EVALUATION

PRODECENTRALIZATION III PROGRAM FINAL PERFORMANCE EVALUATION

March 2018

RESUMEN

El objetivo del programa ProDescentralización III (ProDes) de USAID (octubre 2012 – octubre 2017) fue fortalecer la gestión descentralizada para la provisión de servicios públicos en medio ambiente, salud y educación en cinco departamentos de la Amazonía peruana. Esta evaluación final responde a tres preguntas relacionadas con los resultados y el diseño del programa, así como las políticas pendientes en descentralización. Se empleó una metodología de carácter cualitativo.

El programa brindó asistencia técnica a funcionarios de los gobiernos regionales y locales, provinciales y distritales a partir de un diagnóstico de la ruta de servicio elaborado con participación de los actores locales. Logró entender cada una de las etapas de la ruta del servicio, lo que permitió identificar con cifras, datos y hechos, cuellos de botella y oportunidades de mejora que fueron trabajadas con el enfoque de "aprender haciendo". Acompañó y asesoró de manera cercana particularmente a funcionarios nombrados buscando lograr la continuidad de los procesos mejorados.

Se recomienda a USAID sistematizar los 15 años de experiencia en fortalecer la gestión descentralizada y plasmarlo en guías y protocolos de aprendizaje. Se recomienda al Gobierno peruano fortalecer el rol rector del Poder Ejecutivo para la mejora de la gestión descentralizada de los servicios públicos y articular los tres niveles de gobierno para llevar a cabo el proceso. Asimismo, se recomienda analizar con indicadores claros la problemática de la cadena de valor involucrada en cada intervención que implique el trabajo con servicios públicos, incluyendo procesos y actores, y aprovechar las buenas prácticas desarrolladas por ProDes descritas arriba. La tarea pendiente es sistematizar aprendizajes específicos sobre dichos procesos para facilitar su réplica.

ABSTRACT

The objective of USAID's ProDescentralization III (ProDes) program (October 2012 - October 2017) was to strengthen decentralized management in five departments of the Amazon to improve the provision of public services in the environment, health and education for the marginalized population. This final evaluation answers three questions related to the results, their design and the pending policies in decentralized management. A qualitative methodology was used.

The Program provided technical assistance based on a diagnosis of the service route, with the participation of local stakeholders. It managed to understand each of the stages of the service route with figures, data and facts, which allowed to identify bottlenecks of the service and opportunities for improvement that were addressed during the execution of ProDes. The Program also closely accompanied and advised particularly appointed public officials based on the "learning by doing" approach, seeking the continuity of improved processes.

The Peruvian Government should continue the process of strengthening the governing role of the Executive Branch and the linkage among the three levels of government to improve the decentralized management of public services. For interventions associated to public services, clear indicators should be used to analyze the problems of each value chain involved, including processes and actors, and implement ProDes good practices described above. The pending task is to systematize specific learnings about these processes to facilitate their replication. Specifically, it is recommended that USAID systematize their 15 years of experience and translate it into guides and learning protocols.

FINAL PERFORMANCE EVALUATION

PRODECENTRALIZATION PROGRAM

Contract No. AID-527-C-12-00002

March 19, 2018

TABLE OF CONTENTS

ACRONYMS

CAT	Training and Technical Assistance
CIAEF	Inter ministerial Commission for Economic and Financial Affairs
CIAS	Inter ministerial Commission for Social Affairs
CENEPRED	National Center for Estimation, Prevention and Reduction of Disaster Risks
CEPLAN	National Center for Strategic Planning
CND	National Decentralization Board
COPREDAM	Council of Environmental Education Programs
CRED	Child Growth and Development Monitoring
CGR	Office of the Comptroller General of the Republic
HC	Health Center
ICA	Institutional Capacity Assessment
ICI	Institutional Capacity Index
DEMUNA	Municipal Defense Centers for Children and Adolescents
DEVIDA	National Commission for Development and Life without Drugs
DIRESA	Regional Health Bureau
DRE	Regional Education Bureau
EI	Educational Institutions
FOCAS	Functional Organization Capacity-Building Process Framework
GALS	Sustainable Local Environmental Management
GC	Central Government
GD	Decentralized Management
GGD	Decentralized Management Group
GIRS	Comprehensive Solid Waste Management
GL	Local Government
GN	National Government
GORE	Regional Government
GSN	Sub-national Government
ICI	Institutional Capacity Index
LOPE	Organizational Law of the Executive Branch
MD	District Municipality
MEF	Ministry of Economy and Finance
MGD	Decentralized Management Matrix
MIDIS	Ministry of Development and Social Inclusion
MIMP	Ministry of Women and Vulnerable Populations
MINAM	Ministry of the Environment
MINEDU	Ministry of Education
MINSA	Ministry of Health
MP	Provincial Municipality
ONDS	National Dialogue and Sustainability Office
PCM	Presidency of the Council of Ministers
PDC	Concerted Development Plan
PDP	People's Development Plan

PEI	Institutional Strategic Plan
PMCS	Service Quality Improvement Plan
PMP	Performance Monitoring Plan
PNC	Prenatal care
POI	Institutional Operative Plan
QSIP	Quality Service Improvement Program
REA	Regional Environmental Authority
ROF	Organization and Function Regulations
SW	Solid Waste
SD	Secretariat of Decentralization
SGP	Secretariat of Public Administration
ToR	Terms of Reference
UGEL	Local Education Management Unit
UREA	Ucayali Environmental Regional Authority
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

USAID's "ProDecentralization III" program (October 2012-October 2017) was designed to improve the delivery of public services related to the environment, health and education sectors through the strengthening of decentralized management. This is the final performance evaluation of the program.

Objective and Evaluation Questions

The purpose of this final performance evaluation is to analyze and learn from the design, approach, methodology, tools and activities developed by the "ProDecentralization" (ProDes) program to improve decentralized management in five selected departments.

The conclusions, recommendations and lessons learned from this evaluation will be useful for diverse actors, including Peruvian government entities, USAID, other cooperation agencies and organizations related to the decentralization process.

The evaluation answers three questions:

1. What are the results of ProDes on improved decentralized management at the different government levels?

2. What design and implementation factors contributed to or limited the achievement of results?

3. What are the main remaining policy and management issues to be addressed in the near future that would further advance the decentralization reform process?

The ProDes program

ProDes was implemented by Tetra Tech/ARD under Contract No. AID-527-C-12-00002 for a total amount of USD 14,002,937, executed between October 15, 2012 and October 14, 2017. Its objective was to improve decentralized management in the delivery of effective public services within environment, health and education sectors, benefiting traditionally excluded populations located in five departments of the Amazon: San Martín, Amazonas, Madre de Dios, Loreto and Ucayali.

Through a participatory manner, representatives from subnational governments and civil society prioritized specific services in each department. In San Martin, authorities from subnational governments selected the distribution of school materials and the hiring of teachers. In Loreto, authorities prioritized Child Growth Monitoring (CRED by its Spanish acronym). In Amazonas, authorities selected CRED and Antenatal Care services (APN by its Spanish acronym). In Ucayali, authorities prioritized comprehensive solid waste management (GIRS by its Spanish acronym) and environmental education services. Finally, Madre de Dios also prioritized GIRS.

The program's strategy aimed to improve the existing political and normative framework and strengthen the capabilities of subnational governments, including the mechanisms for transparency and citizen participation.

ProDes applied two tools in the diagnosis for capacity development. One is the Institutional Capacity Diagnosis (DCI for its initials in Spanish), which evaluates the capabilities of subnational governments responsible for the delivery of prioritized public services. The second tool is the Quality Service Improvement Plan (PMCS for its initials in Spanish), which assesses the delivery of prioritized services at the subnational level. The capacity building program was developed based on the results from the tools applied.

Methodology

The scope of this evaluation does not include all the services ProDes prioritized and worked on. This evaluation focuses on the following services: in San Martin, the distribution of school materials; in Ucayali and Madre de Dios, GIRS; and in Loreto and Amazonas, CRED.

The evaluation follows a qualitative approach. Fieldwork was conducted in a sample of seventeen subnational localities (districts and provinces) across the five departments.

Data collection tools included regional workshops, in-depth interviews with key actors in all three levels of government, satisfaction surveys using Likert scales, and a review of secondary information. Overall, 135 face-to-face interviews and three telephone interviews were conducted with public officials from national, regional (and its units, such as DREs, UGEL, health networks), and local governments (city councils), citizen oversight teams, health centers, and schools, among others.

Moreover, 62 Likert surveys were completed by public officials who demonstrated a significant knowledge of the work undertaken by ProDes during the face-to-face interviews. Finally, three regional workshops were carried out in the cities of Tarapoto (San Martín), Iquitos (Loreto) and Pucallpa (Ucayali). Primary and secondary data were analyzed to answer the evaluation questions.

Findings and Conclusions

What are the results of ProDes on improved decentralized management at the different government levels?

- ProDes improved decentralized management of evaluated services: the distribution of school materials, comprehensive solid waste management and CRED are now delivered in a more efficient way within the targeted areas. In addition, the institutional capabilities of participating subnational governments were improved; normative documents produced improved decentralized management (GD, by its Spanish initials), and valuable components such as citizen surveillance, decentralized management groups (GGD, by its Spanish acronym) and gender and intercultural approaches were also included.

- The results were achieved due to the appropriate characteristics of the ProDes model for strengthening capabilities/capacity. The technical assistance was built from a diagnosis of the service route, with the participation of local actors. The PMCS provided an understanding of each of step in a service deliver process and identified bottlenecks and opportunities for improvement within the service pathway. Furthermore, public officials from subnational governments understood the difficulties they were facing and identified training needs. The Program provided hands-on training ("learn by doing"), analytical tools and ongoing technical assistance. This allowed beneficiaries to find solutions for improved decentralized management without requiring budget increases. Likewise, with the feedback and constant support of the regional coordinators, the learned lessons were used to continue improving.

- The knowledge has been adopted and appropriated by the participating officials, since they valued the learning, applied it in practice, and considered themselves capable of reapplying what they had learned in another context. Nevertheless, the appropriation of knowledge– in terms of capacity development – at the institutional level was limited mainly due to three factors: i) high rotation among public officials, ii) insufficient systematization of the learning process customized to individual realities at the local level, and iii) limited knowledge transfer from public officials to their employers. Therefore, the institutional sustainability of the capacity development effort´s cannot be assured, despite the fact that ProDes included valuable elements that do contribute to the sustainability of the results, such as the work with appointed officials and the strategy of participatory prioritization of the sectors and services targeted in each department.

- Through citizen oversight teams, the population monitored the delivery of the service and proposed recommendations accordingly. This was a good practice for the GD promoted by the program. Public officials that had access to and coordinated with the teams understood the importance of promoting citizen participation and valued the results and information received from them.

- The setting up of decentralized management groups with the participation of all three government levels allowed articulated decision-making regarding prioritized services, enabled a shared vision on how to intervene, on the goals to be achieved, and on the decisions required to improve decentralized management.

- Gender and intercultural approaches were incorporated into main counterpart institutions through guides, training and technical assistance. The Ministry of Development and Social Inclusion (MIDIS), the Ministry for Women and Vulnerable Populations (MIMP) and the Ministry of Culture supported these efforts. At the service level, the greatest advance in the incorporation of both approaches occurred in CRED, especially in Amazonas.

What design and implementation factors contributed to or limited the achievement of results?

Program design included three important results to strengthen decentralized management: policy development, capacity strengthening, and citizen participation mechanisms.

In the implementation mechanism, the assumptions used to accomplish these results are not explicit, yet these implicit assumptions are valid and relevant to the design of the Program because they accurately identify the issues associated with decentralized management in this country. While a specific assumption on the high rotation of public officials in the country was not part of the design of the mechanism of implementation, ProDes staff acknowledged this reality and opted to work with permanent public officials. Conceptually, the design and mechanism of implementation of the Program were flexible enough to address such a complex process as decentralization. Nevertheless, it should be noted that in order to achieve the objective ProDes sought, an additional result focused on strengthening the governing role of the Executive Power was required. However, the national context where the tension between equilibrium and control of a unitary but decentralized state has not been resolved yet impedes the aforementioned, rendering the Program´s design sensible.

The Program´s implementing partner (IP) was successful in executing everything that was agreed with USAID. This implementation led to three big achievements:

1. Integrate into practice a conceptual model to improve decentralized management in subnational areas, which includes policy, capacity development, transparency mechanisms and citizen participation components.

2. Improve quality of public services. Significant time reductions were achieved in the distribution of school materials and in CRED waiting times, with an increase in the frequency of solid waste collection in targeted departments. These results were mainly due to the positive characteristics of ProDes´ capacity strengthening model.

3. Local actors were involved in decentralized management.

Achieving the sustainability of enhanced capabilities remains a challenge. The absence of a systematized learning process at the subnational government level makes it difficult for new public officials to assimilate the prior progress and learning. Additionally, the context ProDes faced, an unfinished

decentralization process, tension between autonomy and control, weaknesses in the governing role of the Executive Power, among other factors, framed the implementation of the Program.

What are the main remaining policy and management issues to be addressed in the near future that would further advance the decentralization reform process?

The main policy effort that should be undertaken by the Peruvian State, led by the Presidential Council of Ministers (PCM) and the governing sectors, is to improve the strengthening process of the governing role. The pending challenge is to align every actor of the GD pertaining to the three levels of government to think first in the citizen and provide increased wellbeing for every *sol* spent. For that reason, it is a matter of national interest to evaluate how decentralized public services are delivered, suggesting necessary improvements to make decentralized management more efficient. Proposed improvement actions should align to what has been established by the decentralization laws regarding its process: analyze public services through the use of value chains, identify tasks allocated to each actor, evaluate capacity, and assign functions based on four decentralization principles: subsidiarity, concurrence, provision and proportionality. A capacity strengthening program should be accompanied by a performance monitoring system of indicators for each service and by the continuity of the civil service reform.

Recommendations

Programs focused on improving decentralized management that involve working with public services should analyze existing situations using a value chain approach, including facts and figures, following the best practices learned through ProDes. This analysis would enable the identification of bottlenecks that restrain State actions to be executed efficiently and to take action to mitigate risks affecting intervention results.

Furthermore, USAID could systematize the experience with ProDes and share it with the Peruvian Government. This would require systematizing specific learning from each subnational area. This is different to the documents uploaded to the PCM knowledge platform given that, with a few exceptions, these refer to general methodologies and do not correspond to specific learning derived from individual local realities.

Finally, the Peruvian Government should strengthen the governing role to improve decentralized management of public services, and the linkages among the three levels of government involved in the process. In particular, efforts should focus on capacity strengthening of subnational governments. To strengthen capabilities, the Peruvian Government could take advantage of the knowledge generated in these 15 years of ProDes, particularly the last five years, adopting the positive elements of the ProDes model without forgoing the opportunities for improvement identified in this evaluation.

Resumen Ejecutivo

El Programa ProDescentralización III de USAID (octubre 2012 – octubre 2017) fue diseñado para mejorar la provisión de servicios públicos en medio ambiente, salud y educación a través del fortalecimiento de la gestión descentralizada. El presente documento corresponde a la evaluación final del desempeño del programa y el logro de sus objetivos.

Objetivo y Preguntas de Evaluación

El propósito de esta evaluación final es analizar y aprender del diseño, enfoque, metodología, herramientas y actividades que ha desarrollado el programa ProDescentralización (ProDes) para mejorar la gestión descentralizada (GD) en cinco departamentos seleccionados.

Las conclusiones, recomendaciones y lecciones aprendidas a partir de esta evaluación podrán ser de utilidad para diversos actores, incluyendo entidades del gobierno peruano, USAID, otras agencias de cooperación y otras organizaciones vinculadas con el proceso de descentralización.

La evaluación responde a tres preguntas:

1. ¿Cuáles son los resultados de ProDes en la mejora de la gestión descentralizada en los diferentes niveles de gobierno?
2. ¿Qué factores de diseño y ejecución contribuyeron o limitaron el logro de resultados?
3. ¿Cuáles son las principales políticas pendientes y temas de gestión descentralizada que deberían ser abordadas en un futuro próximo para avanzar aún más en el proceso de reforma de la descentralización?

El programa ProDes

ProDes fue ejecutado por Tetra Tech/ARD, bajo Contrato No. AID-527-C-12-00002, por un monto de USD 14,002,937 entre el 15 de octubre del 2012 y el 14 de octubre del 2017. Tuvo como objetivo mejorar la gestión descentralizada para prestar servicios públicos efectivos en los sectores de medio ambiente, salud y educación, beneficiando a la población tradicionalmente excluida en cinco departamentos de la Amazonía: San Martín, Amazonas, Madre de Dios, Loreto y Ucayali.

En cada departamento se priorizaron determinados servicios de manera participativa con los representantes de los gobiernos subnacionales y la sociedad civil. En San Martín, las autoridades de los gobiernos subnacionales que participaron del programa eligieron el servicio de distribución de materiales educativos y servicio de contratación docente. En Loreto, el servicio de Control de Crecimiento y Desarrollo del Niño (CRED). En Amazonas, el CRED y el servicio de Atención Pre Natal (APN). En Ucayali, el servicio de la Gestión Integral de Residuos Sólidos (GIRS) y servicio de educación ambiental. Finalmente, en Madre de Dios, el servicio de GIRS.

La estrategia del programa incluyó la mejora del marco político y normativo existente, el fortalecimiento de capacidades de los gobiernos subnacionales y de los mecanismos de transparencia y participación ciudadana.

Para el diagnóstico de desarrollo de capacidades, ProDes aplicó dos herramientas. Una es el Diagnóstico de Capacidades Institucionales (DCI), que evalúa las capacidades de los gobiernos subnacionales con responsabilidades en la provisión de los servicios priorizados. La otra es el Plan de Mejora de la Calidad del Servicio (PMCS), que evalúa la prestación del servicio priorizado en cada ámbito subnacional. A partir de los resultados de ambas herramientas se desarrolló el programa de desarrollo de capacidades.

