up strategy. This output involves Regional and Local Governmental Institutions (SG1.4), Bi-national Dam Entities (SG1.5), Local communities and small farmers (SG3.3), Water Committees (SG3.6) and other stakeholders responsible for other flood control projects that are taking place in Argentina and Paraguay (SG4.2).

109. **Output II.7.3** would consist of the development and operation of a pilot project of water-use conflict resolution in the Rio Cuareim/Quarai Basin. This would involve Agribusiness sector (SG2.2), Local communities and small farmers (SG3.3) and Water Committees (SG 3.6).

110. The fourth demonstration pilot was about tackling pollution and erosion control in the Cotagaita micro-basin of the Pilcomayo River (**Output II.7.4**). The

stakeholders involved in the delivery of this output would be Regional and Local Governmental Institutions (SG1.4), Industrial sector (SG2.1), and Local communities and small farmers (SG3.3). Two drivers would facilitate the process: the effective collaboration of Bolivia's Mining Corporation (COMIBOL) and relevant institutions (DII.7.7), and inclusion in the annual operating plan of the municipality of Cotagaita of the implementation of natural resource management practices to reduce erosion and sedimentation (DII.7.8).

111. Some drivers would help to promote the change process from Outputs II.7.1, II.7.2, II.7.3 and II.7.4 to Outcome II.7, namely: public and private institutions in the pilot areas collaborate and participate in the pilot implementation (DII.7.1); the demonstration projects are appropriated by the inhabitants of the project area (DII.7.2), and basin stakeholders and institutions have enough capacity to adjust to the changes promoted by the pilot project (DII.7.3).

Component III: develop hydro-climatic models and scenarios for adaptation planning.

112. The outcome expected was that the riparian countries better understand climate variability and change, and their related impacts, defining adaptation measures in a participative way and incorporating them into the SAP (**Outcome III.1**). The stakeholders involved were expected to be mainly Governmental Institutions (SG1.2), as well as Private sector entities (SG2), Civil Society Organizations (SG3), Agribusiness (SG2.2), Energy sector (SG2.3), and Other - Social and educational institutions (SG 4.5). The project would deliver hydrological risk models and hydro-climatic scenarios for basin-wide, and adaptation measures which would be incorporated into the TDA and the SAP (Output III.1.1). The main driver considered for this is that basin countries use the information available to allocate and access Climate Change Adaptation funds for specific projects (DIII.1**)**. The achievement of this outcome was expected to enhance the capacity of riparian countries to anticipate and adapt to climate variability (El Niño/La Niña) and climate change (Intermediate State III).

Component IV: the Strategic Action Programme (SAP) for LPB that includes the agreed upon TDA.

113. Its endorsement by the five riparian countries within the framework of the CIC corresponds to **Outcome IV.1**, which involves active and responsible stakeholder participation (DIV.1.1) from Governmental Institutions (SG1.2), Private sector entities (SG2), NGOs (SG3.2) and Other Civil Society Organizations (SG 3.5). The two outputs considered to reach this outcome are that a hydro-climatic assessment is made available for the TDA for endorsement by riparian countries (Output IV.1.1); and the development of a Strategic Action Programme (SAP) for LPB is made available for endorsement by the riparian countries (Output IV.1.2). This outcome also contributes to Intermediate State II to improve decision making

and Intermediate State III to enhance the capacity of riparian countries to anticipate and adapt to climate variability and climate change.

Description of Intermediate States

114. **Intermediate State I**, "*improved management and sustainable use of water and natural resources in the LPB*", may be reached through the achievement of outcomes of Component II, through one medium term outcome. **Intermediate State II**, "*improved decision making in the LPB through the SAP*", may be reached through achievement of outcomes of Components I and IV. **Intermediate State III**, "*the enhanced capacity of riparian countries to anticipate and adapt to climate variability and climate change"*, may be reached through the achievement of outcomes of Components I, III and IV. Four associate drivers are contributing factors of these change processes: key cooperation agreements and/or collaborative actions commitments are signed and implemented by the relevant institutions (DI.1); basin countries use the information available to allocate and access Climate Change Adaptation funds for specific projects (DIII.1) and resources are available for implementation of SAP (D.5); and governments and key stakeholders use lessons learned to replicate, scale-up and improve IWRM (D.6).

115. It is important to note that outcomes of Component II have bi-directional connections with outcomes of components I and III. This means that the outcomes of Component II, which refer to Integrated Water Resources Management, are mutually related on the casual chain with the outcomes of Component I, which focus on strengthening the cooperation capacity of riparian countries to integrate hydro-climatic management. The outcomes of Component II also are affected by, and affect, the outcome of Component III, that consists of the development of hydro-climatic models and scenarios for adaptive planning. Furthermore, the first three components, strengthening of the cooperation capacity (Component I), IWRM (Component II) and the models and scenarios for adaptation (Component III), have uni-directional connections with Component IV. Therefore, strengthened capacities, improved IWRM and adaptation scenarios were required to reach expected outcome IV.1: the formulation of the Strategic Action Plan for the LPB and its endorsement by the five riparian countries, within the framework of the CIC.

Description of Assumptions and Drivers

116. Finally, it is important to say that the ToC formulates a series of assumptions and drivers that must concur to facilitate the change from the defined intermediate states towards the desired impacts. The **assumptions** considered include that: sustainable environmental development continues to be a priority in the public agendas of the LPB riparian countries (A.1); other urgent issues and matters do not overshadow IWRM priorities and key actions proposed on SAP (A.2); climate threats and extreme events continue to place urgency on coordinated action for IWRM on LPB (A.3.); countries commit to the necessary

policy reforms required to strengthen coordination and implement the SAP (A.4); the change of government officials of the riparian countries do not jeopardize the continuity of the change processes generated by the LPB project (A.5); and that the stakeholders involved in the implementation of the SAP, including governments, private sector and civil society, have resilience and enough adaptability to face potential threats including changes on the global, regional or national financial situation; and political instability (A.6).

117. As for the **drivers** toward the impacts, it is considered that the five LPB countries, in an integrated way, take advantage of the opportunities and overcome the barriers to resolving the critical transboundary issues related to the sustainable development and management of the LPB (D.1); also that the institutional coordination and transboundary cooperation agreements for formalized projects, established information resources and data network for hydro climatic TDA and adaptive-IWRM are in place at all relevant institutions (D.2); that the governments of the five riparian countries coordinate actions and investments in the La Plata Basin (D.3); that the CIC members provide the resources and means to sustain technical activities of IWRM (D.4); that the riparian governments, key decision makers in the riparian countries and major water users in the basin allocate adequate resources to implement the SAP and consolidate adaptive IWRM in LPB (D.5); that the governments and key stakeholders use lessons learned to replicate, scale-up and improve IWRM (D.6); and that the major water users and key stakeholders are engaged in the project activities, participate in the development of the SAP and embrace its implementation (D.7).

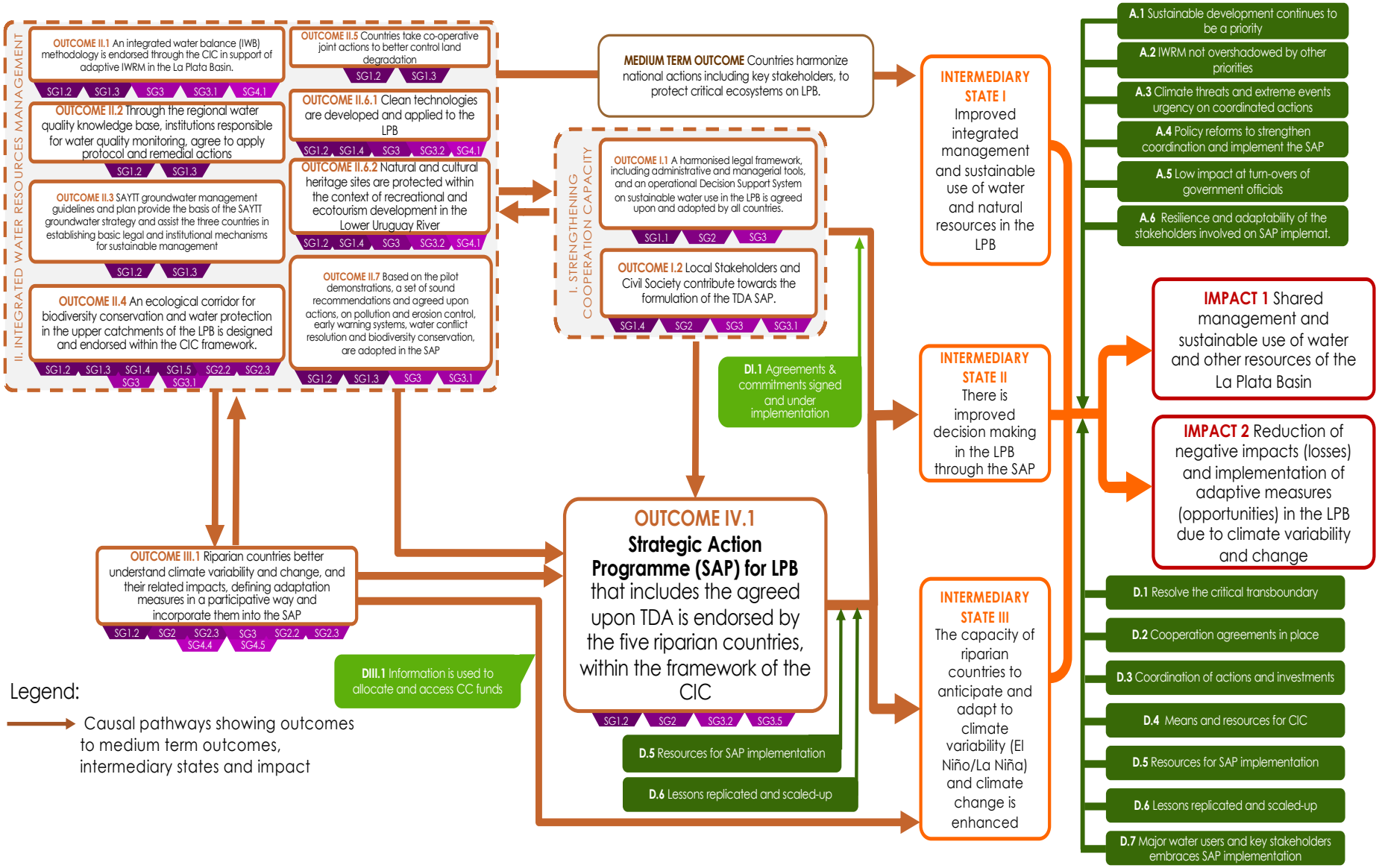

Figure 4 - Reconstructed ToC diagram GEF LPB project (from Outcome to Impact)

V. EVALUATION FINDINGS

A. Strategic Relevance

i. *Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW)*

118. The UNEP Medium Term Strategy 2010–2013 identifies six cross-cutting thematic priorities as climate change, disasters and conflicts, ecosystem management, environmental governance, harmful substances and hazardous waste, resource efficiency – sustainable consumption and production. The project documents did not mention explicitly its alignment to the MTS and POW, just mentioning that it is under the Ecosystem management sub-programme. Although not stated in the ProDoc, the evaluation team reviewed UNEP MTS and POW and evidence supports alignment to MTS 2010-2013, expected accomplishment #3.1, PoW 2010 – 2011, and 2012 – 2013 outputs #311 and #314.

Rating: Satisfactory

ii. *Alignment to UNEP / Donor / GEF Strategic Priorities*

119. The La Plata Basin project delivered outcomes under the Global Environment Facility (GEF) IV Strategic Objective I through its fostering of "international, multi-state cooperation on priority water concerns" and IW Strategic Program 3 through "Balancing overuse and conflicting uses of water resources in transboundary. The ProDoc indicated the relation of the project with the World Summit on Sustainable Development Objective 7: resource management, including contamination control and water conservation, prioritized environmental sustainability measures incorporating the principles of sustainable development to improve water resources governance. These priorities coincide with those of the GEF International Waters (IW) Focal Area.

120. The project documents did not mention explicitly its alignment to the Bali Strategic Plan for Technology Support and Capacity Building (BSP) and South-South Cooperation (S-SC). The Bali Strategic Plan relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. South-South Cooperation is regarded as the exchange of resources, technology and knowledge between developing countries. Nevertheless, these elements were addressed in several components of the project, from the perspective of Integrated Water Resources Management.

Rating: Satisfactory

iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*

121. The La Plata Basin overall project objective and the objectives of its four components (Strengthening Basin-wide Cooperation Capacity for Integrated Hydro-Climate Management, Integrated Water Resources Management, Hydro-climatic Models and Scenarios for Adaptation Planning, Strategic Action Programme (SAP) Formulation) were in line with regional, sub-regional and national agendas on Integrated Water Resources Management (IWRM). Nevertheless, its alignment to National Adaptation Programmes of Action, National Biodiversity Strategies and Action Plans and other national strategies were not explicitly mentioned.

122. In 2001, the five countries agreed on the need to develop a Framework Program for the La Plata Basin in order to: "i) coordinate common interest projects for the La Plata Basin countries; ii) carry out projects in water resources management and select concrete prioritized actions; iii) highlight the importance of flood and drought phenomena in the Basin, among others; iv) define sustainable hydrology; and v) promote regional initiatives identified as priorities by two or more countries within the framework of the La Plata Treaty"

123. During the preparatory phase of the project (2003-2005) a preliminary analysis of the main environmental problems was made through a participatory process. Eleven Critical Transboundary Issues were recognized: extreme hydrological events; loss of water quality; sedimentation in water courses and bodies of water; alteration and loss of biodiversity; non-sustainable use of fishing resources; non-sustainable use of aquifers in critical areas; conflicts over the use of water and environmental impact of irrigated crops; lack of contingency plans for disasters; poor water cleanliness and deterioration in environmental health. In the early development of the project, countries decided to incorporate "limitations to navigation" and "the development of hydroelectric energy" as Critical Transboundary Issues, as the two sectors are fundamental for regional integration. These themes have been addressed by the project.

124. At the time of the writing of the ProDoc, the five countries had published their initial National Communications in response to the United Nations Framework Convention on Climate Change requirements and Paraguay, Argentina, and Brazil were completing their Second National Communications. These would outline the necessary measures and responses for climatic variability and change. In addition, each country had a national plan before the start of the project for water resources issues:

- Argentina: Plan Nacional Federal de los Recursos Hídricos
- Bolivia: Plan Nacional de Cuencas
- Brasil: Plan Nacional de Recursos Hídricos

- Paraguay: Plan Maestro Medio Ambiental para el Área de Influencia de la Entidad Binacional Yacyretá
- Uruguay: Plan Nacional de Aguas

Rating: Satisfactory

iv. Complementarity with Existing Interventions

125. The project was built on existing projects and programs coordinated and executed by the major players (UNEP, Organization of American States, CIC, and the governments of the five riparian countries). The LPB project was linked to other GEF projects in the region, namely: Strategic Action Plan for the Bermejo River (GEF-Bermejo), Implementation of Integrated Management Practices for the Water Resources of the Pantanal/Alto Paraguay (GEF-Pantanal), Environmental Protection of the La Plata River and its Maritime Front, to prevent and control contamination and habitat restoration (GEF-FREPLATA), Environmental Protection and Sustainable Development of the Guarani Aquifer System (GEF-Guarani), and Sustainable Land Management in the Transboundary Ecosystem of the Gran Chaco Americano (GEF-Chaco Americano).

Rating: Satisfactory

Overall Rating for Strategic Relevance: Satisfactory

B. Quality of Project Design

126. The assessment of project design quality followed the guidance of the Evaluation Office of UNEP. It was based on a detailed analysis of the ProDoc approved in 2010. It was confirmed that there was not a revised project version of the document following a Mid-Term Review (MTR) that took place in 2013. The assessment of the project design presented at MTR was also considered as reference material during this evaluation.

127. It is important to take note the long period, nine years, between project approval and this evaluation. During this period the requirements, guidance and criteria for the assessment of GEF projects have been changed. These changes may lead to an different classification of the project design at the present compared to the moment it was approved. Nevertheless, the criteria used here were the ones from 2019 as this provides the most useful basis for deriving relevant learning for future project designs.

128. On one hand, the project design major strengths rested on:

- Strategic relevance – the ProDoc is clear in terms of its alignment and relevance to GEF 4 priorities as well as the regional, sub-regional and national environmental priorities.
- Learning, communication and outreach – the project document had a specific sub-component for Participation, Communication and Education (sub-component 1.2).
- Financial planning / budgeting – budgets and financial planning appear to be adequate at design stage.
- Efficiency – the project design made use of, and built upon, pre-existing institutions, agreements and partnerships, aiming to increase project efficiency.

129. On the other hand, its major weaknesses were:

- Nature of external context – the likelihood of changes in national governments were not explicitly addressed in the project document.
- Intended results and causality – the logframe in the project document does not describe the causal pathways from outputs to impacts clearly and convincingly.
- Governance and supervision arrangements – the project governance and supervision model was complex, sometimes overlapping the roles of PCU, CIC and Executing Agency.
- Partnership – furthermore, the capacity assessment of the partners in respect to their involvement on the project was not presented in the ProDoc.

Rating for Project Design: Moderately Unsatisfactory

C. Nature of the External Context

130. There was no armed conflict or major political upheaval during project implementation in the five countries. Nevertheless, a diplomatic conflict arose between 2005 and 2013 concerning Argentina and Uruguay related to the implementation of paper industry on Uruguay River. It was reported that it affected the delivery of output II.6: Nautical ecotourism priority activity in the lower Uruguay river/Paraná delta. The prevailing security situation of major Latin American cities had occasional minor effects on project operations. Furthermore, the "usual" political and economic "instability" of Latin America region brought additional pressure on the project execution (volatility of exchange rates, turnover of officials, political changes – including an impeachment in Brazil, etc.). Key stakeholders informed the evaluators that the regional external politics on the South American

context (mostly the tensions between 'bolivarianism' and liberalism), affected the decisions/performance of the project Steering Committee.

131. Infrastructure issues, such as temporal or spatially variability road access to sites, only occasionally affected project operations, with no significative impact being reported. Floods and droughts affected the LPB region between 2011-2016. The 2013-2015 floods on several regions of LPB and the 2014-2016 São Paulo drought were highlighted in the press. Despite the significant impacts on lives, ecosystem, society and economy, there was no report of any major negative direct impacts on the execution of the project. Key stakeholders informed the evaluation team that the floods on the area of Confluencia Demonstration Pilot Project (DPP) (output II.7.2) and Cuareim/Quaraí DPP (output II.7.3) were converted as opportunities to test the early warning systems and helped to bring momentum for some activities of the project. Nevertheless, the majority of the project documents do not reflect the magnitude and impact of these disasters on the people of La Plata Basin.

Rating for Nature of External Context: Moderately Favourable

D. Effectiveness

D1. Delivery of outputs

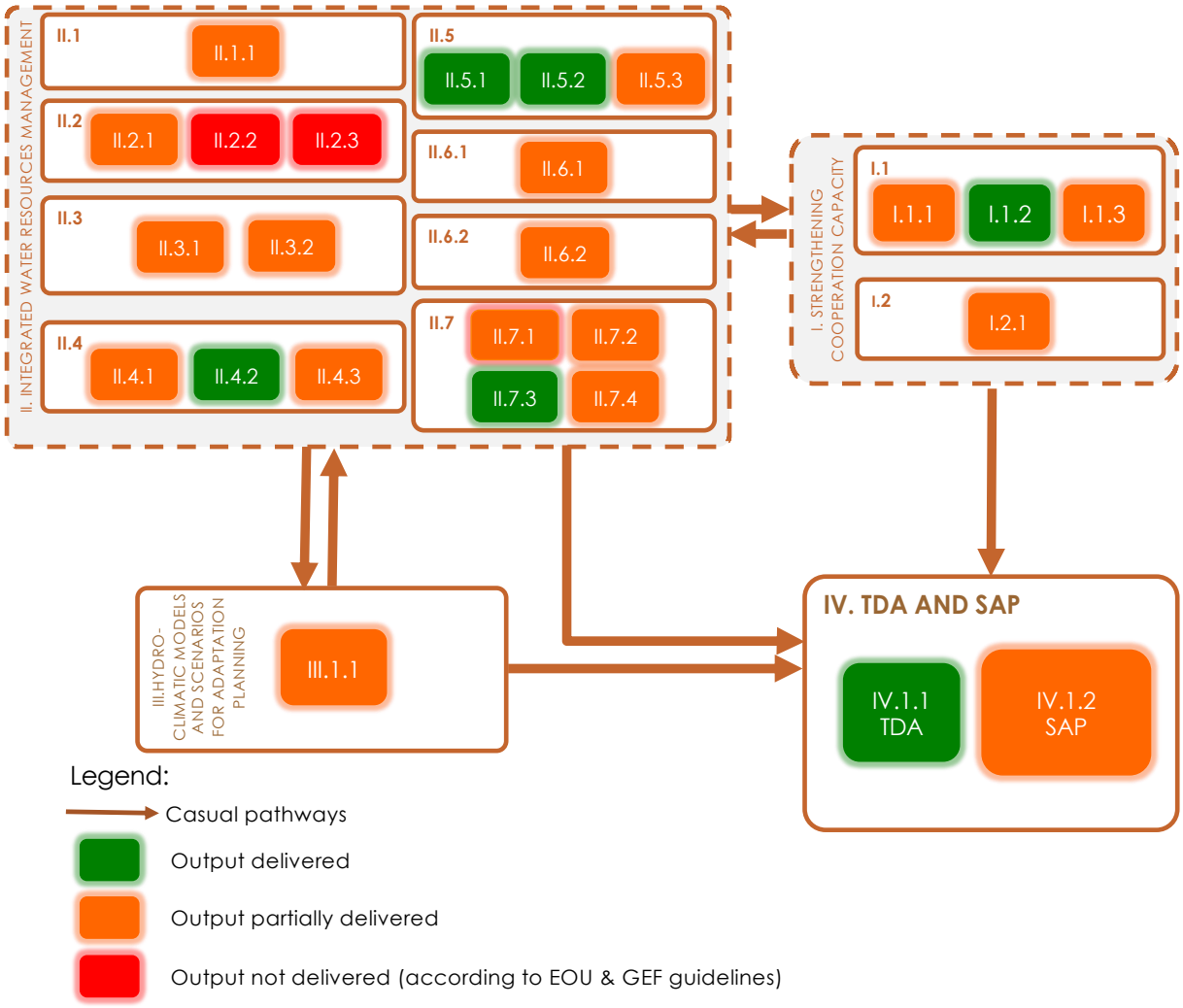

Figure 10 presents a summary of the assessment of the delivery of outputs plotted on the ToC diagram, grouped by the component and sub-component.

132. According to the Evaluation Office of UNEP and GEF guidelines, the evaluation of the delivery of the outputs is assessed as the project's success in producing the programmed outputs and achieving milestones as per the reconstructed Theory of Change at evaluation described in Section IV above. No formal modifications/revisions were made to the ProDoc during project implementation. The delivery of outputs is assessed in terms of both quantity and quality, and the assessment also considers their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. A brief explanation of the reasons

behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards is also presented. Six outputs were fully delivered, fifteen were partially delivered and four were not fully delivered.

133. Table 6, Table 7,

134. Table 8, Table 9 (below) and Figure 10 (above) present the assessment of the delivery of the outputs as per reconstructed Theory of Change (ToC), respectively for Component I, II, III and IV with a summary of the evidence justifying this assessment and the indication if it was delivered, partially delivered or not delivered.

135. **Component I** "Strengthening Basin-wide Cooperation Capacity for Integrated Hydro-Climate Management", outputs I.1.1 and I.1.3 were partially delivered, output I.1.2 was delivered, and output I.2.1 was partially delivered. Despite a lack of inter-institutional knowledge exchange as described in the approved results framework, technical institutional capacity was strengthened (output I.1.1). An adaptive transboundary IWRM conceptual legal framework was proposed for endorsement (output I.1.2). The LPB Decision Support System (DSS) was made available to the CIC (output I.1.3), however the DSS was not on-line by November 2018 (when the field mission took place), and the potential users within the project stakeholders interviewed reported that it was not operative yet at the closure of the data collection phase (May 2019). During the evaluation period efforts had been made by the CIC secretariat to bring the DSS to operation. Output I.2.1 can be considered as one of the most relevant outputs of the project, as it deals with the engagement of local stakeholders and civil society in the project activities. The four outputs of component I are among the most important ones to achieve the project expected outcomes.

Table 6 - Delivery of Outputs (summary of findings and evidences) – Component I

COMPONENT I. STRENGTHENING BASIN-WIDE COOPERATION CAPACITY FOR INTEGRATED HYDRO-CLIMATE MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
Output I.1.1 Technical institutional capacity for LPB-IWRM is strengthened through the following activities: a) Facilitate basin-wide cooperation for adaptive-IWRM b) Balancing national capabilities for TDA and SAP preparation c) Implement institutional capacity building program d) Organize inter-institutional knowledge exchange program	Technical capacities for LPB-IWRM had been increased. This output could be considered partially delivered. CIC had only been temporarily strengthened during the project implementation – the administrative and technical capacities of the CIC were similar to the baseline after the closure of the project. The project has delivered 212 international meetings and workshops, training 1578 professionals, which promoted the strengthening of the capacity of the country representatives who participated in the activities. Nevertheless, during the field mission/data collection phase it was noticed that due to turnovers in some countries several people who participated in the capacity building activities of the project were not in the function anymore. The stakeholders interviewed reported that once the project closed there was no effective mechanism in place to facilitate the cooperation for IWRM. In addition activity d did not take place	**Partially Delivered**
Output I.1.2	The Institutional and Legal Framework for the Integrated Management of Water Resources in the La Plata Basin was published as one of the technical publications	**Delivered**

COMPONENT I. STRENGTHENING BASIN-WIDE COOPERATION CAPACITY FOR INTEGRATED HYDRO-CLIMATE MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
An adaptive transboundary IWRM conceptual legal framework is proposed for endorsement	of the project. Proposals were drawn up for actions to harmonize the legal and institutional framework to facilitate and promote the treatment of critical transboundary issues and integrated water resource management within the scope of the CIC. This publication, produced by the project, was endorsed by the CIC.	
Output I.1.3 The LPB Decision Support System (DSS) is made available to the CIC.	Evidence suggests that the DSS was made available to CIC, but the ownership by, and usefulness to, intended beneficiaries was not evident. Most of the potential users within the project stakeholders interviewed reported that the DSS was not on-line by November 2018. In the first quarter of 2019, it became operational at http://sstd.cicplata.org. The quality of the "Complete water resources users and stakeholder reference system", one of the components of the DSS was below its original scope. For example, the inventory of public participation and education information was not included on the DSS. Despite these shortcomings on the DSS, the activities developed by the project under this output strengthened the articulation among the technicians of the 5 countries. Currently these technicians continue with the work on DSS under WIGOS (Integrated Global Observing System hosted by World Meteorological Organization). During the last decade there has been a shift towards Open Data processes and extensive use of radar/geo special data. The next phase of the Framework Program could benefit from these new approaches for the DSS.	**Partially Delivered**
Output I.2.1 Local Stakeholders and Civil Society are engaged in LPB activities through the following activities: 1. Public participation program a) Engage stakeholders in managing LPB b) Document good practices and lessons learnt for preparing the TDA and SAP c) Prepare/implement communication plan d) Engage local participation in priority activities and pilot demonstrations 2. Public awareness education program a) Prepare education and training material b) Sign conventions and agreements 3 Public participation fund a) Establish a PPF for IWRM; b) First call for proposals; c) Second call for proposals	Evidence indicates that Output I.2.1 was partially delivered as stated in the GEF formally approved documents. The evidence indicated severe limitations regarding the quality, quantity, usefulness and timeliness of this output, as per approved GEF documents. The public awareness education program was not conducted at basin level. The project team considered that it was beyond the scope of what could be achieved by the project. The international setting and the area of the basin were considered as the major limiting factors. Agreements were not signed between the CIC and institutions for knowledge exchange. It was reported that they did not happen due to the CICs legal and institutional framework. Public participation programs had been conducted only as part of the Pilot Project (DPPs) activities. Local participation engaged in the 6 micro-basin involved at Agua Boa replication experiences (output II.4.2) and in two of the 4 pilot projects, Confluence (output II.7.2) and Cuareim-Quarai (output II.7.3). It was expected that at least 20 project proposals from NGO, civil society organizations, universities or municipalities would be approved under the Public Participation Fund (PPF). But only 12 were implemented. Nevertheless, those PPF implemented had a solid impact with the local communities and actors that were actually involved, they were really empowered. During the field mission it was noted that local stakeholders and national governments are looking forward to find ways to continue the activities supported by the PPF. Furthermore, 20 courses in centers of excellence pertaining to SAP were to be delivered under this output. There is no evidence of these courses. Nevertheless, as mentioned above (see output I.1.1), the project delivered a significant number of capacity building activities (workshops and international meeting). The evaluation team was not able to assess the communication plan as it was not made available. Further corroboration with key stakeholders confirmed that the plan was not developed. The limitation of financial resources and priority for technical studies were highlighted as some of the reasons why the communication plan was not developed as indicated in the ProDoc. The TG on Communication was the last one to be implemented and key stakeholders indicated that this component was not prioritized by the project team.	**Partially Delivered**

136. Component **II** "Integrated Water Resources Management" had ambitious outputs, considering both the number (18 in total) and the scope (four pilot projects, as well as several relevant technical studies and priority activities). Only 22% of the outputs were fully delivered (output II.4.2, II.5.1, II.5.2 and II.7.3). The majority (67%) were partially delivered (outputs II.1.1, II.2.1, II.3.1, II.3.2, II.4.1, II.4.3, II.5.3, II.6.1, II.6.2, II.7.1, II.7.2 and II.7.4). And the rest of the outputs (11%), are considered not delivered (outputs II.2.2 and II.2.3,). On one hand, the DPP on Water Use Conflict Resolution in the Rio Cuareim/Quarai (output II.7.3) exceeded its initial scope and, in fact, delivered at micro-basin scale several of the project's outputs. On the other hand, several of the project's outputs were not delivered, because the countries and/or steering committee considered that their "scope exceeded the operational possibilities of the project" (output II.7.1) or "exceeded the framework of the sub-component" (output II.2.2) or "resolved that …key activities for outputs… would be conducted in the future project phase" (output II.1.1). The brief description of the major evidence/findings for the 18 outputs of this component can be found on the Table 7.

Table 7 - Delivery of Outputs (summary of findings and evidences) – Component II

COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
Sub-component II.1 Integrated Water Balance		
Output II.1.1 A supply and demand IWB instrument, including surface and groundwater resources, provides the necessary information for decision makers and the general public in support of adaptive IWRM in the La Plata Basin through the following activities: 1 Operational IWB (including water demand and supply) and documented in maps (1:100.000) and reports, available for planning TDA & SAP) and dissemination a) Develop an IWB methodology b) Prepare guidelines and manuals for the LPB IWB c) Agree to and adopt IWB methodology 2 IWB for LPB a) Compile information and generate database b) Develop capacity for understanding LPB's IWB c) Calculate Phase 1: surface water balance for the IWB, maps and reports prepared (Sc. 1:100.000) d) Asses water use and demand	The evidence indicates that Output II.1.1 was only partially delivered. The IWB methodology was developed but, the supply and demand IWB instrument was not operational. The surface water balance of the La Plata Basin was calculated (the methodology used was the Témez-CHAC). The methodology for estimating water use and demand was agreed upon by the working group and implemented nationally in each country. The IWB methodology implemented only at the pilot project level (Cuareim / Quaraí basin using SADr-IPH management model). The project countries decided that key elements of the IWB, as indicated on the ProDoc, would be carried out in the next phase of the Framework Program.	**Partially Delivered**

COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
3 IWB information disseminated a) Disseminate water balance information		
Sub-component II.2. Water quality monitoring and assessment		
Outputs II.2.1 Water quality information is exchanged amongst riparian institutions through the following activities: a) Strengthen water quality riparian institutions b) Integrate basin-wide water quality monitoring network (in coordination with II.1.3) c) Inventory sources of pollution	Water quality information was exchanged partially amongst riparian institutions. The monitoring campaigns were fewer than planned. Project was expected to deliver four campaigns per year. By the end of the project, just two campaigns occurred, one in 2013 and the other in 2014-2015. A methodological guide for evaluation of water quality was perfected and agreed upon by LPB countries, including a comparative analysis of water quality legislation. The project also delivered a laboratory inter-calibration through GEMS Water. The inventory of sources of pollution delivered by the project was limited in scope compared to that described in the ProDoc. The GEF approved results framework indicates as end-of-the-project target "Georeferenced database of sewage, mining, industrial, urban and rural diffuse discharges and environmental liabilities". This was not achieved. The project only delivered an estimation of sewage discharges and diffuse discharges based on land use.	**Partially Delivered**
Output II.2.2 The LPB environmental degradation models are operational and integrated into LPB DSS	Environmental degradation models were not operational nor integrated into LPB DSS. The project team considered that this output exceeded the possibilities of the project. An environmental degradation model was partially made at DPP level (Confluencia - output II.7.2).	**Not Delivered**
Output II.2.3 A water quality action plan for LPB is ready for use by riparian countries	The delayed schedule in completing prior activities were given as the reason for not delivering this output. Due to this shortcoming, actions for water quality management were included in the SAP, aiming to be implemented in a future phase of LPB Framework Programme.	**Not Delivered**
Sub-component II.3. Integrated groundwater management		
Outputs II.3.1 A Priority Activity on Sustainable Management of the Yrenda –Toba-Tarijeno Aquifer System (SAYTT) is planned and executed through the following activities: a) Establish technical coordination unit b) Conduct a specific transboundary hydro-geologic analysis for the SAYTT (AR-Bo-Py). c) Analyze the transboundary groundwater legal, institutional and socio-economic situation d) Conduct consultations and synthesize information e) Prepare a SAYTT strategy f) Prepare and execute a SAYTT pilot demonstration	SAYTT pilot demonstration was not executed as planned. The country representatives believed that a sound database had to be established before the implementation of a pilot project. A hydro-geological diagnostic study of the aquifer was carried out in a joint manner. This resulted in the development of an integrated database and integrated geological and hydrogeological maps for developing general guidelines for the management of the aquifer system. A project by which a groundwater monitoring network will be implemented in the SAYTT area of study was included in the SAP.	**Partially Delivered**
Output II.3.2 The guidelines for integrated basin-wide groundwater management of the LPB are made available for use by decision makers through the following activities: a) Conduct transboundary hydro-geologic analysis for the entire basin b) Characterize basin aquifers c) Integrate regional experiences d) Prepare guidelines for conjunctive	Guidelines for the integrated management of the transboundary aquifers of the La Plata Basin were agreed by the countries. However, guidelines for the integrated management of surface and groundwater were not prepared. The reason given for this shortcoming was that integrated water balance and groundwater activities were not executed at the same pace. The guidelines for the integrated management of surface and groundwater are a crucial element for the management of transboundary aquifers of LPB.	**Partially Delivered**

COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
management of surface and groundwater	Unprecedented regional cooperation and inter-institutional coordination between geologic surveys of the 5 countries, working together in the characterization of the LPB transboundary aquifers and in the development of the LPB's hydro-geologic map, were noted. The project also improved knowledge on transboundary groundwater aquifers of the LPB, through geo-referenced database of the main transboundary aquifers and maps (hydrogeological, salinity, etc.) integrated to the DSS.	
Sub-component II.4. LPB ecosystem management		
Output II.4.1 A management plan and conservation strategy for the north-south wetland corridor, from Pantanal to Uruguay river mouth, is prepared for endorsement by CIC	The project did not produce an actual management plan nor a conservation strategy for the north-south wetland corridor. Nevertheless, a preliminary design for the corridor and guidelines for its protection strategy were delivered. A database with information on ecosystems, ecological corridors, wetlands and protected areas was produced and integrated into the TDA.	**Partially Delivered**
Output II.4.2 Priority Activity: Cultivando Agua Boa (CAB) in the Itaipu dam's reservoir sub basin is planned and executed with learning lessons and recommendations submitted for consideration in the TDA & SAP documents	CAB methodology was replicated at six micro-basins by Yacyretá, Salto Grande and Itaipú bi-national entities. There was active participation of local stakeholders. Lessons learned and recommendations were exchanged, through several meetings, and submitted for TDA & SAP formulation process.	**Delivered**
Outputs II.4.3 A sustainable biodiversity management strategy for fisheries and aquaculture resources is prepared for endorsement	A sustainable biodiversity management strategy for fisheries and aquaculture resources was not actually delivered. Nevertheless, the projected delivered a diagnostic of the aquatic ecosystems and management guidelines for the conservation and management of aquatic biodiversity, with emphasis on ichthyofauna. The project published the "Aquatic Ecosystems of the La Plata Basin" a foundational material for reference on the state of aquatic biodiversity conservation in the La Plata Basin. National and regional biodiversity strategies were analysed and a compatibility proposal was prepared based on the Mercosur strategy.	**Partially Delivered**
Sub-component II.5. Controlling land degradation		
Output II.5.1 Land degradation diagnostic analysis is prepared for adoption by LPB countries through the following activities: a) Assess and compile basin-wide data and information on land degradation b) Evaluate the soil erosion processes in the basin c) Collect, compile and disseminate information on best-practices for land degradation control for the LPB	The project delivered an integrated database on soil type, land use and cover map; a diagnostic analysis on land degradation and erosion, with an erodibility map for LPB and the estimate production of sediments based on present and future climatic scenarios. A manual on best practices for land degradation control in the LPB was produced. The projects exceed this output by delivering also a manual on best-practices for irrigated crops (focusing on rice).	**Delivered**
Outputs II.5.2 Priority Activity: Selva Misionera Pranaense (SMP) is planned, executed and presented for inclusion in the SAP through the following activities: a) Compile and analyze available technical information to be considered in the LPB TDA. b) Prepare SMP priority activity c) Introduce SMP priority activity in SAP preparation.	A diagnostic analysis, considering information of the three countries involved (AR, BR and PY), on the state of conservation (ecosystems, erosion, etc.) of the SMP was delivered by the project. Management recommendations and soil erosion control and soil rehabilitation measures were defined for the SMP and included in the TDA & SAP.	**Delivered**

COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
Output II.5.3 A basin-wide land degradation control strategy is developed for its inclusion in the SAP through the following activities: a) Compile and integrate information and SLM lessons learnt b) Prepare basin-wide land degradation control strategy and actions for the SAP.	A basin-wide land degradation control strategy was not actually delivered. It has been indicated that the lack of time needed for consensus was one of the main reasons for not delivering a complete land degradation strategy. Nevertheless, the project produced guidelines for the LPB land degradation control strategy, that were agreed upon by the 5 LPB countries. A component for Sustainable Land Management was included in the SAP. It provides initial guidelines to establish a soil conservation program for the LPB, but it is not detailed enough to be considered as a basin-wide land degradation control strategy.	**Partially Delivered**
Sub-component II.6. Sustainable development opportunities		
Outputs II.6.1 Priority Activity: Clean-technologies to protect water resources from solid waste contamination and to mitigate climate change is planned, with plans to scale up /replicate identified, mapped and finances secured.	The evidence indicated that Output II.6.1 was only partially delivered. A broad clean-technology programme was included in SAP but with no detailed plans to scale up /replicate. Finance was not secured. An analysis of clean technologies and opportunities for their development in the La Plata Basin was developed.	**Partially Delivered**
Outputs II.6.2 Priority Activity: Nautical Ecotourism in the Lower Uruguay River/Parana Delta is executed and financial framework is prepared to replicate this activity in the SAP through the following activities: a) Study the socio-economics aspects of nautical/cultural tourism b) Study the environmental aspects of nautical/cultural tourism c) Assess the opportunities and investment potential d) Develop project proposals for eco-cultural nautical tourism e) Implement and prepare implementation and financial framework to replicate priority activity in the SAP	The priority activity on Nautical Ecotourism in the Lower Uruguay River/Parana Delta was not executed. As mention on paragraph 131, this activity was located in an area where Argentina and Uruguay had an international conflict related to Uruguay River. Countries decided to focus on ecotourism as a whole and not specifically on nautical ecotourism. An Ecotourism Diagnostic for the La Plata Basin was developed, nevertheless there is no evidence of its ownership by, and usefulness to, intended beneficiaries. Some recommendations on nautical transport and ecotourism were included in TDA-SAP but they can be considered only as broad guidelines since they are not detailed enough, and projects proposals were not included in the SAP. The financial framework to replicate this activity was also not developed.	**Partially Delivered**
Sub-component II.7. Pilot demonstrations and scaling-up strategy		
Output II.7.1 A Pilot Demonstration on Biodiversity conservation in the regulated Parana River is developed and executed; and a scale up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Evaluate of basin's ichthyic fauna habitats c) Define a socio-economic legal framework for the aquatic biodiversity d) Prepare a biodiversity management plan and scale-up e) Monitor and evaluate 4 pilot demonstration experiences to be used for up scaling in the SAP.	The project established a pilot-coordination unit (the Technical Group) and evaluated the ichthyic fauna habitats of the regulated Parana River. But an aquatic biodiversity management and conservation plan was not formulated. The TG, responsible for this DPP, considered that the scope of the task exceeded the operational possibilities of the project. The production of an inventory of native and exotic species and evaluation aquatic environments was the main product related to this output. Nevertheless, these inventories were largely built upon the FAO Piraguazú Project that was carried out in the region during the execution of the LPB project. Evidence was not presented for the activities: c) define a socio-economic legal framework for the aquatic biodiversity; d) prepare a biodiversity management plan and scale-up strategy; and e) monitor and evaluate 4 pilot demonstration experiences to be used for up scaling in the SAP.	**Partially Delivered**

COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
Output II.7.2 A Pilot Demonstration on Hydrologic alert system at confluence of Paraguay and Parana Rivers, is developed and executed; and a scale-up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Develop an operational hydrological observation model c) Develop an operational model for contaminant spill d) Develop DSS for hydro-environmental alert system e) Prepare contingency plans f) Prepare hydro-alert manual and scale-up strategy g) Monitor and evaluate activity	Countries agreed to use an INA (Instituto Nacional del Agua – Argentina) hydro-meteorological model that was integrated into a GIS and was subsequently linked to the DSS. Topographic maps of the DPP area and water/risk maps were prepared and available. Contingency plans for flooding, droughts, and chemical spills in Resistencia, Corrientes, and Pilar were developed. Nevertheless, DSS for a bi-national hydro-environmental alert system was not developed, and the scale-up strategy was not delivered.	**Partially Delivered**
Output II.7.3 A Pilot Demonstration on Water Use Conflict Resolution in the Rio Cuareim/Quarai Basin is developed and executed; and a scale-up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Formulate an integrated management system c) Assess sustainable use of water resources in pilot area d) Put in place mechanisms for water resources conservation e) Monitor and evaluate activity and prepare scale-up strategy	This DPP exceeded its initial scope. The Cuareim/Quaraí DPP included several components and, in fact, delivered several outputs. Nevertheless, its scale-up strategy was not delivered. Among the delivered products and services there were: an integrated management plan, a water and land use basin model; implementation of ecohydrologic measures in critical areas and enforcement of environmental flows; joint operational guidelines for a water rights system and standard operational rules and procedures; a solid educational program on basin water management including training programs for teachers (primary and secondary schools), farmers (rice and cattle ranching), municipal employees and basin water management agents; implementation of measures to improve irrigation efficiency and hydraulic works for water capturing and storage in urban areas; a data base of uses and users information system, shared by both countries; an agreed upon biodiversity conservation and land use management plans; and a set of measures to control over-exploitation of water and land resources. As noted during the field mission, the target stakeholders of this DPP were the social fabric of the Cuareim/Quaraí basin. The project activities were developed in close coordination with socially vulnerable local communities who work on the river banks as artisanal brickmakers and manual extractors of sand and gravel. The public school of the basin, rice farmers and representative of the fishermen were also involved in the development of the activities. Key stakeholders informed the evaluation team that one of reasons behind the success of this DPP was the creation of a detailed work agenda between Brazil and Uruguay on 2013. This agenda was entirely executed by 2015. It was noted that without this detailed agenda, a lot of energy would have been spent in understanding such general objectives written in the project documents in order to convert them into actions, products, etc. The "*Dialogo de los Saberes*", a participatory approach toward knowledge management, was considered by several key stakeholders as another element of success adopted by the DPP.	**Delivered**
Output II.7.4 A Pilot Demonstration on Pollution and Erosion Control in the Cotagaita micro-basin of the Pilcomayo River	The evidence indicated that Output II.7.4 was partially delivered. Local organizations from Bolivia executed the Pilot Project. An Integrated Basin Management Plan was defined in a participatory process with local stakeholders. Periodic measurements of sediment content and water quality based on biological indicators were carried out at national level (Bolivia). National authorities'	**Partially Delivered**

COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
is developed and executed; and a scale-up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Identify control and mitigation measures for mine contamination in Tansboundary waters, and train Tasna stakeholders on environmental management systems c) Evaluate and approved integrated management plan for the Tupiza and Cotagaita basins d) Design and implement, in coordination with subcomponent II.2, a water quality monitoring system for the pilot area e) Monitor and evaluate and prepare scale-up strategy	representatives from AR, BO and PY visited the area and participated in an international event. The monitoring and control activities were not carried out in a joint manner. Operational difficulties associated with distance and difficult access to the observation sites were reported as the main limitation to carrying out joint monitoring and control activities Cotagaita micro-basin. There is no evidence about several products related to this output including, the integrated management plan for the Tupiza and Cotagaita basins, as well as about several end-of-project targets, including: final feasibility project study for rehabilitation of the Tasna-Buen Retiro dam for mining pollution control; 1/3 of the farmers informed and trained in sustainable agriculture practices, water and soil protection and reforestation; a best practices manual for reducing mining contamination in the sub-basins and 4 training courses covering at least 100 families in total; and the introduction on 44 farms of sustainable soil conservation practices and reforestation measures. Similarly, to the previous three DPPs, its scale-up strategy was not developed.	

137. The single output of **component III** was delivered: the hydrological risk models and hydro-climatic scenarios were developed for basin-wide adaptation measures and incorporated into the Transboundary Diagnostic Analysis (TDA) & SAP. Key stakeholders interviewed reported that one of the reasons behind its success was the high involvement of the Brazilian National Institute for Space Research (INPE) leading to the use of the ETA model in substitution to the LPB-CLARIS model. The assignment of GEF grants from the Climate Change area (US$ 1M), in combination with the rest of grants from GEF International Water area, also allowed the project team to bring more focus and prioritize the delivery of this output. Despite this output being considered as delivered, some of its elements were not properly delivered. For example, approved results framework indicate as end-of-the-project targets a communication plan implemented that would allow transfer of comprehensible results to all beneficiaries; measures and policies developed for representative cases to overcome water supply problems and mitigate the effects of extreme rainfall events. These targets were not reached. The utility of the output was decreased by the lack of these elements, especially the communication plan.

Table 8 - Delivery of Outputs (summary of findings and evidences) – Component III

COMPONENT III. HYDRO-CLIMATIC MODELS AND SCENARIOS FOR ADAPTATION PLANNING		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
Outputs III.1.1 Hydrological risk models and hydro-climatic scenarios are developed for basin-wide adaptation measures to be incorporated into the TDA – SAP through the following activities: 1 Basin-wide climate scenarios a) Plan and provide training for climate issues b) Complete a basin-wide gap analysis of basin models c) Using the LPB-CLARIS model, develop hydro-climatic scenarios for the LPB 2 Vulnerability Assessment a) Prepare hydrological alert risk map from hydro-climatic scenarios b) Estimate climate change impacts 3 Adaptation measures and public awareness a) Formulate a set of adaptation measures to be incorporated into the SAP b) Communicate with public on issues and adaptation measures	The project delivered a diverse set of products under this outputs, including: updated baseline reports on the status of hydro-climatic knowledge in LPB countries and at the regional level; flood frequency, impact, and vulnerability maps produced at national level and later integrated at the level of the entire Basin; modelled climate change scenarios using the ETA model (INPE) regional climate model, with 10km and 20km resolutions, in the period 1960-2100 (in substitution to the LPB-CLARIS model); an analysis of drought conditions using the Standardized Precipitation-Evapotranspiration Index (SPEI) and incorporating the climate change scenarios generated by the ETA model; the complete hydrological modelling of the LPB using the MGB hydrological model, incorporating climate change scenarios; and at least eight workshops at national and international level on climate and distributed hydrological modelling. Nevertheless, there is no evidence of the formulation of a set of adaptation measures to be incorporated into the SAP, nor the communication with the public on issues and adaptation measures deemed effective. End-of-the-project targets of a communication plan implemented that would allow transfer of comprehensible results to all the society; measures and policies developed for representative cases to palliate incomplete adaptations in agriculture overcome water supply problems and mitigate the effects of extreme rainfall events. These targets were not achieved.	**Partially Delivered**

138. The **component IV** hosts the most relevant output of the project, the production of the SAP (output IV.1.2) and also the update of the TDA (output IV1.1). The latter was fully delivered, and the former was partially delivered. The SAP was indeed produced and endorsed by CIC. The SAP identifies 28 strategic actions and lists 130 activities that comprise these actions. Nevertheless, the priority actions and activities were only briefly described, lacking the level of detail necessary to its implementation. Financing plans were not developed for each individual project, nor for the SAP as a whole. During the project implementation, the countries decided that the SAP would encompass a programmatic approach for its implementation, and it would not present detailed plans for actions nor activities. Beyond this, the SAP has not been properly communicated for either internal or external partners. During field mission, it was noted that many stakeholders that were deeply involved in the project implementation were not aware of where to find the document. In summary, the SAP was produced, but it was not delivered on time and so far not with enough ownership by, and usefulness to, intended beneficiaries.

Table 9 - Delivery of Outputs (summary of findings and evidences) – Component IV

COMPONENT IV. TDA AND SAP		
Output as per reconstructed ToC	**Summary of Findings / Evidence**	**Achievement**
Output IV.1.1 An hydro-climatic assessment is made available for the TDA for endorsement by riparian countries.	An updated TDA for LPB was prepared considering the hydro-climatic assessment (previous output) and containing strategies for the sustainable utilization of land and water resources.	**Delivered**
Output IV.1.2 The SAP for LBP is produced for endorsement by the riparian countries	The SAP was produced and endorsed by CIC. It was a relevant and unprecedent milestone for LPB. Nevertheless, its financing plans were not developed neither for each individual project nor for the SAP as a whole. The SAP had not been properly communicated to, and validated by, internal nor external partners. It was observed, during the field missions that many stakeholders deeply involved in the project implementation did not know where to find the document. The production of SAP was done at the very last part of the project. National stakeholders deeply involved in the project reported during the interviews that they did not have the chance to properly contribute to its production and review, and that several of the studies done at national level were not properly reflected in the SAP. In summary, the SAP was produced, but was not delivered on time and so far not with enough ownership by, and usefulness to, intended beneficiaries.	**Partially Delivered**

139. Twenty-four percent (24%) of the expected outputs were fully delivered and sixty-eight percent (68%) were partially delivered. The most important outputs to achieve outcomes were delivered. The outputs located on the right side of the ToC diagram are the ones that better contribute to achieve the expected outcomes. They are the outputs of the components I and IV, especially the output IV.1.2 (the SAP). Outputs I.1.2 and IV.1.1 were fully delivered and outputs I.1.1, I.1.3, I.2.1 and IV.1.2 were partially delivered. Nevertheless, several of the most important outputs to achieve outcomes were not properly communicated nor presented to end users outside the sphere of the project, and sometimes even for the other stakeholders involved on the project. The majority of the outputs were considered of good quality and utility by users. There was a high ownership of the national actors involved in the preparation of the outputs (i.e. country-level studies). The majority of the outputs were not delivered in a timely manner as per the formally approved results framework. The delivery of the outputs was rated Moderately Unsatisfactory.

Rating for Delivery of Outputs: Moderately Unsatisfactory

D2. Achievement of direct outcomes

140. The achievement of direct outcomes was assessed as performance against the direct outcomes based on the reconstructed Theory of Change at Evaluation. These first-level outcomes were expected to be achieved as an immediate result of project

outputs. Based on the Evaluation Office of UNEP and GEF guidelines, the evaluation assessed the achievement of outcomes identifying to what extent the project outputs were taken up, adopted or used by the project beneficiaries, observed as change of behaviour, attitude/action, condition, knowledge or skill. The achievement of outcomes was also assessed against the end-of-project targets as indicated in the project documents formally approved by GEF. The evaluation also analysed to what extent the most important direct outcomes to attain intermediate states were achieved, as well as to what extent the assumptions for progress from project outputs to direct outcomes held, and the drivers to support transition from outputs to direct outcomes were in place.

141. Four direct outcomes were achieved, five were partially achieved and three were not achieved based on the criteria described above. The most important direct outcomes to attain intermediate states were achieved or partially achieved. Evidence was provided to support that changes of behaviour, attitude/action, condition, knowledge and skills among the stakeholders involved in the project had taken place, nevertheless they were, in several cases, limited in scope, magnitude and effectiveness. The assumptions for progress from project outputs to direct outcomes held in part, and the drivers to support transition from outputs to direct outcomes were partially in place.

142. Table 10 presents the assessment of the achievement of direct outcomes as per the reconstructed ToC, with a summary of evidence and indications of whether the outcome was achieved, partially achieved or not achieved.

143. Figure 7, Figure 8 and Figure 9 (see ANNEX 8) are visual representations of the effectiveness of the components I, II, and III & IV, respectively. ‘Green’ represents those outputs delivered, outcomes achieved, drivers in place, and assumptions held. ‘Orange’ represents those outputs that were partially delivered, outcomes partially achieved, drivers partially in place, and assumptions partially held. ‘Red’ represents those outputs that were not delivered, outcomes not achieved, drivers not in place, and assumptions not held.

144. The effects of the intervention on differentiated groups outside the TGs and direct project partners, including those with specific needs due to gender, vulnerability or marginalisation were, to a large extent, not taken into account by the project.

145. The assessment of the assumptions is plotted in Table 25 (see ANNEX 8). Six assumptions held partially, one held fully, and one was not held. Table 26, Table 26 and Table 28 present respectively the list of drivers in place, partially in place and not in place. Ten drivers are fully in place and 12 are partially present. Evidence did not support 15 drivers being in place.

146. Thirty percent of the direct outcomes planned by the project were achieved, almost half were partially achieved, and twenty-three percent were not achieved, based on the criteria described above.

147. On the ToC casual chain, it is expected that if an output was not fully delivered, its related outcome would not be fully achieved. In this project, it was noted that some outcomes were assessed as achieved (or partially achieved) even though its related outputs were not fully delivered. Sub-component II.1 Integrated Water Balance (IWB) is an example of this peculiar situation of the projects casual chain. Its output was partially delivered, but the outcome was fully achieved. Output II.1.1 was framed as *"A supply and demand IWB instrument, including surface and groundwater resources, provides the necessary information for decision makers and the general public in support of adaptive IWRM in the La Plata Basin through the following activities:…"* Several products were then listed as activities that were to be executed under this output, including the "develop an IWB methodology". On one hand, this single product was delivered (an IWB methodology was developed with adequate quality), but several other products that comprise this output were not fully delivered, such as the integrated maps were not completed and the supply and demand IWB instrument was not operational.

148. On the other hand, outcome II.1.I was formulated as just the endorsement of the IWB methodology "An integrated water balance (IWB) methodology is endorsed through the CIC". This outcome was fully achieved: an integrated water balance methodology was endorsed through the CIC. It is relevant to note that the availability of integrated maps and of an effective supply and demand IWB instrument are necessary for the IWRM. Nevertheless, this peculiar situation could be explained by the way that the outputs and outcomes were designed. On one hand, several outputs were very ambitious, considering the baseline situation, the institutional context and the time/ budget allocated. Some outputs were in fact a set of products and services to be delivered by the project. On the other hand, several outcomes were designed in a way that they could be achieved even if the output was not fully delivered.

Table 10 - Achievement of Outcomes (summary of findings and evidence)

Outcomes as per reconstructed ToC	Summary of Findings / Evidence	Achievement
COMPONENT I. STRENGTHENING BASIN-WIDE COOPERATION CAPACITY FOR INTEGRATED HYDRO-CLIMATE MANAGEMENT		
Outcome I.1 A harmonised legal framework, including administrative and managerial tools, and an operational Decision Support System on sustainable water use in the LPB is agreed upon and adopted by all countries.	Recommendations for harmonized legal instruments and for institutional strengthening of the CIC were included in the TDA and in the SAP. National Inter-Ministerial Committees and Thematic Working Groups were established and involved on the execution of the project. The digital map of the LBP has been completed and the hardware for the DSS has being purchased and distributed to the countries, but it was not fully operational.	**Partially Achieved**

Outcomes as per reconstructed ToC	Summary of Findings / Evidence	Achievement
Outcome I.2 Local Stakeholders and Civil Society contribute towards the formulation of the TDA & SAP.	Stakeholders involved in the Inter-Ministerial Committees and TGs contributed towards the formulation of the TDA & SAP. They represented 51 institutions of the five countries; nevertheless, they were largely composed of governmental organizations/agencies (43 governmental institutions and only 9 non-governmental institutions). Civil society, the academic sector, and state authorities of different levels have been involved mainly in implementing the four DPPs (Demonstrative Pilot Projects) and on the PPF projects (Public Participation Fund) at local level. They were not involved directly in the discussions or contributing to the formulation of the other 21 projects outputs and the TDA & SAP. Organized civil society, representatives from indigenous people and local communities (ILCs), agricultural associations, other productive sector representatives (such as industry, energy, transportation, mining, fishery, and tourism), and major NGOs were not properly reached by the project. The public awareness education program was not conducted at basin level. Knowledge exchange was limited in scope and broadness. There was a lack of an effective communication plan for the entire project to reach stakeholders outside the sphere of the project. Nevertheless, the project´s webpage was periodically updated, available in Spanish and Portuguese; activities have been disseminated by media (radio and national television), specially covering the projects workshops; and 23 project publications (SAP, TDA and thematic) were published at the closure of the project.	**Partially Achieved**
COMPONENT II. INTEGRATED WATER RESOURCES MANAGEMENT		
Outcome II.1 An integrated water balance (IWB) methodology is endorsed through the CIC in support of adaptive IWRM in the La Plata Basin.	IWB methodology agreed upon by LPB countries. Water use and demand estimated at national and regional level were incorporated into the TDA formulation process. IWB model (MGB-IPH) and management model (SADr-IPH) was implemented in the Cuareim/Quarai river basin. The Government of Paraguay has been using this reports and this methodology to calculate the IWB of the country. Nevertheless, IWB was not operational yet, as water supply and demand were estimated, and WB were implemented at basin level but not integrated at LPB scale to obtain IWB for the entire basin.	**Achieved**
Outcome II.2 Through the regional water quality knowledge base, institutions responsible for water quality monitoring, agree to apply protocol and remedial actions	A protocol and a set of remedial actions were not developed at LPB scale nor agreed by the riparian countries. The three outputs that would contribute for this outcome were not fully delivered. Institutions responsible for water quality monitoring are not applying a unified protocol for water quality monitoring jointly among the countries and these data were only reported at specific pilot project. No activity was carried out regarding the LPB environmental degradation models. The Thematic Group considered that the LPB environmental degradation model activities exceeded the framework of the sub-component and should be implemented under another component. Because of the delayed schedule in finishing prior activities, an action plan was not developed. Nevertheless, the project assembled, analysed and synthesized country-level information on water quality into an agreed regional level using a common framework. A methodological guide for the evaluation of water quality on the monitoring stations was agreed upon by LPB countries, and actions for water quality management were included in the SAP.	**Not Achieved**
Outcome II.3 SAYTT groundwater management guidelines and plan provide the basis of the SAYTT groundwater strategy and assist the three countries in establishing	An integrated database, and integrated geological and hydrogeological maps resulted from a hydro-geological diagnostic study of the SAYTT aquifer carried out in a joint manner by AR-BO-PY. This resulted in the development of general guidelines for the management of the SAYTT aquifer system. Nevertheless, the SAYTT pilot demonstration was not	**Partially Achieved**

Outcomes as per reconstructed ToC	Summary of Findings / Evidence	Achievement
basic legal and institutional mechanisms for sustainable management	executed because the country representatives believed that a sound database had to be established during this phase before the implementation of a pilot project. The design of the SAYTT pilot project was incorporated into the SAP, including actions agreed upon by all LPB countries to be undertaken in the aquifer area. Guidelines for the integrated management of the transboundary aquifers of the La Plata Basin were agreed upon by CIC. However, guidelines for the integrated management of surface and groundwater were not prepared in this phase of the project because integrated water balance and groundwater activities were not executed at the same pace.	
Outcome II.4 An ecological corridor for biodiversity conservation and water protection in the upper catchments of the LPB is designed and endorsed within the CIC framework.	The guidelines and a preliminary proposal of an ecological corridor for biodiversity conservation and water protection in the upper catchments were produced. The TDA integrated a database with information on ecosystems, ecological corridors, wetlands and protected areas in the region where the corridor was to be established. Nevertheless, the ecological corridor was not formally designed nor endorsed within the CIC framework. However, the project achieved some relevant complementary outcomes including the inclusion in the SAP of a Biodiversity Conservation Strategy and Management Plan. The project allowed countries to make significant progress in harmonizing biodiversity strategies at the Basin level, consolidating the national actions that countries are implementing under the United National Convention on Biological Diversity. Proposals were made for joint actions among the five countries to preserve and manage the biodiversity of the Basin, with special attention to wetlands, coastal ecosystems, conservation of biological corridors, the development of sustainable fisheries, and the control of exotic species. The project compiled the available information, seeking to integrate and systematize it to obtain an updated and consolidated diagnostic on the key aspects related to the biodiversity of the Basin. This information provided technical elements for the formulation of management guidelines to address major issues related to aquatic biodiversity (particularly habitat loss and fragmentation), and unsustainable use of fishery resources, and to develop a harmonized biodiversity management strategy for the whole LPB. Common strategic actions at the basin level was included in the SAP, to preserve and sustainably manage biodiversity according to the rules of the five countries, developed in terms of the Biodiversity Convention and experiences in the basin.	**Partially Achieved**
Outcome II.5 Countries take co-operative joint actions to better control land degradation	Several co-operative joint actions were taken by the countries to better control land degradation, including: • Agreements on a common scale and categories for a map that covers the entire Basin and a homogeneous scale and classification for the production of maps of soil types, use, and land cover in the LPB • Estimation of water erosion using the USLE (Universal Soil Loss Equation), which were used as part of the soil degradation diagnostic, identifying the sub-basins with the highest risk of erosion. • Identification of best practices in land use and management and recommendations for the control of land degradation through their implementation. • Analysis on the conservation status of the Selva Misionera Paranaense (SMP) and proposals for a management strategy:	**Achieved**

Outcomes as per reconstructed ToC	Summary of Findings / Evidence	Achievement
	• Analysis of land degradation in the LPB, including scenarios of climate variability and change, and the analysis of the different alternatives of soil use and management to mitigate root causes.	
Outcome II.6.1 Clean technologies are developed and applied to the LPB	As per the approved results framework, 5 project proposal for clean technologies were not delivered. However, a clean technology programme was included in the SAP and an analysis of hydroelectricity, navigation and clean technologies was produced.	**Partially Achieved**
Outcome II.6.2 Natural and cultural heritage sites are protected within the context of recreational and ecotourism development in the Lower Uruguay River	Recreational and ecotourism in the Lower Uruguay River were not further developed by the project intervention. Natural and cultural heritage were not further protected as a result of the project. The related output of this outcome was not delivered. None of the end-of-project targets for this outcome were achieved: a public-private project prepared for nautical eco-tourism and feasibility studies; management plans to protect selected natural and cultural heritage; 2 binational nautical routes or circuits agreed, operated by private companies or clubs; private investments for the sustainable use of the cultural and natural heritages; TORs for up scaling the experience of the priority project to the basin in the SAP.	**Not Achieved**
Outcome II.7 Based on the pilot demonstrations, a set of sound recommendations and agreed upon actions, on pollution and erosion control, early warning systems, water conflict resolution and biodiversity conservation, are adopted in the SAP	A set of recommendations and agreed upon actions on pollution and erosion control, early warning systems, water conflict resolution and biodiversity conservation were provided. It was noticed by the evaluation team that the Cuareim/Quaraí DPP (output II.7.3) exceeded its initial scope. Furthermore, stakeholders informed the evaluation team that the daily predictions hydrological model developed for this DPP had been used as an example for Uruguay to expand the same model for another 13 priority basins. Despite these achievements, several relevant components on the other DPP were not fully delivered, such as: the aquatic biodiversity management and conservation plan (output II.7.1), the DSS for a bi-national hydro-environmental alert system (output II.7.2) and the Cotagaita pilot project (output II.7.4). The lack of an effective scaling-up strategy of the four DPPs was also noted. Hence this outcome cannot be qualified as fully achieved.	**Partially Achieved**
COMPONENT III. HYDRO-CLIMATIC MODELS AND SCENARIOS FOR ADAPTATION PLANNING		
Outcome III.1 Riparian countries better understand climate variability and change, and their related impacts, defining adaptation measures in a participative way and incorporate them effectively into the SAP.	This outcome was achieved through active participation of the meteorological and hydrological services of the five countries in multiple planning and coordination action, and with the collaboration of INPE developing climate change scenarios for the Basin (ETA model), and IPH-UFRGS developing the hydrological model of the Basin from the MGB model. Several products were developed and used by the countries. The riparian countries showed better understanding of climate variability and change, and their related impacts, and began to define adaptation measures in an integrated way (with the entire perspective of the LPB). This was incorporated effectively into the SAP.	**Achieved**
COMPONENT IV. TDA AND SAP		
Outcome IV.1 Strategic Action Programme (SAP) for LPB that includes the agreed upon TDA is endorsed by the five riparian countries, within the framework of the CIC	TDA & SAP was approved by the CIC in July 2016, with participation of ministerial representatives of the 5 counties.	**Achieved**

149. Several of the important direct outcomes to attain intermediate states were achieved or partially achieved. The majority of the first-level expected outcomes of the project were taken up, adopted or used by the project stakeholders, especially the ones involved in the delivery of the products. In a certain scale the delivery of the products, especially the ones from component II (technical studies and pilot projects), contributed to promote changes of behaviour, attitude/action, condition, knowledge and skills among the stakeholders involved in the project. Nevertheless, in several cases, these changes were limited in scope (reached mostly the people involved in the development of the product through the Thematic Group), magnitude (several studies developed by the project are not available for the general public) and effectiveness (evidence indicates that several products have not been broadly communicated to stakeholders outside the sphere of the project, and therefore are not being used by key stakeholders). The assumptions for progress from project outputs to direct outcomes partially held, and the drivers to support transition from outputs to direct outcomes were partially in place. The achievement of outcomes was rated Moderately Satisfactory.

Rating for the Achievement of Outcomes: Moderately Satisfactory

D3. Likelihood of impact

150. The likelihood of the intended positive impacts of the project becoming a reality was assessed based on the articulation of longer-term effects in the reconstructed Theory of Change - i.e. from direct outcomes to medium term outcomes, via intermediate states, to impact. Project objectives or goals were incorporated in the ToC, as intermediate states or long-term impacts. The excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree' was used to guide the evaluation rating. The approach follows the 'Likelihood Tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed ToC held. The evaluation team also sought to identify unintended negative effects and their causal linkages to the intended impact described; the extent to which the project played a catalytic role or has promoted scaling up and/or replication as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

151. Figure 5, below, presents a visual representation of the overall effectiveness of the project based on the reconstructed TOC. Green represents the four outcomes achieved (outcomes II.1, II.5, III.1 and IV.1), the drivers in place and the assumptions held. Orange indicates the six outcomes partially achieved (outcomes I.1, I.2, II.3, II.4, II.6.1 and II.7), the drivers partially in place and the assumptions partially held. Red shows the three outcomes not achieved (outcomes II.2, II.6.1 and II.6.2), the

drivers not in place and the assumptions not held. The drivers and assumptions shown on this figure are the ones from direct outcomes to higher levels, intermediate states and/or impacts.