Metodología

La evaluación no abarca todos los servicios priorizados y trabajados por ProDes. Esta evaluación se enfoca en los siguientes servicios: en San Martín, se evalúa el servicio de distribución de materiales educativos, en Ucayali y Madre de Dios, la GIRS, y en Loreto y Amazonas, el CRED.

La evaluación tiene un carácter cualitativo. En cada uno de los departamentos beneficiarios se realizó un muestreo de ámbitos locales para el desarrollo del trabajo de campo, seleccionándose en total 17 ámbitos subnacionales (distritos o provincias).

Se utilizaron herramientas como talleres regionales, entrevistas en profundidad a actores clave de los tres niveles de gobierno, aplicación de encuestas de satisfacción tipo Likert y revisión de información secundaria. En total, se realizaron 135 entrevistas presenciales y tres telefónicas a funcionarios del Gobierno Nacional (GN), Gobierno Regional (y sus unidades como DRE, UGEL, redes de salud), Gobiernos Locales (Municipios), equipos de vigilancia ciudadana, Centros de Salud, Instituciones Educativas (IE), entre otros.

También se aplicaron 62 encuestas Likert a funcionarios que, tras las entrevistas, mostraron que tenían un conocimiento amplio del trabajo realizado con ProDes. Finalmente, se realizaron tres talleres regionales, en las ciudades de Tarapoto (San Martín), Iquitos (Loreto) y Pucallpa (Ucayali). Esta información recogida en campo, así como la revisión de la información secundaria fue analizada para dar respuesta a las preguntas de evaluación.

Hallazgos y Conclusiones

¿Cuáles son los resultados de ProDes III en el mejoramiento de la gestión descentralizada en los diferentes niveles de gobierno?

- ProDes mejoró la gestión descentralizada en los servicios evaluados, pues la distribución de materiales educativos, la gestión integral de residuos sólidos y el CRED se brindan ahora de manera más eficiente al ciudadano en los ámbitos intervenidos. Además, se mejoraron las capacidades institucionales de los gobiernos subnacionales (GSN) participantes y se generó una producción de documentos normativos que mejoró la GD, y se incluyeron componentes valiosos como la vigilancia ciudadana, los grupos de gestión descentralizada (GGD) y los enfoques de género e interculturalidad.

- Los resultados fueron logrados por las adecuadas características del modelo ProDes de fortalecimiento de capacidades. La asistencia técnica se construyó a partir de un diagnóstico de la ruta de servicio, con participación de los actores locales. El PMCS permitió entender cada una de las etapas, los cuellos de botella del servicio y oportunidades de mejora. Además, los funcionarios de los GSN comprendieron las dificultades que estaban enfrentando e identificaron necesidades de capacitaciones. El Programa los entrenó con el ejemplo ("aprender haciendo") y les proporcionó herramientas de análisis, así como una asistencia técnica continua. Ello llevó a que los actores encontraran soluciones para mejorar la gestión descentralizada sin tener que requerir mayor presupuesto. Asimismo, con la retroalimentación y apoyo constante de los coordinadores regionales, se aprovecharon las lecciones aprendidas para seguir mejorando.

- Los conocimientos han sido adoptados y apropiados por los funcionarios participantes, pues valoraron el aprendizaje, lo aplicaron en la práctica, y se consideran capaces de volver a aplicar lo aprendido en otro contexto. No obstante, la apropiación del conocimiento a nivel institucional –en términos de desarrollo de capacidades- fue limitada, debido principalmente a tres factores: la alta rotación de funcionarios públicos, la insuficiente sistematización del proceso de aprendizaje aplicado a cada realidad local y la limitada transferencia del conocimiento de los funcionarios a la institución a la que pertenecen. Es por ello que no se puede asegurar la sostenibilidad institucional de los esfuerzos de desarrollo de capacidades, a pesar de que ProDes

incluyó valiosos elementos que sí contribuyen a la sosteniblidad, tales como el trabajo con nombrados y la estrategia de priorización participativa de los sectores y servicios en cada departamento.

- A través de los equipos de vigilancia ciudadana, la población se involucró en la vigilancia del servicio y planteó recomendaciones, lo cual constituyó una buena práctica para la GD fomentada por el programa. Los funcionarios que tuvieron acceso y coordinaron con estos equipos comprendieron la importancia de la promoción de la participación ciudadana y además valoraron los resultados e información obtenida por los equipos.

- La conformación de los grupos de gestión descentralizada (GGD) con participación de los tres niveles de gobierno permitió que articuladamente se decidieran los servicios priorizados, se constituyera una visión compartida sobre cómo intervenir y la meta a alcanzar, y se tomaran decisiones para la mejora de la gestión descentralizada.

- Se incorporaron los enfoques de género e interculturalidad en las principales instituciones de contrapartida a través del uso de guías, capacitaciones y asistencia técnica. Se contó con el apoyo del Ministerio de Desarrollo e Inclusión Social (MIDIS), Ministerio de la Mujer y Poblaciones Vulnerables (MIMP) y Ministerio de Cultura. A nivel de servicios, el avance mayor en la incorporación de ambos enfoques se dio en el CRED, especialmente en Amazonas.

¿Qué factores de diseño y ejecución contribuyeron o limitaron el logro de resultados?

El diseño del programa incluyó tres resultados para lograr el fortalecimiento de la gestión descentralizada: desarrollo de políticas, fortalecimiento de capacidades y mecanismos de participación ciudadana.

En el mecanismo de implementación del Programa no se explicitan los supuestos para alcanzar los resultados, pero los supuestos implícitos son válidos y pertinentes pues muestran con precisión los problemas de la gestión descentralizada en el país. Además, si bien en el diseño no se planteó un supuesto sobre la alta rotación de funcionarios en el país, los ejecutores de ProDes mostraron que eran conscientes de esa realidad y decidieron trabajar con funcionarios nombrados.

Como concepto, el Programa tuvo un diseño y mecanismo de implementación lo suficientemente flexible para abordar un proceso tan complejo como la descentralización en el país. No obstante, debe precisarse que para conseguir el objetivo que ProDes buscó se requeriría incluir un resultado adicional de fortalecimiento de rol rector del Poder Ejecutivo; pero, el contexto del país –donde no se ha logrado solucionar la tensión entre equilibrio y control de un estado unitario pero descentralizado– tampoco hubiese permitido avanzar en este aspecto, por lo que resulta sensato y pertinente que este resultado no se haya añadido al diseño de ProDes.

El ejecutor del Programa cumplió con implementar todo lo que se acordó con USAID. Esta implementación alcanzó tres grandes logros:

1. Plasmar en la práctica un modelo conceptual de mejora de la GD en ámbitos subnacionales, con componentes de política, desarrollo de capacidades y mecanismos de transparencia y participación ciudadana

2. Mejorar la calidad de los servicios públicos. Hubo una importante reducción de tiempo de distribución de materiales, disminución del tiempo de espera en CRED e incremento de la frecuencia de recolección de residuos sólidos en cinco ámbitos subnacionales. Estos resultados fueron consecuencia, principalmente, de las características positivas del programa de fortalecimiento de capacidades realizado por ProDes.

3. Involucrar a actores locales en la gestión descentralizada.

La implementación mantiene como reto conseguir la sostenibilidad de las capacidades mejoradas. La ausencia de sistematización de los procesos de aprendizaje de cada gobierno subnacional dificulta que los nuevos funcionarios aprovechen rapidamente los conocimientos generados. Además, el contexto al que ProDes se enfrentó - un proceso de descentralización sin terminar, la tensión entre autonomía y control, las debilidades del rol rector del GN, entre otros factores- fue un condicionante importante de la implementación del programa.

¿Cuáles son las principales políticas pendientes y cuestiones de gestión descentralizada que deberían ser abordadas en un futuro próximo para avanzar aún más en el proceso de reforma de la descentralización?

El principal esfuerzo de política que debe tomar el Estado peruano, bajo la dirección de la Presidencia del Consejo de Ministros (PCM) y los rectores sectoriales, es mejorar el proceso de fortalecimiento del rol rector. El reto pendiente es alinear a todos los actores de la gestión descentralizada de los tres niveles de gobierno para que piensen primero en el ciudadano y brinden mayor bienestar por sol gastado.

Por ello resulta una cuestión de interés nacional evaluar cómo se vienen brindando los servicios públicos de manera descentralizada, proponiendo las mejoras que sean necesarias para hacer más eficiente esta GD. Las acciones de mejora que se propongan tienen que estar alineadas con lo que las leyes del proceso de descentralización establecen: analizar los servicios públicos a través de la cadena de valor, identificar las tareas que tiene cada actor, evaluar sus capacidades, y asignar las funciones en base a los cuatro principios de la descentralización: subsidiariedad, concurrencia, provisión y proporcionalidad. Un programa de fortalecimiento de capacidades tiene que ir acompañado de la elaboración de un sistema de indicadores de seguimiento por cada servicio y con la continuación de la reforma del servicio civil.

Recomendaciones

En programas orientados a la mejora de la GD, se recomienda que ante cada intervención que implique el trabajo con servicios públicos, se analice la problemática de la cadena de valor involucrada en la intervención con datos y hechos, siguiendo las buenas prácticas que se aprendieron con ProDes. Con ello, se podrá conocer cuáles son los cuellos de botella que impiden que las acciones del Estado se realicen eficientemente, y tomar medidas para que no se pongan en riesgo los resultados esperados de sus intervenciones.

USAID podría sistematizar su experiencia con ProDes y entregarla al Gobierno. Para ello, la tarea pendiente es sistematizar los aprendizajes específicos en cada ámbito subnacional. Esto es diferente a los documentos colocados en la plataforma de la PCM pues, salvo casos particulares, estos documentos son metodologías generales y no corresponden a los aprendizajes específicos en cada realidad.

Finalmente, se recomienda que el gobierno peruano fortalezca el rol rector para la mejora de la gestión descentralizada de los servicios públicos, y a la vez generar la articulación necesaria entre los tres niveles de gobierno para llevar a cabo el proceso. En particular, los esfuerzos deberían estar centrados en el fortalecimiento de las capacidades de los GSN. Para llevar a cabo el fortalecimiento de capacidades, el gobierno peruano puede aprovechar el conocimiento generado en los 15 años de ProDes, en particular de los últimos cinco años, tomando los elementos positivos del modelo ProDes sin dejar de lado las oportunidades de mejora hacia el futuro que se han identificado en esta evaluación.

Description of the ProDecentralization Program

The third stage of the ProDecentralization Program (ProDes III) began in 2012 and ended in October 2017. The intervention focused on the departments of San Martin, Ucayali, Amazonas, Loreto, and Madre de Dios. This program was preceded by ProDes I, which ran from March 2003 to 2007, and by ProDes II, implemented from 2008-2012.

The main objective of ProDes I was to disseminate and implement decentralization reform. In the context of the sudden transfer of functions from the national to the regional and local levels, the Program focused on encouraging and putting decentralization reform into practice by strengthening democratic governance, promoting the institutionalization of good governance practices, and improving the capacities of public institutions and civil society organizations.

The purpose of ProDes II was to support the Peruvian State in expanding and strengthening the decentralization process, which would allow sub-national governments to better respond to constituents' demands and needs while improving the participation of citizens in decision-making forums and public management oversight. It was also focused on improving the management of government administrative systems.

ProDes III Program activities focused on five departments of the Amazon region **with the objective of improving decentralized management for the effective delivery of prioritized services in each of these departments.** The program's core hypothesis was that public services would be efficiently and effectively provided if they are managed in a decentralized manner by capable governments (and authorities).

Programs ProDes I and II were developed within the context of a decentralization process that was being started nationally; therefore, the focus was on strengthening this process through crosscutting initiatives and administrative systems. By contrast, ProDes III, the last program, changed its focus and concentrated on improving targeted services for the benefit of citizens in the context of decentralized management with greater intergovernmental and sector coordination.

To meet its objective, ProDes III targeted the achievement of three interrelated results served as its pillars. The following chart briefly describes the three intermediate results of the results framework.

Chart 1. Program Results Framework

Goal: To strengthen decentralized management for effective service delivery benefiting marginalized population in target regions

Result 1: Improved political framework
- Formulation of policies
- Promote and strengthen policy dialogues between governments and civil society
- Guidelines to apply approved and disseminated policies

Result 2: More efficient sub-national governments
- Strengthen public administration capacities
- Improve modernization of public administration systems and policies at sub-national level
- Achieve sectoral coordination between sub-national governments subnacionales
- Management capacity and response to social conflicts and disaster risk

Result 3: Transparency and citizen participation mechanisms
- Transparent government and effective use of independent control systems
- Increase citizen participation in participatory processes
- Improve and extend effective citizen surveillance committees

Source: USAID.

Result 1, "improved political framework", implied the provision of technical assistance to promote reforms and improve the regulatory framework in order to allow for more consistent decentralization policies and processes. These reforms should address the needs of sub-national governments and improve national systems and procedures, with an integrated government approach that fosters joint cooperation and planning between levels of government for the effective provision of public services.

Result 2, "more efficient sub-national governments", aimed at improving public administration and management in three sectors (health, education, and environment) by providing technical assistance and training to sub-national governments. This was the program's main result as it was focused on strengthening the daily operations of sub-national governments, making sure that all levels of government work in a coordinated manner (both vertically and horizontally), to offer better public services under a integrated state approach.

Result 3, "improved transparency mechanisms and citizen participation", implied joint work between ProDes, the government, civil society, and independent agencies to increase government accountability and citizen participation.

Annex 4 outlines the intermediate results related to each main result.

The ProDes implementing partner designed a work strategy comprised of six stages. The process starts by setting up a coordination space among sub-national governments (regional and local governments), followed by an assessment of these participating entities existing capacities and services, and culminates in the implementation of capacity-building and technical assistance plans. Participatory surveillance is the activity's sixth crosscutting stage.

17

1. **Formation of the Decentralized Management Groups (GGD)**

The Decentralized Management Groups formed part of the coordination strategy to improve the provision of public services as well as their territorial impact. They included one regional government (GORE), one local government (GL) and at least three district local governments. These were selected based on previously established criteria to achieve the greatest possible impact. The GGD sought to improve the quality and scope of the public services in priority areas of their territories, thus ensuring the integrated and decentralized government approach (ProDecentralization Program, 2012). Annex 5 presents details regarding GGD interventions by department.

2. **Defining the Prioritized Services**

The participating governments elected critical problems to address in the sectors of health, education, and environment (the sectors were pre-determined by USAID).

- Amazonas stakeholders selected chronic child malnutrition (health sector).
- San Martin stakeholders selected poor school performance (education sector).
- Madre de Dios and Ucayali stakeholders selected the need for comprehensive solid waste management (environment sector).

Critical issues could be addressed in a variety of ways. Therefore, sub-national governments participated in the selection of one or more services that needed to be strengthened (ProDecentralization Program, 2012).

In every participating department, the services were prioritized based on indicators, the scope of the problem, competencies of the different levels of government, existing performance gaps, and national and regional priorities, among others.

ProDes was focused on building individual and institutional capacities of sub-national governments to improve the decentralized management of prioritized services. According to the document that systematizes the ProDes coordination strategy in Madre de Dios, once the participating sub-national governments were identified for the improvement of a particular service, ProDes would start a process whereby institutional capacities were analyzed based on the prioritized service or the identified critical issue. The service was also analyzed, identifying the main management processes related to the targeted service and the obstacles to providing a timely quality service to the public.

The capacity development approach was based on two main tools: the Institutional Capacity Assessment (ICA), as described below, and the Service Quality Improvement Plan (PMCS), as described under the following sub-section.

3. **ICA and Capacity Building**

The Institutional Capacity Assessment (ICA) is a tool that evaluates the capacities of subnational governments responsible for the delivery of prioritized services. Applied on an annual basis with the participation of officials of subnational governments, it measures the existing institutional capacities of entities using a numeric scale. These capacities are incorporated as part of the five main functions of the State: planning, regulations, promotion of participation, administration and implementation, and supervision and control.

The ICA was based on the use of a numerical scale valuing existing capacities (physical infrastructure and personnel skills) and the functional capabilities. This scale generated an Institutional Capacity Index (ICI). The measurement of capacities provided information for two actions: (i) monitoring and self-evaluation,

using a baseline, and (ii) a series of capacity-building activities tailored to each entity for the more effective performance of functions.

The baseline considered the general functions of regional and local governments according to the legal system in place. Specific characteristics were outlined to describe how these functions are applied to the prioritized areas of each subnational environment. These characteristics describe the responsibilities of each entity in relation to the prioritized critical issue or service provision. The measurement of the existing institutional capacities assessed compliance with such characteristics. Following is a model of the valuation chart:

Functions	Characteristics	Installed capacities				Functional capacities				
		Hired personnel	Trained personnel	Suitable equipment	Average installed capacity	Start of implemen-tation	Minimum performance	Optimal performance	Average functional capacity	Total
Planning										
Regulations										
Promotion of participation										
Administration and execution										
Supervision and control										
Averages										

Source: ProDes, prepared in-house

Annex 6 provides a description of the general functions and the related strengthening interventions.

4. Service Quality Improvement Plan (PMCS)

The second tool is the PMCS, which assesses the delivery of prioritized services at the subnational level. A baseline was established for service quality and citizen perception of services. The service delivery management process and those responsible throughout the entire process were also identified, as well as the problems that prevented the population from receiving quality services on a timely manner. This evaluation provided the basis for defining interventions aimed at resolving the identified bottlenecks and problems.

The PMCS is a tool that may be applied in conjunction with or following the ICA (ProDecentralization Program, 2017). It is supplementary to the ICA as it focuses on the improvement of the prioritized service.