152. Some of the direct outcomes that are the most important to attain intermediate states (i.e. outcomes I.1 and I.2) were partially achieved. As demonstrated in section D.2 above, the majority of the assumptions for progress from project outputs to direct outcomes held partially (i.e. A.1 and A.2). Section D.2 also shows that the majority of drivers to support transition from outputs to direct outcome are only partially in place. Two thirds of the assumptions for the change process from intermediate states to impacts held partially. The majority of the drivers to support transition from direct outcomes to intermediate states as well as the drivers from intermediate states to impacts were not in place.

153. Evidence gathered during this evaluation suggests an improvement in the integrated management and sustainable use of water and natural resources of LPB comparing with the baseline (intermediate state I). Some enhancement of the capacities of the riparian countries' institutions that were engaged in the project activities, to anticipate and adapt to climate variability and change (intermediate state 3) was also in evidence. It is important to note that at the Terminal Evaluation, the achievement of intermediate states is not assessed – but the likelihood that it will be achieved given the evidence at present. Nevertheless, there was no evidence at this time that the decision making in the LPB through the SAP (intermediate state 2) has been improved. The SAP has not yet been properly incorporated at national level. However, some applications were reported: Brazil informed the evaluation team that the SAP was considered as one of the documents used as reference during the last revision of the National Plan of Water Resources and the Multi Year Workplan of the Government of Brazil; the National Water Plan of Uruguay in 2017 was also built upon the knowledge generated by the GEF project; relevant stakeholders mentioned that the biodiversity corridor proposed in the SAP has been used as reference for the work on Ramsar Convention on Wetlands for the La Plata Basin; a protocol for joint monitoring of Uruguay River between the governments of Argentina and Uruguay has also been identified by a key stakeholder as a "use of the products of the project".

154. The project has played a unique role in promoting the IWRM of LPB, through the development of studies that may lead to policies and changes on the ground. The project unquestionably promoted changes that may lead to the expected impacts, but the magnitude (related to the expected extent), broadness (related to the wide scope required for change to happen) and effectiveness (related to the degree to which the project would produce the desired effect) of the change process might not be sufficient to reach the desired impacts in a reasonable timeframe. The

project put in motion the change wheel, but it seems that it did not reach the necessary "moment of force" to make it spin. The SAP was produced and two years after its conclusion it has been used in a limited way by the LPB water resources, environment and climate community of the riparian countries.

155. There is no evidence to suggest that the project*, per se,* had a strong catalytic role or promoted effective scaling up and/or replication[11] of its approach. The pilot demonstration projects did not have an effective scaling-up and replication strategy. Furthermore, when this evaluation took place, a couple of years after the technical closure of the project (December 2016), the successful experiences had not been properly replicated nor scaled-up at basin level. One exception reported was the case of Uruguay. Its government has incorporated the lessons learned from the pilot project of the Cuareim/Quaraí, aiming to scale-up and replicate to other Uruguayans cities of the La Plata Basin. The EUROCLIMA+ project proposal "Technology and modelling for integrated water management for adaptation to climate change of Uruguay's main source of drinking water" developed by the government of Uruguay in 2019 was a good example of the use of the lessons learned from the pilot project. But to a large extent, the approaches developed through the pilot projects have not been adopted on a much larger scale and the achievements of the project have not yet been repeated or explicitly applied in new/different contexts.

156. No negative unexpected impacts of relevant nature were identified. The likelihood of impact was rated Moderately Likely, according to the UNEP Evaluation Office "Criterion Rating Description Matrix" and the "Likelihood Tree".

Rating of Likelihood of Impact: Moderately Likely

Overall Rating for Effectiveness: Moderately Satisfactory

[11] *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer-term objective of pilot initiatives. *Replication* refers to approaches being repeated, or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

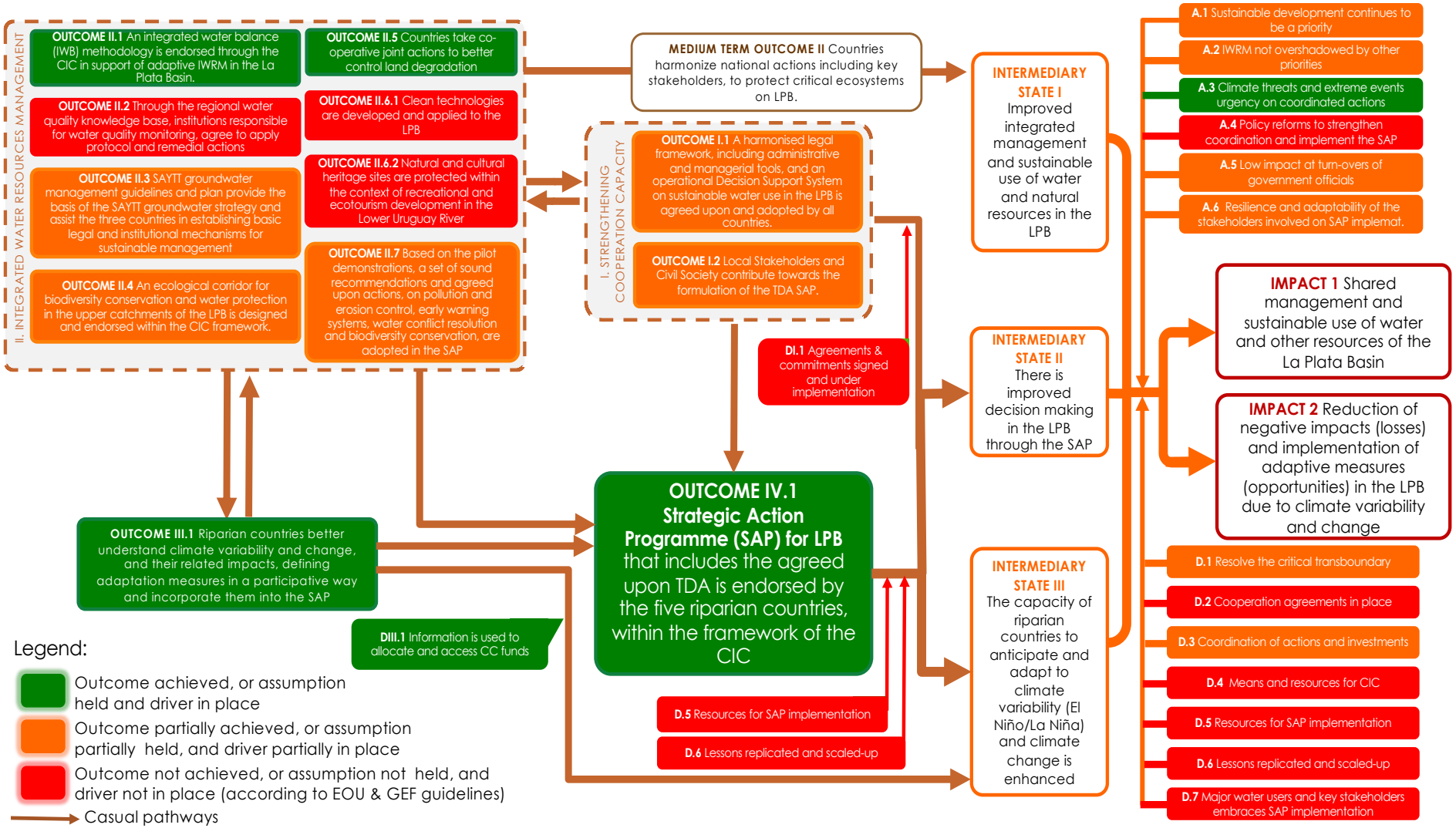

Figure 5 - ToC based visual representation of the overall effectiveness of the project

E. Financial Management

E1. Completeness of Financial Information

157. The evaluation verified the application of proper financial management standards and adherence to UNEP's financial management policy, established the actual spend across the life of the project of funds secured from all donors, and compared these with the approved budget.

158. In general terms, the project had almost all the necessary financial information for its management, including detailed tables of budgets by component, sources of funding and spending lines, as well as regular information on expenses, disbursements, budget modifications and others. The only financial aspect out of control of the project was the management of co-financing resources in kind and in cash, given that they were managed directly by their contributors. The Task Manager (TM) and the evaluation team only had aggregate information about amounts committed and totals spent by co-funding.

159. Given the slow pace of the project's implementation, some budget adjustments and revisions were needed. Twenty-eight Quarterly Expenditure Reports detailed by activities were made from September 2010 to December 2017 on GEF funding. The costs of each activity were described with much detail, however no information by outcome has been generated[12]. Thirteen cash advances were made, the last one in March 2016, but the project effectively concluded in 2017. The total cash advances were US$ 10 660 000. Yearly audits audit reports for the Executing Agency (OAS) were presented.

Table 11 - Evaluation of Completeness of Financial Information

Criterion[13]		Rating	Evidence/ Comments
a.	High level project budget (costs) for secured and unsecured funds	Partial	There was a high-level project budget for secure GEF funds, but not for the co-financing funds
b.	High level project budget by funding source(s) for secured and unsecured funds	Partial	There was a high-level project budget for secure GEF funds. However, for co-finance funds only the total amounts committed and expended were shown
c.	Disbursement (Funds Transfer) document from funding source(s) to UNEP.	Yes	13 cash advances requests and disbursed

[12] At the time of the project, financial reporting by outcome may not have been a requirement.

[13] See also document 'Criterion Rating Description' for reference.

Criterion[13]		Rating	Evidence/ Comments
d.	Project expenditure sheet by output/outcome (to-date).	Partial	28 Quarterly Expenditure Reports by activities were made from September 2010 until December 2017
e.	Detailed project budget (by output/outcome) for secured funds	Partial	Detailed project budget only for GEF funds and by UNEP budget lines and activities.
f.	Proof/report of delivery of in-kind contributions	No	No proof/report of delivery of in-kind contributions were made available to the Evaluation team
g.	Partner legal agreements and documentation for all amendments exist	Yes	Only Project Cooperation Agreements and 2 amendments between UNEP and OAS
h.	Re-approved project budget by budget line for project extensions (both cost and no-cost extension).	Yes	Adjustment of the project budget were presented and approved in Quarterly Expenditures Reports.
i	Disbursement (Funds Transfer) documents (cash statement) from UNEP to Partners	No	Not made available to the Evaluation team
j	Proof/report of delivery of in-kind contributions exists	No	Not available for Evaluation team
k	For externally executed GEF projects, audit reports for the Executing Agency exist.	Yes	There were OAS annual audit reports
l	Management response to audit reports exists.	No	Not available for Evaluation team

160. The Budget at Design includes frameworks for all sources of funding, organized by activities and thematic components and by UNEP expenditures items, such as Personnel, Consultants, Subcontracts, Miscellaneous and others. However, Quarterly Expense Reports were only reported by expenses and balances of GEF Funds using UNEP expenditures lines (eg. personnel, contracts, miscellaneous).

161. The total approved project budget was US$ 61 764 087, of which US$ 10 730 000 (17%) was committed in cash from the GEF; US$ 24 002 837 in kind and in cash by the governments of the five riparian countries; and US$ 27 031 250 by other counterparts, such as private companies and national research agencies. The total expenditure recorded up to December 2017 was US$ 114 422 160, of which US$ 10 660 001 corresponded to the resources of the GEF (there remains a balance for the expenses of the Terminal Evaluation); US$ 85 424 909 to the contributions of the

governments of the riparian countries; and US$ 18 337 250 to the other counterparts.

162. According to the evolution of the expenditures and budget allocation shown in the Budget Table (Table 29 on ANNEX 9), the original budget approved in the ProDoc was modified five times throughout the life of the project. The first time was during the inception phase, when the original budget was adjusted to real costs. The modifications showed on Table 29 were made during the life of the project, since October 2010 until December 2017, in order to rebalance the funds to cover the actual costs of the project.

163. An important detail to be pointed out, in the first modification of the original budget, was that the I.3 outcome, originally allocated to Monitoring and Evaluation (M&E) of the project, was reallocated to implement the Decision Support System, while the M&E was reduced from US$ 100 000 to US$ 70 000 and reallocated to Project Management items.

164. In terms of the UNEP expenditure lines, highlights are the 50% increase in Project Personnel, 60% in Meetings and workshops, and more than 1,000% in the design and implementation of M&E system at the CIC (activity I.3). To counterbalance these increases, reductions of 20% were made in the Subcontracting expense lines and 50% in the Equipment and Premises line.

165. According to the last Quarterly Expenditure Project Report from October - December 2017, the accumulated cost of the GEF contribution amounted to US$ 10,660,000, similar of the total project budget, minus the US$ 70 000 reserved for the Mid-Term and Terminal Evaluations.

166. The variations of the expenditure with respect to the original budget are proportional to the rebalancing of the budget, which proves that they were made to avoid insolvencies in certain key activities. Thus, the increase in the expenses of Project Personnel, Training and Miscellaneous, and reductions of expenses in Subcontracts and Equipment is verified.

167. According to the Budget and Expenditures by Thematic Components Table (Table 30 on ANNEX 9), Component I had a lower expenditure performance than initially foreseen, mainly in the activities of subcomponent I.2 Communication, Participation and Education specialists (68% of the predicted) and subcomponent I.3 DSS M&E (53% of predicted).

168. Component II also had a lower spending performance than that anticipated in almost all of its subcomponents (63% in general average), with the exception of subcomponent II.4 Biodiversity Management, which registered an increase of 129% with respect to the forecast, the subcomponent II.5 Land Degradation Control that spent 25% more, and of the subcomponent II.2 Water Quality and Contamination

Assessment and Monitoring that increased its expenditure by 14%, all mainly in subcontracts, meetings and workshops. The other subcomponents had averagely 50% lower expenses than expected.

169. Although components III and IV had resources in the first version of the project's budget, these disappeared after the readjustment of the inception phase, and reappeared in the Quarterly Report on Jan-Mar Expenditures 2012. In both cases, the final expenditure was less than what was foreseen in the first version of the budget.

Rating of Completeness of Financial Information: Satisfactory

E2. Communication Between Finance and Task Management Staff

170. The evaluation assessed the level of communication between the Financial Manager and the Task Manager of UNEP and to a certain extent the OAS as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

171. According to the Rating Criteria Description matrix, the communication between the financial administration and project staff is rated as Satisfactory, since both the Task Manager and the OAS General Secretariat had a good knowledge of the financial state of the project, they made quarterly progress and expense reports, requested cash advances, and reorganized the budget regularly to finance the spending plan.

172. There is also evidence of initiatives by the Task Manager and OAS to solve financial problems, such as those generated by the initial delay of the project's actions. The five modifications made to the project budget denote an intention to properly manage the budget.

Table 12 - Evaluation of Communication Between Finance and Project Management Staff

Criterion [14]	Rating	Evidence/ Comments
The TM has *strong awareness* of the current financial status of project	Yes	The Project Director prepared 28 quarterly expenditure reports throughout the project, and modified the budget 5 times, demonstrating full knowledge of the financial management of the project.
The OAS has *strong awareness* of overall project progress when financial	Yes	The OAS always had updated information on the progress of the

[14] See also document 'Criterion Rating Description' for reference

Criterion [14]	Rating	Evidence/ Comments
disbursements are made. (i.e. Disbursements made against *good quality* financial and technical reports).		project when making the requested disbursements.
There is *regular / frequent* contact between TM and Fund Management Officer (FMO).	N/A	The evaluation team does not have evidence of communication between the TM and FMO but understands that the level of communication was high due to the quality of the financial management achieved.
Evidence that TM or FMO are proactive in raising and resolving financial issues.	Yes	The adaptations of the budget throughout the life of the project denote the proactive attitude of the Project Director in raising and solve financial problems correctly.
All narrative and financial reports are reviewed by both finance and project staff members prior to submission.	Yes	Quarterly progress and expense reports were prepared and reviewed by both finance and project staff members.

Rating for Financial Communication: Satisfactory

Overall Rating for Financial Management: Satisfactory

F. Efficiency

173. According to the Project Approval Decision Sheet, the project was approved for 58 months. However, 84 months elapsed from the first disbursement in September 2010 until the last expenditure in December 2017. This means 24 months more than initially planned. This fact is not including another 27 months that elapsed between the approval of the project by the GEF Council (June 2008) and the fist disbursement (September 2010). So, the project execution plan needed to be updated[15]. Furthermore, during the first two years only 15% of the budget was spent (for more information see section V.E).

174. Although this extension did not mean an increase in the budget, it does reflect an extensive delay and expansion of the project that significantly increased operating

[15] Project Execution Plan (5 years). Document presented in the first meeting of the Steering Committee (April 6, 2011). Page 4.

costs, particularly in the Project Management line (241% over planned). At the same time, there were also unstated costs to implementing partners for no cost extension as salaries needed to be paid.

175. The delay had several causes, related to the complexity of a project with five partner countries that have national policies and variable degrees of development. The delay also affected the capacity of the project to achieve some of the outcomes although increased the possibilities to generate positive synergies.

176. The Evaluation Team found evidence of only one Steering Committee approval for 6 months project extension which led to a revised budget and work program. By the end of the project, some of the Thematic Groups objectives and outcomes were not fully completed.

177. A tension related to the transboundary nature of the project was the need for revision and approval of contracts by each one of the countries (every decision had to be taken unanimously) contributing to delays, or even to paralyze some project activities execution. At the end of the project, a streamlined contract process was implemented for the development of the TDA & SAP, which contributed to the finalization of these documents in 2016. Member of the TGs reported that the streamlined process gave only very limited opportunities for the TG to provide feedback and appropriation of the SAP and of the Technical Publications derived from the project.

178. The Evaluation Team has not found evidence of LPB project implementing further measures aimed at achieving greater time efficiency. However, in contrast, the evaluation teams note that it has taken advantage of the synergies with other programs and projects on the region.

179. The high level of country ownership (see section V.I5) and the strengthening of cross-border cooperation between the different countries can be considered as features of the project. However, at the same time, they negatively affected its timeliness, since they implied more complex and slower execution modalities. For example, adjustments were made to the project schedule through a project review process by TGs. Although this reinforced the country-level ownership of activities it also meant that the project did not necessarily adhere to the originally planned timetable and did not allow for timely delivery. Despite this, the strengthening of national capacities in the project, through involvement of institutions and professional networks, was an intentional decision of the project management and supported by the project partners (UNEP and OAS).

180. Other factors that also affected the progress of the project were the high turnover in the heads of the CIC General Secretariat and the National Coordination Unit, as

well as the orientations and political tensions in the five countries involved. The Secretary General of the CIC was at the same time the Director of the LPB Project.

Rating of Efficiency: Unsatisfactory

G. Monitoring and Reporting

G1. Monitoring Design and Budgeting

181. The ProDoc contained a Monitoring and Evaluation Plan (M&E)[16] with tools to monitor the project progress and evaluate results and impacts. It included a complete logframe[17] and complementary tables referring to performance outcomes[18], process indicators[19], stress reduction indicators[20], and sub-component and outcomes milestones[21]. It also included other instruments to monitor and evaluate the progress and achievements of the project, all addressed the items outlined in the criteria rating's matrix under G1 Monitoring Design and Budgeting.

182. However, the M&E Plan lacked a data collection method as well as a person in charge to monitor the progress of indicators.

183. Regarding resources for M&E, the budget at design showed two specific items for monitoring and evaluation activities. The first corresponded to activity 1.3 DSS M&E, with a provision of US$ 398 000, of which US$ 100 000 was contributed by the GEF. Of these, US$ 15 000 were earmarked for monitoring activities and US$ 85 000 for evaluations. Likewise, the Project Management item, with US$ 571 120 budget, included an allocation of US$ 70 000 specifically for Midterm Review and Terminal Evaluation.

184. Despite the amount of those funds, in fact, the project was not organized to monitor its indicators, and funds were reallocated to other activities. The US$ 70,000 reserved for Midterm Review and Terminal Evaluation was retained. No expenditures were reported against monitoring progress of indicators.

185. The Mid-Term Review (MTR) report already pointed out that the logical framework indicators were rarely specific, measurable, assignable, realistic and time-specific (SMART), verification procedures needed would have been excessively long and the project did not include a plan (who, what, how, where) to collect data and monitor the

[16] *Monitoring & Evaluation Plan. ProDoc. Appendix 3 (p. 118)*
[17] *Result Framework. ProDoc Appendix 1. (p. 85)*
[18] *Table 2 List of Performance and Achievement Indicators. M&E Plan. ProDoc. Appendix 3. (p. 124)*
[19] *Table 3 List of Process Indicators. M&E Plan. ProDoc. Appendix 3. (p. 132)*
[20] *Table 4 List of Stress Reduction Indicators. M&R Plan. ProDoc. Appendix 3. (p. 133)*
[21] *Table 5. Mid-Term & End-Of-Project Milestones for Subcomponent & Work Element Outcomes M&E Plan. ProDoc. Appendix 3. (p.134)*

progress of the indicators.[22] Despite this finding, the results framework and associated indicators were not revised following the MTR.

186. Considering the SMART criteria, the indicators, parameters and means of verification were not detailed enough to be considered specific. The effort to make the quantitative and qualitative indicators measurable is noted. However, there was no tracked progress.

Table 13 - Evaluation of Monitoring Design and Budgeting

Criterion	Rating	Evidence/ Comments
At project launch a monitoring plan exists that covers:		
a) Covers all indicators in the logical framework	Yes	Logical framework covers all indicators, but Indicators are seldom SMART
b) Has data collection methods	No	The Log frame does not have a data collection method
c) Has data collection frequency	No	No data is collected frequently. Quarterly reports only report activities performed, and expenses incurred
d) Data collection frequency is appropriate for the indicator	No	The project was not organized to collect data regularly to check indicators.
e) The project has a dedicated budget by monitoring activity	Yes	The project has a dedicated budget for monitoring, but it was relocated for other activities
f) Person responsible for monitoring progress against each indicator is identified	No	
g) Is disaggregated by relevant stakeholder groups including gender and minority/disadvantaged groups	No	
h) When applicable, additional gender specific indicators are developed	No	
i) Funds for mid-term and terminal evaluations/reviews are considered adequate by the Evaluation Office (and are available to the evaluation).	No	Funds were deemed inadequate and additional funds had to be requested from the portfolio.

Rating of Monitoring Design and Budgeting: Unsatisfactory

[22] *Mid-Term Review. III.3.7 Monitoring & Evaluation. (p 52).*

G2. Monitoring of the Project Implementation

187. During project implementation, planning and reporting on advancement of activities and expenditure were detailed and frequent. In fact, although the reports system established in the M&E Plan was systematically fulfilled by those responsible for the project, it would seem that the voluminous and detailed reports of progress and expenditure were the result of an intense editing work of the PCU on the basis of the reports prepared by the National Project Units (NPUs), the four pilot projects and the accounting systems of OAS and CIC. These reports were useful mainly to inform the Steering Committee about the activities carried out by the countries and the pilot projects. However, the disparities in the execution capacities of each country and the operating conditions under NPU control, weakened the capacity of the PCU to plan the daily running of the project and, therefore, the progress towards the objectives of the projects during the implementation.

188. Quarterly and annual reporting instruments were met in an acceptable manner. However, these reports mainly contained information on the activities carried out in order to give consistency to the expense reports. There was no evidence that these reports had been used to provide feedback to the project or to share with other stakeholders the progress made in each area. There was no evidence of the use of monitoring data for adaptive management.

189. According to the final expense report (Quarterly Expenditure Report Oct - Dec 2017), the funds allocated by GEF for Monitoring and Reporting (M&R) were used for the hiring of a database specialist for US$ 20 000, and to finance monitoring and technical supervision activities for US$ 337 864. The final budget balance of US$ 70 000 of the GEF contribution were used to cover the expenses of the Mid Term Review and Terminal Evaluation of the project. This amount was not enough to cover the costs of the final evaluation and additional funds had to be sought to cover the expenses.

190. The monitoring of project implementation has been assessed as Moderately Unsatisfactory given that, at the final evaluation, although the project had a monitoring plan and annual work plans, and collected some data on project implementation, they are incomplete and could not be used to validate the indicators. They were also not shared with other stakeholders and were not disaggregated by vulnerable / marginalized groups, including gender.

Table 14 - Evaluation of Monitoring Implementation of the project

Criterion	Rating	Evidence/ Comments
A basic monitoring plan exists	Yes	Refer to para 188
A completed workplan exists	Yes	There were annual work plans.
Some project implementation data were collected against the monitoring plan and workplan, but it is incomplete and cannot be used to validate indicators	Yes	The information collected in the progress reports is not enough to validate indicators
Data collected is disaggregated by vulnerable/marginalized groups, including gender	No	No information refers to vulnerable, marginal or gender groups
There is evidence that any funds were spent on monitoring	Yes	There is evidence of expenses in monitoring the project.

Rating for Monitoring of Project Implementation: Moderately Unsatisfactory

G3. Project Reporting

191. The monitoring instruments defined by the project, such as quarterly and annual activities and expenses reports, project implementation reports and others, were mostly completed, and the presentation schedules were met with few exceptions.

192. Instruments considered in the M&E Plan were designed to report on compliance with the activities and expenditures provided in the annual work plan and budgets. They were the following:

193. The Project Implementation Plan (PIP), Annual work-plans and Timetables, and Budgets. These documents were prepared in the project inception phase and reviewed annually for readjustment of programming. The task involved GS / OAS and Project Coordination Unit (PCU).

194. The Quarterly Reports (QPR). The project issued 12 Quarterly Progress Report and 28 Quarterly Expenses Reports since September 2010 until December 2017. These reports were prepared by the Project Coordinating Unit and the General Secretariat of the OAS, based on information provided by the National Project Units, technical staff and the various national institutions that participate in carrying out the activities. Table 15 shows the quarterly progress and expenses reports made available for review to the evaluation team.

Table 15 - Quarterly Progress and Expenses Reports available for the evaluation team

Quarterly Progress	2010	2011	2012	2013	2014	2015	2016	2017
Jan – Mar	N/A	Y	Y	Y		Y	Y	
Apr – Jun	N/A							
Jul – Sep	N/A	Y	Y	Y	Y	Y	Y	
Oct – Dec	N/A	Y						
Quarterly Expenditure	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**	**2016**	**2017**
Jan – Mar	N/A	Y	Y	Y	Y	Y	Y	Y
Apr – Jun	N/A	Y	Y	Y	Y	Y	Y	
Jul – Sep	N/A	Y	Y	Y	Y	Y	Y	Y
Oct – Dec	Y	Y	Y	Y	Y	Y	Y	Y

195. The Half-Yearly Report (HYR). The evaluation team had access to 5 Half Yearly Progress and 4 Half-Yearly Expenditures. They all cover the period July to December of each year (except 2010 one which cover the period Sep – Dec), overlapping with the Quarterly Reports from July to September. It should be noted that neither the quarterly reports nor the half-yearly reports covered the period from April to June of each year. As said, these reports contained the same information as the quarterly reports and were only focused on the progress of the planned activities. Like the quarterly reports, the half-year reports were also under the responsibility of the PCU and the OAS, and used information prepared by the NPU. Table 16 shows the half-yearly reports made available for the evaluation team.

Table 16 - Half-Yearly Progress and Expenses Reports available for the evaluation team

Half Yearly Progress	2010	2011	2012	2013	2014	2015	2016
Jan – Jun	N/A						
Sep – Dec	Y	N/A	N/A	N/A	N/A	N/A	N/A
Jul – Dec	N/A			Y	Y	Y	Y
Half-Yearly Expenditures	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**	**2016**
Jan – Jun	N/A						
Jul – Dec				Y	Y	Y	Y

196. Annual Reports. The PCU had to prepare "Project Implementation Reviews" (PIR) covering the period from July to June of each year. This report, like those mentioned above, included specific information about the actions carried out during the period. The evaluation team had received copy of five PIRs, covering 2010 to 2016, except the fiscal year 2014 – 2015. The evaluation team had access to four "Annual Project Performance Report" (APPR), which is a GEF report format that also takes the fiscal

year July - June, and which focuses attention on the performance of the project's progress indicators. The APPR covered the periods from 2012 to 2016. The evaluation team also had access to four annual GEF International Water Tracking Tools report. This is an annual GEF format to follow up on the project indicators. Table 17 shows the annual reports available for the evaluation team.

Table 17 - Annual Reports available for the evaluation team

Annual Reports (Jul-Jun)	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Project Implementation Report (PIR)	Y	Y	Y	Y		Y
Annual Project Performance Report (APPR)	N/A		Y	Y	Y	Y
GEF International Water Tracking Tools	N/A		Y	Y	Y	Y

197. Coordination and decision-making meetings. The "Project Coordination Meeting" convened by the Project Coordination Unit with the National Project Unit, the representatives of the pilot projects, UNEP and the OAS, are intended to coordinate the general progress of the project, share information to and from the central coordination and support the development of the progress reports. There were 12 coordination meetings between September 2011 and July 2015. "The Steering Committee" was the highest decision-making body of the project. Summaries of all monitoring and evaluation reports were regularly presented and discussed in the 10 meetings held by the Steering Committee since April 2011. In turn, each of these meetings were documented with a main report and minutes of agreements. Table 18 shows the minutes of Project Coordination and Steering Committee meetings available for the evaluation team.

Table 18 - Minutes of Project Coordination and Steering Committee meetings

Project Coordination Meeting	2011	2012	2013	2014	2015	2016
Sao Paulo	Sep					
Iguazú	Dec					
Buenos Aires		Mar				
San José dos Campos		May				
Sao Paulo		Jul				
Buenos Aires		Oct				
Porto Alegre			Apr			
Sao Paulo			Oct			
Asunción				May		
Puerto Iguazú				Oct		
Sao Paulo					Mar	

Project Coordination Meeting	2011	2012	2013	2014	2015	2016
Sao Paulo					Jul	
Steering Committee Meetings	**2011**	**2012**	**2013**	**2014**	**2015**	**2016**
1st Buenos Aires	Apr					
2nd Buenos Aires	Oct					
3th Mendoza		Dec				
4th Buenos Aires			Jul			
5th Rio de Janeiro			Nov			
6th Buenos Aires				Jun		
7th Buenos Aires				Nov		
8th Buenos Aires					Jul	
1st Extraord. Asunción					Set	
9th Santa Cruz						Apr
10th Montevideo						May

198. Counterpart & Co-financing contribution reports. The evaluation team did not have access to any reports of counterpart expenses. Only those that referred to the GEF funds.

199. The project produced enough information about the development of the activities carried out, but with little information about the outcomes and outputs or the opportunities to enhance their benefits. The monitoring was focused on reporting to the agencies the expenses incurred, and the activities carried out.

200. The Project Reporting is qualified as Moderately Satisfactory since the evaluation found substantial but incomplete documentation of project progress available, donor reporting had few gaps but it was consistent with available evidence.

Rating for Project Reporting: Moderately Satisfactory

Overall Rating for Monitoring and Reporting: Moderately Unsatisfactory

H. Sustainability

201. According to the Evaluation Office of UNEP and GEF guidelines sustainability is assessed as the probability of the benefits arising from direct outcomes being maintained and developed after the close of the intervention. It is based on a dependency-mitigation matrix. On the vertical axis, the level of dependency or sensitivity to the sustainability issue was analysed (on a scale from low to high). On the horizontal axis, the degree of mitigation of any sensitivity or dependency was assessed (on a scale from none to 100%). The combination of the assessed level of dependency and the assessed degree of mitigation leads to the rating. This

evaluation identified the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes. Sustainability is evaluated from three perspectives: social-political sustainability, financial sustainability and institutional sustainability. Figure 6 below shows the rating achieved by the three sustainability perspectives assessed here.

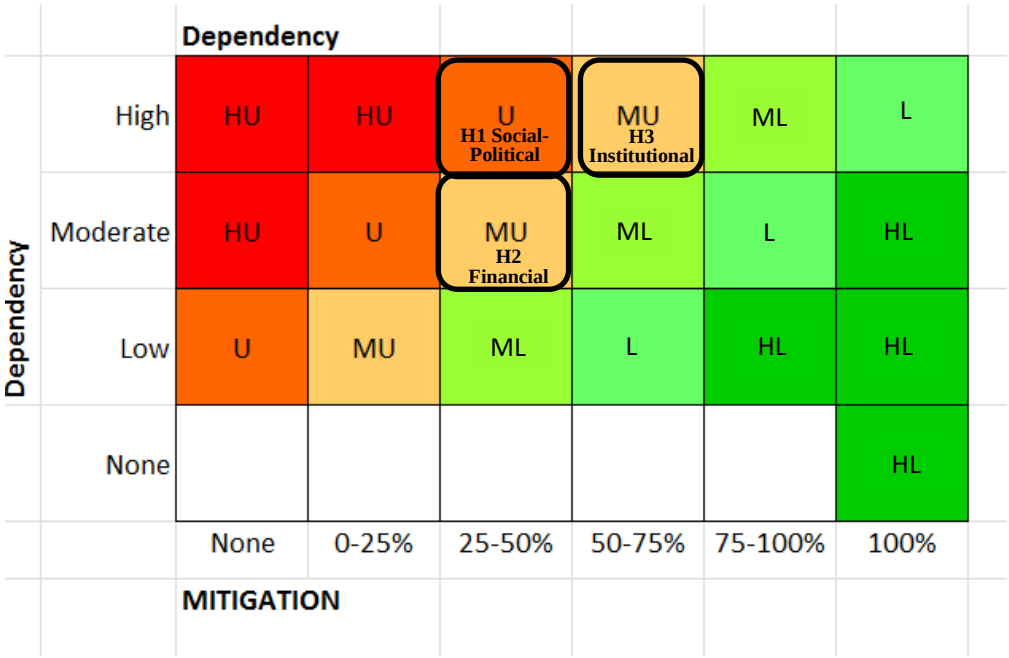

Figure 6 - Dependency-mitigation matrix to support the assessment of sustainability indicating the rating of H1 (Unlikely), and H2 and H3 (Moderately Unlikely).