5. Training and Technical Assistance

ProDes provided training and technical assistance (CAT) using the ICA and PMCS as inputs. Through a CAT plan, a list of specific and relevant actions was prepared for authorities and municipal and regional officials of each decentralized management group (GGD). The CAT responds to the general objective of prioritized services and to the specific objectives of strengthening the institutional capacities of subnational governments and members of the decentralized management groups and developing basic public management tools. The plan details specific strategies for each GGD considering its target objectives and expected results.

6. Collaborative Oversight

ProDes promoted citizen participation as a key element that allows citizens to exercise their rights and the project to incorporate users' perspectives. Collaborative oversight is a mechanism whereby a group

of citizens is organized to monitor the services provided by public entities and inform the responsible parties regarding problems or opportunities for improvement. This seeks to empower and involve the civil society in order to achieve more effective service provision. Annex 7 presents a summary of actions of the oversight teams by service.

Within its intervention framework, ProDes worked with the three levels of government and various entities based on the prioritized service. Annex 8 presents a list of the participating subnational public institutions.

Program implementation context

Set of laws embodying the decentralization process (2002-2007)

In accordance with the Framework Law for Decentralization (Law No. 27783, Article 3), the purpose of the decentralization process is the comprehensive, harmonious, and sustainable development of the country through the separation of capacities and functions and the balanced exercise of power among the three levels of government for the benefit of the people.

Thus, decentralization is not an end in itself but a means for all the departments of Peru to achieve equal and higher levels of development and wellbeing. The rationale underlying the political and administrative decentralization of the State is that, for each Sol spent on public programs or interventions, the three levels of government should provide greater wellbeing with greater efficiency to citizens.

Decentralization is not based solely on the Framework Law for Decentralization. Since 2002, a series of laws and decrees were enacted that shaped the process. Seven main laws that were enacted before the design and implementation of ProDes III[1] have proved significant in framing the decentralization process. Annex 9 presents a detailed interpretation of this legal framework.

These laws, which were finally enacted in 2007, establish that Peru is an integrated and decentralized State; not just integrated or just decentralized. In accordance with the Organizational Law of the Executive Branch (LOPE, by its initials in Spanish), the needs of the population are met by the adaption of national policies to the different conditions of each territory by autonomous decentralized governments acting within their mandates as dictated by national policies and regulations.

This characteristic of an integrated and decentralized State, taken together with the creation of autonomous entities by the decentralization process, such as regional and local governments, shows the complexity of the issue. The decentralization process presents a permanent tension between the autonomy that subnational governments require to respond to the demands of citizens and the control that the national government must exercise to maintain the integrity of the Republic, the good use of public resources, and the supervision of the discretionary power of regional authorities. To maintain a balance means preventing autonomy from turning into autarchy, and control from turning into recentralization.

Based on an analysis of the decentralization laws, the evaluation team interprets decentralization implies the need to identify value chains for the services provided by the State. Based on such an analysis, the state assigns responsibilities are gradually and deliberately[2] according to the principles of the decentralization framework after certifying the capacity of stakeholders to fulfill the corresponding role in the value chain.[3]

In accordance with the Framework Law for Decentralization (2002), the function is assigned to the level of government that is: closest to the citizen; has the capacity to accomplish the task; and, proves that it

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[1] In 2002: Law on Constitutional Reform, Law on Regional Elections, Framework Law on Decentralization, Law on Territorial Demarcation and Organization, Organizational Law of Regional Governments. In 2003, Organizational Law of Municipalities and, in 2007, Organizational Law of the Executive Branch.

[2] In fact, Article 4 of the Framework Law on Decentralization (2002) states that "the activities of the government at its different levels are more efficient, effective and reach a larger number of people when carried out in a decentralized way. Subsidiarity assumes and requires that the assignment of competences and functions to each level of government be balanced and suitable in order for the State to deliver better public services to the community."

[3] Furthermore, Article 5 of LOPE (2007) states that "the transfer of competencies, resources, and functions of the entities of the Executive Branch to regional and local governments is performed as provided for by the decentralization laws, specifying the responsibility of each level of government in each matter, the relevant forms of coordination, as well as the resizing of the functions and responsibilities of those entities."

is able to fulfill such function at the lowest possible cost. According to the aforementioned law, the four decentralization principles are: (i) subsidiarity: the competency is assigned to the level of government that is closest to the citizen; (ii) proportionality: the competency is assigned to the level of government that demonstrates objectively that it is capable of carrying out the task; (iii) concurrence: the competency is assigned to the level of government that may carry out the task at the most reasonable cost, taking advantage of economies of scale and positive externalities, and (iv) provision: the level of government to which the competency is transferred will be provided with enough resources and skills to develop it.

In such context, the LOPE (2007) establishes that the Executive Branch "designs and oversees national and sectorial policies, which are mandatory for all entities of the State at all levels of government." This law, together with the others, documents the role of the Executive Branch in issuing compulsory policies to oversee the actions of stakeholders with regard to decentralized management, and to take corrective actions, if deemed necessary.

Decentralization process breakdown: the decentralizing shock (2007) and its subsequent consequences

Despite the existing legal framework for an orderly decentralization, the process did not follow the legal system's provisions. The 'decentralization shock' of 2007 ignored the decentralization principles:[4]

- Competencies and functions were not transferred in a gradual and orderly manner. Contrary to its design, decentralization was an accelerated process, and the certifying system was a mere formality instead of an efficient mechanism to appropriately identify the actual capacity gaps at the regional and municipal levels.
- The ministries, the governing bodies according to the LOPE, did not develop a comprehensive capacity-building plan.
- The principle of decentralization 'concurrence' was not questioned. The allocation of tasks and roles was carried out legally without analyzing the work chains and the production processes.
- Subnational governments were suddenly entrusted with a massive load of functions and responsibilities, without having the necessary resources or the appropriate capacities to provide timely, effective, and efficient services.

Moreover, the Executive Branch abandoned its governing role. It did not provide subnational governments with the resources required to fulfill their tasks; did not execute a comprehensive technical assistance plan; did not design follow-up and monitoring systems, corrective measures, or positive incentives, nor had in place political agreements to keep the country unified. In other words, the national government failed to address the issues concerning decentralization policies and the services to be delivered to subnational governments. In addition, the value chain analysis required for the process was not performed.[5]

A key milestone was the enactment, in January 2013, of the National Policy for the Modernization of Public Administration through 2021. A modern, results-oriented State is summarized in two key points for efficient decentralized management, which summarize all of the decentralization concepts contained in the legal framework:

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[4] According to the report on decentralization process prepared by the Office of the Comptroller General of the Republic (2014).
[5] However, decentralization is a constant and continuous process. The fact that the decentralizing shock and the suboptimal management of the process has generated difficulties in the current decentralized management does not mean that the process is over. Even though tasks have been allocated, functions may be reorganized following decentralization principles to achieve the objective of providing the best service to citizens for every sol spent, according to the Peruvian regulatory framework.

- First, production or work processes must be developed and streamlined (the value chain), along with their supporting processes, in order to achieve the levels of production expected by the population for public goods and services using resources as efficiently and effectively as possible.

- Secondly, the competencies and functions of the current functional structure must be reorganized at national, regional and local levels, adapting them to an organization based on value chain processes. This implies identifying responsible stakeholders, key inputs, timelines, and coordination spaces among levels of government and, following this analysis, assessing bottlenecks and reorganizing tasks in the three levels of government by applying the four decentralization principles.

Based on the aforementioned, ProDes developed its components within a State that exhibited weakness in the decentralization process and in the governing role of the Executive Branch. These characteristics provide a perspective on the decisions of ProDes for the analysis of Program results.

Relevant events during the Program (2012- 2017)

Regional and municipal elections were held in 2014. The new officials took office in 2015. Only four regional presidents were reelected. Regional and local electoral processes saw a prevailing trend for the election of regional political movements (ProDecentralization Program, 2015). New authorities replaced a total of 82% of subnational government authorities[6] that formed part of the evaluation. In Amazonas and Madre de Dios, all authorities, without exception, were changed. The new elected governor of Madre de Dios decided not to participate in the Program.[7]

During the government of President Ollanta Humala (2011-2016), the decentralization agenda was neglected. In general, the amount of time that had passed since the Framework Law for Decentralization was enacted had weakened the initial consensus that enabled decentralization and overlooked the purpose of contributing to the country's welfare and sustained development (ProDecentralization Program, 2015). Moreover, there were seven Prime Ministers during Humala's five years in government.

National elections were held in 2016. President-elect Kuczynski, when attending the first Decentralization Summit (2016), showed a willingness to reach out to regional and local authorities and achieve an agreement to strengthen national governance (ProDecentralization Program, 2017). On that occasion the president stated that decentralization had not worked and a radical change was needed that would bring communities closer to decision-making. The current government has promoted Executive Regional Governments. These are spaces where ministers dialogue with regional authorities and their technical teams (Secretariat of Decentralization, 2016). Five meetings of Executive Regional Governments have been held as of January 2018. The thematic topics of these meetings were: Unlocking Investments, Streamlining Legislation, and Developing Regional Territorial Agendas (Secretariat of Decentralization, 2016).

Chart 2 presents a timeline of the events described in this section along with select ProDes milestones addressed in the Program description.

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[6] According to the website of the National Electoral Board (JNE), "Consultation of National, Regional, and Municipal Authorities."
[7] During this government, before the 2014 elections, several serious corruption cases were reported. As a result, three regional presidents were imprisoned (from Cajamarca, Ancash and Pasco), one was sentenced to suspended imprisonment (from Cusco), and two are fugitives (from Tumbes and Madre de Dios). Likewise, one mayor and his girlfriend (from Chiclayo) were imprisoned.

Chart 2. Timeline of relevant events

	2012	2013	2014	2015	2016	2017
Context		Enactment of the National State Modernization Policy	Several serious corruption cases involving sub-national authorities	Elected authorities of GSN take office	National elections	
				Laws 30281 and 30230 considered recentralist	First Decentralized Summit	
ProDes	Start of Program	Formation of GGD	Modification of monitoring plans, and follow-up and evaluation under signature of addendum 4	Several serious corruption cases involving sub-national authorities	Based on the capacity assessment tool, the PCM publishes a tutorial	Program closing events
		First applications of ICA and PMCS				

Source: Prepared in-house

Evaluation objectives and questions

EVALUATION OBJECTIVES

The evaluation has the following objectives:

- To analyze the design, approach, methodologies, tools, and activities of the ProDecentralization Program.
- To identify good practices (and their sustainability) that have contributed to improving and strengthening the decentralized delivery of services within the scope of the Program.

Through these objectives, the evaluation seeks to distill lessons learned that USAID may apply to other interventions or provide support to decentralization processes or management, without necessarily having Programs in place for this purpose.

This evaluation has four main beneficiaries:

- USAID, in charge of the Program's implementation, through a contractor.
- ProDes direct beneficiaries at the three levels of government: national, regional, and local.
- Members of civil society that could benefit from the Program's experience.
- Other international donor agencies.

EVALUATION QUESTIONS

Based on the Terms of Reference (ToR) (Annex 1), the three main evaluation questions are:

I. What are the results of the ProDes III program in terms of improving decentralized management at the different levels of government?[8]

II. What design and execution factors contributed to or limited the achievement of results?

III. Which are the main remaining political policies and decentralized management issues to be addressed in the near future that would further advance the decentralization reform process?

The following paragraphs present the evaluation team's interpretation of each question.

First question: ¿What are the results of ProDes in improving decentralized management at the different levels of government?

This question encompasses five more detailed questions (sub-questions):

A) What strategy was applied for the Program's capacity building and how did it contribute to the sustainability of results at the institutional level?

To respond to this question, an analysis identifies the Program's capacity-building strategy, the results achieved and not achieved, as well as the adoption, appropriation, replicability, and sustainability of those capacities that were strengthened. These four criteria also applied to the evaluation of the application of the Institutional Capacity Assessment (ICA) and the Service Quality Improvement Plan (PMCS) tools.

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[8] With a focus on adoption, sustainability, and appropriation / sustainability of results.

The study also analyzes the relationship between the strengthened capacities and the decentralized management of services and their relationship with improvements in the frequency of solid waste collection, in the time taken to distribute materials, and in reducing CRED waiting times. The analysis also examines existing conditions that may contribute to the sustainability of these results.

B) What were the policies, regulatory documents, proposed methodology and the sustainability of contributions to the political and reform dialogue that had an effect on decentralization policy and decentralized management?

Two exercises were carried out through a systematization of regulatory documents and policies to strengthen decentralized management at the three levels of government. An evaluation was made to determine, first of all, to what extent such documents were adopted and institutionalized by the counterparts and, secondly, to establish to what extent the regulatory documents contributed to the decentralized management of services.

The study also analyzes the sustainability of improvements in individual and institutional capacities to elaborate standards and procedures.

C) Which cooperation and coordination tools and methodologies enabled a vertical and horizontal articulation between the levels of government and civil society?

The study describes how the Program, through interventions, was able to develop capacities at the various levels of government to meet the demands of civil society in a coordinated manner and not as individual solutions for each entity. The description analyzes the experience of the oversight teams and the decentralized management groups.

D) In what way did the government increase its responses to constituent demands using gender and intercultural approaches?

The Program's efforts to incorporate and mainstream the gender and intercultural approaches in the decentralized management of services and institutional counterparts were analyzed, as well as the current conditions to ensure the sustainability of such efforts.

E) To what extent did the Program's activities produce unexpected results and/or greater and broader effects in thematic and/or geographic terms?

The study presents unexpected results or results that had greater-than-anticipated effects that were not included in the Program's objectives.

Second question: What design and implementation factors contributed to or limited the achievement of results?

This question includes two more detailed questions (sub-questions):

A) What were the key implementation successes and challenges?

Using an integrated approach, the study presents the key successes and the factors that made them possible, as well as the key pending challenges to Program implementation.

B) Based on contracts and modifications, what are the Program assumptions, the scope and consistency of design objectives, and the design components? Were the definition and the setting of objectives and the measurement of indicators or variables consistent?

The evaluation provides a critical analysis of the results proposed by the Program and identifies the design elements that contributed to or limited the achievement of results. The results-based analysis also encompassed an examination of the Program assumptions since its design, the contract modifications, and performance indicators.

Third question: Which are the main remaining political policies and decentralized management issues to be addressed in the near future that would further advance the decentralization reform process?

The study presents the pending policies and decentralized management issues that must be addressed in the near future based on a review of secondary information, the opinions of key informants that were interviewed during the evaluation, and the opinions of the evaluation team experts.

Methodology and constraints

Evaluation scope

This evaluation covers the 2012-2017 period, which corresponds to the third phase of the Program's implementation. It is a final qualitative evaluation that incorporates multiple methods to respond to the evaluation questions. In this regard, it is not designed to identify or attribute impact; rather, it provides an in-depth examination of the intervention results, factors that facilitated and constrained these results, intervention processes, to reach conclusions, and to make recommendations.

The evaluation considers the three levels of government: the national level, through the sectors and institutions of the national government engaged in the services strengthened by the Program; the regional level, through the regional governments and their decentralized units in five departments, and the local level, through municipalities.

According to the evaluation scope, there are three prioritized services: In San Martin, the distribution of school materials; in Ucayali, the comprehensive management of solid waste (GIRS, by its initials in Spanish); and, in Loreto and Amazonas, child growth and development monitoring (CRED, by its initials in Spanish). Therefore, while the Program may have been involved with additional services (for example, the hiring of teachers in San Martin), this evaluation focuses on the three services mentioned above.

Sampling was conducted for each department, considering provinces and districts, to select the subnational governments that would be included in the evaluation. This selection, shown in Table 1, was carried out in a collaborative way by USAID, ProDes, and PGRD. The criteria for the selection of subnational governments were: (i) to be part of the Decentralized Management Group (GGD) of each department; (ii) to include at least one provincial municipality per department; (iii) physical accessibility and security; and, (iv) at least one of the subnational governments that was included in the midterm evaluation of the Program.

Table 1. Selected departments and municipalities

Department / Province	Prioritized area and service	Local levels[9]
San Martin (Lamas)	Education – Distribution of school materials	Provincial capital and the districts of Tabalosos, Zapatero and Barranquita
Loreto (Maynas)	Health – CRED	Provincial capital and the districts of Punchana, San Juan Bautista and Fernando Lores.
Amazonas (Condorcanqui)		Provincial capital and the district of Rio Santiago.
Ucayali (Coronel Portillo)	Environment – Comprehensive solid waste management	Provincial capital and the districts of Nueva Requena, Manantay and Campoverde
Madre de Dios (Tambopata)		Provincial capital and the districts of Inambari and Las Piedras

Source: prepared in-house.

Conceptual framework for the evaluation

To analyze the Program in an orderly, systematic and rigorous manner, this evaluation is based on the theory of organizations and the value chain theory, which inherently includes the analysis of processes and the cost-benefit analysis of decentralized management. According to the theory of organizations, the processes and systems are key factors that ensure coordination between groups and persons working in

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[9] With the exception of three district municipalities (Barranquita, San Juan Bautista and Fernando Lores were included in 2015), all other municipalities were part of the Program since 2013.

different physical spaces, in different entities, reporting to different managers, but contributing to the provision of a specific service.

The value chain theory considers the sequence of collaborative efforts made by different stakeholders and the identification of interdependent tasks. A value chain analysis identifies a sequence of activities that transform an input into a product, adding value to the product at each stage of the chain (better quality / price conditions, increased speed, user-friendliness, and convenience, among others; Porter, 1985). The value chain methodology[10] enables a systemic and comprehensive analysis of the achievements made by ProDes in improving decentralized management. This conceptual framework will be applied based on the scope of the Program, the mandate of the implementation mechanism, and the decisions made by the Program implementers.

There are two main reasons for using the value chain theory as the evaluation's analytical framework.[11]

The first is the Directive to develop the results-based decentralized management of public services (Secretariat of Decentralization, 2016). This Directive establishes a results-oriented management model to achieve greater 'user' satisfaction by allowing the organization of supporting and strategic production processes and operational activities along a "value chain" with the purpose of transforming inputs into products.

Under this model, to improve service delivery it is crucial to conduct a value chain analysis that identifies the interdependent relationships of stakeholders — intergovernmental and inter-sector coordination — to establish the sequence of activities (see Chart 3) that have an impact on the quality of life of the population of the country's different departments. This requires public entities to change their traditional model of functional organization — where there is no clarity with respect to the processes that must be followed for the delivery of public goods and services (according to the National Policy for the Modernization of Public Administration by 2021) — to a modern organizational model based on process management that will ensure that products or services have a positive impact on citizen satisfaction given the available resources.[12] Modern organizations thoroughly study how to optimize, formalize, and automate each of their internal processes along the value chain of production for the benefit of citizens. To that end, organizations must determine the most logical way to divide work, as well as the best coordination mechanisms.

Chart 3. Value Chain[13]
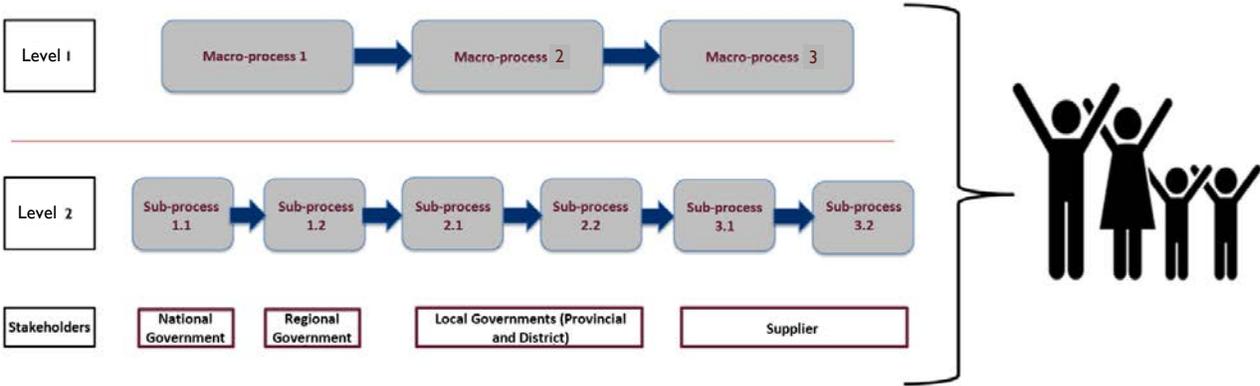
Source: Prepared in-house

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[10] This methodology was accepted by PGRD in the Inception Report.
[11] The process approach followed by ProDes during its implementation is consistent with the value chain, since one of main principles of the latter methodology is management by processes. It must be noted that the value chain of prioritized services differs from the service route of ProDes with regard to the number of processes and stakeholders considered, as shown in Charts 7, 8, and 9.
[12] Final report, "Design of the National Policy for the Modernization of Public Administration and a Proposal for the Implementation Strategy by 2016."
[13] A general version of the value chain. In practice, it goes as far as level four and several stakeholders may participate in a sub-process.

Secondly, the value chain approach provides an appropriate conceptual framework for the evaluation by facilitating the identification of the challenges encountered in the delivery of public services. In short, the value chain organizes processes/tasks and identifies production stakeholders for the delivery of a good and/or service.

The organization of processes and identification of stakeholders makes it possible to understand what problems may be solved to provide an adequate service, since:

i. It is possible to detect at which stages of the value chain the main bottlenecks are found. These may be caused by a lack of clarity in the allocation of stakeholder responsibilities, duplication of functions (the law may be confusing and no one understands his/her function (a space for shifting responsibilities among stakeholders), weaknesses in regulatory frameworks, inability of the leader to comply with his/her functions, coordination and communication flaws, and misaligned incentives, among others.

ii. All stakeholders with functions along the chain value are evaluated to determine if they have the skills required to carry out their tasks.

iii. The activities and operations among stakeholders are evaluated in order to identify current coordination and communication weaknesses.

iv. The existence of different incentives among stakeholders for the delivery of services is evaluated.

Moreover, the service value chain allows an analysis to determine if the current allocation of functions is optimal for service delivery. While one of the main principles of function allocation is subsidiarity (according to the Framework Law for Decentralization), i.e. the level of government that is closest to the population must carry out the task, the principle of concurrence, which requires that a task be assigned to the most efficient stakeholder, is often disregarded. Mediating between these principles requires a cost-benefit analysis of decentralized management, which consists of determining which option is best for the delivery of a public good or service.

Methodology

The evaluation applies a predominantly qualitative methodology as well as the use of different primary and secondary information sources to answer each of the evaluation questions. Annex 3 details the study's data collection tools.

With regards to primary information, the following data collection techniques were employed (Annex 10 describes the fieldwork):

- **Semi-structured interviews with key respondents.** Applied to the beneficiaries of the Program at the three levels of government and the representatives of the citizen surveillance teams. Annex 11 presents a complete list of the institutions interviewed and Annex 12 presents a list of the individuals interviewed. These interviews gathered information on the participants' experiences with the Program, their insights on the work performed, and the changes in decentralized management found at beneficiary institutions. A total of 127 persons were interviewed (124 were face-to-face interviews and 3 were telephone interviews).

- **Satisfaction and opinion surveys on the program** from stakeholders who demonstrated a significant knowledge of the Program's work. Surveys were conducted anonymously following the in-depth interviews using Likert scales (from 1 to 5) to measure satisfaction and perceptions regarding the Program. The evaluation included a total of 69 individual surveys. Annex 13 shows the survey results.

- **Regional workshops in San Martin, Loreto y Ucayal**i were carried out following the semi-structured interviews and the satisfaction and opinion surveys. Members from the decentralized management group (GGD), the Local Education Management Unit (UGEL), the health network and micro-network, and the education network were invited to participate. The workshops had three objectives: (i) validation of the service provision problems identified by ProDes; (ii) validation of the changes achieved by ProDes in the decentralized management of services; and, (iii) discussion of the key points of the Program's work. New satisfaction and opinion surveys on the problems relating to the services were carried out in the workshops in individual and group environments. Over 30 persons participated in the workshops. The team conducted 40 individual surveys[14] and 8 group surveys[15].

The **review of secondary information** included the documents prepared by the Program during execution that were available and relevant to the evaluation. Annex 2 lists the principal main documents included in the review.

The team used triangulation to validate findings during the analysis using the qualitative and quantitative information gathered during study. The triangulation and the different information sources and data collection tools used to respond to each evaluation question are summarized in the evaluation matrix presented in Annex 14. The evaluation matrix illustrates how the team has sought answers to the evaluation questions and sub-questions. It presents the methodology, information sources and data collection tools. Answers to the question are the result of the triangulation of all this information. An example is given below.

Table 2. Excerpt from the Evaluation Matrix

Evaluation question	Evaluation sub-question	Development question	Methodology	Information source	Tool
What are the results of the Program on improved decentralized management at the different levels of government?	What capacity-building strategy did the Program apply, and how did it contribute to the sustainability of institutional results?	To what extent have the efforts for the development of human and institutional capacities in decentralized management been adopted, appropriated and replicated at all levels of government?	In-depth interviews	Key respondents	Interview guide
			Documentary analysis	Quarterly and annual reports, ICA.	Information processing matrix

Source: prepared in-house.

For the development question: "To what extent have the efforts for the development of human and institutional capacities in decentralized management been adopted, appropriated and replicated in all levels of government", a triangulation was made of the information gathered from in-depth interviews with key stakeholders, such as the beneficiaries in sub-national governments and the Program's implementers (senior management and regional coordinators). In addition, quarterly and annual reports provided by ProDes were thoroughly examined, as well as the ICA results and other documents that summarize the ProDes experience.

The evaluation matrix provides a synthesis of the team's evaluation culture: using information gathered from a variety of sources, that describes the program interventions and evaluates them objectively using the evaluation questions and presenting figures, data, and facts to substantiate its findings.

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[14] These surveys consisted of two parts; the first on satisfaction with ProDes and the second on the perception regarding service problems.
[15] These surveys also consisted of tow parts: the first on satisfaction with ProDes and the second on the perception regarding service problems.

Constraints

The study has one main methodological constraint: the change in management at the regional and local levels resulting from the 2015 elections led to a rotation of authorities and officials. This made it difficult to contact officials that had both knowledge of the work carried out by the Program prior to the elections and an awareness of the results and achievements made to date. In the face of this challenge, key respondents were selected carefully to obtain as much information as possible regarding both periods.

Basic definitions

The following paragraphs provide a summary of the definitions applied in this evaluation. These are based on dictionaries and research documents consulted by the evaluating team. They also describe the concepts and strategies used by the Program.

On the concepts of adoption, appropriation and replication of capabilities

   i. Adoption:[16] the capability of officials who received training and technical assistance to apply what was learned from ProDes. This includes evidence of the application of these capabilities during the execution of the Program (Cambridge, 2013).
   ii. Appropriation[17]:
      a. At the level of individuals: the affirmation from officials who adopted capabilities that they value what they have learned and may repeat the practices they learned. This means that the official has internalized the good practices that s/he adopted and knows how to repeat what was taught (Marin, 2012).
      b. At the level of institutions: it implies the systematization of the knowledge generated, so that not only participating officials may appropriate the knowledge but that also other officials may be aware of the work, value it, and incorporate it in the performance of their functions. This learning must be reflected in a formally approved document.[18]
   iii. Systematization:[19] to periodically prepare and distribute material and manuals regarding what was learned to each implementation site (Acosta, 2005).
   iv. Replication (Cherry, 2017):[20]
      a. At the level of individuals: an official's application of acquired knowledge in other territories and in the delivery of other public services.
      b. At the level of institutions: the capability of entities to apply new methodologies in the delivery of other public services.

On the concepts of institutionalization and adoption of regulations

   i. Institutionalization: regulations and their amendments are officially approved.
   ii. Adoption: public officials implement institutionalized regulations and include them in the performance of their functions.

On the practice-to-policy approach

According to the "Guide for the replication of decentralized public management experiences" (USAID ProDecentralization Program 2013), this approach seeks to replicate public management experiences that decentralized governments have implemented or are currently implementing, in order to strengthen national or sub-national governments. The replication experience must focus on enhancing the direct provision of services, the improvement processes, or institutional reform. The

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[16] Based on the definition provided by the Cambridge dictionary, which defines adoption as "accepting or starting to use something new."
[17] Based on the definition of appropriation of knowledge developed by Marin (2012). Individuals embrace knowledge as a useful and necessary element for their benefit and to their advantage. From the viewpoint of society, appropriation depends on the easy access, suitable communication and utilization by the different stakeholders.
[18] Within the framework of capacities, the World Bank (2009) identifies two levels of learning / appropriation: i) at the level of individuals or group of individuals that improve knowledge and skills; and ii) changes in the interaction among individuals or groups of individuals with organizational abilities, reflected in the improvement of processes, services, and/or products.
[19] Based on the definition developed by Acosta (2005). Systematization is a permanent, cumulative knowledge production process based on the experiences of the interventions in a social reality.
[20] The definition was coined based on the concept used in psychology (Cherry, 2017). Replication refers to repeating a study in different situations and with different subject to validate if it could be applied under other circumstances.

implementation mechanism established four pillars for this model: (i) practice; (ii) knowledge management; (iii) communication and dissemination; and, (iv) institutional reform.

On the sustainability strategy

According to the information provided by the Program, the sustainability strategy put forward by ProDes includes the following eight elements:

i.   Alignment with national and regional policies, and with the five departments' priorities.
ii. To determine the selection of sub-national governments, ProDes required: political will and the involvement of the responsible technical teams, and the prioritization of the participation of the designated personnel.
iii. Inclusion of the appointed personnel and accompaniment to SERVIR to address the rotation of personnel.
iv. Institutionalization of developed and validated processes, tools, and approaches together with public institutions.
v.   Support to governing entities, except for the Ministry of Health (MINSA) by express instruction of USAID.
vi. Technical assistance to the Office of the Comptroller General of the Republic during and after the electoral processes supporting an orderly and efficient transfer of mandate and capabilities.
vii. Development of methodologies and tools that have the potential for replication by other public institutions.
viii. Alignment with associations of subnational governments, and with other USAID programs and projects, international cooperation agencies, and Peruvian NGOs.

Definition of Centralized Management within the context of Peru

Lastly, for the development of this evaluation, the PCM provides a conceptual definition of Decentralized Management for the Peruvian context:[21]

"The embodiment of the results-based management model with a multi-level and territorial approach, which translates into a set of processes that are defined, coordinated and agreed among the three levels of government, for the delivery and continuous improvement of public services for citizens, with a focus on territory, gender, cultural diversity and inclusion, subject to the principles of shared responsibility, complementarity and subsidiarity, in compliance with the national and sector policies."

This definition is consistent with the decentralization legal framework presented previously. It includes all the components considered essential for decentralized management, such as defined processes, coordination, and concerted action among the three levels of government, aimed at improving public territorial services, based on decentralization principles and in compliance with guiding policies.

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[21] Directive of the Presidency of the Council of Ministers No. 001 – 2016 – PCM / SD.

Findings

The consulting team will respond to the three evaluation questions using primary information, gathered through fieldwork, and secondary information.

Results of decentralized management

What are the results of the ProDes III program in terms of improving decentralized management at the different levels of government?

This question includes five sub-questions. The evaluating team has reorganized the presentation of these sub-questions, as compared with the TOR, to provide a fluent presentation.

Capacity-building strategy

What strategy did the Program apply for capacity building and how did it contribute to the sustainability of results at the institutional level?

The following questions will be answered in this section:

- To what extent have efforts to develop human and institutional capacities in decentralized management been adopted, appropriated and replicated in all levels of government?

- To what extent have the efforts to develop human and institutional capacities in decentralized management contributed to the sustainability of results in all levels of government?

The answer to this sub-question is structured as follows: i) identification of capacity-building strategies and their implementation; ii) results owing to the improvement of decentralized management; iii) adoption, appropriation and replication capacity; and, iv) the sustainability of results.

In brief, the answer to the sub-question highlights the following:

- The capacity-building strategy was focused on the development of institutional capacities—at the level of participating governments—and on the strengthening of the capacity of stakeholders participating in the service provision pathway.
- Technical assistance in capacity building was based on the reality of the local situation. The intervention identified and assessed the issue; included a self-assessment exercise; had a participatory approach; was complete and comprehensive (starting with an analysis of the issue, providing support, technical assistance, and feedback on results), and applied the "learning by doing" approach. Officials of the sub-national governments positively valued both the methodology employed and the results achieved.
- Improvements are evident in the decentralized management of prioritized services and in the overall institutional management of the levels of government participating in the program. As a result of these improvements citizens are provided with improved services.
- The officials who participated in the Program and received technical assistance have implemented what they have learned and believe they may continue to apply the practices they learned. Thus, the adoption of improved individual capacities and the appropriation at the level of individuals have been achieved.
- Appropriation at institutional level, in terms of capacity-building efforts, was limited mainly due to three factors: the high rotation of public officials; the inadequate systematization of the

learning process applied to each local situation, and the limited transfer of knowledge of officials to a specific area.

- As a result of the limited institutional appropriation, and essentially due to the inadequate systematization of knowledge applied to each situation, the sustainability of capacity-building efforts at the institutional level cannot be ensured.

On the capacity-building strategy

The ProDes capacity-building strategy consisted in applying two tools: the Institutional Capacity Assessment (ICA) and the Service Quality Improvement Plan (PMCS). The first tool evaluated the capacities of sub-national governments and the second addressed the service provision performance.

At the start of the Program (2013), the ICA was applied prior to the PMCS for all the cases that were part of the evaluation.[22] For example, in the case of San Martin, the first ICA of sub-national government was applied in May 2013, while the first PMCS was applied in September of the same year.

Both tools were applied to different stakeholders, as follows:

- The ICA diagnosed capacity issues linked to the decentralized management of prioritized services in each region. In cases where the ICA focused on stakeholders that did not participate in the delivery of prioritized services, the assessment measured capacities that contributed to the decentralized management of sub-national governments in general, but were not necessarily related to the targeted service.[23]
- The PMCS was focused on the direct delivery of services. It was applied to the entities executing the services: health centers for CRED; UGEL for school materials, and district municipalities for GIRS. This tool did not analyze the activities that other actors may carry out in delivering services that were part of the Program's intervention, such as the Health Regional Bureau (DIRESA) in the case of CRED.

The initial ICA (the baseline) and the subsequent capacity assessments considered the five general functions of sub-national governments in State administration.[24] Taking this baseline as the starting point, a capacity-building plan was prepared based on the prioritized service or issue and on the functions of each sub-national government. The ICA was applied annually in all locations.

An example that illustrates this initial assessment is the ICA result of 2013 concerning comprehensive solid waste management (GIRS) in the Tambopata provincial municipality and the district municipalities of Inambari and Las Piedras of Tambo:

- The assessment revealed a lack of existing capacity (number of personnel, trained personnel, and equipment) to successfully carry out the solid waste management functions assigned by law.
- The ICA pointed out that the functions relating to service provision were not fulfilled and that no fundamental actions were taken with respect to the GIRS. The functions and actions were also not included in the relevant management documents.

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[22] Taking into account the publication dates of documents.

[23] Essentially, as will be further discussed below, the municipalities of those departments where the CRED and the distribution of school materials were carried out, as well as the regional governments where the GIRS was implemented do not participate in the provision of prioritized services.

[24] Planning, regulations, promotion of participation, administration and execution, and supervision and control.

- The average ICA obtained from the three sub-national governments was 1.35 out of a total of 4. The highest score of 1.47 was obtained in relation to the promotion of participation and the lowest score of 1.00 was linked to supervision.