H1. Social-political Sustainability

202. The continuation and further development of project direct outcomes are highly dependent on political will and social ownership. It was noted that there were different levels of ownership, interest and commitment among the five LPB country governments and among other stakeholders to sustain project outcomes. On one hand, government sectors outside the sphere of the project, including major decision makers, and key stakeholders of LPB, including major water use sectors and civil society, have little to no ownership and knowledge of the projects outcomes. On the other hand, there is high ownership, interest and commitment among people and institutions that participated on the TGs but it does not reach the levels which have the power to sustain and developed the project outcomes after the close of the intervention.

203. The evaluation findings suggest that weak mechanisms are in place to promote the changes in social and political contexts. The CIC has been seen by some project

partners as the most relevant mechanism in place to promote socio-political sustainability of the project outcomes. Other project partners are questioning if the CIC is actually the proper mechanism to perform the technical activities necessary to promote transboundary IWRM of LPB. THE CIC is 50 years old and so far, despite the massive investment from the GEF LPB project, its capacity was not increased after the closure of the project in comparison to the baseline. DSS, the only component under CIC responsibility, could have become another mechanism that could contribute to the sustainability of project outcomes, but so far it was not properly in place.

204. There was no effective communication strategy and, despite the high-quality studies, plans, models and tools developed by the project, there was not an effective knowledge management strategy to properly promote the use of this knowledge by the stakeholders outside the sphere of the project. Furthermore, the assumptions that could contribute to support socio-political sustainability did not hold fully. For example, sustainable environmental development was not a priority in the public agendas of the LPB riparian countries (assumption A.1). Security, health, economy, education overshadow the sustainable development agenda. Drivers that could contribute to achieve social sustainability were also not in place. Another example is that in general, the majority of water users and key stakeholders outside the governmental institutions were not engaged in the project activities, did not participate in the development of the SAP and are not embracing its implementation (driver D.7). The socio-political sustainability was rated Moderately Unlikely.

Rating for Socio-Political Sustainability: Moderately Unlikely

H2. Financial Sustainability

205. The evaluation assessed the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Project outcomes have a moderate dependency on future funding / financial flows to persist. Some project direct outcomes do not require direct further financial inputs to maintain them, e.g. outcome II.1 “An integrated water balance methodology is endorsed through the CIC in support of adaptive IWRM in the La Plata Basin”. However, in order to derive benefits from these outcomes, further management action and/or resources may still be needed e.g. to apply the IWB methodology and use the IWB as a tool for decision making. Other direct outcomes are dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. an operational Decision Support Systems on sustainable water use in the LPB (outcome I.1).

206. The evaluation findings indicate that the majority of the required future funding has not been secured. The riparian governments, key decision makers in the riparian

countries and major water users in the basin have not allocated adequate resources to implement the SAP and consolidate adaptive IWRM in LPB (driver D.5 not in place). The coordination of investments and actions among LPB countries to address transboundary IWRM is only partially in place (drive D.3). The CIC members have not yet provided the resources and means to sustain technical activities of IWRM, under the CIC framework, after the closure of the project (driver D.4 not in place).

207. No formal exit strategy has been developed for the project. Nevertheless, the project team has developed a project proposal for GEF aiming to be a transition phase from the closure of this project to the next phase of LPB IWRM programme. The project "Preparing the Ground for the Implementation of La Plata Basin Strategic Action Program"[23] was approved by GEF on July 2018 as a Medium-Sized Project (with US$ 1,995,000 from GEF financing) to be implemented in two years. Its objective is to "set the scene for the implementation of the national and regional actions identified on the SAP". It aims to do it by "fostering the consolidation of regional cooperation, the alignment of national and regional priorities, and by promoting integration across sector and funding sources". Despite the approval of the Medium-Sized Project, that brought secured funding for the next couple of years, this could not be considered as an indication of financial sustainability. No evidence was found that the riparian countries governments, major water users and regional/local authorities are bringing and/or will bring the necessary financial resources to sustain the benefits that were brought by the project direct outcomes. The financial sustainability was rated Moderately Unlikely.

Rating for Financial Sustainability: Moderately Unlikely

H3. Institutional Sustainability

208. The evaluation assessed the extent to which the sustainability of project outcomes was dependent on issues relating to institutional frameworks and governance for the benefits they bring to be sustained.

209. Project direct outcomes have a high dependency on, and sensitivity to, institutional support. The project direct outcomes were achieved with a high degree of institutional support from the governments of the five countries through the CIC. For example, the most relevant outcome of this project, the endorsement of the SAP (outcome IV.1), was achieved with the five countries approving the SAP within the framework of the CIC. In order for the benefits the SAP brings to be sustained,

[23] CAF – Latin American Development Bank is the GEF Implementing Agency for this project.

governance and institutional support toward the implementation of the SAP will need to be improved in a coordinated way.

210. There was not enough evidence to suggest that the institutional achievements of the project, including enhanced governance structures and processes under the CIC, the development of policies (i.e. policies to create the ecological corridor and to improve biodiversity conservation and water protection on this protected area – outcome II.4), agreements (i.e. outcome II.5 joint actions to control land degradation), legal frameworks (i.e. outcome I.1) and coordination mechanisms (i.e. outcome II.3 SAYTT ground water management plan) are robust enough to continue delivering the benefits associated with them after project closure. The actions to properly institutionalize the majority of these outcomes have not, to a large extent, yet been taken.

211. The project has promoted significant efforts to promote institutional capacity development on transboundary IWRM considering aspects of climate variability and change. On one hand, the capacity of relevant individuals who participate actively in projects activities, TGs and workshops appear to be sustained. Several of these individuals, who were interviewed during data collection phase, were seen to exercise increased influence in support of the direct outcomes. On the other hand, several of the targeted individuals engaged on the project have been moved to other assignments. Local consultants were hired to conduct the studies and develop products for the project. This supports institutional capacity being maintained as they rely on talent within the region.

212. No formal exit strategy with an institutional component has been developed for the project. Nevertheless, some project members consider the subsequent LPB Framework Program as the exit strategy for this project. However, the LPB Framework Program does not contain details indicating how the institutional sustainability of the project outcomes will be promoted. Several of the drivers that could contribute to achieving institutional sustainability were not in place, such as diver D.2 “The institutional coordination and transboundary cooperation agreements for formalized projects, established information resources and data network for hydro climatic TDA and adaptive-IWRM are in place at all relevant institutions.” Several assumptions that also could contribute to improved governance and institutional sustainability did not hold. For example, two years after the technical closure of the project, most of the countries have not yet committed to the necessary policy reforms required to strengthen coordination and implement the SAP (assumption A.4). Also, frequent government official turn-over in the riparian countries jeopardises the continuity of the change processes generated by the LPB project (assumption A.6). The institutional sustainability was

rated Moderately Unlikely, according to the Evaluation Office of UNEP "Criterion Rating Description Matrix".

Rating for Institutional Sustainability: Moderately Unlikely

Overall Rating for Sustainability: Moderately Unlikely

I. Factors Affecting Performance

I1. Preparation and Readiness

213. Before its implementation, the proposal had to be updated due to the time elapsed since its formulation and adjusted to the new GEF guidelines (See paragraphs 53 and 75). Officially, activities began in March 2011 and had an intended completion date of June 2016, which was later extended to December 2016. The total secured budget of the project was US$ 61,764,087.

214. An inception meeting was held where work plans were discussed and approved, an annual costed workplan was developed with appropriate detail (see Table 3 and paragraph 91) and a project governance was established: constituted by an Steering Committee, Inter Ministerial working groups, Project Unit coordination's per country and Technical Groups (see section III.D) and four pilot projects were later prioritized. Each country provided technical capacities, but a comprehensive and relevant stakeholder analysis was not done (see paragraph 82). The decision taken by the SC was to prioritize the use of local consultants, to develop national capacities and contribute them to stay in the region. At the same time each country government institutions mobilized their staff and technicians to contribute in the development of the activities, mainly through the TG.

215. Although legal agreements with partners were signed in a timely manner and staffing mobilization was undertaken also in a timely manner, a detailed procurement plan was not developed nor an ESE safeguards assessment.

Rating for Preparation and Readiness: Moderately Satisfactory

I2. Quality of Project Management and Supervision

216. The LPB project implemented all the management instances described in the ProDoc. Governments of riparian countries decided to assume direct responsibility in the execution of activities in their territories through their respective National Coordinators. This meant that the National Coordinators and the Steering Committee, formed by the national representatives, acquired predominance in the decisions of the project. National Coordinators, with the support of the Inter-

ministerial Working Groups and Thematic Groups of each country, were key to consolidate a high level of institutional involvement of countries and agencies (implementation and execution).

217. There were 12 coordination meetings between September 2011 and July 2015 convened by the Project Coordination Unit with the National Project Coordinators, the representatives of the pilot projects, UNEP and the OAS. Likewise, 10 meetings were held by the Steering Committee since April 2011 until May 2016 (See paragraph 197).

218. National Coordinators received timely assistance from the PCU, OAS and UNEP acting as Implementing Agency, helping to maintain the focus on expected key results and timely delivery of results. One of the crucial tools to help project move forwards was: the advance of OAS own resources to facilitate and expedite resources. The OAS, acting as Execution Agency, also focused its attention on the daily monitoring and oversight to the CIC and the PCU in the planning and supervision of project implementation. Both multilateral organizations accompanied and performed their functions correctly and were present at all meetings of the Project Steering Committee.

219. Concerning the management response to financial issues, changes in the budget reveal the emphasis of the project for technical issues of water management, to the detriment of social, communication and education issues.

220. There were some changes in management positions at the National Project Coordinators, CIC/Steering Committee representatives and even the Project Director, which may have affected the regular progress of the project. The evaluation team has not had access to information about the exchange of information between outgoing and incoming staff. Despite this, the work done by the TG and national specialists contributed significantly to generate professional contacts and information exchanges among the technicians of the participating countries.

Rating for Quality of Project Management and Supervision: Satisfactory

I3. Stakeholder participation and co-operation

221. One of the central aspects that underpin the project is an intended (as per the ProDoc), but not achieved, participation of stakeholders. The project lacks an analysis of the wide range of stakeholders involved in management of the water resources of the basin in the five riparian countries, including roles and capacities of key actors, gender perspective and minority groups (see paragraph 82). Despite this, regarding the pilot projects, the project showed an active participation and consultation of stakeholders, including civil society organizations, academic sector

and state/local authorities of different levels. This participation was promoted by the National Coordinators and fostered through the Inter-Ministerial Working Groups, showing the degree of ownership and interest of local communities in projects concerning the improvement of water management in their river basin. However, for the other 21 outputs of the project, such as the harmonisation of the legal framework or the integration of the water resource management, roles and involvement of non-TG stakeholders, such as civil society, local governments, Non-Governmental Organisations (NGOs), indigenous communities, water users and other beneficiaries/interest groups, were not done. It is relevant to consider that the LPB is inhabited by several indigenous populations, including the Guaranís, Guayacurús and Bororos, and Guarani is an official language in Paraguay.

222. The specific and outstanding support of the academic sector in activities related to hydrogeological diagnostic studies, integrated water balance, and land degradation, among others, provided valuable experiences and lessons, helping to establish and strengthen the links of the scientific community in the decision-making process at the political/governmental level.

Rating for Stakeholder Participation and Cooperation: Moderately Unsatisfactory

I4. Responsive to human rights and gender equity

223. It should be noted that the project was formulated before gender became mainstreamed within the 2010-2013 MTS for all UNEP projects. But implementation took place after gender became mainstreamed and through the inception workshop this should have been a basis for adaptive change to incorporate these aspects. Evidence in documents and interviews suggests that gender equity has not been considered at context, results framework and budget levels. In this sense, the project did not take into account the human rights approach such as the rights of indigenous peoples and gender perspective, especially in IWRM and legislation.

224. Throughout the data collection phase, it is observed how stakeholders, in their broadest sense, are treated as "organizations", "institutions", "actors", "technicians", "professionals", "specialists", "users", etc. At no time, does the project consider possible gender inequalities in the access to, and control of, natural resources, nor the vulnerabilities of women, children and indigenous communities to environmental degradation, nor the role of women in mitigating or adapting to climate change and participate in the protection and rehabilitation of water resources.

Rating for Responsiveness to Human Rights and Gender Equality: Highly Unsatisfactory

I5. Country Ownership and Drivenness

225. The 5 LPB countries played a leadership role on vital direction of projects, including the daily management of the national components, and the approval of project results. The 17 Thematic Groups and the 5 Inter-Ministerial Working Groups contributed to promote integration across sectors and among the five countries.

226. Great success was evidenced in terms of the appropriation of the project by the national institutions of the participating countries who were engaged on the TGs. This appropriation was possible thanks to the fact that LPB project was executed through TGs integrated by technicians, who were in a position to transfer knowledge inside their national institutions the LPB project activities. Likewise, countries have also recognized the benefits obtained from multilateral technical cooperation, such as increasing capacities, technical and scientific exchanges, opportunities for conflict resolution and, eventually, regional water security and peace.

227. The high-level officials responsible for project coordination in the Inter-Ministerial Groups and National Project Units, also contributed to the appropriation and smooth running of the project, always presenting detailed and timely reports on the progress and expenses of the project.

228. Nevertheless, the project did not advocated/represented adequately the needs/interests of all gendered and marginalised groups and especially indigenous groups.

Rating for Country Ownership and Drivenness: Satisfactory

I6. Communication and public awareness

229. Subcomponent I.2 of the project was aimed at promoting the participation of users and civil society as a means to increase education and public awareness regarding LPB water management. Nevertheless, communication and public awareness activities carried out were discreet and did not succeed in communicating LPB project products and outcomes to riparian countries key stakeholders and the broader public. In fact, the project spent less than 70% of the budget for this sub-component. This is a sensitive issue, for example, flood risk and drought maps produced are not yet accessible to the public in a GIS format. In general, knowledge produced is neither accessible to the public, nor academics (several studies are still on CIC webpage under password and permissions to grant access). No peer review articles or publications were reported. The inter-university network proposed in the ProDoc did not receive enough funding and support was suspended.

230. The project promoted an unprecedented generation of knowledge and built informal contact channels among peers. However, no knowledge management and sharing strategy was developed. Moreover, there is no evidence that the broad range of communication methods used were built on the basis of an analysis of existing communication networks and channels with civil society, social media or mass media means, but only with key stakeholders. The informal contact (mainly by instant messaging application and e-mails) between technical staff of the countries who participated on the project activities, specially the TGs and training courses, seemed to be the more efficient communication instrument that lasted after the closure of the project. Technical staff of the countries who participated in the project activities, especially the TGs, were so strong that solid bridges had already been created between the people.

Rating for Communication and Public Awareness: Unsatisfactory

Overall Rating for Factors Affecting Performance: Moderately Unsatisfactory

VI. CONCLUSIONS AND RECOMENDATIONS

i. Conclusions

231. The evaluation Terms of References presented five strategic questions which were of interest to UNEP and to which the project is believed to be able to make a substantive contribution.

232. **a) How has the project made a difference in regard to the sustainable management of the shared resources of the La Plata Basin compared to the situation before the project**? The project made a significant difference regarding the sustainable management of the shared resources of the La Plata Basin compared to the situation before the project. All stakeholders who participated on the project activities consider that the project allowed an important step towards sustainable management of La Plata Basin (LPB). It was noted that among the major differences compared to the situation before the project was the production of knowledge (however, lacks a good communication plan), and the interaction among the stakeholders of the five countries involved on the Thematic Groups (TGs) and the project activities.

233. (i) How has the project strengthened basin-wide co-operation capacity for hydroclimate management – what policies, legal frameworks to bind them to sustainable management of shared resources have come about?[24] The basin-wide co-operation capacity for hydroclimate management continue to be very limited. No formal policy or legal framework was adopted to bind the co-operation for hydroclimate sustainable management of shared resources. Officials of the La Plata Basin countries interviewed reported that the co-operation was made mainly on informal bases, such as WhatsApp groups they created during the workshops and meetings conducted by the project.

234. (ii) What does the strengthened institutional capacity for the regional and national institutions in the five countries look like? Regional institutional capacity has improved with the production of the Strategic Action Programme (SAP), Transboundary Diagnostic Analysis (TDA), several studies, capacity building and meetings. However, the Intergovernmental Coordinating Committee of La Plata Basin (CIC) presents the same situation as reported at baseline and the Decision Support System (DSS) is not operative. The project has delivered 212 courses and workshops, training 1578 professionals. As mentioned in section V.D.2, the institutional capacities were strengthened unevenly among the five countries. The Inter-Ministerial Working Group and TG strengthened national coordination and communication during the project implementation, but after closure of the project

[24] The first question (a) had four sub-questions (i, ii, iii and iv).

they are no longer active. A high risk of discontinuity is noted that should be taken into consideration for the new GEF Medium-Sized Project of the LPB aiming to promote mechanisms to keep these mechanisms operating regardless of external funds.

235. (iii) Who is using the project-developed models and plans? Have they been validated? During the interviews and data collection evidence was gathered to suggest that project partners and people that participated in the development of models and plans, mostly technicians, are the ones using the products. The SAP has not yet been properly incorporated at national level. Nevertheless, some applications had been reported: Brazil informed the evaluation team that the SAP was considered as one of the documents used as reference during the last revision of the National Plan of Water Resources and the Multi Year Workplan of the Government of Brazil; the National Water Plan of Uruguay in 2017 also was built upon the knowledge generated by the GEF project; relevant stakeholders mentioned that the biodiversity corridor proposed on the SAP has been used as reference for the work on Ramsar Convention on Wetlands for the La Plata Basin; a protocol for joint monitoring of Uruguay River between the governments of Argentina and Uruguay has also been pointed by key stakeholder as an "use of the products of the project". The new GEF Medium-Sized Project for La Plata Basin was approved aiming to build this bridge between the SAP to the national actions plans.

236. (iv) Which countries have signed up to the Strategic Action Plan? Was there any push back? Five countries approved the SAP within the CIC framework. The countries representatives at CIC consider that the approval within CIC framework represents a ministerial level of endorsement. Nevertheless, the SAP was not formally endorsed by the countries' highest authority (i.e. not signed by the line ministers) and it has not been properly communicated for internal nor external partners. The production of SAP was done in the last part of the project. Many national stakeholders involved in the project reported that they did not have the chance to properly contribute to its production, review and validation. Several of them have not even seen the SAP publication.

237. **(b) How was the approach adopted by the project the best possible to address sustainable management of the La Plata Basin?** The project adopted several approaches that were of high relevance to address sustainable management of the La Plata Basin, including great country ownership, the integrated approach of surface and ground water management, and modelling climate variability and change. As mentioned in section V.I.5 Country ownership and driven-ness, was a strong feature of this project. Countries were actually in the drivers' seat and took a leadership role on strategic guidance of project delivery, endorsing project results, provision of in-kind resources and, to some extent, advocating for changes to

achieve higher level results. The 17 TGs and the 5 Inter-Ministerial Working Groups were also positive features of the project to promote integration across sectors and among the five countries.

238. **(c) How was the project able to further strengthen the integrated approach among the La Plata Basin countries to advance the sustainable management of the Basin? Will the integrated approach be sustainable financially, institutionally and socio-politically**?

239. The project, in comparison with the baseline, further strengthened the Integrated Water Resources Management (IWRM) among the five riparian countries to improve the sustainable management of water and natural resources of the basin (intermediate state I). The project promoted relevant changes that may lead to the expected impacts, but the magnitude, breadth and effectiveness of the change process might not be sufficient to reach the desired impacts in a reasonable timeframe (see details in section V.D Effectiveness).

240. As discussed in detail in section V.H Sustainability, it is moderately unlikely that the integrated approach will be maintained and further developed. The sustainability of project direct outcomes is highly dependent on **political will and social ownership**. There is also the need to put in place mechanisms to promote the changes in social and political contexts (i.e. communication and public awareness). The evaluation team noted that there were tensions between the political environment on CIC and the technical dynamic within the Thematic Groups. Tensions resided mostly on the political preponderance on the decision-making process of the project caused by the arrangements of the Steering Committee (SC) – the political representatives (not the technical representatives) were the ones with the last word regarding country decisions and the decisions on the SC were taken by consensus (all countries have to agree) or dismissed (see paragraph 89). These tensions waked and slowed down the project implementation.

241. Project outcomes have a moderate dependency on **future funding / financial flows** to persist. Some project direct outcomes do not require direct further financial inputs to maintain it. But to derive benefits from these outcomes, further management action and/or resources may still be needed. Other direct outcomes are dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. an operational Decision Support Systems on sustainable water use in the La Plata Basin (outcome I.1). Key stakeholders considered support from external sources of funding continuous to be very important, not only in terms of grants provided, but also in the establishment of more agile and efficient integration processes. Nevertheless, aiming for the financial sustainability of the IWRM of the La Plata Basin, the evaluation team recommend the riparian countries to not rely only on external funds, but provide the necessary resources for

coordination according to their interest / priority. Despite the approval of the GEF Medium-Sized Project, that brought secured funding for the next couple of years, this could not be considered as an indication of financial sustainability. No evidence was found to support that the riparian countries governments, major water users and regional/local authorities are bringing and/or will bring the necessary financial resources to sustain the benefits that were brought by the project direct outcomes.

242. Last but not least, in general, the project direct outcomes have a high dependency on and sensitivity to **institutional support**. The projects direct outcomes were achieved with a great degree of institutional support from the governments of the five countries through the TGs. In order for the benefits that the outcomes bring to be sustained, improve governance and institutional support toward the implementation of the IWRM approach will be required in a coordinated way. The CIC had been seen by some project partners as the most relevant mechanism in place to promote sustainability of the project outcomes. Nevertheless, its capacity was not increased after the closure of the project, in comparison to the base line. Alternatives should be explored to promote the consolidation and effective operation, in sustainable manner, of a technical coordination mechanism for IWRM at the La Plata Basin.

243. **(d) How did the project engage the right partners and stakeholders to ensure delivery of results and their sustainability? Were the implementation and execution arrangements, including accountability framework, suitable for an optimal delivery of the project**?

244. As described on section II.C Stakeholders, the Project was characterized by its participatory approach for implementation. A vast array of institutions, mainly national governmental bodies, of all five riparian countries had been actively involved in project activities throughout its execution on the 17 TGs. Nevertheless, the project did not have a clear stakeholder's analysis, neither proper descriptions of the roles and capacities of key actors and stakeholders. As explained in sections V.D Effectiveness and V.H. Sustainability, there was evidence of ownership, interest and commitment among people and institutions that participated on the TGs but this does not reach the levels which have the power to sustain and develop the project outcomes after the close of the intervention. Key stakeholders, including major water use sectors, civil society, marginalised and indigenous groups, have little to no ownership and knowledge of the projects outcomes. The Despite the high-quality studies, plans, models and tools delivered by the project, there was no effective knowledge management strategy to properly promote the use of this knowledge by the stakeholders outside the sphere of the project.

245. Some elements of project design and implementation mechanisms could not be considered as the best possible approach for an optimal delivery of the project.

Among them, the number and high ambition of the outputs, which was considered by several interviewees and by the evaluation team as too many, 33 originally, 25 on the reconstructed Theory of Change (ToC) (

246. Table 21). The majority of the outputs were not fully delivered. The complex decision-making process, which was highly politically driven, was also indicated by several project actors as one of the constraints for efficient implementation of this GEF project. According to what was described in section V.D.1, the quantity and ambitiousness of the outputs, and complex decision-making process appear to be among the reasons that led to the full delivery of only 24% of the outputs, and the majority (68%) only partially delivered. Key stakeholders interviewed also considered that the project delivered a lot, especially taking into account the obstacles and difficulties in the decision-making process. The delay on the delivery of the outputs happened and interfered in the proper closure of the project and over-shadowed the launch of the SAP. However, the majority of the outputs were considered of good quality and utility by project stakeholders who participated on their development. There was a high ownership of the national actors involved in the preparation of the outputs (i.e. country-level studies).

247. **(e) Related to (d), how were the local level results at the seven pilot sites replicated/scaled up elsewhere nationally or regionally? Does each pilot have its own upscaling strategy or is there an overarching generic one**? There is immense value of the lessons learned and potential of replication of several pilot projects (i.e. Cuareim/Quaraí, Confluencia) to generate impact at the Basin Level (see detailed information on section V.D Effectiveness). Neither a generic nor specific replicating / scaling up strategies were produced. Some technical reports, such as the one of the Pilot Project of the Cuareim/Quaraí brought some discussions on replication and scaling-up, but no proper strategy was formulated. To a large extent, the approaches developed at pilot projects have not been adopted on a much larger scale and the achievements of the project have not yet been repeated or explicitly applied in new/different contexts. One exception was the case of Uruguay. Its government has incorporated the lessons learned from the pilot project of the Cuareim/Quaraí, aiming to scale-up and replicate to other Uruguayans cities of the La Plata Basin. The EUROCLIMA+ the project proposal “Technology and modelling for integrated water management for adaptation to climate change of Uruguay's main source of drinking water” developed by the government of Uruguay in 2019 was a good example of the use of the lessons learned from the pilot project.

248. According to the Evaluation Office of UNEP and GEF guidelines, the **human rights and gender dimensions** of the intervention should also be discussed explicitly here in the Conclusions. As presented on section V.I4 “responsiveness to human rights and gender equity”, the implementation of the project did not take into account an

approach that included perspectives of human rights, the rights of indigenous peoples and the gender. At no time did the project consider possible gender inequalities in the access and control of water and natural resources, nor the vulnerabilities of women, children and indigenous communities to environmental degradation, nor the role of women and indigenous people in mitigating or adapting to climate change and participate in the protection and rehabilitation of water resources.

249. The overall assessment of the project was rated as **Moderately Satisfactory** (see Table 19). This rating was obtained using the "weightings table for evaluation criteria rating", according to Evaluation Office of UNEP guidelines[25]. On one hand, the project showed good performance on Strategic Relevance, Effectiveness and Financial Management. On the other hand, the project had lower ratings for Quality of Project Design, Efficiency, Monitoring and Reporting, Sustainability and Factors Affecting Performance.

250. It is relevant to take note that this project was designed as the **first phase of a larger La Plata Basin Framework Program**. A change of the magnitude proposed by the Framework Program to happen might require more time and additional effort beyond the scope of a GEF project. The evaluation team recognizes that the people and institutions involved on the project have put a significative amount of resources, time, dedication, passion and hope on this project.

251. Despite some shortcomings indicated in this evaluation report, the project had a moderately satisfactory achievement of outcomes (see section V.D2) and has, also, a moderate likelihood that it will reach its expected impacts (see section V.D3). The project promoted an unprecedented generation of knowledge and built informal contact channels among peers, strengthening their relation and promoting colaborative work. Notwithstanding, the limitations on the communication and public awareness activities to be carried out by the project (see section V.I6), the project contributed to promote a good level of integration among the people who participated on the project activities. Professionals who work on the same discipline (water balance, modeling, land degradation, biodiversity, water quality, etc) in the La Plata Basin but usually only with their vision within their countries, could share common objectives generating possibilities of complementing each other with the perspective of the La Plata Basin. Several key stakeholders mentioned that undoubtedly, the meetings that occurred during the execution of the GEF La Plata

[25] It is important to take note on the long period, nine years, between project approvals (2010) to this evaluation (2019). During this period the requirements, guidance and criteria of UNEP and the GEF for the evaluation of projects have been changed/improved. These changes may lead to ratings different from the ones that would be given if the evaluation instruments of 2010 were to be used. Nevertheless, the criteria applied here are the ones from 2019.

Basin project served to improve the understanding of the basin as a whole, encouraging the technichians who participated on the meeting to consider future integration actions. Key stakeholders considered that the bonds of trust between the technical staff of the countries who participated on the project activities, specailly the TGs, were so strong that solid bridges had already been created between the people (informal network).

Table 19 - Summary of project findings and ratings

Evaluation criteria	Summary Assessment	TE Rating
A. Strategic Relevance	**-**	**S**
i. Alignment to MTS and POW	Aligned to MTS 2010-2013, expected accomplishment #3.1, PoW 2010 – 2011, and 2012 – 2013 outputs #311 and #314	S
ii. Alignment to UNEP/GEF/Donor strategic priorities	Alignment with GEF4 strategic priorities for International Water.	S
iii. Relevance to regional, sub-regional and national issues and needs	Based on main national and regional priorities of water management of the five riparian countries	S
iv. Complementarity with existing interventions	Built on existing projects and programs	S
B. Quality of Project Design	Major weakness on intended results and causality, governance and supervision arrangements. Good financial planning and budgeting	**MU**
C. Nature of External Context	No major problems or circumstances that significantly interfere in the progress of the project.	**MF**
D. Effectiveness	-	**MS**
D1. Delivery of outputs	Six outputs fully delivered (24%), seventeen partially delivered (68%) and two not fully delivered (8%) – limitations in terms of ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery	MU
D2. Achievement of direct outcomes	Changes of behaviour, attitude/action, condition, knowledge and skills among the stakeholders involved in the project had taken place, nevertheless they were, in several cases, limited in scope, magnitude and effectiveness.	MS
D3. Likelihood of impact	The most important direct outcomes to attain intermediate states were achieved or partially achieved.	ML
E. Financial Management	-	**S**
E1. Completeness of project financial information	Application of proper financial management standards	S
E2. Communication between finance and project management staff	Adherence to UNEP's financial management policy	S

Evaluation criteria	Summary Assessment	TE Rating
F. Efficiency	Complex model of governance and the supervision arrangements led to delays and short comes	**U**
G. Monitoring and Reporting	-	**MU**
G1. Monitoring design and budgeting	Lacked a method of data collection and person in charge of monitoring the progress of the indicators	U
G2. Monitoring of Project Implementation	Limited use of monitoring data for adaptive management	MU
G3. Project Reporting	Mostly completed, and the presentation schedules were met with few exceptions	MS
H. Sustainability	-	**MU**
H1. Socio-political sustainability	Depends largely on the political will and social appropriation of the products and results	MU
H2. Financial sustainability	Dependency on future unsecured financial flows	MU
H3. Institutional sustainability	Weak institutional capacity of transboundary management	MU
I. Factors Affecting Performance	-	
I1. Preparation and readiness	Inception or mobilisation stage happened properly but with some limitations	MS
I2. Quality of project management and supervision	Good project management performance with a complex arrangement including National Coordinators, Thematic Groups, the PCU, OAS and UNEP	S
I3. Stakeholder participation and cooperation	Limited participation of stakeholders outside the sphere of influence of the governmental structure (except for some pilot project)	MU
I4. Responsiveness to human rights and gender equity	Blind to the approach based on human rights, the rights of indigenous peoples and the gender perspective	HU
I5. Country ownership and driven-ness	The 5 LPB countries played a leadership role on vital direction of projects	S
I6. Communication and public awareness	Discreet and did not succeed in communicating LPB project products and outcomes to key stakeholders and the broader public	U

Legend: S - Satisfactory; MS – Moderately Satisfactory; MU – Moderately Unsatisfactory or Moderately Unlikely; ML – Moderately Likely; MF – Moderately Favourable; U – Unsatisfactory; HU – Highly Unsatisfactory

ii. Lessons Learned

252. **Lesson 1: Have in place binding institutional implementation arrangements within basin wide cross sectoral and regional integration.** The institutional implementation arrangements (SC, National Project Unit, TG and Inter-Ministerial Working Groups) generated an active involvement of hundreds of professionals and a vast array of governmental institutions and specialized agencies of the 5 countries. This was a key factor in promoting country ownership, institutional strengthening and regional integration. The 17 Thematic Groups and the 5 Inter-Ministerial Working Groups were positive features of the project to promote integration across sectors and experts from multiple disciplines. Nevertheless, it may require better structured institutional arrangements to allow the knowledge generation, exchange, debate and use process to flow and influence the basin wide decision-making process. The project was implemented with an outstanding intervention of the national institutions with competencies in each subject, who established the roadmaps and the hiring of experts. In sum, the empowerment of national decision makers in the execution of the project was a key feature of this project and this approach could also be useful for other transboundary IWRM projects.

253. **Lesson 2: Build a trust process within the project implementation strategy so that there is strong country ownership.** Countries were in the drivers' seat and took a leadership role on strategic guidance of project delivery, endorsing project results, providing important amounts of in-kind resources and, to some extent, advocating for change to achieve higher level results. At the same time, the project suffered several changes since its approval, before its execution started and during its implementation followed by several changes of country representatives. These changes impacted on delivery of outputs, when some activities were dismissed, and others were strengthened. For instance, the projects under the Public Participation Fund meant to be 30 were reduced to 12 and the climate change and variability focus of the La Plata Basin project was slowly weakened along the project execution. There is a need to establish ways to ensure project delivery, keeping some degree of autonomy/ flexibility and the countries commitments but without losing the focus on the main impacts meant to be achieved by the project. The next phase of the Framework Program and future GEF projects could benefit from this lesson, by allowing/motivating the countries to be in the driver seat but anchored with mechanisms that would facilitate the project implementation.

254. **Lesson 3: The project inception phase and mid term review should unpack the complexity of the project helping to simplify its implementation mechanisms**. There were too many activities, too many indicators without a proper system of monitoring, and too many (and too ambitious) outputs/outcomes. The project had

a complex governance system with hierarchical levels of decisions, many stakeholders were involved without a proper analysis of their interests, level of power and commitment to achieve La Plata Basin project impacts. This is especially challenging and relevant considering the significant and quite diverse area of intervention. This multi-level complexity and over-ambitious targets contributed to a lower rating of the project for the criteria of effectiveness, efficiency and sustainability. These elements should be taken into account on future projects of this nature, aiming to avoid or better access the related risks.

255. **Lesson 4: Map the institutional and legal frameworks at project design and update at inception phase.** As described on para 81 and 0, the project lacks a proper analysis of the wide range of stakeholders involved in management of the water resources of the basin. For the IWRM concept to work efficiently it needs to include an analysis of how water governance networks are configured, in terms of key stakeholders', their power dynamics and how policy knowledge flows (and whose knowledge is included and whose excluded) to understand the basics of a basin-wide "state of the art". This analysis is essential to develop prior to the project design and update it at the beginning of the execution of any basin-wide complex project like the one evaluated here. In this way, it is necessary to identify and properly map the institutional framework (agencies, key stakeholders and locals of each country to be involved), the legal framework (pertinent norms, competencies, etc.) and the power dynamics in place. Then, this should be continuously monitored during implementation to contribute to a proper project execution, to achieve the expected results and to enhance its impacts. This understanding would facilitate the development of a complex project like this.