The initial diagnosis of the PMCS included the fourth level of detail of the analyzed service route[25]. This assessment allowed the preparation of specific service routes that analyzed the provision of services to understand how they worked in relation to the participating stakeholders, those responsible for the service, the measurement of working hours and service provision periods, and the existing issues. Based on this analysis, solutions were discussed in a participatory manner and capacity-building strategies were developed for the assigned functions. Charts 4, 5 and 6 show the pathways identified by ProDes.

Chart 4. GIRS service route identified by the Program

| Solid waste generation | → | Solid waste collection | → | Transportation | → | Segregation | → | Waste re-use | → | Final disposal |

Municipality
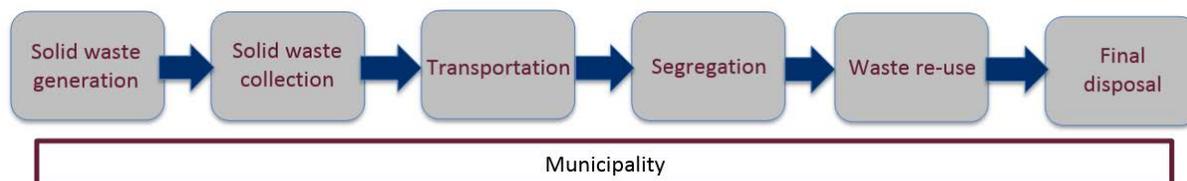
Source: prepared in-house.

Chart 5. CRED service route identified by the Program

| Scheduling of appointments | → | Management of medical records | → | Arrival of patients | → | Admission | → | Triage | → | Infirmary (controls) |

Health Center
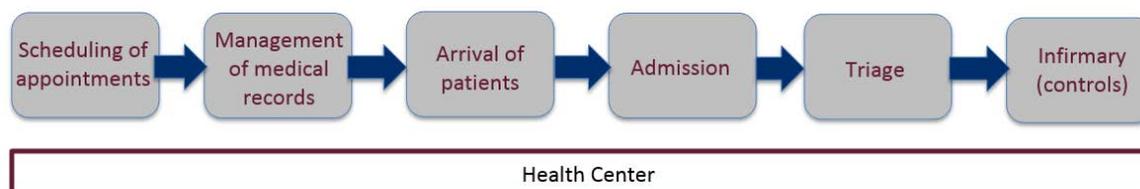
Source: prepared in-house.

Chart 6. Service route of school material distribution identified by the Program

| Regional planning and distribution | → | Hiring of transportation supplier | → | Distribution to EI | → | Certification of delivery |

UGEL
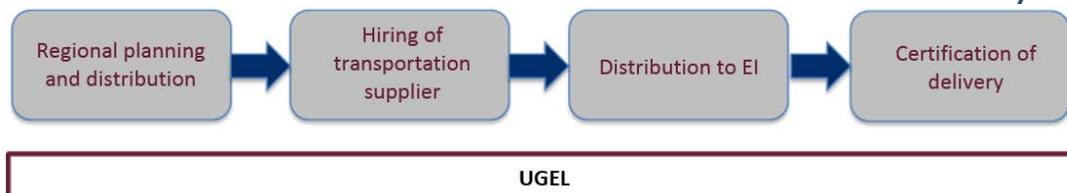
Source: prepared in-house.

Capacity-building consisted not only of courses to train officials on how to adopt better practices in their work, but by features that were valuable in achieving Program objectives, including:

- **Technical assistance was based on actual local situations**.

- **Assistance was based on the identification and assessment of problems**. The Program understood the service problems and considered the citizens' perspective, which led to a capacity-building strategy focused on the main issues of the service pathway. This pathway and its issues were clearly described and supported by figures, data, and facts.

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[25] There were three levels: one for each prioritized service.

- **Capacity building included a self-assessment exercise:** this exercise raised officials awareness on two fronts: (i) the capacities required to perform the relevant functions within the scope of their mandates; and, (ii) the actions to be prioritized to respond to the needs and expectations of citizens through the delivery of quality public services in their territories. By understanding the problems, the officials accepted the difficulties they were facing and developed solutions or proposed training to address the situation.

- **Assistance was participatory.** ProDes allowed and encouraged the participation of local stakeholders and leaders in the selection of training courses. Furthermore, these stakeholders, with the support of ProDes, looked for solutions to improve decentralized management without requiring a greater budget.

- **Assistance was complete and comprehensive.** ProDes understood that technical assistance implies not only organizing workshops or courses, transferring resources, or providing manuals. The Program offered continuous technical assistance, providing support and advice to the work of officials. Thus, it became an actor that was close to the officials and helped them improve without imposing an external agenda. It also provided manuals, systems, contract templates, etc. to strengthen decentralized management.

- **"Learning by doing".** ProDes was aware that it was not easy for officials to apply methodologies or procedures regulated by the national government, so it taught sub-national governments, by example and support, how to use the State's public management and administration tools.

Results in the improvement of decentralized management

Following the initial measurement of the sub-national governments that were included in the scope of the ICA, institutional capacities improved in almost all cases. According to Program reports, the Institutional Capacity Index (ICI) of all the regions showed an average increase of 69% between 2013 and 2016 (Annex 15). The greatest progress was made in Madre de Dios and San Martin, departments that started the Program with the lowest ICI. The capacity-building activities of the Program made it possible to increase the average ICI of departments.

Table 3. Indices of Institutional Capacities (ICI) per region

Department	ICI 2013	ICI 2016	Progress %
Amazonas	2.23	3.05	39%
Loreto	2.27	3.08	39%
Madre de Dios	1.35	2.49	84%
San Martín	1.37	3.10	130%
Ucayali	1.83	2.66	47%

Source: Program Annual Reports
Prepared in-house

Significant improvements were also achieved in service provision. According to the Program's annual reports, the school materials distribution time was reduced in the UGEL of Lamas from 81 days in 2013 to 10 days in 2017. From 2013 to 2016, the average frequency of solid waste collection in Madre de Dios and Ucayali increased 1.7 times per week to 3.9 times, in average. The average waiting times in the health centers of Amazonas and Loreto were reduced from 103 minutes in 2014 to 83 minutes in 2016. Annex 16 shows the details per department.

An analysis of each prioritized service found that:

i.   **With regard to GIRS,** capacity building was developed in a context where service provision depends mainly on municipalities. The amendments and updating of the Organization and Function Regulation (ROF, by its initials in Spanish) repositioned services in municipal entities. Directives were developed and updated with the purpose of improving tax collection in the seven local governments that were part of the evaluation.[26]

ii. Thanks to ProDes technical assistance, some municipalities were able to solve their issues. For instance, the technical analysis of routes; frequency and times of solid waste collection; establishment of procedures to report problems and to maintain collection units; use and control of the quantity of fuel needed for service provision, as well as the standardization of registration forms for data collection (e.g. volume collected, routes served, and collection times, among others), and the design of a communication plan to publically disseminate information regarding the service.

iii. **Concerning CRED**, capacity building was carried out in a context where service provision lies primarily in national and regional entities.[27] At the regional level, work relating to coordination with health centers (HC) was carried out with the DIRESA. With municipalities, the work consisted of aligning the budgetary systems with institutional municipal plans, such as the Institutional Operative Plan (POI, by its initials in Spanish). As a result, stakeholders have a more precise calculation of the costs of activities included in the POIs and those that are implemented on a daily basis.

iv. Technical assistance to health centers focused mainly on service administration. Activities such as the orderly organization of medical records, registration of medical appointments and services in general were carried out based on shared programming. This work translated into an improved perception of service quality by the public.

v.   **The distribution of school materials** also depends mainly on national and regional entities.[28] Only where there are agreements in place between the regional governments and local municipalities does the latter contribute to the distribution of school materials. For example, district municipalities provided support to the UGEL in Lamas in the assembly of educational kits for students. The technical assistance to the UGEL strengthened its capacities in building better relationships with suppliers, entering into service agreements, and following up and evaluating the transportation service, among others.

vi. At the regional level, work was carried out with the Regional Health Bureau (DRE) in preparing the curricula and educational projects, among others. The work of promoting citizen participation and aligning budgets with municipal plans was performed in a joint effort with local municipalities.

Based on these findings, the capacity-building strategy managed to:

▪   Improve the decentralized management of services by reducing the times of distribution of school materials and the waiting times for the users of the CRED service, and by increasing the frequency of solid waste collection.

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[26] Madre de Dios: provincial municipality of Tambopata, and district municipalities of Las Piedras and Inambari. Ucayali: provincial municipality of Coronel Portillo, and district municipalities of Nueva Requena, Campoverde and Manantay.
[27] Health centers and health networks depend on regional governments.
[28] The UGELs and education networks depend on regional governments.

- Improve the decentralized management of sub-national governments relating to the five functions analyzed by ProDes with respect to the responsibilities of sub-national governments in terms of the critical issues or prioritized services of each department.

However, not all capacity-building efforts contributed to the provision of prioritized services. Some stakeholders, such as local municipalities, don't necessarily have clearly delineated mandates for the provision of targeted services.[29] This is why not all the work carried out with municipalities has contributed to improving the decentralized management of prioritized services, except in the case of comprehensive solid waste management.

This does not imply that the overall decentralized management of sub-national governments has not improved, since it is obvious that the work performed by ProDes relating to the five functions of the ICA achieved positive results, as evidenced by the evolution of the ICA. A critical issue was identified in each department that was later resolved in a participatory manner through a prioritized service, taking into account that an issue may be addressed through diverse services (for instance, low learning achievements may be improved when school materials are delivered on time, or better teachers are hired).[30] The improvements in decentralized management linked to prioritized critical issues are clear, taking into account the mandate of each stakeholder with each prioritized critical issue.

However, as a result of working with stakeholders that do not participate directly in the provision of services, the ICA evaluated general responsibilities, not applied to prioritized services. Except in the cases where the stakeholder had specific competencies in service provision, the attributes used to describe functions focused on the department's critical issue, which lacks specificity to provide an understanding of the capacities required for service provision. For example, the attribute of the ICA for the regional government of San Martin is the "Management of the Operative Plan / Institutional Budget" within the administrative function. Thus, this attribute evaluates the execution percentage of the goals in general, not necessarily the percentage related to the distribution of school materials or to the education sector in general.

The following table shows the figures relating to the attributes of the ICA of regional governments and municipalities (added per service) according to the degree of relation with the prioritized service. Annex 17 presents the attributes in detail along with a more in-depth analysis.

Most attributes have an indirect relationship with the Program's prioritized services or a relationship that is difficult to discern. Thus, in departments where comprehensive solid waste management (GIRS) was prioritized, 35 out of 39 functional attributes were directly related to the prioritized service; in departments where the CRED was prioritized, 1 out of 26 attributes were directly related to the service (20 of them were related to the reduction of chronic malnutrition in general), and only 1 out of 31 attributes were directly service related in the department where the distribution of school materials was prioritized (the rest refer to improvements in the quality of education in general).

Table 4. Figures of ICA attributes according to the relationship with the prioritized service

Degree of relationship with service	GIRS	CRED	School materials
Direct relationship with prioritized service	35	1	1
Indirect relationship via critical issue	4	20	15
Relationship with the sector in general	0	1	13
No relationship	0	4	3

Source: prepared in-house

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[29] In the case of school materials, an agreement must exist between the regional government and the local government so that the latter may have responsibilities in the service provision.

[30] As mentioned in the previous paragraph, the work carried out with municipalities in terms of health and education does not contribute to the prioritized service, but it does contribute to the critical issue.

Therefore, since the service route was focused on the direct provision of the service (the PMCS effort was geared in this direction), and the ICA was not always applied to stakeholders responsible for the decentralized management of the service, the capacity-building strategy of ProDes did not encompass all of the weak points of decentralized management for prioritized services.

During the interviews, stakeholders mentioned that decentralized management issues persisted in relation to prioritized services. It should be pointed out that some of these issues are outside the scope of the strategy implemented by ProDes (e.g. design of service pathway) or outside the scope of an international agency program. Those within the scope constitute lost opportunities for the Program, as specified below.

Table 5. Persistent decentralized service management issues outside and within the program scope

Service	Persistent issues	
	Within the scope of the Program	Outside the scope of the Program
GIRS	1) Municipalities do not perceive a lead role on the part of the Ministry of the Environment (MINAM), and have no coordination with regional governments. 2) Members of the surveillance teams and those responsible for GIRS in municipalities stated that more communication activities are needed—besides those carried out during the San Juan festivities— to raise awareness among the population on collection schedules and recycling. 3) There is no monitoring, evaluation and oversight of municipal management.	1) Lack of enough transportation vehicles makes it difficult to meet collection schedules. Vehicles are not equipped to access specific areas. 2) The sub-optimal condition of shared dumpsites generates congestion problems and affects collection schedules.
CRED	1) There is a coordination plan for the functions of each stakeholder, but it is not implemented due to a lack of oversight on the part of the DIRESA.	1) In Loreto, software for scheduling appointments was developed. It is not fully deployed due to the lack of computers and official recognition. 2) No discussions have been made regarding compliance with the technical regulations. The need to meet coverage goals and consider the criteria of physicians, as the case may be, may be stressed in order to comply with the established 45 minutes. 3) The roles of each stakeholder are not clearly established, and everything is left to the health center, which lacks sufficient resources.
School materials	1) Materials are transported and delivered in a disorganized way; each area is in charge of contracting the services. At the national level, contracts are made by type of material, not by kits. 2) The redistribution of surplus material and the requests for missing material are persistent issues. The Ministry of Education (MINEDU) uses the historical statistics to set the budget, buy materials, and prepare distribution lists. 3) There is no comprehensive monitoring process in place. 4) There are no inventories and no appropriate secure spaces are available to store school materials during school vacation periods.	

Source: prepared in-house.

Adoption, appropriation and replication

Adoption

Implementing the capacity-building strategy allowed officials involved in the Program to adopt the practices learned. They applied national methodologies to regional realities and came out with solutions for the issues relating to service provision. For example, they applied the directives of the National Center for Strategic Planning (CEPLAN, by its initials in Spanish) to develop Institutional Operative Plans (POI), Institutional Strategic Plans (PEI), and Concerted Development Plans (PDC). They also issued directives according to the prioritized service.

The applied tools were also adopted as part of the capacity-building strategy. Technical teams were set up to apply the ICA on an annual basis and the PMCS on an intermit basis, depending on the entity.

Appropriation

There is evidence to support that there is appropriation at the individual level. Officials indicated that they are able to replicate work based on the lessons learned. In other words, they are capable of preparing management documents, mainly POIs, and perform actions relating to the prioritized service or the topics addressed by the Program. People that were part of the technical teams of sub-national governments are also able to apply the ICA.

At the institutional level, three factors made it difficult to establish the conditions for appropriation:

i.   <u>New officials in key positions with limited knowledge of the Program.</u> Rotation is a reality: out of 61 interviewees, 13 were new officials holding key positions (21%). They knew little about the Program and it was difficult for them to include such knowledge in the performance of their functions. This factor is beyond the control of ProDes since it is a generalized problem of the Peruvian state limiting institutional appropriation.

ii. <u>No systematization of the learning process.</u> No learning guides and protocols were prepared or left behind periodically (i.e. not only at the end of the Program but also during implementation on at least an annual basis) to systematize knowledge in the event that new officials entered relevant positions. The tool kits left by the Program include general methodologies but not documents explaining the process applied to each local situation. Actually, officials of 11 entities (9 out of 21 sub-national governments, 1 out of 5 regional entities, and 1 out of 8 executing entities) state that there are no guides systematizing what was learned. The systematization of program documents and experiences published by ProDes in the Knowledge Management Platform of the Public Management Secretariat (SGP/PCM) is an important contribution, but it does not ensure that the learning at each locale will be sustained in the recipient institutions following the change of officials.

iii. <u>Limited transfer of knowledge.</u> In 11 entities evaluated in this study (9 out of 21 sub-national governments, 2 out of 5 regional entities, and 0 out of 8 implementing entities), knowledge was not transferred or strengthened in any area of the organization. Since the learning relating to each case was not documented, transferred or strengthened, officials are not familiar with the work and are unable to include it in the development of their functions.

A specific case of the lack of appropriation at the institutional level is the application of capacity assessment tools. In 7 of the 21 sub-national governments (33%), the main concern with respect to ProDes results is that no one will have the ability to apply such tools once the teams are disbanded[31].

With regard to this point, the evaluating team did not find directives that would establish functions for the annual application of the ICA in entities; only directives assigning specific persons for implementing the tools were found. Only the responsibilities of the Manager of Public Services in the district municipality of Campoverde included carrying out the ICA.

Finally, concerning the PMCS, out of the 13 entities in which it was applied (7 health centers, 1 UGEL and 5 district municipalities) only officials from the Neiva health center and the Lamas UGEL stated they were familiar with the PMCS.

Replication

According to the implementation mechanism with USAID, the executor was not required to replicate the actions of ProDes.[32] Promoting replication was ideal but not mandatory.

No evidence of replication was found, except in very specific cases. Fieldwork revealed that the civil registration office in the district municipality of Inambari replicated the ICA. Likewise, the Program reported the replication of the Lamas UGEL experience concerning the PMCS by another ten UGELs in San Martin. ProDes also reported the replication of the PMCS in Loreto and Amazonas by:

- 16 establishments from the South Iquitos Health Micro Network
- The '6 de octubre' and Mazan Health Centers for Obstetrics services.
- The Alto Amazonas Health Network, including the Health Centers of Aguamiro, Munichs, Independencia, Pampa Hermosa, La Loma, El Varadero, Jeberos, Santa Cruz, Balsa Puerto, Lagunas, and Shucushuyacu.

The mains obstacle to replication at the institutional level was the lack of systematization of the learning process described above. As knowledge was not translated into guidelines, it did not reach regional and national bodies for revision. This makes retrieving the best practices in order to apply them in other environments of the departments or country more challenging. Despite this, stakeholder respondents acknowledged that learning may be extended to other services, such as the Offices of Vital Statistics, or the Municipal Defense Centers for Children and Adolescents (DEMUNA) in the case of municipalities.

Given the scope of the evaluation, replication at the level of individuals could not be verified. It is not possible to state with certainty that the officials participating in the Program were able to apply the knowledge in other territories for the same public services or other.

Table 6 provides a summary of the degree of adoption, appropriation and replication.

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[31] These are the district municipalities of Punchana, Río Santiago, Zapatero, Tabalosos and Campoverde, and the provincial municipalities of Lamas and Coronel Portillo.
[32] Textually, concerning the implementation mechanism, on page 18 it is stated that: "When feasible, successful protocols, best practices and models could be replicated within the target regions."

Table 6. Summary of the degree of adoption, appropriation and replication

Capacity-building effort	Accomplished?	Rationale
Adoption	Yes	1) Officials applied national methodologies to regional realities and came out with solutions for the issues challenging service provision 2) Technical teams also prepared to apply the ICA on an annual basis and the PMCS from time to time, depending on the entity.
Appropriation	At the individual level	1) Officials indicated that they are able to carry out the work again based on the lessons learned. Appropriation was achieved at the individual level. 2) Three factors made appropriation difficult at institutional level: new officials in key positions with limited knowledge of the Program (high rotation); no systematization of learning process based on improved capacities in each local situation, and limited transfer of knowledge to areas for its later development after completion of the Program.
Replication	Partially at the institutional level. No conclusions can be made concerning replication at the individual level.	1) Identified by the evaluating team: the district municipality of Inambari replicated the ICA for the Office of Vital Statistics. 2) Reported by the Program: the replication of the Lamas UGEL experience concerning the PMCS by other ten UGELs in San Martin, and PMCS replication for CRED by the South Iquitos Micro Network, the Alto Amazonas Network, and by two health centers for obstetrics services. 3) Main replication obstacle: lack of systematization of the learning process (as described in institutional appropriation). 4) Given the scope of the evaluation, replication at the level of individuals could not be verified.

Source: prepared in-house

The sustainability of results in the improvement of decentralized management

As mentioned in section "Basic Definitions", the sustainability strategy put forward by ProDes includes eight elements. Six of these elements were implemented and two were partially implemented, as described in Table 7.

Table 7. Compliance with ProDes sustainability elements

Sustainability element	Implemented?	Rationale
i. Alignment with national and regional policies, and with the departments' priorities.	Yes	Work was based on the reality of the situation in each department; national and regional policies were aligned.
ii. To determine the selection of sub-national governments: political will and the involvement of the responsible technical teams were required, prioritizing the participation of the appointed staff.	Yes	Appointed officials were included in technical teams, and the services of sub-national government that showed political will were prioritized.
iii. Inclusion of the appointed staff and assistance to the National Civil Service Authority (SERVIR) to address personnel turnover.	Yes	Work was carried out with SERVIR to address personnel turnover.
iv. Institutionalization of developed and validated processes, tools, and approaches together with public institutions.	Partial	No directives establishing functions were found for the annual application of the ICA or PMCS at participating entities; there were only directives assigning specific persons for implementing the ICA. As regards the ICA, as discussed previously, many officials believe that they do not have the capability to apply it again. Concerning the PMCS, few officials are familiar with this tool.

Sustainability element	Implemented?	Rationale
v. Support to governing entities.	Partial	The work relating to the distribution of school materials carried out with MINEDU was limited to the Decentralized Management Matrix (MGD). No work was carried out with MINAM until the end of the Program, except for the meetings with the GGD. No work was performed with MINSA by directive of USAID.
vi. Technical assistance to the Office of the Comptroller General of the Republic (CGR) during and after the electoral processes to support the orderly and efficient transfer of mandates and management.	Yes	Technical assistance was provided to the CGR for the orderly and efficient transfer of management functions. The directives "Transfer of the Administrative Management of Regional and Local Governments "and "Preventive Guidelines for the Transfer of Management of Entities of the National Government" are the outputs of this assistance.
vii. Development of methodologies and tools with the potential to be extended to similar entities.	Yes	As pointed out by the member officials of technical teams, the tools developed (PMCS and ICA) have the potential to be extended.
viii. Alignment with associations of sub-national governments, and with other programs and projects of USAID, international cooperating agencies, and Peruvian NGOs.	Yes	According to the Program annual reports, alliances were made with international cooperating agencies and Peruvian NGOs.

Source: prepared in-house.

However, meeting these six criteria would not be enough to ensure sustainability, as sustainability depends on the degree of institutional appropriation of program achievements and lessons learned.

To ensure sustainability, the achievements and lessons learned must be processed, optimized, systematized (turned to knowledge) and later transferred to the government bodies and to national, regional, and local governments. This process, as described previously, was either not carried out or carried out partially during the Program.[33] In other words, the institutionalization of developed processes, tools and approaches and the accompaniment of governing bodies were achieved partially (see Table 7). Therefore, by not institutionalizing the knowledge in entities, there is risk that progress is lost, taking into account the turnover of officials and authorities, the difficulties in hiring staff with the appropriate skills and experience, lack of motivation, loss of institutional memory, and changes in political will.

Regulatory documents and their contribution to decentralized management

Which policies and regulatory documents had an impact on the decentralization policy and decentralized management, and did the methodology proposed and the sustained contribution to political dialogue and reform have an effect as well?

The following questions will be developed and answered in this section:

- To what extent did ProDes III support the process necessary for the adoption and institutionalization of regulatory documents (e.g. laws, amendments, policies, directives, etc.) and how did they affect or improve decentralization management?

- To what degree are the improvements in institutional and human capacities for the formulation and adoption of regulations and procedures sustainable?

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[33] Moreover, it is required that these government bodies and levels of government replicate and adopt best practices in more public services or in the same services in other territories in order to extend coverage and improve the living standards of the population.

The answer to these sub-questions has the following structure. First, the documents generated with the support of ProDes at national and sub-national level will be listed. Then the contribution of these documents to decentralized management and the degree to which they are institutionalized and adopted will be identified. Finally, the sustainability of capacity building for the formulation and adoption of regulations and procedures will be described.

The following provides a summary response to the sub-questions:

- ProDes facilitated the generation of documents at the three levels of government, including laws, regulations, directives, amendments to the ROF, PEI, POI and strategic guidelines, among others. In addition, several methodological proposals were put forward.
- These documents contributed to decentralized management, improving the management of the recipient governments.
- In the case of recipient sub-national governments with limited or nonexistent functions in service pathways developed by ProDes, the documents contributed to the decentralized management of prioritized critical issues and the general management of institutions, but not to the prioritized service directly.
- The approach "from practice to policy" identified in some of the documents that were generated contributed to translating the experiences of actual management into documents, and to using fieldwork evidence to support political dialogue and reforms.
- Most of the documents generated have been institutionalized at the relevant government levels, which was possible thanks to the technical support of ProDes. The cases with evidence of the adoption of documents highlighted the importance and value that officials attributed to this work.
- No evidence was found that will ensure the sustainability of institutional and individual capacities due to reasons similar to those discussed in the previous sub-question regarding the institutional sustainability of decentralized management.

The support strategy and the preparation of documents

At the national level, ProDes encouraged the discussion of policy documents and provided technical assistance for their preparation. It worked primarily with the PCM, but also with the CGR, SERVIR, and the Ministry of Education.[34] Under the approach "from practice to policy", the Program's technical assistance drew on its systematized experiences in the regional contexts.

Table 8 presents a complete list of regulatory proposals at the <u>national level</u> in which ProDes participated based on information provided by program management.[35]

Table 8. National regulations supported by ProDes

Regulatory proposal	Status	Entity
Guide for the Development of the Decentralized Management of Public Services	Included in the Directive for the Development of Results-Oriented Decentralized Management of Public Services. Approved.	SD-PCM

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[34] No work was carried out with MINSA by express instruction of USAID (given that, as informed by USAID, other USAID programs were involved with this ministry). There was no such prohibition on working with MINAM.
[35] Documents relating to the intercultural approach will be examined in the corresponding section. The draft bill that creates the National System for the Prevention and Management of Social Conflicts and the draft bill of the Supreme Decree that strengthens the National Dialogue and Sustainability Office were only formulated.

Regulatory proposal	Status	Entity
Guidelines for the Development of the Decentralized Management of Public Services	Approved through RM No. 014-2016-PCM (01/22/2016) which approves Directive No. 001-2016-PCM/SD – Directive for the Results-Oriented Development of the Decentralized Management of Public Services.	SD-PCM
Tutorial: Institutional Capacity Assessment for Regional and Local Governments	Approved through Resolution of the Secretariat of Decentralization (SD) No. 015-2016- PCM/SD dated May 25, 2016 (published in the Official Gazette "El Peruano" on 06/01/2016).	SD-PCM
Directive No. 001-2017-PCM/SGP "Guidelines for the Implementation of the Standard Transparency Portal of Public Administration Entities"	Approved through RM No. 035-2017/PCM	SGP-PCM
Organization and Functions Regulations (ROF) of the Presidency of the Council of Ministers (PCM). The Program supported the Secretariat of Decentralization in this regard.	Approved through DS No. 022-2017	PCM
Draft bill of a Supreme Decree that strengthens the National Dialogue and Sustainability Office (ONDS) of the Presidency of the Council of Ministers and explanatory statement.	Formulated	ONDS-PCM
General draft bill that creates the National System for the Prevention and Management of Social Conflicts.	Formulated	ONDS-PCM
Guide of public services with an intercultural approach	Approved through RM No. 124-2015-MC (published in the Official Gazette "El Peruano" on 04/10/2015), which approves the guidelines called "Public Services with Cultural Relevance. Guide for the application of an intercultural approach in the management of public services."	Ministry of Culture
National Policy for the Mainstreaming of the Intercultural Approach	Approved through DS No. 003 -2015-MC	Ministry of Culture
Proposed directive for compliance with the transparency process and the preparation of the Report on Accountability and Management Transfer.	Approved through CGR Resolution No. 528-2014-CG (28/10/2014) - Directive No.008-2014-CG/PCOR "Transfer of administrative management of regional and local governments."	Office of the Comptroller General of the Republic (CGR)
Directive No, 003-2016-CG/GPROD "Preventive Guidelines for the Transfer of Management from National Government Entities"	Approved through CGR Resolution No. 088-2016-CG	Office of the Comptroller General of the Republic (CGR)
Decentralized Management Matrix (MGD) of the Education Sector	Approved through RM No. 195-2015-MINEDU (03/20/2015), which formalizes the Decentralized Management Matrix of the Education sector for the Management of Teachers' Development, and the Management of Educational Material and Resources, approved by the Intergovernmental Committee of the Education Sector on September 23, 2014.	MINEDU

Source: prepared in-house

The MGD, the ICA tutorial, the guidelines of the Transparency Portal and the directive for the Development of Decentralized Management have characteristics that distinguished them from the rest of the regulatory proposals.

- The MGD is the only case in which ProDes worked with the governing body of one of the three prioritized services—distribution of school materials—for the production of regulatory documents at the level of the national government. Two regional experiences served as inputs for this collaborative work[36]. The ICA tutorial was developed after the ICA tool was implemented in the sub-national governments participating in ProDes. The guidelines of the Transparency Portal gather the experiences of the Transparency Murals.
- These documents are specific examples of the approach "from practice to policy"; that is, they identified the practices and synthesized enough knowledge regarding the practices to apply them at a higher level. This contributed to political dialogue and management reform, which served as a basis for the design of tools that support public policies.
- The Directive for the Development of Decentralized Management encourages management models based on the situation in each territory. With this, regional practices could formally become models of coordinated management.

At the subnational level, program support focused on developing management tools. Emphasis was placed on adapting national guidelines (CEPLAN directives) to regional realities. In the cases where gaps were identified, ProDes supported the development of regional and local documents (for example, the ordinance for the collection of taxes for municipal services in the provincial municipalities of Tambopata and Coronel Portillo and the district municipality of Las Piedras, among others).

Significant efforts were made to support officials in understanding CEPLAN directives so that they could prepare their official management documents, mainly the annual POI, and to a lesser extent the multi-annual Institutional Strategic Plan (PEI) and Concerted Development Plan (PDC). In addition, work was carried out in preparing the Solid Waste Management Plan and the Comprehensive Solid Waste Management Plan with district municipalities and provincial municipalities, respectively.

Another dimension of technical assistance at the sub-national level was work on institutional amendments that supported the decentralized management of prioritized services. The most common amendments were those made to the ROF, to adjust the entity's organizational chart and update functions in response to contextual issues. In the case of the GIRS, additional regulatory documents were prepared, such as the establishment of the Regional Environmental Authority (REA) in Ucayali and the approval of municipal tax ordinances. Table 9 presents a summary of the regulations prepared at the sub-national level (please see Annex 18 for further details). Of note is the high score that interviewed officials assigned to ProDes efforts to develop regulations and documents: an average score of 4.1 points on a scale of 1 to 5.

At the sub-national level (regional and local) and under the approach "from practice to policy", ProDes identified practices and/or experiences, and managed knowledge in order to share it through the assistance provided in departments. This approach succeeded in communicating and disseminating many practices and experiences through the political discussion of reforms or proposed changes.[37] This systematization of information facilitated the targeting of management tools and/or amended regulations

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[36] Under the approach "from practice to policy", the contributing systematized experiences –according to annual reports – are: (i) Milestones in the implementation of the education management model of the Regional Education Bureau in San Martin; (ii) Documentation on the experiences on improvement of learning achievements in Barranquita.
[37] List of systematized experiences based on Annual Reports: (i) Intergovernmental coordination strategy in Madre de Dios; (ii) Milestones in the formation of the technical team for dialogue and sustainability in San Martin; (iii) Experience of the coordinating role in education of the provincial municipality of Lamas; (iv) Experience in the distribution of school materials in Lamas and its impact on learning improvement.

such as the municipal taxes and the amendments to the ROF, towards addressing critical issues and prioritized services.

Table 9. Sub-national regulatory and management documents supported by ProDes

Type	Document
REGULATORY	Ordinance on Open Government at the Regional Government
	Municipal resolution to recognize the CVC
	Establishment of the REA
	Ordinances for the collection of municipal taxes
	Ordinance to penalize behaviors contrary to garbage collection policy
MANAGEMENT	Institutional Operative Plan (2016)
	Institutional Strategic Plan (up to 2018)
	Concerted Development Plan
	Modification and/or updating of ROF
	Manual of administrative procedures
	Lamas Local Education Project
	Updating of the Ucayali REA
	Comprehensive Solid Waste Management Plan / Solid Waste Management Plan
	Program for the segregation of solid waste from districts
	Local Environmental Agenda
	Coordinated Nutritional Program

Source: prepared in-house

There is no evidence to support that systematized experiences were used for replication by other sub-national governments. For example, there is no evidence that the "Experience of the coordinating role in education of the provincial municipality of Lamas" was used in Ucayali.

Contributing to the improvement of decentralized management

All of the ProDes-supported documents contribute to the decentralized management of sub-national governments by helping them to adjust their key official documents so that can better execute their functions. It must be noted that the officials interviewed in this evaluation believe that the promoted regulations were effective in addressing service provision issues (average score of 4.3). This constitutes an acknowledgment that the documents contributed to decentralized management, and thus contributed to improving the management of the recipient governments.

The analysis of the contribution of the generated documents to decentralized management (beyond their contribution to the improvement of general decentralized management of the levels of government, or to addressing prioritized issues), considers that a contribution exists if the document includes objectives, goals, actions, functions, and so on, related explicitly to the analyzed prioritized services, and if these are put into practice. In other words, if they contribute to reducing the time of delivery of school materials, to increasing the frequency of solid waste collection, or to diminishing the waiting times in health centers. Afterward each service will be described in detail. Table 10 provides a summary of the type of documents generated and of the number of documents that contributed to the decentralized management of prioritized services.

Table 10. Number of documents that contributed to the decentralized management of prioritized services.

Level of government	GIRS		CRED		SCHOOL MATERIALS	
	Generated	Contributed	Generated	Contributed	Generated	Contributed
GN	0	0	0	0	1	1
GR	3	1	4	4	2	1
GL	10	10	5	1	4	1

Source: prepared in-house.

With regard to GIRS[38]:

- There were no regulatory documents at the level of the national government.

- Documents produced for municipalities had a direct and significant effect because implementation functions are concentrated in the municipalities.

- Most of the work carried out with regional governments has not yet resulted in a direct contribution to the decentralized management of GIRS. Thus, the POI does not reflect initiatives aimed at addressing their mandate in service provision, and the Regional Environmental Authority does not provide technical guidance to local governments due to the lack of resources. On the other hand, the Local Environmental Agency does include the service as one of its components and objectives.

In relation to the CRED, where the service provision depends on the national and regional government (and their decentralized units):[39]

- There were no regulatory documents at the level of the national government.

- The contribution of the regional governments to the regulations consists in carrying out the short-, medium- and long-term strategic planning, and aligning the plans and budgets; therefore they contribute directly to the decentralized management of services.

- The work carried out in local governments is related to the reduction of chronic malnutrition in children through the promotion of healthy practices, safe water evaluations, and investment planning, among others, but not necessarily related directly to the CRED. An example of direct contribution is the monitoring strategy of the provincial municipality of Condorcanqui, reflected in its POI, which includes actions that have an impact on CRED, such as the "Implementation of strategies for nominal registers, 'sectorization', and identification and follow-up with pregnant women and children in communities."

On the subject of distribution of school materials, where service provision also depends on the national and regional government:[40]

- The MGD was an initiative of the MINEDU—supported by ProDes and other entities—which organized the functions in all areas of the participating governments.

- The POI of the regional government of San Martin contributes to short-term coordinated planning and monitoring actions. The amendment to the ROF created the Staff Allocation Table, which included 20 education specialists at the UGEL level. There is no specific mention of the support to school material distribution.

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[38] Annex 19 contains a complete list of documents and their contribution.
[39] Annex 20 contains a complete list of documents and their contribution.
[40] Annex 21 contains a complete list of documents and their contribution.