256. **Lesson 5: A participation strategy is crucial for IWRM.** Several national governmental bodies of the 5 LPB countries had been actively involved in project activities throughout its execution on the 17 TGs. Nevertheless, key stakeholders, including major water use sectors, civil society, NGOs and minorities, have little to no ownership and knowledge of the projects outcomes. Participation is key for IWRM. A proper participation strategy should be designed prior to implementing an IWRM project. It must include major stakeholders as well as locals and minorities, as they contribute to the quality of the knowledge and decisions produced. An interactive process of participation is needed not only at pilot projects' level but at the basin wide scale. Stakeholders outside national governmental institutions, such as major water users' representatives, academic sector, local governments, indigenous people, local communities, and civil society organizations contribute to a more comprehensive top-down and bottom-up approach, allowing a systematic understanding and increased awareness of the complexity and interactions of river basin management. Such a process is relevant for all projects that aim to promote changes and impacts the living and natural environment, such are the projects

related to Sustainable Development, IWRM, Climate Change Adaptation and Mitigation, etc. Active participation is motivating and builds trust by considering concerns and goals of the involved stakeholders, enhancing (or reducing) the possibilities to influence policy decisions making and favouring long term sustainability meanwhile reducing conflicts and/or tensions.

257. **Lesson 6: Build a knowledge management system to foster accessibility, flows and sharing.** The project promoted an unprecedented generation of knowledge, but no knowledge management and sharing strategy was developed. A knowledge management system, fostering a social construction of knowledge process, managing its co-creation, accessibility, flows and sharing, should be considered in projects such as this one. The significant volume and relevance of knowledge generated and exchanged, as well as the need to validate it with a broad range of stakeholders argues in favour of adopting a powerful knowledge management system. It would enable a permanent process of social construction involving different types of knowledge (tacit, expert, contextual, scientific). The knowledge management system would certainly contribute to innovative change processes towards a basin wide IWRM of La Plata Basin, opening up a continuous process of SAP validation, consultation, update and implementation. Furthermore, a knowledge management system should also be considered (required) for other GEF and non-GEF project that deal with the generation and management of significative volume of knowledge.

258. **Lesson 7: An exit strategy is key to sustaining the changing process.** The project did not develop a solid exit strategy. An exit strategy is key to indicate how the sustainability of the project outcomes could be ensured. An adequate exit strategy (i.e. a transition strategy between GEF project phases) is key to maximize the maintenance of the outcomes and foster the changing process toward the expected impact. All projects of this nature (GEF and non-GEF Large Size Projects) should develop a solid exit strategy shared and agreed with the key stakeholder who would be responsible for its implementation after the closure of the project.

iii. Recommendations

Table 20 – Recommendations

Recommendation 1:	**To properly communicate the project outcomes and the validation/appropriation of the SAP**
Context of the recommendation	As previously mentioned (see sections V. D and V.I6), the SAP and several products of the project were not communicated and validated by internal nor external partners.
Description of the recommendation	The project partners (CIC secretariat, UNEP, OAS and the government of the 5 countries) and the implementing agency of the new LPB project - the Latin American Development Bank (CAF) should properly communicates as soon as possible to stakeholders, inside and outside the sphere of the project, the major outputs of the project, particularly the SAP. It is also recommended that an adequate public awareness program to reach the general public of the La Plata Basin is developed and implemented in the next project phase.
Responsible Agency	UNEP to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.
Recommendation 2:	**To use the SAP in its full power and to assign the resources to bring to life the SAP propositions**
Context of the recommendation	As mentioned on sections V.D and V.H, they will be required to improve governance and institutional support toward the implementation of the SAP in a coordinated way. The SAP financing plans were not developed either for each individual project or for the SAP as a whole. Resources will be necessary to bring the SAP propositions into life.
Description of the recommendation	National governments and key stakeholders incorporate the relevant recommendations of the SAP into their policies, mechanisms and effective actions at national, sub-national and local level. It is also recommended that the riparian governments, major decision makers in the riparian countries and major water users in the basin define and allocate, as soon as possible, adequate resources to implement the SAP (based on their own national mechanisms but in coordination with the other countries).

Responsible Agency	UNEP to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.
Recommendation 3:	**To promote the La Plata Basin DSS as a relevant tool to support decision making**
Context of the recommendation	Evidence suggests that the DSS was made available to CIC, but so far there was no evidence that the intended beneficiaries had been able to use/access it in its plenitude. Despite some shortcomings on the DSS (see section V.D1), the activities developed by the project strengthened the articulation among the technicians of the 5 countries. Currently these technicians continue with the work on DSS under WIGOS (Integrated Global Observing System hosted by World Meteorological Organization). During the last decade there has been a shift towards Open Data process and extensive use of radar/geospatial data.
Description of the recommendation	The CIC secretariat and the institutions responsible to maintain the DSS are encouraged to make the DSS operational as soon as possible, aiming to convert the DSS in a relevant tool to support decision making and as a source of reliable and updated information for IWRM at La Plata Basin. It is also recommended that the next phase of the Framework Programme take advantage of new approaches for the DSS (i.e. Open Data process and extensive use of radar/geospatial data), with the perspective of the macro-basins and data sharing among the riparian countries.
Responsible Agency	UNEP to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.
Recommendation 4:	**To make accessible to the public all products/studies produced by the project.**
Context of the recommendation	Despite of the high-quality studies, maps, plans, models and tools delivered by the project, they are not available for the general public.
Description of the recommendation	The CIC and the project agencies (Organization of American States and UNEP) should make accessible to the public the studies and products approved under the project (the ones financed by the project), not only the 23 publications approved by the countries. This would contribute to expand knowledge sharing, to promote further studies based on this knowledge and to improve the use of the products delivered by the project.

Responsible Agency	UNEP to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.
Recommendation 5:	**To encourage scientific publications**
Context of the recommendation	Despite of the high-quality studies, maps, plans, models and tools delivered by the project, they are not available for the general public.
Description of the recommendation	a. The riparian countries, the CIC and the project agencies should encourage scientific publications on the basis of the technical studies and the GEF LPB project products, contributing to knowledge generation helping to build the science-policy link and reaching the academic communities. The contribution from thesis, academic production from universities must be promoted and incentivized. b. The CIC and the key stakeholders in the basin should consider implementing, as soon as possible, the Interuniversity Network for IWRM of La Plata Basin proposed in the ProDoc but that did not receive enough funding and was suspended.
Responsible Agency	UNEP and OAS (for recommendation 5a) UNEP to pass on the recommendation to CIC and key stakeholders (for recommendations 5a and 5b)
Timeline	Up to six months after the publication of the TE.
Recommendation 6:	**To consolidate some products of high relevance**
Context of the recommendation	There were some very relevant products that the GEF La Plata Basin project was expected to deliver, but as informed on section V.II they were not.
Description of the recommendation	Aiming to further strengthen the shared resource management policy/guidelines/legal frameworks of the La Plata Basin, we recommend for the next phase of the La Plata Basin Framework Programme: - To make the Integrated Water Balance operational, by integrating water supply and demand at basin level (output II.1.1) - To produce the guidelines for the integrated management of surface and groundwater (output II.3.2)

	- To make a water quality action plan for LPB (output II.2.3) - To consolidate the lessons learned, scale-up and replication strategy of the Demonstration Pilot Projects (DPPs), especially the ones considered as success initiatives and that could have a higher impact at La Plata Basin scale, such as the Cuaren-Quaraí DPP and Confluencia.
Responsible Agency	UNEP to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.
Recommendation 7:	**Climate change adaptation should be integrated into IWRM approaches**
Context of the recommendation	IWRM concept is being applied all over the world but yet with few attempts to make effective connections with climate change adaptation. IWRM is being considered a tool for adaptation and needs to be prioritized from the design phase of the project. Due to climate variability and change, the LPB is facing unpredictable weather patterns (eg more intense storms, floods and droughts).
Description of the recommendation	Future phases of the La Plata Basin Framework Programme should make an in-depth analysis of how and why this connection develops as it did and share the relevant lessons of it for future new IWRM and Climate Change projects intending to so.
Responsible Agency	UNEP to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.
Recommendation 8:	**Strengthen the human rights and gender dimensions of UNEP interventions and the LPB Framework Programme**
Context of the recommendation	As presented in section V.I4, the project did not take into account the human rights, the rights of indigenous peoples and the gender perspective as per the UN guidelines. Specific needs due to gender, vulnerability or marginalization groups should be taken into account in all projects.
Description of the recommendation	The next phase of the LPB Framework Project and other IWRM projects of UNEP should consider possible gender inequalities in the access and control of water and natural resources, the vulnerabilities of women, children and indigenous communities to environmental degradation, the role of women and indigenous people have in mitigating or adapting to climate change and in the protection and rehabilitation of water resources.
Responsible Agency	UNEP to pass on the recommendation to OAS

Timeline	Up to six months after the publication of the TE.
Recommendation 9:	**UNEP to formulate guidelines on reporting of co-finance for GEF projects**
Context of the recommendation	In this project co-financing resources were administered directly by their contributors and their expenses were not reported in detail for the Project Management. It is relevant to develop approaches towards recognizing, valuing and reporting in-kind contributions.
Description of the recommendation	UNEP should assess how to define, estimate, report and verify co-financing on GEF projects.
Responsible Agency	UNEP to communicate to GEF Secretariat
Timeline	Up to one year after the publication of the TE.
Recommendation 10:	**To have an effective technical coordination of the transboundary IWRM of LPB**
Context of the recommendation	In order for the benefits that the project's outcomes brought to be sustained, there should be an improvement in coordination of governance and institutional support toward the implementation of the IWRM approach of LPB. The CIC had been considered by the LPB countries as the most pertinent mechanism available to promote IWRM approach at LPB. Furthermore, it has among its attributions the coordination of the transboundary resources of La Plata Basin. Nevertheless, its capacity was not increased after the closure of the project, in comparison to the base line. At present, there is no effective technical coordination of the transboundary IWRM of La Plata Basin. The lack of resources and agreement among the five riparian countries have been highlighted as the major barriers to have a permanent technical coordination of the IWRM of La Plata Basin under the CIC.
Description of the recommendation	The LPB countries should provide, as soon as possible, the resources and means to sustain technical activities of IWRM, under the CIC framework, aiming to coordinate actions and investment on IWRM in the La Plata Basin. Alternatives outside the CIC could also be explored to promote the consolidation and effective operation, in sustainable manner, of a technical coordination mechanism for IWRM and climate change adaptation at the La Plata Basin.
Responsible Agency	UNEP to pass on the recommendation to pass on the recommendation to CIC secretariat, OAS and the government of the 5 countries.
Timeline	As soon as the TE is published to be incorporated into the implementation of the follow on phase.

ANNEX 1 – DOCUMENTS CONSULTED

- UNEP Medium-Term Strategy 2010-2013
- UNEP Programmes of Work for 2010-2011 and Programmes of Work for 2012-2013;
- Request for CEO endorsement/Approval of the Project and GEF CEO endorsement letter
- ProDoc - Project document
- Annual Work Plans and Budgets
- Mid-Term Review of the project
- 12 Quarterly Progress Reports (see detailed information on section V.G3)
- 28 Quarterly Expenditure Reports (see detailed information on section V.G3)
- 5 Half Yearly Progress Reports (see detailed information on section V.G3)
- 5 Half-Yearly Expenditures Reports (see detailed information on section V.G3)
- 5 Project Implementation Reports (see detailed information on section V.G3)
- 4 Annual Project Performance Reports (see detailed information on section V.G3)
- 4 GEF International Water Tracking Tools (see detailed information on section V.G3)
- 11 Steering Committee meeting minutes (see detailed information on section V.G3)
- 12 Project Coordination meeting minutes (see detailed information on section V.G3)
- Final technical report
- Project Cooperation Agreement
- OAS Audit Reports
- GEF LPB PDF-A and PDF-B documents
- GEF Request for Project Endorsement/Approval of MSP “Preparing the Ground for the Implementation of the La Plata Basin Strategic Action Plan
- Transboundary Diagnostic Analysis for the La Plata River Basin - TDA. - 1a edición especial - Ciudad Autónoma de Buenos Aires : Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata - CIC ; Estados Unidos : Organización de los Estados Americanos - OEA, 2017.
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- Participación pública, comunicación y educación, Proyectos del Fondo de Participación Pública y Réplica del Programa Cultivando Agua Buena - 1a edición especial - Ciudad Autónoma de Buenos Aires : Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata - CIC ; Estados Unidos : Organización de los Estados Americanos - OEA, 2017.
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- Calidad del agua en la Cuenca del Plata - 1a edición especial - Ciudad Autónoma de Buenos Aires : Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata - CIC ; Estados Unidos: Organización de los Estados Americanos - OEA, 2017.
- Aguas subterráneas en la Cuenca del Plata - 1a edición especial - Ciudad Autónoma de Buenos Aires: Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata - CIC ; Estados Unidos: Organización de los Estados Americanos - OEA, 2017.
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- Boas práticas para o cultivo do arroz na Bacia do Prata - 1a edición especial - Ciudad Autónoma de Buenos Aires : Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata - CIC ; Estados Unidos : Organización de los Estados Americanos - OEA, 2017.
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- GEF, UNDP, SGP Scaling Up Community Actions for International Waters Management (2016)

- GEF STAP The Political Economy of Regionalism: The Relevance for International Waters and the Global Environment Facility: A STAP Issues Paper. Global Environment Facility, Washington, D.C. (2014)
- GEF Policy on Stakeholder Engagement (2017)
- GEF 4 Strategy - Revised Programming Document GEF-4 (2005)
- GEF Evaluation Office Ethical Guidelines, Evaluation Document No. 2 (GEF Independent Evaluation Office, 2007)
- Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects (2017)
- Independent Evaluation Office of GEF International Waters Focal Area Study (2016)
- Terminal Evaluation Report of GEF Guarani – Environmental Protection and Sustainable Development of the Guarani Aquifer System Project (2009)
- Terminal Evaluation Report of Bermejo SAP II - Implementation of the Strategic Action Programme for the Bermejo River Binational Basin: Phase II (2011)
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- Evaluation Office of UNEP - Guidance on Stakeholder Analysis (2018)
- Evaluation Office of UNEP - Gender Note for Evaluation Consultants (2018)
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- Evaluation Office of UNEP - Assessment of the Likelihood of Impact Decision Tree (2018)
- Evaluation Office of UNEP - Structure and Contents of the Main Evaluation Report (2018)

ANNEX 2 – INDIVIDUALS CONSULTED

Organization	Names	Position / Role
UNEP	Isabelle Vanderbeck	Task Manager – GEF LPB project
	Lydia Eibl-Kamolleh	Fund Manager – GEF LPB project
	Jill Raval	International Waters Associate Task Manager
	José Dallo	Responsible for Southern Cone Sub-Regional Office (Montevideo)
	Yegor Volovik	Portfolio Manager, GEF International Waters
GS/OEA	Max Campos	Chief of the IW Section with the Department of Sustainable Development
	Andres Sanchez	Current focal point for the LPB under the IW Section with the Department of Sustainable Development
	Enrique Bello	Former Project Manager at OAS for GEF LPB Project
	Luis Angel Buscaglia	Administrative support for GEF LPB Project
Project Coordination Unit (PCU)	Silvia Rafaelli	Project Coordinator
	Elena Benitez	Deputy Coordinator (2011-2014)
	Ana Maria Clerici	Deputy Coordinator (2014-2016)
Comité Intergubernamental Coordinador de los Países de la Cuenca del Plata (CIC)	Jorge Metz	General Secretary (from 01/06/2018 to the present)
	Alejandro Apolinario Peyrou	Former General Secretary and Director of GEF LPB project 05/10/15 – 30/09/17
	José Luis Genta	Former General Secretary and Director of GEF LPB project 05/10/11– 04/10/15

Organization	Names	Position / Role
UNESCO - IHP	Miguel de França Doria	Programme Specialist for LAC based on Montevideo (Uruguay)
CAF	René Gómez-García Palao	Ejecutivo Senior / Ambiente y Cambio Climático
	Mauricio Velasquez	Responsable for the new MSP GEF LPB
Subsecretaría de Recursos Hídricos de la Nación (Argentina)	Miguel A. Giraut	National Coordinator of LPB Project
Ministry of Foreign Affairs (Argentina)	Eugenio García Costa	Former Political representative at CIC
Ministry of Foreign Affairs (Argentina)	Fernando Duarte	Political representative at CIC
Ministry of Foreign Affairs (Argentina)	Ricardo Ferreyra	Technical representative at CIC
Secretaría de Ambiente y Desarrollo Sustentable (SAyDS) (Argentina)	Nazareno del Castillo	GEF Focal Point
Secretaría de Infraestructura y Política Hídrica (Argentina)	Pablo Storani	Responsible for National Water Resources Policy
Secretaría de Infraestructura y Política Hídrica (Argentina)	Pablo Kaloghlian	Coordinator for International Relations
National Water Institute (INA) (Argentina)	Juan Borús	TG Member
Ministry of Foreign Relations (Bolivia)	Jose Colodro	Political representative at CIC
Ministry of Foreign Relations (Bolivia)	Mariel Mercedes Lafuente	Technical representative at CIC
Dirección de Cuencas Hídricas Ministerio de Medio Ambiente y Agua (Bolivia)	Mayra M. Castillo	National Coordinator of LPB Project
Itamaraty - Ministry of Foreign Affairs (Brazil)	Marcelo Viegas	Political representative at CIC
Itamaraty - Ministry of Foreign Affairs	Ana Coralina Prates	Political representative at CIC

Organization	Names	Position / Role
(Brazil)		
Secretaría de Recursos Hídricos e Ambiente Urbano (Brazil)	Julio Thadeu Kettelhut	National Coordinator of LPB Project
Geological Survey Agency of Brazil (CPRM) (Brazil)	João Alberto Diniz	Member of TG
CPRM (Brazil)	Frederico Peixinho	Member of TG
CPRM (Brazil)	Maria Glícia Coutinho	International Affairs Advisory
Department of Water and Electric Energy (DAEE-SP) (Brazil)	Geroncio Rocha	Member of TG
National Institute for Space Research (INPE) (Brazil)	Marcos Barbosa Sanches	Member of TG
Ministry of Foreign Affairs (Paraguay)	Manuel Ruíz Díaz	Political representative at CIC
Dirección General de Protección y Conservación de Recursos Hídricos (Paraguay)	David Fariña	National Coordinator of LPB Project
Dirección General de Protección y Conservación de Recursos Hídricos (Paraguay)	Julieta Gauto	Technical Assistant of the Coordinator of LPB Project
Ministry of Environment and Sustainable Development (Paraguay)	Jose Silvero	Member of TG
National University of Asunción (Paraguay)	Andres Werlhe	Member of TG
Entidad Binacional Yacyretá (Paraguay / Argentina)	Luchas Chamorro	Member of TG and Responsible for DPP Confluencia
Ministry of Foreign Affairs (Uruguay)	Javier Vidal	Political representative at CIC

Organization	Names	Position / Role
Ministry of Housing, Territorial Planning and Environment (MVOTMA) (Uruguay)	Jorge Rucks	Sub-Secretary of Water Resources and Technical Representative at CIC
Dirección Nacional de Aguas (DINAGUA) (Uruguay)	Daniel Greif	Director and former Technical Representative at CIC
DINAGUA (Uruguay)	Silvana Alcoz	National Coordinator of LPB Project
DINAGUA (Uruguay)	Ana Laura Martino	Technical Assistant National Coordinator and Comunication and Participation Expert
MVOTMA (Uruguay)	Ignacio Lorenzo	Member of TG
DINAGUA (Uruguay)	Luis Reglon	Member of TG
Ministry of Livestock, Agriculture and Fisheries (MGAP) (Uruguay)	Paola Pedemonte	Member of TG
MGAP (Uruguay)	Carlos Clerici	Member of TG
National Administration of Power Plants and Electrical Transmissions (UTE) (Uruguay)	Julio Patrone	Member of TG
DINAGUA (Uruguay)	Alejandro Cuadrado	Member of TG
State Sewage & Water Works (OSE) (Uruguay)	Gonzalo Gomez	Member of TG
DINAGUA (Uruguay)	Luan Jara	Member of TG
DINAGUA (Uruguay)	Jorge Cardona	DPP Cuaren/Quaraí
DINAGUA (Uruguay)	José Pinto	DPP Cuaren/Quaraí
DINAGUA (Uruguay)	Federico Sarattore	DPP Cuaren/Quaraí
DINAGUA (Uruguay)	Viveka Sabaj	Member of TG
Universidad de la Republica (Uruguay)	Marcelo Loureiro	TG Member and Professor/Researcher

Organization	Names	Position / Role
Universidad de la Republica (Uruguay)	Christian Cherties	TG Member and Professor/Researcher
Universidad de la Republica (Uruguay)	Gabriel Cazes	TG Member and Professor/Researcher
Comisión Cuenca Río Cuareim; Comité de Aguas (Uruguay)	Laura Marcelino	Local responsible for the DPP (Uruguay)
State Basin Committee of River Quaraí (Brazil)	Ivo Wagner	Local responsible for the DPP (Brazil)
Ministry of Foreign Affairs (Uruguay)	Brian Oscar Rodriguez	Consul of Uruguay at Artigas (DPP Cuareim/Quaraí)
Independent Consultant (Uruguay)	Cheryl Stemphelet	Observer of the DPP Cuareim/Quaraí
DINAGUA (Uruguay)	Nancy de Vargas	DPP Cuaren/Quaraí
Association of Artisanal Brickmakers, Sand and Gravel Extractors of Cuarein River (Uruguay)	Diego Cruz	Local Stakeholder DPP Cuareim/Quaraí
Rural School of Estiba (Uruguay)	Maestra Raquel de los Santos	Local Stakeholder DPP Cuareim/Quaraí
Police Coorps of Artigua (Uruguay)	Claudia de Souza	Local Stakeholder DPP Cuareim/Quaraí
Teacher Training Institute IFD (Uruguay)	Marcela dos Santos	Local Stakeholder DPP Cuareim/Quaraí
High School of Artigas (Uruguay)	Claudia Leyes	Local Stakeholder DPP Cuareim/Quaraí
Community Environmental Agent (Brazil)	Sr. Florisvaldo	Local Stakeholder DPP Cuareim/Quaraí
Companhia Riograndense de Saneamento (CORSAN) (Brazil)	Leonice Goçalvez	Local Stakeholder DPP Cuareim/Quaraí
CORSAN (Brazil)	Helerson Maciel	Local Stakeholder DPP Cuareim/Quaraí
CORSAN (Brazil)	Gisele de Castro	Local Stakeholder DPP Cuareim/Quaraí

Organization	Names	Position / Role
CORSAN (Brazil)	Tiago Moraes	Local Stakeholder DPP Cuareim/Quaraí
Municipality of Quaraí (Brazil)	Claudia Paiva	Local Stakeholder DPP Cuareim/Quaraí
Saladeiro Community Association (Brazil)	Jane Paz	Local Stakeholder DPP Cuareim/Quaraí
EMEI Public School (Brazil)	Fernanda Sauceda	Local Stakeholder DPP Cuareim/Quaraí
Lions Club Quaraí (Brazil)	Elenice Magalhães	Local Stakeholder DPP Cuareim/Quaraí
Secretariat of Industry, Commerce and Tourism of Quaraí (Brazil)	Carlos Martins da Silva	Local Stakeholder DPP Cuareim/Quaraí
Union of Rural Workers of Quaraí (STR) (Brazil)	Milena Machado	Local Stakeholder DPP Cuareim/Quaraí
STR Quaraí (Brazil)	Sandra Fernandez	Local Stakeholder DPP Cuareim/Quaraí
Public Company of Technical Assistance and Rural Extension (EMATER) (Brazil)	Caroline Saldanha Campos	Local Stakeholder DPP Cuareim/Quaraí
Municipal Council of Tourism of Quaraí (Brazil)	Katia Schmidt	Local Stakeholder DPP Cuareim/Quaraí
Regional Center for the Management of Groundwater Latin America and the Caribbean (CeReGas)	Alberto Mangadelli	Executive Director and Member of TG

ANNEX 3 – FIELD MISSION TRAVEL PLAN

Evaluación Final del Proyecto ONU Medio Ambiente:
Programa Marco para la gestión sostenible de los recursos hídricos de la Cuenca del Plata, en relación con los efectos de la variabilidad y el cambio climático, ID GEF do proyecto: 2095

Travel Plan – Alex Pires (November 2018)

11 Nov	Sunday	Salvador (BR) to Buenos Aires (AR)	-
12 Nov	Monday	Buenos Aires (AR)	All day for interviews at CIC
13 Nov	Tuesday	Buenos Aires (AR)	All day for interviews outside CIC
14 Nov	Wednesday	Buenos Aires (AR) to Montevideo (UY)	Morning and early afternoon interviews Evening flight (1h)
15 Nov	Thursday	Montevideo (UY)	All day for interviews
16 Nov	Friday	Montevideo (UY)	All day for interviews
17 Nov	Saturday	Montevideo (UY) to Salto (UY)	600km 9h by car
18 Nov	Sunday	Salto (UY-BR)	-
19 Nov	Monday	Salto and Artigas/Quaraí (UY-BR)	Early morning visit and interviews afternoon travel to Artigas
20 Nov	Tuesday	Artigas/Quaraí (UY-BR) to Montevideo (UY)	All day for field visit and interviews Pilot Project Resolve Water Use Conflicts – Río Cuareim/Quarai Basi
21 Nov	Wednesday	Montevideo (UY) to Salvador (BR)	600km 9h by car
22 Nov	Thursday	Montevideo (UY) to Salvador (BR)	Morning and early afternoon interviews and evening flight

Cuestionario Abierto

Evaluación Final del Proyecto ONU Medio Ambiente:
Programa Marco para la gestión sostenible de los recursos hídricos de la Cuenca del Plata, en relación con los efectos de la variabilidad y el cambio climático, ID GEF do proyecto: 2095

I. Presentación

Este es un cuestionario abierto referente a la evaluación final del *"Proyecto ONU Medio Ambiente: Programa Marco para la gestión sostenible de los recursos hídricos de la Cuenca del Plata, en relación con los efectos de la variabilidad y el cambio climático".*

Esto cuestionario fue producido el 20 de octubre de 2018 por el equipo de evaluación con base en las guías y recomendaciones de la Oficina Independiente de evaluación de la ONU Medio Ambiente y del FMAM. Su producción fue motivada por la solicitación del CIC y la OEA, con vistas a la misión de evaluación prevista para el 12 de noviembre del corriente a la oficina del CIC en Buenos Aires.

Anexo enviamos para su consulta el Termo de Referencia para esta evaluación. Dudas pueden ser tratadas con el Evaluador Independiente Alex Pires.

II. Instrucciones

Por favor, respondan a las cuestiones y envíen sus respuestas a alexpires.br @ gmail.com, si posible antes del día 8 de noviembre. Por favor, incluya su nombre, cargo, y datos de contacto en la hoja de respuesta. Sus respuestas será tratada con total **confidencialidad**.

III. Cuestiones

General

1. ¿Cuánto tiempo usted ha estado involucrado en el proyecto GEF Programa Marco Cuenca de La Plata? Por favor, indique el período (mes y año) y describa la naturaleza de su participación (actividades específicas).

Relevancia estratégica

2. ¿Usted considera que el proyecto marcó una diferencia con respecto a la gestión sostenible de los recursos compartidos de la Cuenca del Plata en comparación con la situación anterior al proyecto? Si es así, ¿qué tan diferente está?
3. ¿Cómo el proyecto ha fortalecido la capacidad de cooperación en toda la cuenca para la gestión del hidro-climática? ¿Qué políticas o marcos legales vinculados a la gestión sostenible de los recursos compartidos se han producido?

4. ¿Cómo el PAE (Programa de Acciones Estratégicas) de la Cuenca del Plata está ayudando a fortalecer la gestión de los recursos hídricos transfronterizos en su país? Desde su perspectiva, ¿en que medida el PAE ha permitido a los países ribereños administrar los recursos hídricos compartidos de manera integrada y sostenible?
5. ¿Hasta qué punto estuvo el proyecto en línea con las prioridades de desarrollo, los planes y las expectativas de su país?

Naturaleza del contexto externo

6. En su opinión, ¿cuáles fueron los factores externos que afectaron negativamente el rendimiento del proyecto?

Eficacia

7. En su opinión, ¿hasta qué punto fue eficaz el proyecto para lograr su objetivo principal, los resultados esperados y los produtos?
8. ¿Ha habido resultados no intencionados (positivos o negativos) y cuáles fueron?

Eficiencia

9. ¿Qué tan eficiente fue el mecanismo para la coordinación y colaboración intersectorial e interministerial en su país? ¿Cuáles fueron los resultados más significativos de estos mecanismos de coordinación nacional?
10. ¿Crees que el proyecto podría haber sido más eficiente en tiempo y costo? Si es así, ¿cómo?

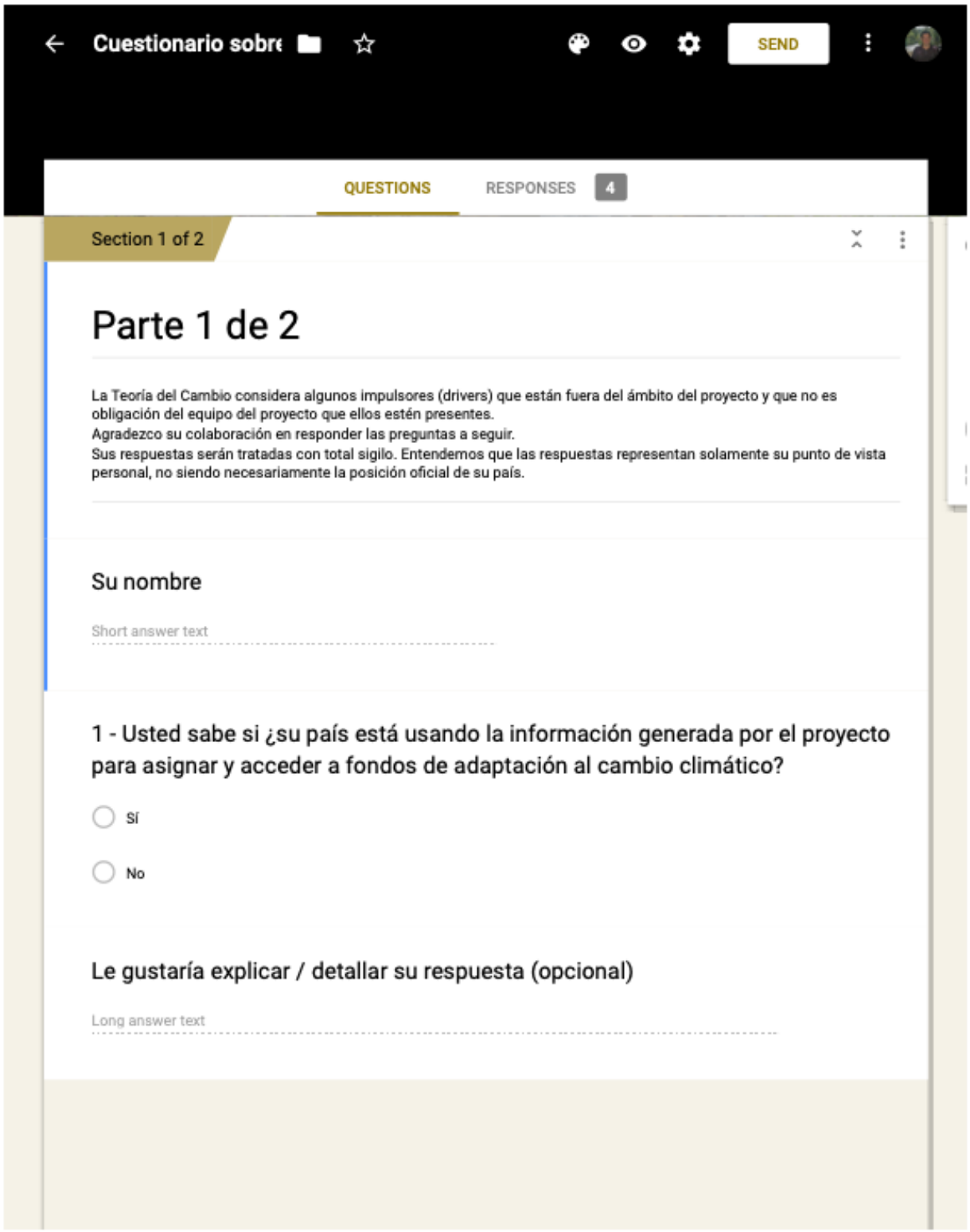
Sustentabilidad

11. En su opinión, ¿cómo el proyecto fortaleció el enfoque integrado entre los países de la Cuenca del Plata para avanzar en la gestión sostenible de la Cuenca? ¿Considera que los mecanismos de gestión integrada de los recursos hídricos en la Cuenca de la Plata son sostenible financiera, institucional y socio-políticamente?
12. ¿Cómo usted evalúa el uso del Sistema de Apoyo a la Decisión en su país? En su opinión, ¿quién lo está utilizando y para cual finalidad?
13. ¿Quién está utilizando en su país las herramientas, modelos, estrategias y planes desarrollados por el proyecto? ¿Cuál y para cual finalidad?
14. En su perspectiva, ¿cuáles son las principales evidencias de que PAE (Programa de Acciones Estratégicas) proporcionó mayores oportunidades de inversión para la gestión sostenible de los recursos hídricos de Cuenca de la Plata en vuestro país?
15. En su opinión, ¿hasta qué punto es probable que las actividades y los resultados del proyecto continúen sin el apoyo de fuentes financieras externas (por ejemplo, sin los fondos del FMAM)?

Lecciones aprendidas, replicación y ampliación.

16. ¿Cómo se replicaron / ampliaron los resultados de los proyectos pilotos en otras ubicaciones a nivel local, nacional o regional?
17. ¿Cuáles son las lecciones aprendidas del Proyecto que se están compartiendo en vuestro país, en otros países de la región o en el escala internacional, si los hay?
18. ¿Usted puede identificar brechas u oportunidades de mejora que deben ser capturadas para futuras iniciativas similares a esta?

ANNEX 5 – FOLLOW-UP SURVEY FORM



2 - Usted considera que ¿ya hay la coordinación institucional y la formalización de acuerdos de cooperación transfronterizos para la efectiva GIRH en la CdP?

Sí

No

Le gustaría explicar / detallar su respuesta (opcional)

Long answer text

3 - Usted considera que ¿su país ya implementó las recomendaciones más relevantes para la compatibilización de los marcos legales, acordadas por los 5 países bajo el marco del CIC?

Sí

No

Le gustaría explicar / detallar su respuesta (opcional)

Long answer text

4 - Usted considera que ¿ya fueron establecidos en su país los mecanismos legales básicos e institucionales para la gestión sostenible compartida del acuífero SAYTT?

Sí

No

Le gustaría explicar / detallar su respuesta (opcional)

Long answer text

After section 1 **Continue to next section**

Section 2 of 2

Parte 2 de 2

Description (optional)

1 - Usted considera que ¿su país ya implementó lo(s) mecanismo(s) de coordinación interinstitucional para gestionar la información del nodo nacional del Sistema de Suporte a la Toma Decisión?

- Sí
- No

Le gustaría explicar / detallar su respuesta (opcional)

Long answer text

2 - Usted considera que ¿su país ya aseguró los medios para la sostenibilidad y mantenimiento del nodo nacional del Sistema de Suporte a la Toma Decisión?

- Sí
- No

Le gustaría explicar / detallar su respuesta (opcional)

3 - Usted considera que ¿los tomadores de decisiones y usuarios de información acceden frecuentemente al SSTD?

Sí

No

Le gustaría explicar / detallar su respuesta (opcional)

4 - Usted cree que ¿los tomadores de decisiones y usuarios de información consideran el SSTD de la CdP como una herramienta relevante para el apoyo a la toma de decisiones y una fuente de información confiable y actualizada de la GIRH de la CdP?

Sí

No

Le gustaría explicar / detallar su respuesta (opcional)

Muchas Gracias por sus respuestas.

ANNEX 6 – INSTITUTIONS RESPONSIBLE FOR PROJECT EXECUTION

Thematic Groups of the Framework Program

Argentina*	Bolivia	Brazil	Paraguay	Uruguay
Legal and Institutional Framework				
Ministry of Foreign and Religious Affairs (Mónica Troadello, Natalio Marcelo Jamer)	Ministry of Foreign Affairs (Juan Carlos Alurralde, Pablo Guzmán Lougier, Mayra Montero Castillo)	Ministry of Foreign Affairs (Eugenia Barthelmess, Joa Luiz Pereira Pinto); Ministry of the Environment/ Secretariat of Water Resources and Urban Environment (Julio Thadeu Silva Kettelhut)	Ministry of Foreign Affairs (Didier Olmedo, Luis Fernando Avalos, Blas Felip)	Ministry of Foreign Affairs (Juan Antonio Remedi)
Decision-making Support System				
Sub-secretariat for Water Resources de la Nación (Federico Scuka, Carla Lupano)	Ministry of Water and Environment (Lizet Sullcata)	National Water Agency (Sergio Barbosa)	Secretariat of the Environment (Julián Cáceres); Faculty of Engineering at the National University of Asunción (Federico Ferreira, Nestor Cabral)	Ministry of Housing, Land Use and Environment (Virginia Fernández); Instituto Uruguayo Meteorología (NUMET) (Víctor Marabotto); Comisión Técnica Mixta de Salto Grande (CTM-SG) (Ignacio Corrales)
Public Participation, Communication and Education				
Secretariat of the Environment and Sustainable Development (Silvia Freiler, Daniela García)	Ministry of Foreign Relations (María del Sagrario Urgel Aguilar, Consuelo Ponce) Ministry of Education	Ministry of the Environment/ Secretariat of Water Resources and Urban Environment (Franklin de Paula Júnior)	Pilar National University (Ernilda Vera); Secretariat of Information and Communication (César Palacios); Secretariat of the Environment (Maria Coronel)	MVOTMA (Luján Jara); Ana Laura Martino; Ministerio de Educación y Cultura (Laura Barcia); Secretaría Comunicación Presidencia (Carolina Echavarría)
Integrated Hydraulic Balance				
National Water Institute/ Litoral Regional Center (Carlos Paoli)	National Meteorology and Hydrology Service (Luis Noriega)	Hydraulic Research Institute (André Silveira, Walter Collischonn)	Secretariat of the Environment (Andrés Wehrle); National University of Asunción (Juan Pablo Nogués); Binational Itaipú (Pedro Domaniczky)	Universidad de la República (UDELAR) (Luis Silveira, Christian Chreties, Magdalena Crisci, Jimena Alonso); UDELAR-Regional Norte (Pablo Gamazo); CTM-SG (Nicolás Failache); MVOTMA (Rodolfo Chao)

*Consejo Hídrico Federal Argentina (2011- 2016).
Dirección de Hidráulica de Entre Ríos (Oscar Duarte). Instituto Correntino del Agua y del Ambiente (Mario Rujana).

Thematic Groups of the Framework Program

Argentina	Bolivia	Brazil	Paraguay	Uruguay
Water Quality				
Sub-Secretariat for Water (Marina Jakomin)	Ministry of Water and the Environment (Geovana Rocabado)	National Water Agency (Maurrem Ramon Vieira)	National University of Asunción (Inocencia Peralta); Secretariat of the Environment (Sofía Vera, Aida Olavarrieta)	MVOTMA (Luis Reolón)
Groundwater				
Secretariat for Water Resources (Jorge Santa Cruz, Lida Borello)	Geological Mining Service (Jorge Bellot)	Department of Water and Electricity (Gerôncio Rocha); Brazilian Geological Survey (João Alberto Diniz, Fernando Feitosa, Roberto Kircheim)	Engineering Faculty of the National University of Asunción (Andrés Wehrle); Secretariat of the Environment (Daniel García Segredo)	MVOTMA (Lourdes Batista, Ximena Lacués); CEREGAS (Alberto Manganelli) Ministerio de Industria, Energía y Minería (MIEM) (Enrique Massa, Javier Techera); Obras Sanitarias del Estado (OSE) (Pablo Decoud, Andrés Pérez)
Aquatic Ecosystems				
Secretariat of the Environment and Sustainable Development (Sara Sverlij); Sub-secretariat of Water Resources (Laura Pertusi)	Bureau of Biodiversity and Protected Areas (Sharbel Gutierrez)	Sao Paulo State University (Marcos Nogueira, Danilo Naliato)	Secretariat of the Environment (Mirta Medina, Nora Neris, Reinilda Duré)	MVOTMA (Guillermo Scarlato); Ana Laura Martino; Ministry of Livestock, Agriculture, and Fisheries (Alfredo Pereira); UDELAR (Alejandro Brazeiro)
Environmental Degradation				
Secretariat of the Environment and Sustainable Development (José Cuevas; Pablo Viegas Aurelio)	Ministry of Rural and Land Development	Brazilian Agricultural Research Company (Celso Vainer Manzatto)	Secretariat of the Environment (David Fariña, José Silvero)	Ministry of Livestock, Agriculture, and Fisheries (Carlos Clerici); Faculty of Agronomy at the University of the Republic (Mario Pérez Bidegain, Fernando García Prechac)
Development Opportunities				
Secretariat of the Environment and Sustainable Development (Martín Reymúndez)	Ministry of Foreign Relations	Ministry of Transportation (Luiz Eduardo García)	Secretariat of Tourism (Antonio Van Humbeeck)	Ministry of Tourism (Marcelo Canteiro)

Thematic Groups of the Framework Program (continuation)

Argentina	Bolivia	Brazil	Paraguay	Uruguay
PPD Biodiversity				
Sub-secretariat of Water Resources (Laura Pertusi); Secretariat of the Environment and Sustainable Development (Sara Sverlij)	Ministry of the Environmen and Water	Sao Paulo State University (Marcos Nogueira); Binational Itaipú (Carla Canzi)	Secretariat of the Environment (Darío Mandelburger)	
PPD Confluence				
Chaco Provincial Water Management (Patricia Parini)		Binational Itaipú (Jair Kotz, Carla Canzi)	Yacyretá Binational Entity (Lucas Chamorro)	
PPD Cuareim				
		State Waters of River Quaraí Committee (Ivo Lima Wagner); Secretariat of Environment and Sustainable Development Rio Grande do Sul; Department of Water Resources (Fernando Meirelles)		Referente Local (Laura Marcelino); Comisión Cuenca Río Cuareim; Comité de Aguas (Laura Marcelino); MVOTMA (Silvana Alcoz); Ana Laura Martino
PPD Pilcomayo				
Provincial Water Coordinating Unit of Formosa (Horacio Zambón); Secretariat of Water Resources, Salta (Alfredo Fuertes)	Ministry of Foreign Relations (Juan Carlos Segurola, Mayra Montero Castillo); Ministry of Environment and Water (Oscar Cespedes)		Secretariat of the Environment (Rosa Morel, Daniel García)	
Hydroclimatic Scenarios				
National Water Institute (Dora Goniadzki)	National Meteorology and Hydrology Service (Gualberto Carrasco)	National Institute for Space Research (Gilvan Sampaio de Oliveira)	Bureau of Meteorology and Hydrology (Julián Baez); Polytechnic faculty of the National University of Asunción (Benjamín Grassi)	UDELAR (Rafael Terra, Gabriel Cazes, Marcelo Barriero); INUMET (Mario Bidegain)

Thematic Groups of the Framework Program

Argentina	Bolivia	Brazil	Paraguay	Uruguay
onitoring and Early Warning				
National Water Institute (Juan Borús)	Naval Hydrography Service (Luis Miguel Carrasco)	National Water Agency (Valdemar S. Guimarães, Augusto Bragança)	Yacyretá Binational Entity (Lucas Chamorro); Nuestra Señora de la Asunción Catholic University (Cristián Escobar)	UDELAR (Luis Silveira, Jimena Alonso); MVOTMA (Luis Reolón, Gabriel Yorda, Javier Martínez, Juan Carlos Giacri, Adriana Piperno) CECOED Artigas (Juan José Eguillor)
Radar				
Sub-secretariat of Water Resources (Juan Carlos Bertoni, Carlos Lacunza)	National Meteorology and Hydrology Service (Gualberto Carrasco)	National Natural Disaster Monitoring and Early Warning Center (Carlos Frederico de Angelis)	Meteorology and Hydrology Bureau (Julián Baez)	UDELAR (Gabriel Cazes); INUMET (Daniel Bonora, Néstor Santayana); CTM-SG (Juan Badagian)
Great Basin Models				
National Water Institute (Juan Borús)	Naval Hydrography Service (Luis Miguel Carrasco)	Hydraulic Research Institute (Walter Collischonn)	Nuestra Señora de la Asunción Catholic University (Cristián Escobar, Pedro Takahashi)	UDELAR (Christian Chreties)

ANNEX 7 – TOC AT EVALUATION TABLES AND FIGURES

Table 21 - Reconstruction of the ToC at evaluation[26]

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
Subcomponent I.1 Harmonizing the institutional and legal framework Outcome: Institutionalized legal, administrative and managerial tools, including a decision support system and public engagement, for sustainable utilization of the land and water resources of the LPB, within the context of climate variability"	Outcome I.1 A harmonised legal framework, including administrative and managerial tools, and an operational Decision Support System on sustainable water use in the LPB is agreed upon and adopted by all countries.	Framed in line with OECD/DAC guidelines and definitions to ensure the ToC causal pathways are linked from outputs to outcomes.
Output I.1.1 Strengthened technical institutional capacity for LPB-IWRM a) Facilitate basin-wide cooperation for adaptive-IWRM b) Balancing national capabilities for TDA and SAP preparation c) Implement institutional capacity building program d) Organize inter-institutional knowledge exchange program	Output I.1.1 Technical institutional capacity for LPB-IWRM is strengthened through the following activities: a) Facilitate basin-wide cooperation for adaptive-IWRM b) Balancing national capabilities for TDA and SAP preparation c) Implement institutional capacity building program d) Organize inter-institutional knowledge exchange program	Framed in line with ToC and OECD/DAC guidelines on the definition of outputs and outcomes.
Output I.1.2 Conceptual legal framework a) Compile and prepare an adaptive-transboundary IWRM conceptual legal framework b) Agree on recommendations for conceptual legal framework	Output I.1.2 An adaptive transboundary IWRM conceptual legal framework is proposed for endorsement	Framed in line with ToC and OECD/DAC guidelines on the definition of outputs and outcomes.
Output I.1.3 The LPB-Decision Support System a) Coordinate and assess LPB national databases under institutional and legal agreements b) Operationalize LPB-decision support system (LPB-DSS) c) Complete water resources users and stakeholder reference system d) Compile digital map for LPB	Output I.1.3 The LPB Decision Support System (DSS) is made available to the CIC.	Framed in line with ToC and OECD/DAC guidelines on the definition of outputs and outcomes.
Subcomponent I.2 Stakeholder Participation, Communication and Education Outcome: Enhanced communication and public participation increase stakeholders and civil society public awareness, facilitated through the Public Participation Fund (PPF), engage in basin activities and formulate the SAP	Outcome I.2 Local Stakeholders and Civil Society contribute towards the formulation of the TDA SAP.	Framed in line with ToC and OECD/DAC guidelines on the definition of outputs and outcomes.
Output I.2.1 Public participation program a) Engage stakeholders involvement in managing the LPB b) Document good practices and lessons learnt for preparing the TDA and SAP	Output I.2.1 Local Stakeholders and Civil Society are engaged in LPB activities through the following activities:	Outputs 1.2.1, I.2.2 & I.2.3 as framed in the results framework are activities and have been combined to form one

[26] Reconstruction of the ToC at Evaluation based on the results framework presented in the ProDoc, interviews and documentation analysis

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
c) Prepare and implement communication plan d) Engage local participation in priority activities and pilot demonstrations Output I.2.2 Public awareness education program a) Compile and prepare education and training material b) Sign conventions and agreements between CIC and institutions for knowledge exchange Output 1.2.3 Public participation fund for IWRM a) Establish a PPF for IWRM; b) Organize and facilitate the first call for proposals; c) Organize and facilitate the second call for proposals	1. Public participation program a) Engage stakeholders involvement in managing the LPB b) Document good practices and lessons learnt for preparing the TDA and SAP c) Prepare and implement communication plan d) Engage local participation in priority activities and pilot demonstrations 2. Public awareness education program a) Compile and prepare education and training material b) Sign conventions and agreements between CIC and institutions for knowledge exchange 3 Public participation fund for IWRM a) Establish a PPF for IWRM; b) Organize and facilitate the first call for proposals; c) Organize and facilitate the second call for proposals	output in the reconstructed ToC for the purpose of the evaluation. It is through these activities, a change in behaviour for engagement in basin activities is a causal pathway = output as per the OECD/DAC guidelines.
Subcomponent II.1 Integrated Water Balance Outcome: An integrated water balance (IWB) methodology, including surface and groundwater resources developed for the LPB, and endorsed through the CIC in support of adaptive IWRM in the Basin. LPB (1.300.000km2) IWB GIS map, including depictions of water demand and supply (Sc. 1:100.000) prepared.	Outcome II.1 An integrated water balance (IWB) methodology is endorsed through the CIC in support of adaptive IWRM in the La Plata Basin.	The second part of the outcome II.1 is considered an activity and therefore been left out of the reconstructed ToC. However, these components are important to determine the achievement of the outcome and outputs for this sub component.
Output II.1.1 Operational IWB (including water demand and supply) and documented in maps (1:100.000) and reports, available for planning TDA & SAP) and dissemination. a) Develop an IWB methodology b) Prepare guidelines and manuals for the LPB IWB preparation. b) Agree to and adopt IWB methodology Output II.1.2 IWB for LPB a) Compile information and generate database b) Develop capacity for understanding LPB's water balance c) Calculate Phase 1: surface water balance for the IWB, maps and reports prepared (Sc. 1:100.000) d) Asses water use and demand Output II.1.3 IWB information disseminated a) Disseminate water balance information	Output II.1.1 A supply and demand IWB instrument, including surface and groundwater resources, provides the necessary information for decision makers and the general public in support of adaptive IWRM in the La Plata Basin through the following activities: 1 Operational IWB (including water demand and supply) and documented in maps (1:100.000) and reports, available for planning TDA & SAP) and dissemination a) Develop an IWB methodology b) Prepare guidelines and manuals for the LPB IWB preparation. c) Agree to and adopt IWB methodology 2 IWB for LPB a) Compile information and generate database b) Develop capacity for understanding LPB's water balance c) Calculate Phase 1: surface water balance for the IWB, maps and reports prepared (Sc. 1:100.000) d) Asses water use and demand 3 IWB information disseminated a) Disseminate water balance information	Outputs II.1.1, II.1.2 & II.1.3 as framed in the results framework are activities and have been combined to form one output in the reconstructed ToC for the purpose of the evaluation. It is through these activities, a change in behaviour for engagement in basin activities is a causal pathway = output as per the OECD/DAC guidelines.

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
Subcomponent II.2 Water Quality Monitoring and Assessment Outcome: Through the regional water quality knowledge base, institutions responsible for water quality monitoring, agree to a protocol and remedial actions	Outcome II.2 Through the regional water quality knowledge base, institutions responsible for water quality monitoring, agree to apply protocol and remedial actions	The verb 'to apply' was added to keep in line with OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.2.1 Water quality information base a) Strengthen water quality riparian institutions b) Integrate basin-wide water quality monitoring network (in coordination with II.1.3) c) Inventory sources of pollution	Outputs II.2.1 Water quality information is exchanged amongst Riparian institutions through the following activities: Strengthen water quality riparian institutions Integrate basin-wide water quality monitoring network (in coordination with II.1.3) Inventory sources of pollution	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.2.2 LPB environmental degradation model a) Inventory existing environmental degradation models used in the LPB b) Develop an environmental degradation forecasting model c) Consolidate and integrate data systems into the LPB-DSS	Output II.2.2 The LPB environmental degradation models are operational and integrated into LPB DSS	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.2.3 Water quality action plan a) Identify legal framework for water quality objectives b) Prepare a water quality management training program c) Train and disseminate water quality information d) Prepare water quality action plan	Output II.2.3 A water quality action plan for LPB is ready for use by riparian countries	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Subcomponent II.3 Integrated groundwater management Outcome: Pilot groundwater activities provide information to formulate preliminary guidelines for integrated management of surface and groundwater resources of the LPB	Outcome II.3 SAYTT groundwater management guidelines and plan provide the basis of the SAYTT groundwater strategy and assist the three countries in establishing basic legal and institutional mechanisms for sustainable management	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.3.1 Priority Activity: Sustainable Management of the Yrenda –Toba-Tarijeno Aquifer (SAYTT) system a) Establish technical coordination unit b) Conduct a specific transboundary hydro-geologic analysis for the SAYTT	Outputs II.3.1 A Priority Activity on Sustainable Management of the Yrenda –Toba-Tarijeno Aquifer System (SAYTT) is planned and executed through the following activities: a) Establish technical coordination unit b) Conduct a specific transboundary hydro-geologic	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
(AR-Bo-Py). c) Analyze the transboundary groundwater legal, institutional and socio-economic situation d) Conduct consultations and synthesize information e) Prepare a SAYTT strategy f) Prepare and execute a SAYTT pilot demonstration	analysis for the SAYTT (AR-Bo-Py). c) Analyze the transboundary groundwater legal, institutional and socio-economic situation d) Conduct consultations and synthesize information e) Prepare a SAYTT strategy f) Prepare and execute a SAYTT pilot demonstration	formulation/casual pathways for the purpose of the evaluation.
Output I.3.2 Guidelines for integrated basin-wide groundwater management of the LPB a) Conduct transboundary hydro-geologic analysis for the entire basin b) Characterize basin aquifers c) Integrate regional experiences d) Prepare guidelines for conjunctive management of surface and groundwater	Output II.3.2 The guidelines for integrated basin-wide groundwater management of the LPB are made available for use by decision makers through the following activities: a) Conduct transboundary hydro-geologic analysis for the entire basin b) Characterize basin aquifers c) Integrate regional experiences d) Prepare guidelines for conjunctive management of surface and groundwater	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Subcomponent II.4 LPB ecosystem management Outcome: Informed riparian countries formulate a water-related biodiversity strategy and execute priority strategic actions in the Paraná Basin up to the Itaipú dam (Parana III) to address water pollution issues	Outcome II.4 An ecological corridor for biodiversity conservation and water protection in the upper catchments of the LPB is designed and endorsed within the CIC framework.	The sentence from output II.4.3 (b) has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.4.1 North-south wetland corridor management strategy a) Compile and integrate existing basin ecosystem information b) Design a north-south wetland corridor management strategy	Output II.4.1 A management plan and conservation strategy for the north-south wetland corridor, from Pantanal to Uruguay river mouth, is prepared for endorsement by CIC	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.4.2 Priority Activity: "Cultivando Agua Boa (CAB)" in the Itaipu dam's reservoir sub-basin a) Plan and design CAB priority activity b) Identify and plan specific farm intervention c) Implement specific farm interventions d) Monitor and evaluate intervention activities	Output II.4.2 Priority Activity: Cultivando Agua Boa (CAB) in the Itaipu dam's reservoir sub basin is planned and executed with learning lessons and recommendations submitted for consideration in the TDA – SAP document	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.4.3 Sustainable biodiversity management strategy a) Prepare sustainable management framework for biodiversity / fisheries / aquaculture resources b) Design of an ecological corridor for	Outputs II.4.3 A sustainable biodiversity management strategy for fisheries and aquaculture resources is prepared for endorsement	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
biodiversity conservation and water protection in the upper catchments of the LPB		formulation/casual pathways for the purpose of the evaluation.
Subcomponent II.5 Controlling Land Degradation Outcome: To harmonize national actions including key stakeholders, to take cooperative-joint actions to control land degradation LPB wide, and to protect a critical ecosystem over 348.000km2, 4 million inhabitants, in line with the objectives outlined in the United Nations conventions UNCCD, CBD, UNFCCC and other international agreements	Outcome II.5 Countries take co-operative joint actions to better control land degradation	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.5.1 Land degradation diagnostic analysis a) Assess and compile basin-wide data and information on land degradation b) Evaluate the soil erosion processes in the basin c) Collect, compile and disseminate information on best-practices for land degradation control for the LPB	Output II.5.1 Land degradation diagnostic analysis is prepared for adoption by LPB countries through the following activities: a) Assess and compile basin-wide data and information on land degradation b) Evaluate the soil erosion processes in the basin c) Collect, compile and disseminate information on best-practices for land degradation control for the LPB	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.5.2 Priority Activity: "Selva Misionera Pranaenese (SMP)" a) Compile and analyze available technical information to be considered in the LPB TDA. b) Prepare SMP priority activity c) Introduce SMP priority activity in SAP preparation.	Outputs II.5.2 Priority Activity: Selva Misionera Pranaenese (SMP) is planned, executed and presented for inclusion in the SAP through the following activities: a) Compile and analyze available technical information to be considered in the LPB TDA. b) Prepare SMP priority activity c) Introduce SMP priority activity in SAP preparation.	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.5.3 Basin-wide land degradation control strategy a) Compile and integrate information and SLM lessons learnt b) Prepare basin-wide land degradation control strategy and actions for the SAP.	Output II.5.3 A basin-wide land degradation control strategy is developed for its inclusion in the SAP through the following activities: a) Compile and integrate information and SLM lessons learnt b) Prepare basin-wide land degradation control strategy and actions for the SAP.	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Subcomponent II.6 Sustainable development opportunities Outcome: Opportunities made available to mobilize financing for sustainable development of clean technologies for the LPB, and to protect natural and cultural heritage sites within the context of recreational and ecotourism development in the Lower Uruguay River	Outcome II.6.1 Clean technologies are developed and applied to the LPB Outcome II.6.2 Natural and cultural heritage sites are protected within the context of recreational and ecotourism development in the Lower Uruguay River	Two outcomes have been identified and hence the sentences has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
		purpose of the evaluation.
Output II.6.1 Priority Activity: Clean-technologies to protect water resources from solid waste contamination and to mitigate climate change a) Explore opportunities for clean-technologies to capture greenhouse gases in the basin to recuperate natural forests b) Select areas for mutual cooperation and secure financing	Outputs II.6.1 Priority Activity: Clean-technologies to protect water resources from solid waste contamination and to mitigate climate change is planned and designed with plans to scale up /replicate identified, mapped and finances secured.	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.6.2 Priority Activity: Nautical Ecotourism in the Lower Uruguay River/Parana Delta a) Study the socio-economics aspects of nautical/cultural tourism b) Study the environmental aspects of nautical/cultural tourism c) Assess the opportunities and investment potential d) Develop project proposals for eco-cultural nautical tourism e) Implement and prepare implementation and financial framework to replicate priority activity in the SAP	Outputs II.6.2 Priority Activity: Nautical Ecotourism in the Lower Uruguay River/Parana Delta is executed, and a financial framework is prepared to replicate this activity in the SAP through the following activities: a) Study the socio-economics aspects of nautical/cultural tourism b) Study the environmental aspects of nautical/cultural tourism c) Assess the opportunities and investment potential d) Develop project proposals for eco-cultural nautical tourism e) Implement and prepare implementation and financial framework to replicate priority activity in the SAP	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Subcomponent II.7 Pilot demonstrations and scaling-up strategy Outcome: Based on the pilot demonstrations, a set of sound recommendations and agreed upon actions, on pollution and erosion control, early warning systems, water conflict resolution and biodiversity conservation, are formulated for inputs into the SAP	Outcome II.7 Based on the pilot demonstrations, a set of sound recommendations and agreed upon actions, on pollution and erosion control, early warning systems, water conflict resolution and biodiversity conservation, are adopted in the SAP	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.7.1 Pilot Demonstration: Biodiversity conservation in the regulated Parana River a) Establish pilot-demo coordination unit b) Evaluate of basin's ichthyic fauna habitats c) Define a socio-economic legal framework for the aquatic biodiversity d) Prepare a biodiversity management plan and scale-up strategy e) Monitor and evaluate 4 pilot demonstration experiences to be used for up scaling in the SAP.	Output II.7.1 A Pilot Demonstration on Biodiversity conservation in the regulated Parana River is developed and executed; and a scale up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Evaluate of basin's ichthyic fauna habitats c) Define a socio-economic legal framework for the aquatic biodiversity d) Prepare a biodiversity management plan and scale-up strategy e) Monitor and evaluate 4 pilot demonstration experiences to be used for up scaling in the SAP.	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.7.2 Pilot Demonstration: Hydrologic alert system at confluence of Paraguay and Parana Rivers a) Establish pilot-demo coordination unit b) Develop an operational forecasting and	Output II.7.2 A Pilot Demonstration on Hydrologic alert system at confluence of Paraguay and Parana Rivers, is developed and executed; and a scale-up strategy is prepared through the following activities:	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
hydrological observation model c) Develop an operational model for contaminant spill d) Develop DSS for a bi-national hydro-environmental alert system e) Prepare contingency plans f) Prepare hydrological alert system manual and scale-up strategy g) Monitor and evaluate activity	a) Establish pilot-demo coordination unit b) Develop an operational forecasting and hydrological observation model c) Develop an operational model for contaminant spill d) Develop DSS for a bi-national hydro-environmental alert system e) Prepare contingency plans f) Prepare hydrological alert system manual and scale-up strategy g) Monitor and evaluate activity	in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.7.3 Pilot Demonstration: Water Use Conflict Resolution in the Rio Cuareim/Quarai Basin a) Establish pilot-demo coordination unit b) Formulate an integrated management system c) Assess sustainable use of water resources in pilot area d) Put in place mechanisms for water resources conservation e) Monitor and evaluate activity and prepare scale-up strategy	Output II.7.3 A Pilot Demonstration on Water Use Conflict Resolution in the Rio Cuareim/Quarai Basin is developed and executed; and a scale-up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Formulate an integrated management system c) Assess sustainable use of water resources in pilot area d) Put in place mechanisms for water resources conservation e) Monitor and evaluate activity and prepare scale-up strategy	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output II.7.4 Pilot Demonstration: Pollution and Erosion Control in the Cotagaita micro-basin of the Pilcomayo River a) Establish pilot-demo coordination unit b) Identify control and mitigation measures for mine contamination in Tansboundary waters, and train Tasna stakeholders on environmental management systems c) Evaluate and approved integrated management plan for the Tupiza and Cotagaita basins d) Design and implement, in coordination with subcomponent II.2, a water quality monitoring system for the pilot area e) Monitor and evaluate and prepare scale-up strategy	Output II.7.4 A Pilot Demonstration on Pollution and Erosion Control in the Cotagaita micro-basin of the Pilcomayo River is is developed and executed; and a scale-up strategy is prepared through the following activities: a) Establish pilot-demo coordination unit b) Identify control and mitigation measures for mine contamination in Transboundary waters, and train Tasna stakeholders on environmental management systems c) Evaluate and approved integrated management plan for the Tupiza and Cotagaita basins d) Design and implement, in coordination with subcomponent II.2, a water quality monitoring system for the pilot area e) Monitor and evaluate and prepare scale-up strategy	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Subcomponent II.1 Hydro-climatic scenarios Outcome: Improved riparian countries' capacity to better understand climate variability related impacts, identified through the hydro-climatic scenarios, enable the definition of measures to address basin challenges for incorporation in the Basin SAP	Outcome III.1 Riparian countries better understand climate variability and change, and their related impacts, defining adaptation measures in a participative way and incorporate them effectively into the SAP.	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output III.1.1 Basin-wide climate scenarios a) Plan and provide training for climate	Outputs III.1.1 Hydrological risk models and hydro-climatic scenarios are developed for basin-wide adaptation measures to	Outputs III.1.1, III.1.2 & III.1.3 as framed in the results framework are

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
issues b) Complete a basin-wide gap analysis of basin models c) Using the LPB-CLARIS model, develop hydro-climatic scenarios for the LPB Output III.1.2 Vulnerability Assessment a) Prepare hydrological alert risk map from hydro-climatic scenarios b) Estimate climate change impacts Output III.1.3 Adaptation measures and public awareness a) Formulate a set of adaptation measures to be incorporated into the SAP b) Communicate with public on issues and adaptation measures	be incorporated into the TDA – SAP through the following activities: 1 Basin-wide climate scenarios a) Plan and provide training for climate issues b) Complete a basin-wide gap analysis of basin models c) Using the LPB-CLARIS model, develop hydro-climatic scenarios for the LPB 2 Vulnerability Assessment a) Prepare hydrological alert risk map from hydro-climatic scenarios b) Estimate climate change impacts 3 Adaptation measures and public awareness a) Formulate a set of adaptation measures to be incorporated into the SAP b) Communicate with public on issues and adaptation measures	activities and have been combined to form one output in the reconstructed ToC for the purpose of the evaluation. It is through these activities, a change in behaviour for engagement in basin activities is a causal pathway = output as per the OECD/DAC guidelines.
Subcomponent IV TDA and SAP Outcome: Transboundary Diagnostic Analysis (TDA) completed and Strategic Action Programme (SAP) formulated and endorsed by the five riparian countries, within the framework of the CIC	Outcome IV.1 Strategic Action Programme (SAP) for LPB that includes the agreed upon TDA is endorsed by the five riparian countries, within the framework of the CIC	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outcomes and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output IV. 1.1 Hydro-climatic assessment for TDA a) Prepare hydro-climatic assessment for TDA b) Generate forecasts and adaptation scenarios c) Identify vulnerabilities and risks d) Compile and integrate supplemental studies that support the TDA e) Riparian counterparts endorse TDA	Output IV.1.1 An hydro-climatic assessment is made available for the TDA for endorsement by riparian countries.	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Output IV.1.2 SAP formulation a) Collaborate with stakeholders, incorporate TDA-identified issues, and findings from priority activities and pilot-demonstrations into the SAP b) Riparian counterparts endorse SAP and pledge financing	Output IV.1.2 The SAP for LBP is produced for endorsement by the riparian countries	The sentence has been modified to keep in line with the OECD/DAC guidelines on the definition of outputs and in line with the ToC formulation/casual pathways for the purpose of the evaluation.
Project Objective: Strengthen transboundary cooperation among the riparian country governments to ensure management of shared water resources of the LPB in an integrated sustainable manner, within the context of climate variability and change, while capitalizing	Impacts 1. Shared management and sustainable use of water and other resources of the LPB 2. Reduction of negative impacts (losses) and implementation of adaptative measures (opportunities) in the LPB due to climate variability and change	

Wordings as per Results Framework	Reconstructed ToC at Evaluation	Justification for Restructured ToC based on Results Framework
on development opportunities.		
	Intermediate States I. Improved decision making in the LPB is demonstrated, including through the SAP II. Improved integrated management and sustainable use of water and natural resources in the LPB III. Riparian countries demonstrate better anticipation of, and adaptation to, climate variability (El Niño/La Niña) and climate change.	There were no intermediary states/medium term outcomes identified in the results framework as per the ProDoc. While it is important to understand the longer-term outcomes/impact of the project, these are not directly assessed at the terminal evaluation. Where evidence suggests, these longer-term outcomes are being met, these are positively assessed during the evaluation.
	Medium Term Outcome - Countries harmonize national actions including key stakeholders, to protect critical ecosystems on LPB	

Table 22 - Stakeholders groups of GEF LPB project

SG1 - Governmental institutions			
SG1.1	Co-executing bodies (CIC Secretariat and the 5 NPUs)	SG1.4	Regional and Local Governmental Institutions
SG1.2	Governmental Institutions – National	SG1.5	Bi-national Dam Entities
SG1.3	National Agencies and Specialized Institutions		

SG2 - Private sector entities			
SG2.1	Industrial sector	SG2.4	Commercial fishery sector
SG2.2	Agribusiness sector	SG2.5	Transportation Sector
SG2.3	Energy sector	SG2.6	Tourism sector

SG3 - Civil Society Organizations			
SG3.1	Academia	SG3.4	Indigenous Peoples and their communities
SG3.2	NGOs – Non-Governmental Organizations	SG3.5	Other CSOs – Civil Society Organizations
SG3.3	Local communities and small farmers	SG3.6	Water Committees

SG4 – Others			
SG4.1	UNESCO-IHP	SG4.3	Relevant players of the different public and private agencies (including multi-country commissions, waterway-navigation and water supply agencies)
SG4.2	Stakeholders responsible for other flood control projects that are taking place in Argentina and Paraguay	SG4.4	Social and educational institutions participating in the LPB-EU project

Table 23 - Assumptions GEF LPB project

A.1	**A.1** Sustainable environmental development continues to be a priority in the public agendas of the LPB riparian countries.	A.4	**A.4** Countries are committed to the necessary policy reforms required to strengthen coordination and implement the SAP.
A.2	**A.2** Other urgent issues and matters do not overshadow IWRM priorities and key actions proposed on SAP.	A.5	**A.5** The turn-overs of government officials of the riparian countries do not jeopardize the continuity of the change processes generated by the LPB project
A.3	**A.3** Climate threats and extreme events continue to place urgency on coordinated action for IWRM on LPB.	A.6	**A.6** The stakeholders involved on the implementation of the SAP, including governments, private sector and civil society, have resilience and enough adaptability to face potential threats including changes on the global, regional or national financial situation; limitations of MERCOSUR mechanisms; and political instability.