- According to the MGD, local governments are not required to contribute to material distribution. Their responsibilities are defined by the agreements reached with the regional government. Taking this into account, in the case of San Martin, only POIs have contributed to the decentralized management of the service since the local governments began participating in the distribution of school materials. Historically, local governments have contributed through discrete actions, such as logistic support and citizen participation. In the POIs of Barranquita, Zapatero and Tabalosos, one of the strategic interventions consists in organizing and implementing citizen surveillance for the service. In addition, the POI of Zapatero includes the transportation of materials to the educational institutions. Other local governments' planning documents did not define direct contributions relating to the decentralized management of school materials.

There were other national regulatory proposals supported by ProDes in addition to the MGD that contributed to cross-sector decentralized management, including:

- The amendment to the ROF of the PCM, which specifies, extends and adds functions to the Secretariat of Decentralization. It defines the linking tasks of the Executive Branch by developing coordination mechanisms; extends technical assistance for the improved performance of all functions, and adds functions by including its participation, together with the Ministry of Economy and Finance, in the distribution of resources to sub-national governments within the existing legal framework.
- The ICA tutorial allows sub-national governments lying outside the geographic scope of the ProDes program to assess their institutional capacities and adopt the measures necessary to strengthen their ability to serve the general population.
- The "Guidelines for the implementation of the Standard Transparency Portal" increase the level of transparency and accountability of the State.
- The "Directive for the development of results-oriented decentralized management of public services" provides coordination guidelines for the formulation and implementation of management models that respond to the situation of each public service in a specific territory.
- The guidelines for the transfer of administrative management encourage the continuity and efficiency of public services between government administrations.

Degree of adoption and institutionalization

Only two regulations generated at the national level were not institutionalized: the General draft bill that creates the National System for the Prevention and Management of Social Conflicts, and the Draft bill for a Supreme Decree that strengthens the National Dialogue and Sustainability Office.

Evaluation fieldwork demonstrated that the MGD, the amendment to the ROF of the PCM, and the guidelines for the implementation of the standard transparency portal were adopted by public administration entities.

An analysis of the principal findings related to each document developed at the national level leads to the following:

- The MGD was institutionalized through the approval of RM No. 195-2015-MINEDU. As reported by the MINEDU through officials of the General Decentralized Management Bureau, San Martin was one of the first departments to adopt the MGD. The regional government supported its implementation and adjusted its organizational structure accordingly. The same officials indicated that its application has not been extended in its entirety to other departments.

- The amendment to the ROF of the PCM was institutionalized through DS No. 022-2017. It establishes, extends and adds functions to the Secretariat of Decentralization, the governing body of decentralization. This amendment was adopted since the Secretariat of Decentralization is now performing its functions.

- The guidelines of the transparency portal were institutionalized through RM No. 035-2017/PCM, and have been adopted as the portal is active and entities publish information that is relevant to the public.

- Following the success of the capacity-building strategy, the PCM developed an ICA tutorial with the support of ProDes. It was institutionalized through the approval of Resolution No. 015-2016-PCM/SD issued by the Secretariat of Decentralization. There are instructions on the application of the tutorial with the formation of a technical team, but these were completed prior to its formalization. The team did not find evidence that the tutorial has been adopted despite intentions by the PCM to do so. The evaluating team is not aware of the tutorial's application in departments that did not participate in the Program.

Table 11 presents a summary of the regulations that were developed, institutionalized and adopted at the national level.

Table 11. National level: regulations developed, approved, and adopted.

Type	National	Developed	Institutionalized	Adopted
REGULATORY	Directive for the Development of Decentralized Management	X	X	
	Decentralized Management Matrix for the Education Sector	X	X	X
	Institutional Capacity Assessment Tutorial	X	X	
	Guidelines for the Implementation of the Standard Transparency Portal for Public Administration Entities	X	X	X
	Preventive Guidelines for Transfer of Management in National Government Institutions	X	X	
	Transfer of Administrative Management of Regional and Local Governments	X	X	
	Draft bill that creates the National System for the Prevention and Management of Social Conflicts.	X		
	Draft Supreme Decree that strengthens the National Office of Dialogue and Sustainability	X		
	National Policy for Mainstreaming an Intercultural Approach	X	X	
	Guide to Public Services with an Intercultural Approach	X	X	
MANAGEMENT	Modifications to the PCM ROF	X	X	X

Source: prepared in-house

At sub-national level, ProDes quarterly and annual reports were reviewed, as well as the ICA and the information provided in interviews to identify institutionalized regulations.

With regard to the adoption of regulations, the evaluation approach did not consist of identifying all the documents that were approved and are used currently, but the identification of documents that generated important changes in decentralized management according to the opinion of the interviewees. By the end of 2016:

- All POIs were approved officially (institutionalized) and entities were using them for their planning activities.

- Seven PEIs supported by ProDes were institutionalized; five were in the process of being approved and nine were being developed.
- There was evidence on the institutionalization of four PDCs: three were approved up to 2021 and one up to 2017; one was being reviewed, and 16 were being developed.
- Institutional amendments –updating of the ROF and establishment of the REA– were also institutionalized and adopted; they were approved officially and have since been in effect.

There were also five documents that had been developed but not institutionalized: a Municipal Resolution recognizing the surveillance team of Punchana; an Ordinance on Open Government by the regional government of San Martin; the Lamas Local Education Project; an update of the regional government of Ucayali's ROF; and, an update of the Ucayali REA.

Table 12. Regulations developed, approved and adopted, per service[41]

Service	Type	Regulation	Developed	Institutionalized	Adopted
Distribution of school materials	**REGULATORY**	Ordinance on Open Government of the Regional Government	1		
		Municipal Resolution acknowledging surveillance teams	1	1	1
	MANAGEMENT	Institutional Operative Plan (2016)	5	5	5
		Institutional Strategic Plan (up to 2018)	4	4	4
		Concerted Development Plan	1		
		ROF Amendment	1	1	
		Manual of administrative procedures	1	1	1
		Lamas Local Education Project	1		
GIRS	**REGULATORY**	Establishment of the REA	2	2	2
		Ordinances for the collection of municipal taxes	6	5	5
		Municipal Resolution acknowledging surveillance teams	5	5	5
		Ordinance to penalize behaviors contrary to garbage collection policy	1	1	1
	MANAGEMENT	ROF Amendment and/or update	6	6	6
		Updating of the Ucayali REA	1	1	1
		Institutional Operative Plan (2016)	8	8	8
		Institutional Strategic Plan	1		
		Concerted Development Plan	2	2	2
		Local Environmental Agenda	3	2	2
		Comprehensive Solid Waste Management Plan / Solid Waste Management Plan	5	5	5
		Program for the segregation of solid waste from districts	4	4	4

[41] In the following tables, columns showing no figures means that no evidence of institutionalization or adoption of documents was found during fieldwork or in the review of the quarterly reports and annual reports of the Program.

Service	Type	Regulation	Developed	Institutionalized	Adopted
CRED	**REGULATORY**	Municipal Resolution acknowledging surveillance teams	1	1	
	MANAGEMENT	Institutional Operative Plan (2016)	8	8	8
		Institutional Strategic Plan (up to 2018)	7	3	3
		Concerted Development Plan (up to 2021)	2	1	1
		Amendment to ROF and/or updating	4	4	4
		Coordinated Nutritional Program	2	2	2

Sustainability of capacities to generate regulations

The previous findings validate the efforts made to improve the regulatory framework of the governments participating in the Program. As part of the improvement of institutional and human capacities, ProDes showed regional authorities how to issue regulations and officials how to develop management tools. It also provided support in institutionalization and adoption, which helped to achieve the accomplishments that have been identified.

However, the sustainability of improved capacities is not guaranteed, as discussed in the previous sub-question. While the turnover of officials is a factor beyond the Program's control, the Program did not carry out the documentation of new progress and processes in manuals that were specific to each situation. General manuals were made available on the platform of Secretariat of Public Administration, but this does not ensure that new officials will use them. Also, these general manuals do not offer the most effective way for officials to learn and replicate the progress made by their predecessors.

Horizontal and vertical coordination mechanisms

What cooperation and coordination tools and methodologies allowed a vertical and horizontal coordination between the levels of government and civil society?

This section develops and answers the following question:

- By what means were the demands of civil society articulated and met in manner coordinated between the levels of government and among the different sectors or service provision areas (i.e. distribution of school materials, chronic malnutrition, and solid waste)?

The evaluation question seeks to understand how ProDes helped the three levels of government address the demands of civil society in a coordinated manner. To address this question, this section discusses the Program experiences with citizen surveillance teams and the Decentralized Management Groups (GGD).

ProDes did not expressly seek to make sure that the demands of civil society were met in a coordinated way by the three levels of government, because it lacked a mandate to do so. Nevertheless, the results of the GGD and the collaborative surveillance teams proved to be very valuable to the implementation of the Program. The GGD established priorities, goals and tasks, and generated individual and group commitments. The degree of linkages between public officials and the surveillance teams varied. The degree of connection facilitated or impeded the dissemination of information obtained through surveillance.

Indirectly, improving the decentralized management of services implied enhancing coordination among the three levels of government in order to respond to the demands of civil society and offer better services to citizens. This was not accomplished due to the following:

(1) During the execution of ProDes, there was no relationship between the national government and the sub-national government in terms of health (by express instructions of USAID since USAID was involved with the MINSA in other activities). The relationship with the environmental sector was late (besides the occasional participation of MINAM decentralized agencies), and in terms of education, the MINEDU made regulatory changes to improve decentralized management (through the MGD) and participated in some meetings of the GGD. This made it impossible to carry out joint, aligned, and coordinated actions to meet the potential demands of civil society and the needs of the area.

(2) No evidence was found of a strategy between the regional government and the local government to make decisions in a coordinated manner to meet the demands of civil society or the needs of the geographic area, except in the case of the GGD of San Martin.

(3) Given the design and objectives with which they were created, the citizen surveillance teams did not link with more than one level of government to carry out joint actions, although they did meet the objectives they had established.

The following paragraphs present the strategies developed by the citizen surveillance teams and GGD, the objectives of each strategy, the achievements accomplished, and the reasons why the three levels of government were not able to meet the demands of civil society in a coordinated manner.

Surveillance teams

At the start of the Program's implementation, ProDes carried out an initial assessment in the implementation areas to find out if there were any civil society organizations that supervised public services. This assessment indicated that such organizations did not exist. As a result, ProDes promoted citizen surveillance through the formation of citizen surveillance teams.

These teams sought to build bridges between citizens and officials to improve decentralized management. The purpose of the teams was to monitor the provision of prioritized services, systematize their findings, and share findings with those in charge of service provision with the objective of improve results. Teams also gathered data on the perceptions of citizens on services.

The main activity of these teams was completing forms documenting the different aspects of the service provision. In general, ProDes stimulated this work and collected the forms to translate data into reports. In some case, the teams also collected requests from the public, information on services, such as solid waste collection schedules, or promoted the service, such as by reminding users not to miss their appointments. Annex 7 provides a summary of the actions undertaken by the citizen surveillance teams.

To promote their actions and provide support, the Program trained team members in topics such as open government and public service surveillance tools.[42]. Of the 15 representatives interviewed, five believed that the trainings were insufficient or only remembered trainings regarding data collection and filling out forms (Annex 22).

No surveillance activities were carried out in the evaluation year because the majority of ProDes regional coordinators were not in the field. It was these coordinators that motivated the surveillance teams to perform their tasks.

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[42] According to the capacity-building list provided by the Program's Management.

According to the satisfaction survey conducted by the evaluating team, the forming of surveillance teams was welcomed. The interviewed officials rated the work of the surveillance teams with an average score of 4.2 points out of 5 (Annex 13). Officials indicated that the information provided by the surveillance teams provided valuable information regarding how the government could address the public's needs vis-à-vis the prioritized services. The data from surveillance teams provided rapid feedback from the population regarding the services that were being provided.

In practice, public officials coordinated and cooperated with the public to varying degrees through their association with the surveillance teams. In 10 out of the 15 districts that were within the scope of the evaluation (Annex 23), surveillance teams were acknowledged officially through municipal resolutions.[43] [44] In addition, some sub-national governments, such as in Barranquita and Tabalosos, provided stipends that were recorded in the POIs as resources for the promotion of participation.

Despite this acknowledgment and support, the strength of linkages between officials and authorities varied. The strength or weakness of the relationships depended on the capacity of the surveillance teams to approach entities and the interest shown by the entities. An analysis of the degree of contact, by service, provides the following findings:

- In San Martin there were strong linkages. The General Bureau of the Lamas UGEL, directors of education networks, and municipal managers all received information from the teams. In addition, the UGEL, municipalities, and surveillance teams exchanged information and provided feedback regarding their work. It is notable that the UGEL employed other means to gather information about the service performance aside from the citizen surveillance teams. There is no data confirming whether ProDes supported these UGEL initiatives.

- In the case of GIRS, surveillance information was delivered to the municipal management offices of public services. On one hand, the members of the interviewed teams agreed that they required more support from the municipalities. On the other, two officials justified the limited support by reasoning that maintaining the independence of the teams is important because the surveillance teams have an oversight role with regard to municipal work.

- The managers and providers of CRED in health centers received surveillance information, as well as the Health Promotion Bureau of the DIRESA in Loreto. Only these stakeholders were aware of the surveillance teams' work. The Coordination of Indigenous Peoples of the DIRESA (Loreto) and the rest of members of the health centers were not familiar with their activities. Apart from receiving information, health centers and the DIRESA did not develop joint strategies to address the issues stated by the surveillance teams.

Decentralized Management Groups (GGDs)

At the start of the Program, the GGDs met to define and agree on priorities; they decided on prioritized services, a vision for participation, and objectives.

The sub-national government did not participate in these initial meetings as per the Program strategy. Later, the MINAM participated through its decentralized office in one GGD meeting in Madre de Dios where the GIRS was prioritized. The MINEDU was also present in a GGD meeting that addressed the distribution of school materials. Since USAID instructed ProDes not to coordinate with MINSA, as

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[43] No teams were formed in the districts of Fernando Lores and San Juan Bautista.
[44] Information based on quarterly and annual reports. The annex mentioned specifies the locations where other surveillance groups already existed.

confirmed in the meetings with both stakeholders, this ministry did not participate in the CRED GGD meetings.

In interviews, officials seemed relatively unfamiliar with these groups. Those that did recognize them related them with prioritized services and with the low participation of decision-makers in later years. Meeting minutes confirm the low participation of the directors and of the regional governments for CRED and GIRS as well as the continuous attendance of local municipalities.

These minutes and the in-depth interviews confirm that the GGD was valuable not only for defining priorities, goals and tasks at the start of the Program, but also for sharing positive experiences, showing progress and results, especially those achieved with ProDes support, and generating individual and group commitments to improve the decentralized management of services. Annex 5 provides a summary per department of the GGD actions. The experience of GGD per service is analyzed as follows:

- The Lamas UGEL led meetings regarding the distribution of school materials in San Martin. Representatives of the MINEDU and the regional government of San Martin, local authorities, and surveillance teams attended most meetings. The GGD strengthened coordination for service management. In fact, one of the agreements reached was the support of the local governments in assembling school material kits and supporting citizen surveillance despite the fact that local government functions do not include the latter activity and that such support required the allocation of resources. The participation of local governments was the result of the good relationships and the valuable work of ProDes in involving local governments in the service pathway.

- Concerning CRED, meetings were mostly informative. Successful experiences from heath centers were shared to support replication and the DIRESA provided service statistics. The meetings were also spaces to share municipal progress in monitoring key indicators (the CRED coverage was one of them) within the framework of social monitoring. In these cases the GGD provided a learning opportunity.

- In the case of solid waste in Madre de Dios, the regional government suspended its participation for political reasons. Local municipalities used the space primarily to advance an environmental education project. With respect to the GGD in Ucayali, the regional government convened some meetings but played an observational role. Local municipalities devoted most of their efforts to resolving the issue of the current dumpsite. In these cases the GGD facilitated coordination among local municipalities to carry out specific activities.

While a joint vision on the Program's objectives was defined with the GGDs and experiences and learning was shared, evidence indicates that the coordination between the regional and local governments to take joint actions for improving the decentralized management of services was weak. This was generally true in Ucayali, and to a lesser extent in Madre de Dios (where the regional government suspended its participation), and between the regional government of Loreto and the district municipality of Punchana. This prevented the meetings from generating joint and/or coordinated response tools. There was little the Program could do when faced with this lack of political will.

Gender and intercultural approaches

How did the incorporation of gender and intercultural approaches to government responses to public demands increase?

In this section the following development questions will be answered:

- To what extent have the decentralized management matrixes (in the education sector), the gender approach in social programs (particularly for chronic malnutrition), and the significant intercultural and conflict management issues been integrated in the respective sector or program?[45]

- To what extent has the Program incorporated gender and intercultural approaches at the main counterpart institutions, and is it highly likely that they will be sustainable?

The answer to this sub-question is divided in terms of gender and cultural diversity. For each of these approaches, the report presents and discusses: (i) the actions taken and the results obtained and not obtained, and (ii) the sustainability of the incorporation of these approaches in counterpart institutions.

In brief, the answer to the sub-question is as follows:

- There is evidence confirming that the gender and intercultural approaches were incorporated in the main institutions participating in the Program (thanks to the guides, trainings and technical assistance provided by ProDes) through the actions developed with the sub-national governments and governing bodies: the Ministry of Women and Vulnerable Populations (MIMP) and the Ministry of Culture.
- The officials of sub-national governments acknowledge the importance of incorporating both approaches in their actions. Sub-national governments carried out diverse activities to incorporate such approaches.
- Efforts were made to incorporate and mainstream both approaches in the services, especially for CRED. The progress made in the application of both approaches in the services has not been homogenous so opportunities exist for integrating these approaches with other services.
- The sustainability of incorporating such approaches presents the same risks as the capacity-building effort.