Table 24 - Drivers of GEF LPB project

D.1	**D.1** The five LPB countries, in an integrated way, take advantage of the opportunities and overcome the barriers to resolving the critical transboundary issues related to the sustainable development and management of the LPB.
D.2	**D.2** The institutional coordination and transboundary cooperation agreements for formalized projects, established information resources and data network for hydro climatic TDA and adaptive-IWRM are in place at all relevant institutions
D.3	**D.3** The governments of Argentina, Bolivia, Brazil, Paraguay and Uruguay coordinates actions and investments in the La Plata Basin
D.4	**D.4** The CIC members provide the resources and means to sustain technical activities of IWRM, under the CIC framework, after the closure of the project
D.5	**D.5** The riparian governments, key decision makers in the riparian countries and major water users in the basin allocate adequate resources to implement the SAP and consolidate adaptive IWRM in LPB.
D.6	**D.6** Governments and key stakeholders use lessons learned to replicate, scale-up and improve IWRM
D.7	**D.7** Major water users and key stakeholders are engaged in the project activities, participate in the development of the SAP and embrace its implementation
D.8	**D.8** Government and non-government stakeholders actively participate and are supportive
D.9	**D.9** Specialized institutions of the five basin countries support the activities and provide information, data, and technical support

DI.1	**DI.1** The key cooperation agreements and/or collaborative actions commitments are signed and properly under implementation by the relevant institutions.
DI.2	**DI.2** The riparian countries implement the most relevant recommendations for compatible legal adjustments, agreed by the five countries under CIC framework.
DI.3	**DI.3** At national level, each country has put in place an inter-institutional coordination mechanism to manage the information of each national node and to ensure the sustainability and maintenance of the node.
DI.4	**DI.4** The CIC has the capacity to maintain and improve the regional node of the DSS.
DI.5	**DI.5** Decision makers and information users frequently access the DSS and consider it as a relevant tool to support decision making and as a source of reliable and updated information for IWRM at LPB
DI.2.1	**DI.2.1** Stakeholders receive and provide reliable information about their needs and concerns.
DI.2.2	**DI.2.2** The relevant stakeholders prepare pertinent projects to bid for funds fostering public participation
DI.2.3	**DI.2.3** The projects supported by the PPF presents a significant catalytic effect at local level distributed through the key spots of the basin
DI.2.4	**DI.2.4** Governments, private sector and water users provide the financial and institutional mechanisms to sustain and expand the PPF
DII.1.1	**DII.1.1** UNESCO-IHP and/or other technical institutions provide technical support for IWB methodology
DII.2.1	**DII.2.1** Institutions responsible for water quality monitoring in the five countries put in place commonly agreed protocols
DII.6.2	**DII.6.2** National environmental, hydrological, and tourist institutions join efforts to support private tourism companies and clubs to develop the project by the 1st year, and upscale actions are included in the SAP by the end of the project.
DII.6.3	**DII.6.3** Local communities and private sector supports recreational and eco-tourism development in the Lower Uruguay-Parana/Delta River.
DII.7.1	**DII.7.1** Public and private institutions in the pilot areas collaborate and participate in pilot implementation
DII.7.2	**DII.7.2** The demonstration projects are appropriated by the inhabitants of the project area
DII.7.3	**DII.7.3** Basin stakeholders and institutions have enough capacity to adjust to the changes promoted by the pilot project
DII.7.4	**DII.7.4** Civil society and stakeholders understands the need for international coordination for biodiversity management
DII.7.5	**DII.7.5** Effective stakeholder involvement and collaboration in the Yaciretá Bi-national Entity (YBE Argentina – Paraguay) and Itaipú International (Itaipú Bi-national Entity. Brazil – Paraguay) in the developing the demonstration project activities
DII.7.6	**DII.7.6** Coordination with the other flood control projects that are taking place in the confluence of the Paraguay and Paraná rivers
DII.7.7	**DII.7.7** Bolivia's Mining Corporation, collaborates effectively on the DPP
DII.7.8	**DII.7.8** The municipality of Cotagaita included the implementation of natural resources management practices, to reduce erosion and silting, in its operating plans.
DIII.1	**DIII.1** Basin countries uses the information available to allocate and access Climate Change Adaptation funds for specific projects

	and remedial actions for water quality monitoring and assessment
DII.3.1	**DII.3.1** The governments of the three countries of SAYTT (Ar, Bo and Py) establishing basic legal and institutional mechanisms for sustainable management of SAYTT aquifer
DII.4.1	**DII.4.1** The three upper basin dam agencies agree to support the upper LPB ecological corridor initiative
DII.4.2	**DII.4.2** The LPB Biodiversity Management Strategy is integrated into the national policies within the context of the UN Biodiversity Convention
DII.6.1	**DII.6.1** Private tourism companies and nautical clubs from Buenos Aires (Ar) and the Department of Colonia (Ur) are interested to invest in nautical eco-tourism, having access to natural and cultural heritages in islands and coastal areas

DIII.1.1	**DIII.1.1** Key users of water resources in the LPB are concerned and interested in scientifically and technically identified vulnerabilities as well as adaptation measures to climate variability and change at the basin wide scale
DIV.1.1	**DIV.1.1** Stakeholders participate actively and responsibly in the development of SAP

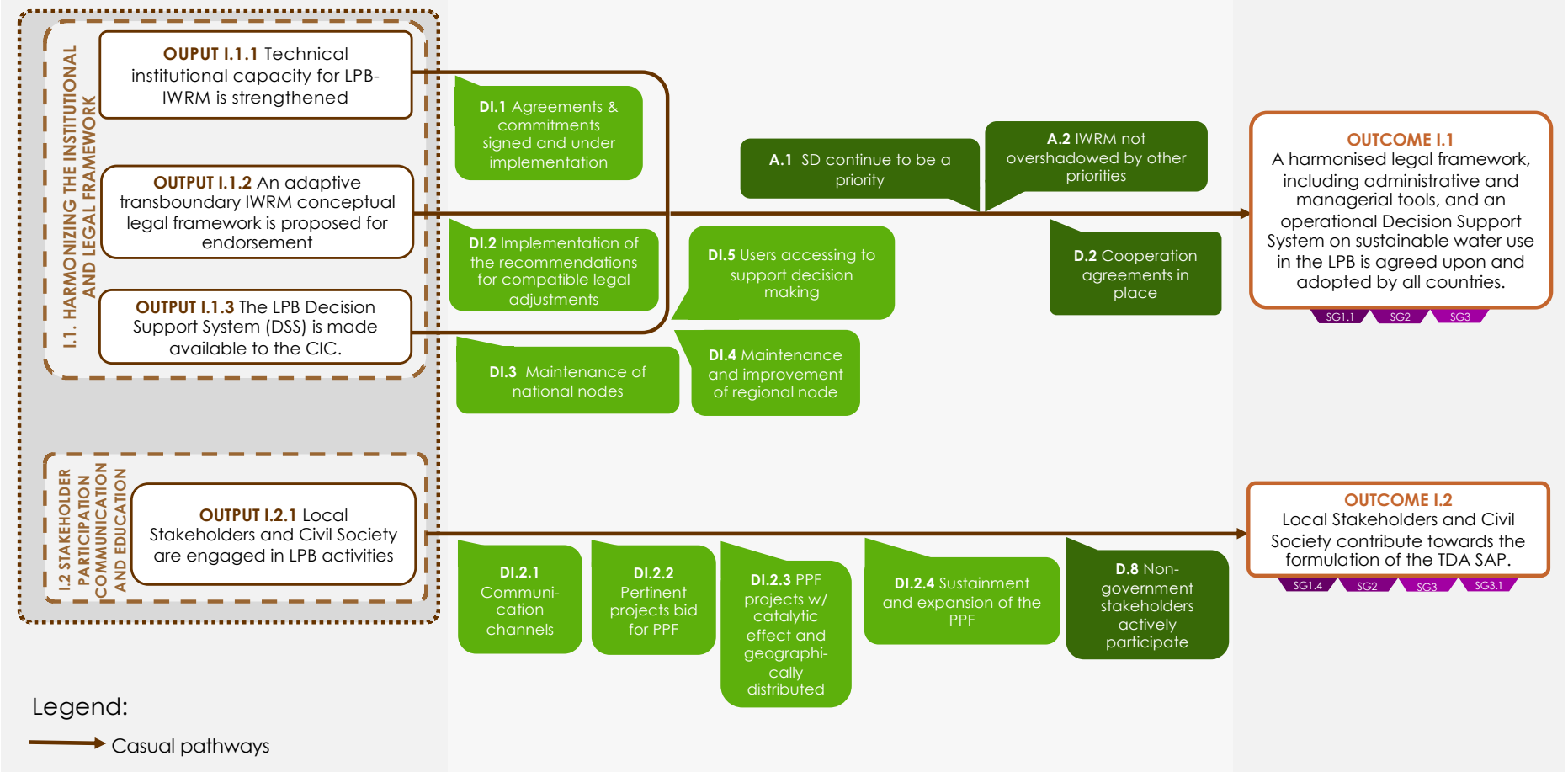


Figure 7 - Reconstructed ToC at Evaluation diagram GEF LPB project - Component I

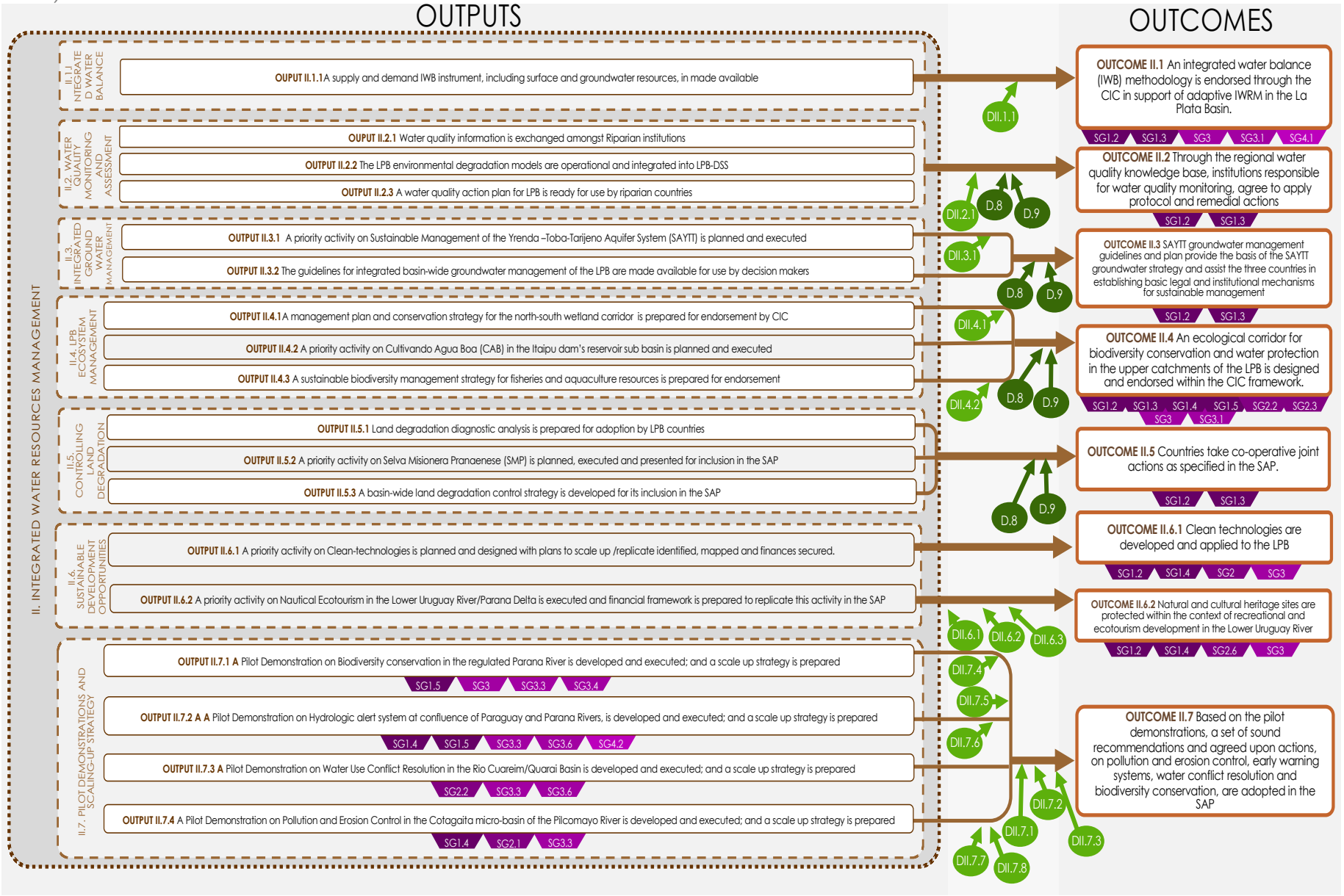


Figure 8 - Reconstructed ToC at Evaluation diagram GEF LPB project (Component II)

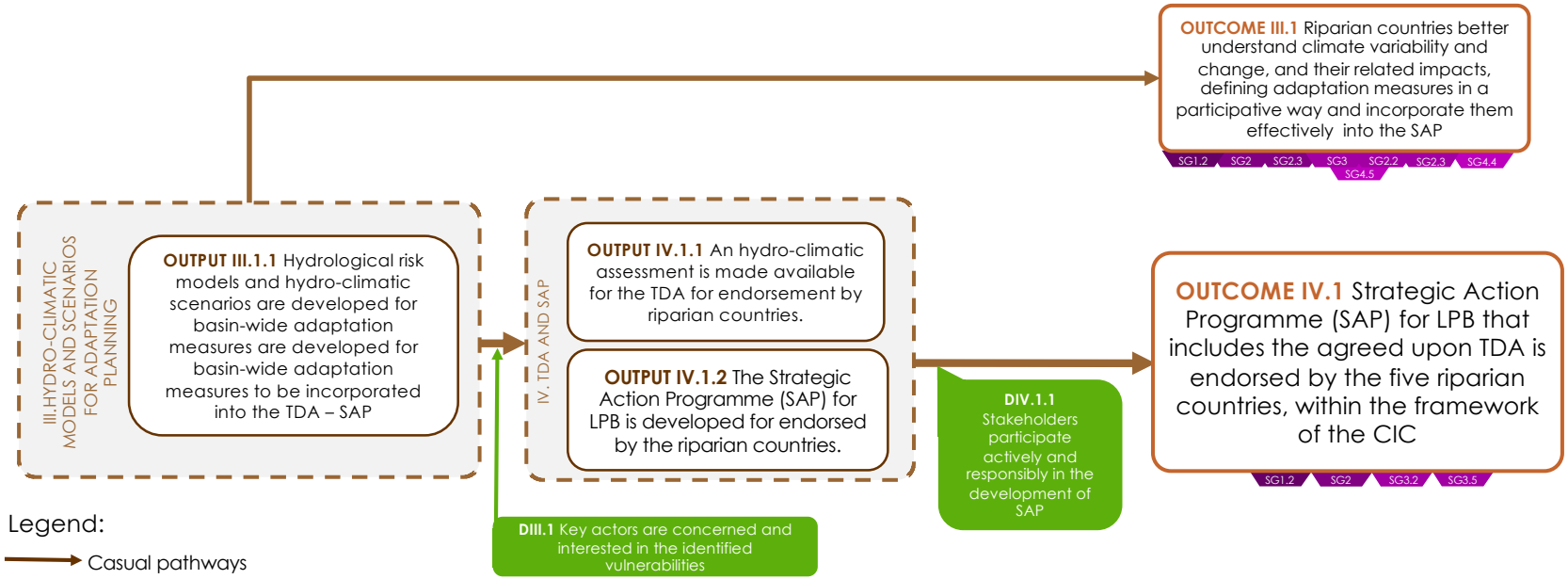


Figure 9 - Reconstructed ToC at Evaluation diagram GEF LPB project (Components III and IV)

ANNEX 8 – EFFECTIVENESS FIGURES AND TABLES

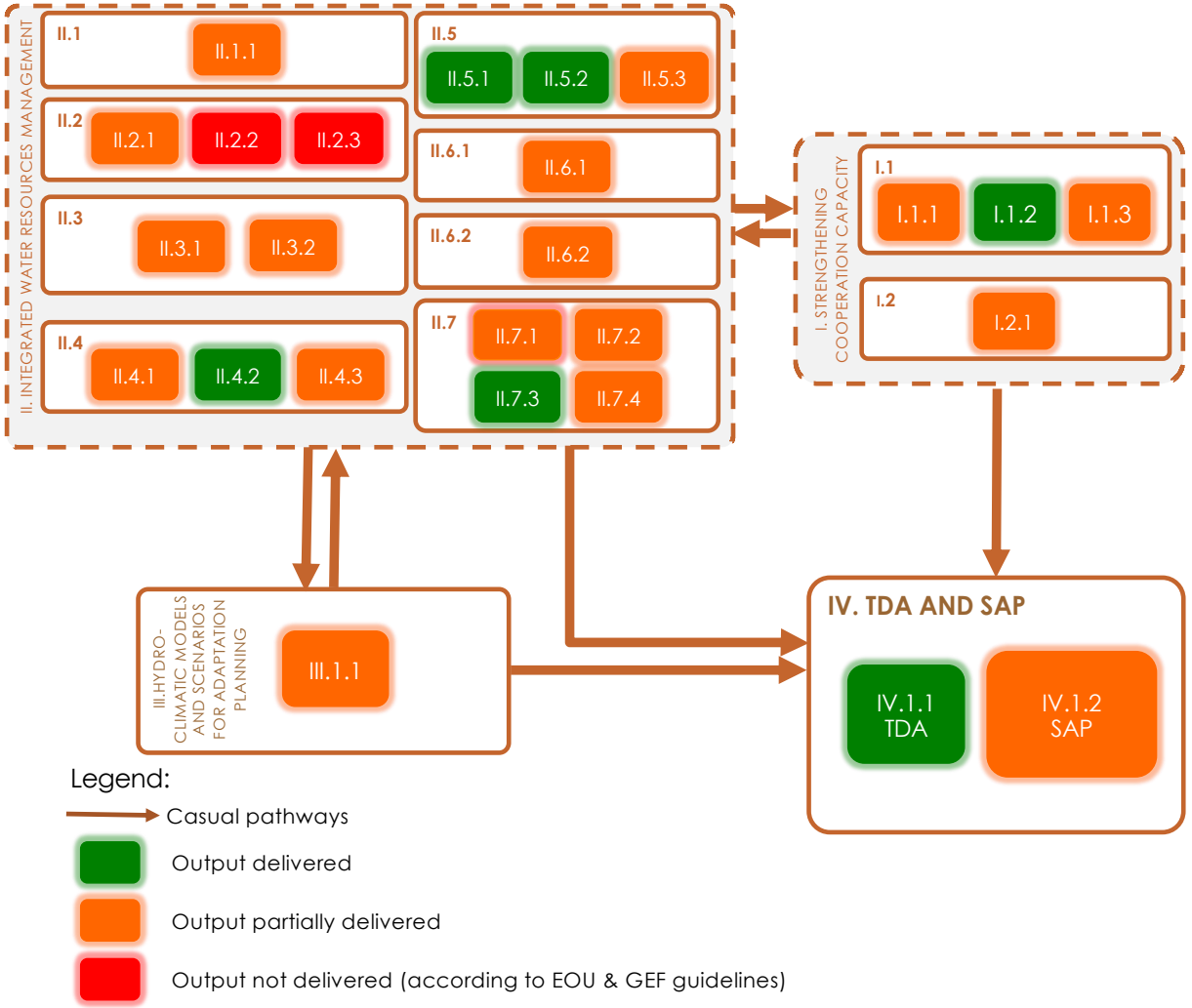


Figure 10 - ToC based visual representation of the Delivery of Outputs

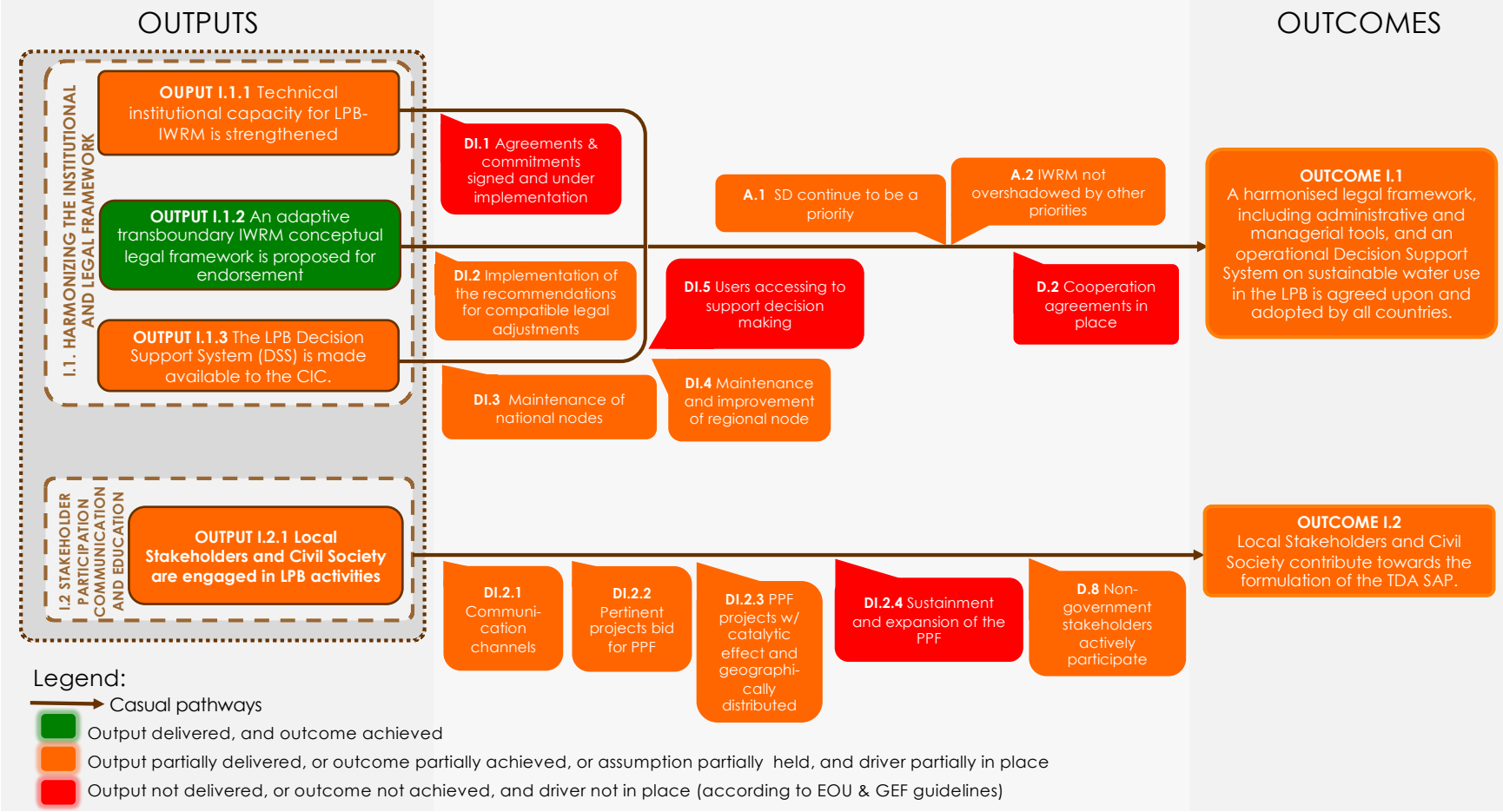


Figure 11 - ToC based visual representation of the effectiveness of component I "Strengthening Basin-Wide Cooperation Capacity for Integrated Hydro-Climate Management"

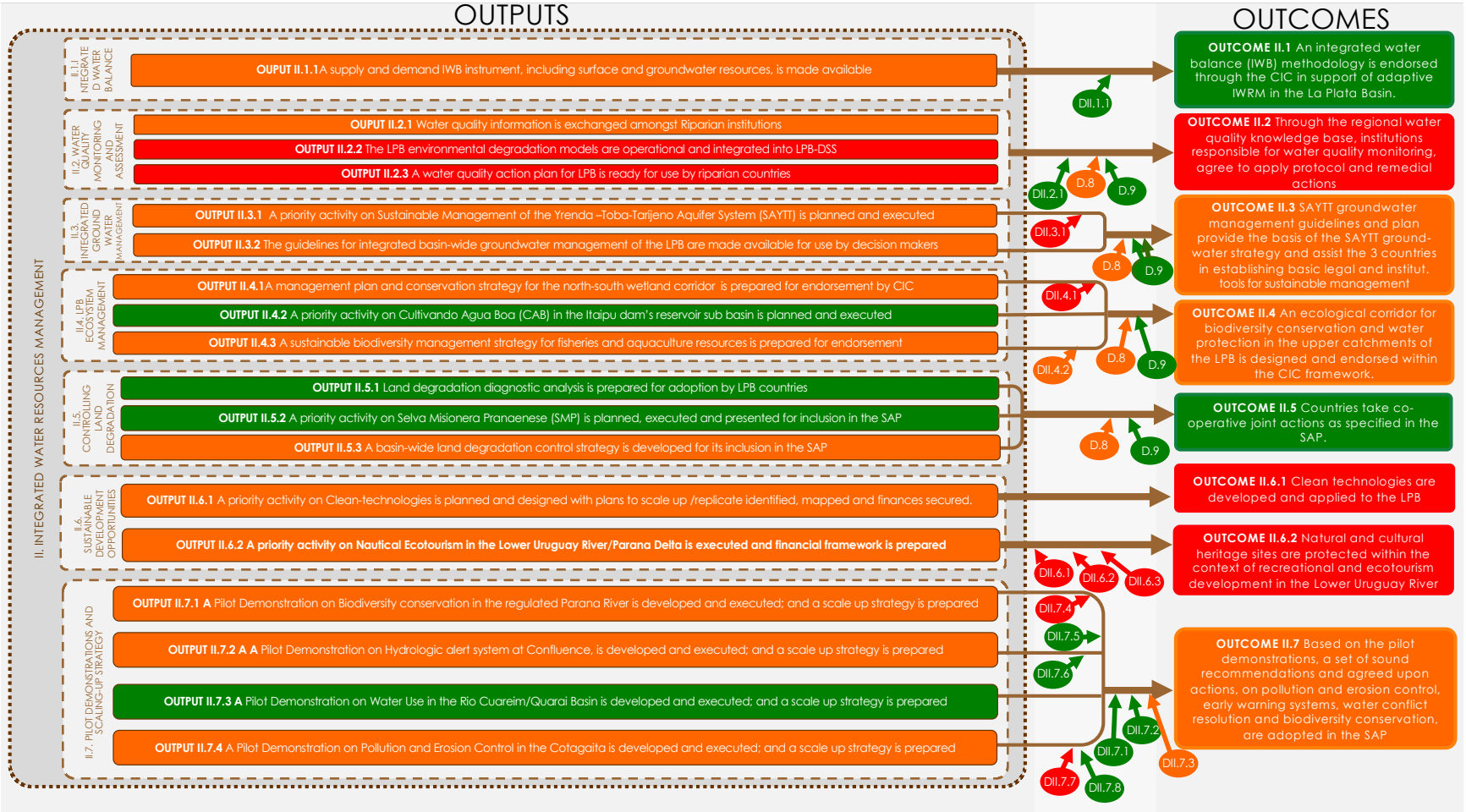


Figure 12 - ToC based visual representation of the effectiveness of component II "Integrated Water Resources Management"

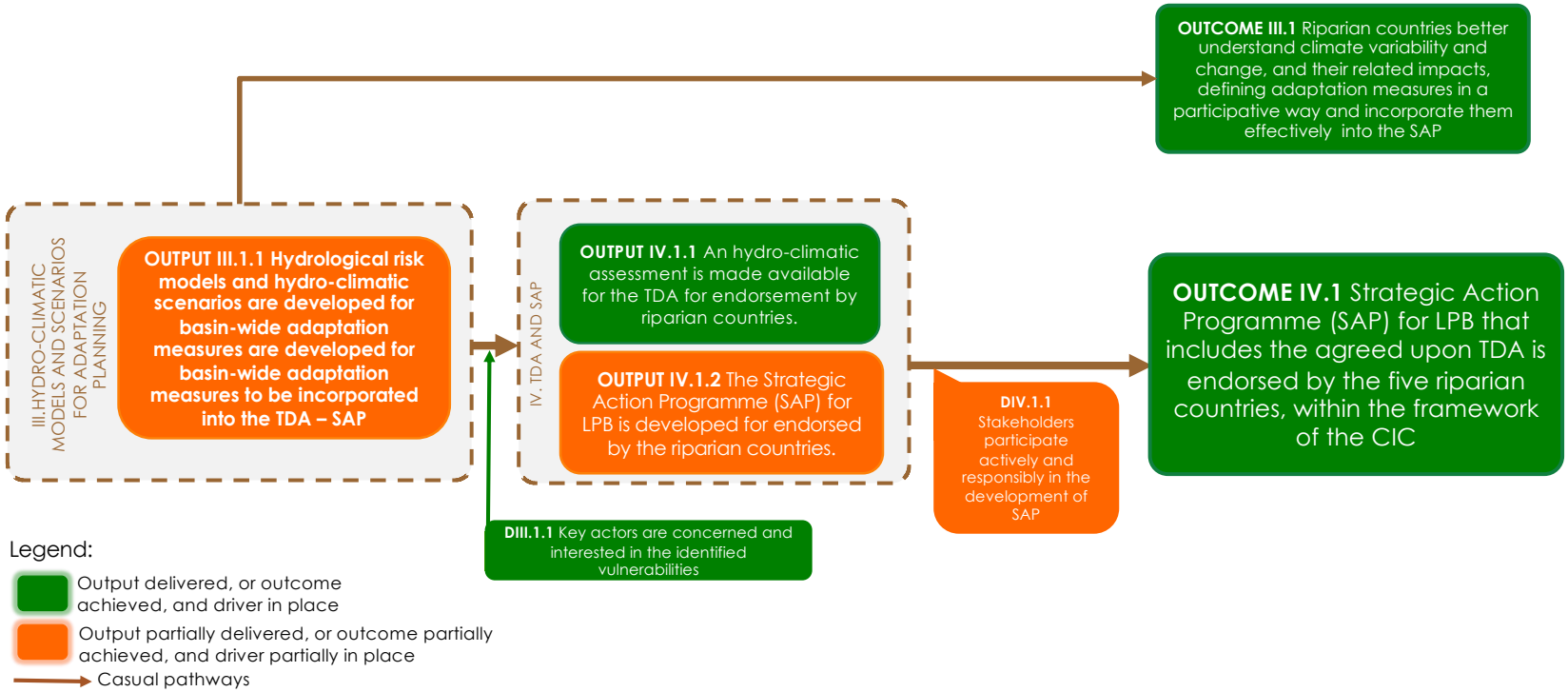


Figure 13 - ToC based visual representation of the effectiveness of component III "Hydro-Climatic Models and Scenarios for Adaptation Planning" and component IV "TDA and SAP"

Table 25 - Assessment of the assumptions held

Code	Description of the Assumption
A.1	Sustainable environmental development continues to be a priority in the public agendas of the LPB riparian countries.
A.2	Other urgent issues and matters do not overshadow IWRM priorities and key actions proposed on SAP.
A.3	Climate threats and extreme events continue to place urgency on coordinated action for IWRM on LPB.
A.4	Countries committed to the necessary policy reforms required to strengthen coordination and implement the SAP.
A.5	The turn-overs of government officials of the riparian countries do not jeopardize the continuity of the change processes generated by the LPB project.
A.6	The stakeholders involved on the implementation of the SAP, including governments, private sector and civil society, have resilience and enough adaptability to face potential threats including changes on the global, regional or national financial situation; limitations of MERCOSUR mechanisms; and political instability.

Note: Green represents the assumptions held, orange the ones partially held and red the assumptions not held

Table 26 - Drivers in place

Code	Description of the Driver
D.9	Specialized institutions of the five basin countries support the activities and provide information, data, and technical support.
DII.1.1	UNESCO-IHP and/or other technical institutions provide technical support for IWB methodology.
DII.2.1	Institutions responsible for water quality monitoring in the five countries put in place commonly agreed protocols and remedial actions for water quality monitoring and assessment.
DII.7.1	Public and private institutions in the pilot areas collaborate and participate in pilots' implementation.
DII.7.2	The demonstration projects are appropriated by the inhabitants of the project areas.
DII.7.5	Effective stakeholder involvement and collaboration in the Yaciretá Bi-national Entity (YBE Argentina – Paraguay) and Itaipú International (Itaipú Bi-national Entity. Brazil – Paraguay) in the developing the demonstration project activities.
DII.7.6	Coordination with the other flood control projects that are taking place in the Confluence of the Paraguay and Paraná Rivers.
DII.7.8	The municipality of Cotagaita included the implementation of natural resources management practices, to reduce erosion and silting, in its operating plans.
DIII.1	Basin countries uses the information available to allocate and access climate change adaptation funds for specific projects.
DIII.1.1	Key users of water resources in the LPB are concerned and interested in scientifically and technically identified vulnerabilities as well as adaptation measures to climate variability and change at the basin wide scale.

Table 27 - Drivers partially in place

Code	Description of the Driver
D.1	The five LPB countries, in an integrated way, take advantage of the opportunities and overcome the barriers to resolving the critical transboundary issues related to the sustainable development and management of the LPB.
D.3	The governments of Argentina, Bolivia, Brazil, Paraguay and Uruguay coordinates actions and investments in the La Plata Basin.
D.8	Government and non-government stakeholders actively participate and are supportive.
DI.2	The riparian countries implement the most relevant recommendations for compatible legal adjustments, agreed by the five countries under CIC framework.
DI.3	At national level, each country has put in place an inter-institutional coordination mechanism to manage the information of each national node and to ensure the sustainability and maintenance of the node.
DI.4	The CIC has the capacity to maintain and improve the regional node of the DSS.
DI.2.1	Stakeholders receive and provide reliable information about their needs and concerns.
DI.2.2	The relevant stakeholders prepare pertinent projects to bid for funds fostering public participation.
DI.2.3	The projects supported by the PPF presents a significant catalytic effect at local level distributed through the key spots of the basin.

DII.4.2	The LPB Biodiversity Management Strategy is integrated into the national policies within the context of the UN Biodiversity Convention.
DII.7.3	Basin stakeholders and institutions have enough capacity to adjust to the changes promoted by the pilot projects
DIV.1.1	Stakeholders participate actively and responsibly in the development of SAP.

Table 28 - Drivers not in place

Code	Description of the Driver
D.2	The institutional coordination and transboundary cooperation agreements for formalized projects, established information resources and data network for hydro climatic TDA and adaptive-IWRM are in place at all relevant institutions.
D.4	The CIC members provide the resources and means to sustain technical activities of IWRM, under the CIC framework, after the closure of the project.
D.5	The riparian governments, key decision makers in the riparian countries and major water users in the basin allocate adequate resources to implement the SAP and consolidate adaptive IWRM in LPB.
D.6	Governments and key stakeholders use lessons learned to replicate, scale-up and improve IWRM.
D.7	Major water users and key stakeholders are engaged in the project activities, participate in the development of the SAP and embrace its implementation.
DI.1	The key cooperation agreements and/or collaborative actions commitments are signed and properly under implementation by the relevant institutions.
DI.5	Decision makers and information users frequently access the DSS and consider it as a relevant tool to support decision-making and as a source of reliable and updated information for IWRM at LPB.
DI.2.4	Governments, private sector and water users provide the financial and institutional mechanisms to sustain and expand the PPF.
DII.3.1	The governments of the three countries of SAYTT (Ar, Bo and Py) establishing basic legal and institutional mechanisms for sustainable management of SAYTT aquifer.
DII.4.1	The three upper basin dam agencies agree to support the upper LPB ecological corridor initiative.
DII.6.1	Private tourism companies and nautical clubs from Buenos Aires (Ar) and the Department of Colonia (Ur) are interested to invest in nautical eco-tourism, having access to natural and cultural heritages in islands and coastal areas.
DII.6.2	National environmental, hydrological, and tourist institutions join efforts to support private tourism companies and clubs to develop the project by the 1st year, and upscale actions are included in the SAP by the end of the project.
DII.6.3	Local communities and private sector support recreational and eco-tourism development in the Lower Uruguay-Parana/Delta river.
DII.7.4	Civil society and stakeholders understand the need for international coordination for biodiversity management in the regulated Parana river.
DII.7.7	Bolivia's Mining Corporation collaborates effectively on the Pilcomayo DPP.

ANNEX 9 – FINANCIAL MANAGEMENT TABLES

Table 29 - Evolution of the project budget by components (Oct 2010 - Dec 2017)

UNEP BUDGET LINE / OBJECT OF EXPENDITURE		Initial Budget (Oct-Dec 2010)	First Amendment (Jan-Mar 2012)	Second Amendment (Jan-Mar 2014)	Third Amendment (Apr-Jun 2015)	Fourth Amendment (Apr-Jun 2016)	Variations of the budget
10. PERSONNEL COMPONENT							
1100	**Project Personnel**						
1101	Project Technical Coordinator	315,000	378,847	396,847	476,151	466,784	148%
1102	Technical Assistance Coordinator	255,000	326,632	329,132	382,130	393,183	154%
1199	**SubTotal**	**570,000**	**705,479**	**725,979**	**858,281**	**859,967**	**151%**
1200	**Consultants**						
1201	Act I.1 Harmonizing the Institutional and Legal Framework	217,250	317,700	321,420	409,900	363,777	167%
1202	Act. I.2 Communication, Participation and Education specialists	316,000	117,000	54,489	69,725	66,909	21%
1203	Act. I.3 Information Technology and Database specialist	39,500	27,000	20,000	20,000	20,000	51%
1204	Act. II.1 Hydrology, GIS Specialist	143,600	108,000	60,000	49,000	49,000	34%
1205	Act. II.2 Water quality, hydraulic modelling, planning specialist	75,000	96,300	68,400	31,400	39,400	53%
1206	Act. II.3 IWRM, Groundwater, Legal, TDA & SAP Specialists	10,000	148,500	81,523	63,823	63,823	638%
1207	Act. II.4 Environmental, Ecosystem Management, specialists	76,500	45,000	43,258	60,258	50,708	66%
1208	Act. II.5 Land use, Land degradation specialists	33,000	81,900	73,870	22,890	21,150	64%
1209	Act. II.6 Tourism, Navigation, Biodiversity, Communication, Legal specialists	110,000	163,800	145,188	74,264	69,616	63%
1210	Act. II.7.1 Aquatic habitat, Fishing legislation specialists	219,750	38,848	94,348	107,819	107,616	49%
1211	Act. II.7.2 Mathematical model specialist	396,750	8,428	16,000	22,500	23,076	6%

1212	Act. II.7.3 Water se conflict, legal and institutional framework	99,000	32,400	62,000	47,232	80,000	81%
1213	Act. II.7.4 Water quality sedimentation specialists	126,250	13,800	24,000	10,070		0%
UNEP BUDGET LINE / OBJECT OF EXPENDITURE		**Initial Budget (Oct-Dec 2010)**	**First Amendment (Jan-Mar 2012)**	**Second Amendment (Jan-Mar 2014)**	**Third Amendment (Apr-Jun 2015)**	**Fourth Amendment (Apr-Jun 2016)**	**Variations of the budget**
1214	Act. III.1 Hydrologist, Climatology specialists	0	258,550	109,114	107,120	67,425	
1215	Act. IV.1 IWRM, TDA & SAP specialist	0	180,000	180,000	282,634	164,806	
1299	**SubTotal**	**1,862,600**	**1,637,226**	**1,353,610**	**1,378,635**	**1,187,306**	64%
1301	OAS indirect recovery	0	366,456	366,456	366,456	366,322	
1199	**TOTAL COMPONENT**	**2,432,600**	**2,709,161**	**2,446,044**	**2,603,372**	**2,413,595**	**99%**
20. SUB CONTRACT COMPONENT							
2200	**Sub Contract**						
2201	Activity I.1	813,456	396,184	233,928	248,644	425,725	52%
2202	Activity I.2	430,000	387,000	327,021	375,328	335,963	78%
2203	Activity I.3	220,000	0	0	0		0%
2204	Activity II.1	494,000	196,679	183,933	240,884	246,884	50%
2205	Activity II.2	660,000	444,600	690,380	552,759	578,701	88%
2206	Activity II.3	780,000	601,920	526,733	469,287	478,059	61%
2207	Activity II.4	140,000	702,000	624,275	470,311	349,228	249%
2208	Activity II.5	52,000	126,000	126,000	87,750	96,751	186%
2209	Activity II.6	47,700	0	0	-4,000	-4,000	-8%
2210	Activity II.7.1	104,000	46,800	79,104	52,101	51,969	50%
2211	Activity II.7.2	50,000	48,000	142,221	103,054	138,802	278%
2212	Activity II.7.3	510,000	93,600	154,092	176,756	222,782	44%
2213	Activity II.7.4	744,824	78,000	63,298	113,462	76,870	10%
2214	Activity III.1	0	365,435	330,435	275,210	279,042	
2215	Activity IV	0	373,500	448,500	732,015	802,858	
2299	**SubTotal**	**5,045,980**	**3,859,718**	**3,929,921**	**3,893,561**	**4,079,633**	81%
2999	**TOTAL COMPONENT**	**5,045,980**	**3,859,718**	**3,929,921**	**3,893,561**	**4,079,633**	**81%**
30. TRAINING COMPONENT							
3200	**Meetings/workshops in the context of project activities**						
3201	Activity I.1	627,900	565,110	709,278	811,779	793,882	126%
3202	Activity I.2	40,000	36,000	253,056	118,460	170,696	427%
3203	Activity I.3	357,500	0	0	0		0%
3204	Activity II.1	130,000	1,321	56,562	56,414	55,363	43%
3205	Activity II.2	70,000	321,750	268,187	160,529	129,274	185%

3206	Activity II.3	189,000	117,000	290,124	271,822	273,788	145%
3207	Activity II.4	53,000	63,000	124,597	279,040	246,022	464%
3208	Activity II.5	35,000	170,100	170,101	96,182	96,670	276%
3209	Activity II.6	18,900	47,700	63,422	45,234	42,884	227%
3210	Activity II.7.1	39,000	39,452	64,039	99,903	58,796	151%
UNEP BUDGET LINE / OBJECT OF EXPENDITURE		**Initial Budget (Oct-Dec 2010)**	**First Amendment (Jan-Mar 2012)**	**Second Amendment (Jan-Mar 2014)**	**Third Amendment (Apr-Jun 2015)**	**Fourth Amendment (Apr-Jun 2016)**	**Variations of the budget**
3211	Activity II.7.2	54,000	36,272	61,680	87,664	107,186	198%
3212	Activity II.7.3	70,000	53,933	102,042	123,644	121,468	174%
3213	Activity II.7.4	300,000	48,600	78,871	53,567	57,231	19%
3214	Activity III.1		186,015	395,461	416,340	424,899	
3215	Activity IV		270,000	322,412	590,393	588,868	
3299	**SubTotal**	**1,984,300**	**1,956,251**	**2,959,831**	**3,210,971**	**3,167,028**	160%
3999	**TOTAL COMPONENT**	**1,984,300**	**1,956,251**	**2,959,831**	**3,210,971**	**3,167,028**	**160%**

40. EQUIPMENT & PREMISES COMPONENT

4100 Expendable and non-expendable equipment

4101	Activity I.1	76,700	74,066	234,449	227,706	217,152	283%
4102	Activity I.2	35,000	31,500	50,000	0		0%
4103	Activity I.3	30,000	0	0	0		0%
4104	Activity II.1	427,000	27,000	27,000	0		0%
4105	Activity II.2	55,000	384,300	269,455	239,454	258,202	469%
4106	Activity II.3	30,000	49,500	0			0%
4107	Activity II.4	15,000	0	0			0%
4108	Activity II.5	50,000	27,000	27,000			0%
4109	Activity II.6	117,400	13,500	13,500			0%
4110	Activity II.7.1	23,000	45,000	12,500			0%
4111	Activity II.7.2	46,000	99,900	12,500			0%
4112	Activity II.7.3	40,000	11,700	12,500			0%
4113	Activity II.7.4	0	18,900	12,500			
4114	Activity III.1	0		0			
4115	Activity IV	0	36,000	10,600			
4199	**SubTotal**	**945,100**	**818,366**	**682,004**	**467,160**	**475,354**	50%
4999	**TOTAL COMPONENT**	**945,100**	**818,366**	**682,004**	**467,160**	**475,354**	**50%**

50. MISCELLANEOUS COMPONENT

5200 Reporting costs (publications, maps, newsletters, printing, etc)

5201	Activity I.1	88,900	80,010	28,995			0%
5202	Activity I.2	18,000	0	21,700			0%
5203	Activity I.3	6,000	0	0			0%
5204	Activity II.1	15,000	0	5,505	5,125	5,125	34%

5205	Activity II.2	18,000	5,400	49,500			0%
5206	Activity II.3			18,500			
5207	Activity II.4			17,870	15,526	15,526	
5208	Activity II.5			8,030			
5209	Activity II.6			2,890			
UNEP BUDGET LINE / OBJECT OF EXPENDITURE		**Initial Budget (Oct-Dec 2010)**	**First Amendment (Jan-Mar 2012)**	**Second Amendment (Jan-Mar 2014)**	**Third Amendment (Apr-Jun 2015)**	**Fourth Amendment (Apr-Jun 2016)**	**Variations of the budget**
5210	Activity II.7.1		16,200	5,625			
5211	Activity II.7.2		5,400	7,925	7,535	7,535	
5212	Activity II.7.3		17,167	12,875			
5213	Activity II.7.4		32,400	13,031			
5214	Activity III.1			14,870			
5215	Activity IV			25,400	10,336	10,336	
5299	**SubTotal**	**145,900**	**156,577**	**232,716**	**38,522**	**38,522**	**26%**
5300	**Sundry (communications, postage, freight, clearance charges, etc)**						
5301	IW Conference participation	9,120	8,861	8,861	8,861	16,861	185%
5302	IW: Learn Tax	20,000	19,139	19,138	4,608	4,608	23%
5303	Communication/Cost and Miscel/P. Mgmt		1,120	1,120	1,000	1,000	
5304	Miscl/Contigencies		800,982	50,500	102,119	125,825	
5399	**SubTotal**	**29,120**	**830,102**	**79,619**	**116,588**	**148,294**	**509%**
5500	**Evaluation (consultants fees/travel/ DSA, admin support, etc. internal projects)**						
5501	Design and Implementation of M&E system at the CIC -- Act. I.3	20,000	329,824	329,864	329,826	337,573	1688%
5502	Mid Term and FE - IA	70,000	70,000	70,000	70,000	70,000	100%
5503	Water Quality monitoring network optimization – Act. II.2	6,000					0%
5504	Demo M&E - Act. II.7.2	18,000					0%
5505	Demo M&E - Act. II.7.3	15,000					0%
5506	Demo M&E - Act. II.7.3	18,000					0%
5599	**SubTotal**	**147,000**	**399,824**	**399,864**	**399,826**	**407,573**	**277%**
5999	**TOTAL COMPONENT**	**322,020**	**1,386,503**	**712,199**	**554,936**	**594,389**	**185%**
GRAND TOTAL		**10,730,000**	**10,730,000**	**10,730,000**	**10,730,000**	**10,730,000**	**100%**

Table 30 - Budget and Expenditures by Components

	Original Budget (Oct-Dec 2010) (US$)	2010 (US$)	2011 (US$)	2012 (US$)	2013 (US$)	2014 (US$)	2015 (US$)	2016 (US$)	2017 (US$)	Total Expended Until Dec 2017 (US$)	Variations Expended / Initial Budget
COMPONENT I											
I.1.1 Harmonizing the Institutional and Legal Framework											
Consultants	217,250		14,181	85,290	125,131	67,496	69,580	3,630	15,000	380,308	175%
Sub Contract	813,456		21,920	45,508	0	50,530	69,935	211,239	23,679	422,811	52%
Meetings/workshops	627,900		169,733	102,557	188,588	134,388	93,185	93,588	11,843	793,882	126%
Expendable and non-expendable equipment	76,700		19,066	23,537	26,847	13,532	111,912	22,840		217,733	284%
Reporting costs	88,900									0	0%
Sub Total I.1.1	**1,824,206**	**0**	**224,900**	**256,892**	**340,566**	**265,946**	**344,612**	**331,297**	**50,522**	**1,814,734**	**99%**
I.1.2 Communication, Participation and Education specialists											
Consultants	316,000			21,523	32,966		8,420	4,000		66,909	21%
Sub Contract	430,000		4,800	25,221	0	48,083	161,236	88,702	7,922	335,964	78%
Meetings/workshops	40,000			28,206	57,850	29,461	8,169	14,615	32,318	170,619	427%
Expendable and non-expendable equipment	35,000									0	0%
Reporting costs	18,000									0	0%
Sub Total 1.1.2	**839,000**	**0**	**4,800**	**74,950**	**90,816**	**77,544**	**177,825**	**107,317**	**40,240**	**573,493**	**68%**
I.1.3 DSS M & E											
Consultants	39,500		20,000							20,000	51%
Sub Contract	220,000				0					0	0%
Meetings/workshops	357,500									0	0%
Expendable and non-expendable equipment	30,000									0	0%
Reporting costs	6,000									0	0%

	Original Budget (Oct-Dec 2010) (US$)	2010 (US$)	2011 (US$)	2012 (US$)	2013 (US$)	2014 (US$)	2015 (US$)	2016 (US$)	2017 (US$)	Total Expended Until Dec 2017 (US$)	Variations Expended / Initial Budget
Design - Implementation of M&E system	20,000		21,019	39,291	32,955	26,950	163,259	54,391		337,865	1689%
Sub Total 1.1.3	**673,000**	**0**	**41,019**	**39,291**	**32,955**	**26,950**	**163,259**	**54,391**	**0**	**357,865**	**53%**
TOTAL COMPONENT 1	**3,336,206**	**0**	**270,719**	**371,133**	**464,337**	**370,440**	**685,696**	**493,005**	**90,762**	**2,746,092**	**82%**
COMPONENT II											
II.1 Integrated Water Resources Management											
Consultants	143,600		3,000	10,000	27,000	3,000	6,000			49,000	34%
Sub Contract	494,000			19,031	62,885	119,968	35,000	9,404		246,288	50%
Meetings/workshops	130,000		1,321		10,141	44,209	-920			54,751	42%
Expendable and non-expendable equipment	427,000									0	0%
Reporting costs	15,000					5,125	6,646			11,771	78%
Sub Total	**1,209,600**	**0**	**4,321**	**29,031**	**100,026**	**172,302**	**46,726**	**9,404**	**0**	**361,810**	**30%**
II.2 Water Quality and Contamination Assessment and Monitoring											
Consultants	75,000		3,000	6,300	22,100			8,233		39,633	53%
Sub Contract	660,000		6,000	24,000	141,680	181,880	175,776	48,926		578,262	88%
Meetings/workshops	70,000		24,868	18,240	50,780	32,767	1,919	314	-155	128,732	184%
Expendable and non-expendable equipment	55,000				9,454		235,631	27	13,089	258,201	469%
Reporting costs (publications, maps, newsletters, printing)	18,000									0	0%
Water Quality monitoring network optimization	6,000										0%
Sub Total	**884,000**	**0**	**33,868**	**48,540**	**224,014**	**214,647**	**413,326**	**57,500**	**12,934**	**1,004,828**	**114%**
II.3 Sustainable Management of SAYTT (groundwater)											

	Original Budget (Oct-Dec 2010) (US$)	2010 (US$)	2011 (US$)	2012 (US$)	2013 (US$)	2014 (US$)	2015 (US$)	2016 (US$)	2017 (US$)	Total Expended Until Dec 2017 (US$)	Variations Expended / Initial Budget
Consultants	10,000		3,000		28,523	18,300	14,000			63,823	638%
Sub Contract	780,000		6,000	89,213	101,430	154,272	90,191	36,495		477,601	61%
Meetings/workshops	189,000		21,910	57,050	101,165	69,562	15,171	9,350		274,207	145%
Expendable and non-expendable equipment	30,000									0	0%
Sub Total	**1,009,000**	**0**	**30,910**	**146,263**	**231,118**	**242,134**	**119,362**	**45,845**	**0**	**815,631**	**81%**
II.4 Biodiversity Management											
Consultants	76,500		3,000	5,783	9,475	6,000	15,050	11,026		50,334	66%
Sub Contract	140,000		19,270	200	2,000	241,521	56,645	27,801	1,000	348,437	249%
Meetings/workshops	53,000		31,037	22,317	46,843	24,993	81,029	16,353	14,259	236,831	447%
Expendable and non-expendable equipment	15,000									0	0%
Reporting costs (publications, maps, newsletters, printing)						15,526				15,526	
Sub Total	**284,500**	**0**	**53,307**	**28,301**	**58,317**	**288,040**	**152,724**	**55,180**	**15,259**	**651,128**	**229%**
II.5 Land Degradation Control											
Consultants	33,000		3,000	8,100	7,550		2,500			21,150	64%
Sub Contract	52,000		4,500		0	69,251	15,000	6,879		95,630	184%
Meetings/workshops	35,000		5,694	20,591	13,998	32,140	23,549			95,972	274%
Expendable and non-expendable equipment	50,000									0	0%
Sub Total	**170,000**	**0**	**13,194**	**28,691**	**21,548**	**101,391**	**41,049**	**6,879**	**0**	**212,752**	**125%**
II.6 Identification of Sustainable Development opportunities											
Consultants	110,000		11,116	-3,000	49,000	12,500				69,616	63%
Sub Contract	47,700				-4,000					-4,000	-8%
Meetings/workshops	18,900		2,933	8,449	9,240	10,760	6,502	4,862		42,746	226%

	Original Budget (Oct-Dec 2010) (US$)	2010 (US$)	2011 (US$)	2012 (US$)	2013 (US$)	2014 (US$)	2015 (US$)	2016 (US$)	2017 (US$)	Total Expended Until Dec 2017 (US$)	Variations Expended / Initial Budget
Expendable and non-expendable equipment	117,400									0	0%
Sub Total	**294,000**	**0**	**14,049**	**5,449**	**54,240**	**23,260**	**6,502**	**4,862**	**0**	**108,362**	**37%**
II.7.1 Pilot Project - Biodiversity (Parana River)											
Aquatic habitat, Fishing legislation specialists	219,750		7,760		51,587	25,873	22,396			107,616	49%
Sub Contract	104,000			26,103	13,000	3,210	9,630			51,943	50%
Meetings/workshops	39,000		9,452	5,750	23,837	11,776	7,981			58,796	151%
Expendable and non-expendable equipment	23,000									0	0%
Sub Total	**385,750**	**0**	**17,212**	**31,853**	**88,425**	**40,859**	**40,007**	**0**	**0**	**218,356**	**57%**
II.7.2 Pilot Project - Forecasting System (Paraguay- Paraná)											
Mathematical model specialist	396,750						6,276	18,492		24,768	6%
Sub Contract	50,000			27,821	14,400	6,000	41,684	47,923		137,828	276%
Meetings/workshops	54,000		10,272	8,607	12,801	29,176	30,105	15,399	-444	105,917	196%
Expendable and non-expendable equipment	46,000									0	0%
Reporting costs (publications, maps, newsletters, printing)						7,535				7,535	
Demo M&E	18,000										0%
Sub Total	**564,750**	**0**	**10,272**	**36,428**	**27,201**	**42,711**	**78,065**	**81,814**	**-444**	**276,047**	**49%**
II.7.3 Pilot Project - Use Conflict (Cuareim-Quaraí)											
Consultants	99,000						16,000	64,000		80,000	81%
Sub Contract	510,000		3,000	22,586	5,506	13,381	116,309	63,397		224,179	44%
Meetings/workshops	70,000		7,932	7,330	26,780	53,030	13,542	11,545		120,159	172%

	Original Budget (Oct-Dec 2010) (US$)	2010 (US$)	2011 (US$)	2012 (US$)	2013 (US$)	2014 (US$)	2015 (US$)	2016 (US$)	2017 (US$)	Total Expended Until Dec 2017 (US$)	Variations Expended / Initial Budget
Expendable and non-expendable equipment	40,000									0	0%
Demo M&E	15,000									0	0%
Demo M&E	18,000										0%
Sub Total	**752,000**	**0**	**10,932**	**29,916**	**32,285**	**66,411**	**145,851**	**138,942**	**0**	**424,337**	**56%**
II.7.4 Pilot Project - Mining Contamination (Pilcomayo)											
Act. II.7.4 Water quality sedimentation specialists	126,250										0%
Sub Contract	744,824		25,500	-17,202	12,000	19,573		30,335	6,639	76,845	10%
Meetings/workshops	300,000		22,525	-13,654	0	18,358	2	22,692	7,307	57,230	19%
Sub Total	**1,171,074**	**0**	**48,025**	**-30,857**	**12,000**	**37,931**	**2**	**53,027**	**13,946**	**134,074**	11%
TOTAL COMPONENT II	**6,724,674**	**0**	**236,089**	**353,615**	**849,175**	**1,229,686**	**1,043,614**	**453,453**	**41,695**	**4,207,326**	**63%**
COMPONENT III											
III.1 A hydroclimatic forecasting system for the la Plata Basin											
Act. III.1 Hydrologist, Climatology specialists	320,000			6,000	47,114	14,311				67,425	21%
Sub Contract	510,000			60,214	19,378	77,419	105,636	14,971	1,300	278,918	55%
Meetings/workshops	70,000			157,269	129,792	107,395	20,531			414,987	593%
Sub Total	**900,000**	**0**	**0**	**223,483**	**196,283**	**199,125**	**126,167**	**14,971**	**1,300**	**761,330**	**85%**
TOTAL COMPONENT III	**900,000**	**0**	**0**	**223,483**	**196,283**	**199,125**	**126,167**	**14,971**	**1,300**	**761,330**	**85%**
COMPONENT IV											
IV.1 TDA and SAP Preparation											
Act. IV.1 IWRM, TDA & SAP specialist	200,000			16,000	4,000	14,000	42,356	88,600		164,956	82%

	Original Budget (Oct-Dec 2010) (US$)	**2010 (US$)**	**2011 (US$)**	**2012 (US$)**	**2013 (US$)**	**2014 (US$)**	**2015 (US$)**	**2016 (US$)**	**2017 (US$)**	**Total Expended Until Dec 2017 (US$)**	Variations Expended / Initial Budget
Sub Contract	744,824			59,000	20,000	195,063	234,880	292,068	1,785	802,796	108%
Meetings/workshops	300,000			47,601	10,250	138,880	198,872	114,348	78,917	588,868	196%
Equipments and Supplies	40,000										0%
Misc: IW Conference	8,000										0%
Reporting costs						10,336				10,336	-
Sub Total	**1,292,824**	**0**	**0**	**122,601**	**34,250**	**358,279**	**476,108**	**495,016**	**80,702**	**1,566,956**	121%
TOTAL COMPONENT IV	**1,292,824**	**0**	**0**	**122,601**	**34,250**	**358,279**	**476,108**	**495,016**	**80,702**	**1,566,956**	121%
PROJECT MANAGEMENT											
Project Technical Coordinator	315,000	3,500	64,323	74,646	89,117	94,846	97,065	45,775	5,250	474,523	151%
Assistant Coordinator	255,000	3,500	58,076	56,519	71,253	76,896	81,561	45,337		393,141	154%
IW Conference participation	9,120		8,861					10,664		19,525	214%
IW: Learn Tax	20,000			4,608						4,608	23%
Communication/Cost						1,000				1,000	
Miscl/Contingencies				4,000		31,655		80,936	2,588	119,179	
Mid Term and FE - IA	70,000										0%
OAS indirect recovery	0			119,159	98,700	139,790	8,673			366,322	
Total Project Management	**669,120**	**7,000**	**131,260**	**258,932**	**259,070**	**344,187**	**187,299**	**182,712**	**7,838**	**1,378,298**	**206%**
GRAND TOTAL	**10,730,000**	**7,000**	**638,069**	**1,329,763**	**1,803,114**	**2,501,717**	**2,518,884**	**1,639,157**	**222,297**	**10,660,001**	**99%**

ANNEX 10 – BRIEF CVS OF THE CONSULTANTS

Alex Pires

Massachusetts Institute of Technology
Certificate, Big Data
2018 – 2018

Universitat Politècnica de Catalunya
Doctor of Philosophy - PhD, Sustainability Studies, Outstanding "cum laude"
2005 – 2015

Multi-criteria and Participatory Approach to Socio-Economic, Environmental and Institutional Indicators for Sustainable Water Use and Management at River Basin Level

Universidade Federal da Bahia
Master of Science - MS, Environmental Engineering Technology/Environmental Technology
1999 – 2001

M.Sc. in Urban Environmental Engineering

Universidade Federal da Bahia
Bachelor of Science - BS, Civil Engineering
1993 – 1998

Major field of study: infrastructure, water and sanitation

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/alexpiresprofile

Professional Experience

I am professor and deputy coordinator of the UNESCO Chair on Sustainability at Federal University of Bahia. Previously, I was the General Coordinator of Engineering and Innovation at UNIJORGE, and Director of Policies and Programs on Science and Technology at the Government of Bahia (2015-2018). I also worked as Senior Official of the United Nations Environment Programme for the countries of Latin America and the Caribbean in ecosystems management and biodiversity (2009-2013).

I am a Spaniard / Brazilian engineer and sustainability specialist with 20 years of experience working with more than 30 countries in 3 continents on complex operations on water, environment, and climate for both public and private sectors.

I led and participated in more than 40 projects and programmes at local, national and global level. I have worked across the whole project cycle from planning, design and execution, to monitoring, reporting and evaluation. I also have provided specialized consulting services for development banks, international organizations, companies, NGOs and the public sector.

Message More...

Liliana Miranda Sara · 1st

Executive Director en Foro Ciudades para la Vida - IPCC Lead Author

Peru · 500+ connections · Contact info

Foro Ciudades para la Vida

Universiteit van Amsterdam

Highlights

6 Mutual Connections

You and Liliana both know Salem Afeworki, LEED GA, ENV SP, Ashley Cooper, and 4 others

Liliana is celebrating 23 years at Foro Ciudades para la Vida

Say congrats

About

Architect, Urban Environmental expert and Planner, Master in Real state and Construction Management, Doctorant at Amsterdam University, GID Department. Her dissertation will be titled "Knowledge building in configuring metropolitan water governance: discourse coalitions, inclusionary (concertation) processes and climate change scenarios in Lima". IPCC Lead Author of 6th Assesment Report. Invited master's teacher at several Universities. Founder and Executive Director of Cities for Life Foro. She does consultancy work for national and international organizations. She published 4 books, numerous peer reviewed articles, reports, and being also a civil society activist, uses mass media journals and social networks. She is engaged in world-wide conferences, such as COP21, Rio + 20 and Habitat II.

Founder (since 1996) and Executive Director of the Cities for Life Foro (since 2002), a researcher at cLima sin riesgo DPU-UCL/CDKN project and a former research coordinator in WP4 on chance2sustain EU project as well as at LiWa (MINBUNZA) project as Foro. I am Ashoka fellow and Avina leader.

She does private consultancy, the latest as external environmental advisor at UNOPS and developing the National Plan to promote Sustainable Construction of Peru for the Housing Ministry.
Works on issues such as "Concertation", Consensus Building, Capacity Building and Political Incidence Campaigns in Sustainable Construction for the poor (involving green infrastructure and landscape), Territorial Sustainable Plannning and Development as well as Cities Agenda 21. Thanks to her work she has visited almost the whole world 's largest cities in the majority of continents.

Annex 11: Quality Assessment of the TE Report

Quality Assessment of the Evaluation Report

Evaluation Title:

GEF 2095: Sustainable Management of the Water Resources of the La Plata Basin with respect to the effects of climate variability and change.

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Final report: The Executive summary was provided in English, Spanish and Portuguese	5
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	Final report:	6

II. Evaluation Methods This section should include a description of how the *TOC at Evaluation*[27] was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section. The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.	Final report:	5
III. The Project This section should include: • *Context:* Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • *Objectives and components*: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • *Stakeholders:* Description of groups of targeted stakeholders organised according to relevant common characteristics	Final report: The stakeholder anaylsis was ver well presented	6

[27] During the Inception Phase of the evaluation process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

• *Project implementation structure and partners:* A description of the implementation structure with diagram and a list of key project partners • *Changes in design during implementation:* Any key events that affected the project's scope or parameters should be described in brief in chronological order • *Project financing:* Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing		
IV. Theory of Change The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow OECD/DAC definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. *The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.*	Final report: The final report benefited from Worked closely with the Evaluation Consultants and the Evaluation Office Team as a whole to	6
V. Key Findings **A. Strategic relevance:** This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: i. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) ii. Alignment to UN Environment/ Donor/GEF Strategic Priorities iii. Relevance to Regional, Sub-regional and National Environmental Priorities iv. Complementarity with Existing Interventions	Final report:	5

B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report:	5
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval), and how they affected performance, should be described.	Final report:	5
D. Effectiveness **(i) Outputs and Direct Outcomes:** How well does the report present a well-reasoned, complete and evidence-based assessment of the a) delivery of outputs, and b) achievement of direct outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention. The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.	Final report: A great visual summary of the outputs and outcomes was provided. A thorough analysis of the delivery of outputs and achievement of outcomes presented, including qualitative and quantitative analysis	6
(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed? Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.	Final report:	5
E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following: • *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used • *communication* between financial and project management staff	Final report: *(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the evaluation report)*	5
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions	Final report:	5

• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UN Environment's environmental footprint.		
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting *(including SMART indicators, resources for MTE/R etc.)* • Monitoring of project implementation *(including use of monitoring data for adaptive management)* • Project reporting *(e.g. PIMS and donor report)*	Final report:	5
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including: • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability	Final report:	6
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[28] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness	Final report:	6
VI. Conclusions and Recommendations **i. Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Human rights and gender dimensions of the	Final report:	5

[28] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.		
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report:	6
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UN Environment interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Final report:	5
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report:	5
ii) **Quality of writing and formatting:** Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report:	6
OVERALL REPORT QUALITY RATING		**5.4**

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	✓	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	✓	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	✓	
4. Was the evaluator contracted directly by the Evaluation Office?	✓	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	✓	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		✓
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?	-	-
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	✓	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	✓	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	✓	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?	✓	
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	✓	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	✓	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	✓	
15. Did the project make available all required/requested documents?	✓	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	✓	
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	✓	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	✓	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	✓	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	✓	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-	✓	

reviewed?		
22. Was the TOC in the inception report peer-reviewed?	✓	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	✓	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	✓	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	✓	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	✓	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	✓	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	✓	
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?	✓	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	✓	

Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.

Process Criterion Number	**Evaluation Office Comments**