Gender

Actions taken and results achieved and not achieved

The gender approach was mainstreamed through guides, assessments, training, and technical assistance. The approach applied for training and capacity building is the same as that used for capacity building.[46]

ProDes interventions resulted in the development of a guide for the integration of gender in social programs ("Guide for the Integration of the Gender Approach in Social Programs", for public entities in charge of social programs), and technical assistance was aimed at the inclusion of the gender approach in sub-national governments through management tools. There is also a care guide in place in the health centers in Amazonas that integrates a gender approach in CRED to promote fair and equal care.

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[45] The topic of conflicts was not analyzed since it was not a cross-sector topic and was not linked to the improvement of decentralized management. Also, the decentralized management matrix was discussed in the second area of analysis.
[46] Assistance actions based on capacity assessment.

Likewise, thanks to the Program's efforts, officials recognize the importance and the need to include the gender approach and take actions in that respect (such as those previously mentioned). A total of 14 out of the 34 entities interviewed stated that some gender-focused actions had been taken, such as trainings and events, or a gender quota had been considered when hiring personnel.[47] On the other hand, representatives from 15 entities explicitly stated that they were unfamiliar with the gender approach or did not include such approach in their activities, without giving further explanations.[48] In other words, few officials remembered this work, which limits the results at the institutional level.

The gender ICIs developed by the Program reflect the results of this work (Annex 24). Between 2015 and 2016, the average score increased form 2.0 to 2.3, out of a maximum score of 4 points. The indices in San Martin and Madre de Dios, increased substantially: by 27% and 19%, respectively, in the same period. In contrast, Ucayali showed a reduction of 4%.

Individual results and the work carried out across the levels of government may be summarized as follows:

- ProDes had the support of the Ministry of Development and Social Inclusion (MIDIS) in preparing guides, such as the "Guide for the Integration of the Gender Approach in Social Programs" and of the Ministry of Women and Vulnerable Populations (MIMP) in making assessments such as the "Assessment on Public Investment to reduce Gender Gaps in Condorcanqui, Amazonas, Period: July 2015 – December 2015."

- These materials were supplemented with trainings, especially for encouraging women's leadership. These included the capacity-building program for female leaders and women's political participation, among others.

- Specific technical assistance activities supported the integration of gender approaches to the elaboration of management tools (see Table 13).[49]

Table 13. Management tools with a focus on gender

Management tool	Number	Location
POI	6	MD of Barranquita, MD of Zapatero, MD of Tabalosos, MD of Fernando Lores, MD of Maynas and GORE of Amazonas
PDC	1	MP of Lamas
PEI	4	MD of Tabalosos, GORE of Loreto, MD of Fernando Lores and GORE of Amazonas
Segregation Program	1	MD of Las Piedras

Source: prepared in-house.

- ProDes provided support in the approval of ordinances, amendments to internal regulations, and in the development of work plans and assessments, such as (i) guidelines for the development of decentralized management matrices for the services and functions transferred by the MIMP; (ii) Gender Assessment for the Amazon Region; (iii) Regional Ordinance No. 012-2015-

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[47] GORE of Loreto, MP of Maynas, GORE of Amazonas, MP of Condorcanqui, Condorcanqui Health Network, Nieva Health Center, GORE of SM, MD of Barranquita, MD of Zapatero, MD of Tabalosos, MP of Tambopata MD of Inambari, GORE of Ucayali, MD of Manantay.

[48] DIRESA of Loreto, MD of Punchana, MD of Fernando Lores, MD of SJB, San Juan, Health Center, Tamshiyacu Health Cener, MD of Rio Santiago, Galilea Health Center, Kig Kis Health Center, MP of Lamas, MD of Las Piedras, MP of Coronel Portillo, MD of Nueva Requena, MD of Campoverde, MD of Manantay.

[49] Examples of technical assistance: inclusion of the gender approach in citizen surveillance of public services linked to the reduction of chronic malnutrition in children in the province of Condorcanqui; inclusion of the gender approach in social programs aimed at reducing chronic malnutrition in children; radio program focused on gender.

GRSM/CR, which institutionalizes and approves the use of gender-sensitive language or gender-inclusive language in all of the areas and in all of the management processes of the regional government of San Martin; (iv) Internal Regulation of the Ucayali Regional Council, which includes the gender approach, and (v) Regional Ordinance No. 012-2015- GRSM/CR (11/05/2015), whereby racism and discrimination in all their forms and in all places are prohibited within the jurisdiction of the District Municipality of Nueva Requena.

▪ To a lesser extent, other types of activities were also carried out, such as the Multisector Committee for the Inclusion of the Gender Approach in the Regional Development of Madre de Dios, and the Forum on Political Participation of Amazonian Women and Gender Role Changes.

▪ The Project included additional budget for the incorporation of the gender approach in Amazonas, where multiple actions were taken within the framework of collaboration with the MIDIS, such as:

1. Technical assistance in preparing a Guide on Care in Health Centers, which was approved by a Director's Resolution.
2. Support to female regional councilors in Amazonas between 2015 and 2016 to amend the ROF. It was aimed at modifying the structure of the regional office for social development, which included an inter-sector unit with a focus on gender. However, the current organizational chart omitted this unit.
3. Support in the preparation of the Peoples' Development Plan (PDP) and budget indicators on the budgetary investment analysis for the closing of gender gaps.

While actions were carried out for the incorporation of the aforementioned approaches in services, progress was not homogenous in all services or departments. Fieldwork findings show this difference:

▪ In the CRED services in Loreto no major progress was noted in the incorporation of the gender approach. This was attributed to a lack of knowledge on how to apply it in practice and to a general resistance to the subject.

▪ Fieldwork did not find evidence that health centers in Amazonas and Loreto are working to include parents in the care of children or towards the equal valuing of boys and girls.

▪ In San Martin, officials from the UGEL believe there is gender equality since the benefits resulting from the distribution of school materials are for both boys and girls. On the other hand, school principals and members of the surveillance teams report that in school municipalities there is a gender-differentiated participation of boys and girls and that parents prefer that boys study and complete secondary education.

▪ In Ucayali, interviewees reported that gender equality exists because everyone benefits equally from the Comprehensive Solid Waste Management (GIRS). Likewise, there is a lack of knowledge on how to incorporate the gender focus in services in a practical way.

Sustainability

No materials were prepared regarding what was learned in each implementation area that would prepare new officials to continue ongoing efforts and sustain progress. The turnover of officials and authorities, flagging motivation or forgetfulness, and fluctuations in political will pose a risk to progress made to date. To ensure the sustainability of progress in counterpart institutions, officials need access to materials that are specific to each locale so that they can apply this knowledge in the performance of their duties.

Cultural diversity

Actions taken and results achieved and not achieved

Intercultural mainstreaming was carried out using guides, assessments, training, and technical assistance. The Program's interventions have helped to raise awareness regarding the value of an intercultural approach and to integrate the approach at counterpart institutions, especially in the health sector. The results of these interventions are reflected in the evolution of the intercultural ICI (Annex 25). Between 2015 and 2016, the average score increased by 13%. In addition, interviewed officials and authorities recognized that the Program promoted the theme.

ProDes worked in a joint effort with the Ministry of Culture. The first deliverable developed was the Guide for Public Services with an Intercultural Approach, which provides guidelines and tools to State entities for the provision of public services with an intercultural focus. ProDes supported the elaboration of the document through the review, pedagogical adaptation, design, and validation of its contents. Likewise, as reported by the Program Manager, ProDes supported the implementation of the Guide in three departments of the Amazon (Loreto, Ucayali and Amazonas) for the prioritized services.

ProDes also assisted the preparation of the National Policy for Intercultural Mainstreaming. Approved by DS No. 003 -2015-MC. The purpose of this policy is to guide and articulate the State's efforts to guarantee that the country's culturally diverse population exercises its rights.

According to available information and respondents, 20 out of 34 interviewed institutions have carried out activities and prepared documents linked to the intercultural approach with recommendations from by ProDes[50]. These interventions included trainings, guides, and posters, among others, that primarily addressed the issue of native languages. Thanks to the Program's efforts, these 20 institutions took into account important intercultural issues when performing their activities. The institutions developed these intercultural adaptations using the Guide for Public Services with an Intercultural Approach and the National Policy for Intercultural Mainstreaming.

The health sector stakeholders also carried out activities to promote the intercultural approach. In Amazonas, technical assistance was provided for the preparation of the Guide to CRED Care. Likewise, three health centers (Galilea, Kigkis and Nieva) in Amazonas performed capacity-building activities with a focus on gender and cultural diversity to strengthen CRED services. In addition, the PMCS of two health centers in Loreto (Bellavista Nanay and Moronacocha) improved the orientation of service delivery by including correct signage in two languages.

Findings indicate that not all officials know how to apply the intercultural approach to service provision. With regard to Comprehensive Solid Waste Management, for example, the municipalities in Ucayali and Madre de Dios have not included the intercultural approach in the service, even though these municipalities include indigenous communities. Municipalities do not provide the service to indigenous communities and officials are unfamiliar with the customs of native peoples with regard to solid waste management, although they acknowledge that those communities maintain a clean environment.[51]

Sustainability

As in the case of the gender approach, no institutions prepared or kept materials documenting the lessons learned. The work was not systematized on a regular basis and was not shared with the regional

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[50]GORE Loreto, DIRESA Loreto, MD San Juan Bautista, GORE Amazonas, DIRESA Amazonas, MP Condorcanqui, MD Río Santiago, Red de Salud Condorcanqui, CS Galilea, CS Nieva, DRE San Martín, UGEL Lamas, MP Lamas, MD Barranquita, MD Tabalosos, MP Tambopata, GORE Ucayali, ARA Ucayali, MP Coronel Portillo, MD Nueva Requena.

[51] Some initial activities supported by ProDes were carried out, such as the signposting of services of the Municipality of Inambari (Madre de Dios) in the local native language and in Spanish.

governments, national government entities, or with other geographic areas. The guides developed by ProDes are not sufficient; documents specific to each institution are required. Based on the statements from interviewees and the evaluation team's research, there is no evidence that such actions were carried out.

Unexpected results

¿To what extent did the Program's activities produce unexpected results and/or greater and broader impacts both on thematic and geographic areas?

ProDes activities produced results beyond the Program's planning. These results fomented improved decentralized management as described in the following paragraphs.

(i) Meeting the requirements of the Incentives Program for Improving Municipal Management of the Ministry of Economy and Finance (MEF).[52] In the case of Comprehensive Solid Waste Management (GIRS), ProDes contributed indirectly to meeting Goal 10 of the incentives program, "Implementation of municipal comprehensive solid waste management." One of the activities required by the Incentives Program is the implementation of the Comprehensive Solid Waste Management Plan for provincial municipalities and the Solid Waste Management Plan for district municipalities, which were both management tools improved by ProDes activities. While ProDes expected to strengthen the capacities of the sub-national governments in order to develop relevant regulatory and management documents, the contribution to meeting the MEF Incentives Program requirements was not explicitly identified.

(ii) Landfill in Campoverde. According to the Management Office of Public Services, winning the bidding process for the financing of the landfill would not have been possible without the knowledge that ProDes provided to the municipality.

The landfill will substantially improve the final disposal of solid waste in that district, which makes it an important project for improving the district's GIRS. However, the search for a landfill in Campoverde came about because sub-national governments could not agree on a landfill project at the provincial level. Therefore, it is possible that this landfill is not the most efficient solution and that there is the need to start thinking about a landfill for the province.

(iii) Recognition of good administrative practices. Different branches of the national government recognized the good practices of sub-national governments that received technical assistance from ProDes: (i) Municipal Seal, awarded by the MIDIS to the district municipality of Rio Santiago and the provincial municipality of Condorcanqui, for their improvement of public service delivery; (ii) recognition of 'Good Educational Management Practices at UGEL' by the MINEDU, awarded to the Lamas UGEL for improvements in education management, and (iii) recognition for Sustainable Local Environmental Management (GALS) awarded by the MINAM to the provincial municipalities of Tambopata and Coronel Portillo and the district municipalities of Las Piedras and Inambari for their efforts in sustainable development.

(iv) Members of surveillance teams hold positions in municipalities. The members of the Punchana team will be employed in the Casa Maynas, where efforts are made to reduce chronic malnutrition in children. The eventual employment of civil society participants by a government body was not anticipated.

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[52] This program implies a transfer of resources to municipalities to meet goals within a specific period of time. The goals are formulated by diverse public entities of the central government and their purpose is to drive results which require a coordinated work with municipalities.

Design and implementation factors

What design and implementation factors limited or contributed to achieving results?

This question is comprised of two sub-questions:

Assumptions, scope, consistency of objectives, and indicators

What are the Program assumptions and the scope and consistency of objectives and design components included in the contracts and modifications? How consistent were the definition and the setting of objectives and the measurement of indicators or variables?

In brief, the answer to the sub-question is as follows:

- The ProDes design was appropriate and fit the national reality of the decentralization process. It included the three results required to strengthen decentralized service management, which are within the scope of action for an international agency such as USAID: (i) improve key policies and reforms; (ii) improve the efficiency of sub-national governments, and (iii) improve transparency and citizen participation mechanisms. The implicit assumptions of the Program were documented and valid for the national reality. The ProDes design does not include explicit assumptions for meeting the general objective or to achieve the proposed results. It is particularly important that no explicit or implicit assumptions were found regarding one important aspect of public administration in Peru: the high turnover of officials.

- Given the characteristics of the Peruvian decentralization process set out in the context section, it would have been impractical for ProDes to include strengthening the governing role of the national government, which would otherwise be an attractive additional element to strengthen decentralized service management.

- The three indicators used by ProDes to measure the progress made in service provision were appropriate. The Performance Monitoring Plan (PMP) provides a framework for measuring progress. However, with the exception of two indicators, performance indicators are focused on inputs, processes and activities. Because of this, the PMP does not allow for a complete verification of the progress made in strengthening decentralized service management.

The following paragraphs develop and present the sub-question findings.

ProDes was designed for the purpose of "*improving decentralized management for an efficient provision of prioritized services to benefit marginalized populations in target regions.*" To achieve this objective, three results were considered: [53] (i) improve key policies and reforms; (ii) more efficient sub-national governments, and (iii) improve transparency and citizen participation mechanisms.

An analysis of the ProDes design is understood to consist of an examination of the intermediate results that contribute to achieving the Program objective and to confirm that these are appropriate for the national and regional context. To achieve this, it is important to take into account the context of the Peruvian State previously discussed in the Program implementation context section.

That section establishes that the decentralization process could not be implemented according to its principles due to the highly accelerated transfer of responsibilities corresponding to the 'decentralization shock' of 2007. As a result, the capacities of sub-national government were not developed and functions

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[53] Presented in the chart of section "Description of the Program".

were not allocated appropriately. Moreover, the Peruvian State has not built the consensus, nor established the mechanisms needed to achieve a balance between the autonomy that sub-national governments need and the control that the governing bodies require to unify the republic and ensure an efficient use of resources.

The tension between the independence and control of a unified yet decentralized State has not been resolved. The supervisory role of the national government has not been developed, nor has the government developed mechanisms for capacity-building and performance follow-up and assessment (as well as corrective measures) to achieve continuous improvement.

Program assumptions

The ProDes design does not make explicit assumptions regarding the conditions required to meet the general objective and, in particular, to achieve the results proposed. However, based on the implementation mechanism, implicit assumptions may be outlined for the execution of the ProDes. These are presented below based on the Program's three results.

Intermediate result I: Improved political framework

Two implicit assumptions arise:

- The contribution of sub-national governments and civil society is a key element of policy change, not only for policy socialization but also for policy design and reform.
- Even though policies may we well designed, it is difficult for sub-national governments and, in general, for all stakeholders to apply policies in practice.

These assumptions are valid since:

- Often sub-national governments are not able to implement (completely or efficiently) national reforms and policies due to the lack of guides to make them operative or to the execution of existing guides[54].
- Greater linkage between national policies and territorial needs is required to improve the decentralization framework and optimize the actions of sub-national governments. [55]
- In order to identify policies and reforms that reflect actual needs, government officials and civil society should engage in dialogue to achieve more sustainable improvements. [56]
- It is necessary to adjust national policies to the country's diverse realities without jeopardizing the unity of the Republic.

Intermediate result 2: More efficient sub-national governments

Five implicit assumptions arise:

- Even with good policies, decentralization may not progress without strengthening public administration. This requires having public officials in sub-national governments who are capable of administering such governments.

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[54] Comptroller's Office Report, page 206: "There are no official methodologies for the follow-up, assessment and management of knowledge; there are no manual or tutorials; information systems are disjointed because each administrative or functional system manages information in its own way."
[55] Comptroller's Office Report, page 206: "The heterogeneous nature of the many situations faced by public institutions is not reflected... The perception of the officials is that [policies] were designed in Lima."
[56] Comptroller's Office Report, page 223: "When policies are not debated publicly, sub-national governments and the population have no voice."

- Ministries and sub-national governments operate as separate units at decentralized levels and even pursue uncoordinated objectives.

- One of the main challenges facing decentralization is the lack of coordination between the different units of sub-national government that are located in the same geographic areas.

- Sub-national governments have the necessary autonomy to develop solutions for issues that are specific to their locations, respecting procedures and national systems.

- The main determinants to good services are the capacities of sub-national entities to meet citizen demands and have financial resources available.

These assumptions are valid since:

- Capacity building is one of the major weaknesses of the decentralization process. Peru is at the bottom of the list when it comes to public service design and performance. [57]

- Capacity-building activities are not organized on the basis of a strategic plan with a common objective, and efforts have been insufficient, uncoordinated, discontinuous, and ineffective. [58].

- It's a challenge to ensure and promote a balance between the autonomy and control necessary for the effective management of human resources, supply processes, budgets, cash flows, and debt, among others, while considering the heterogeneity of entities and levels of government. [59]

- The Framework Law on Decentralization establishes that competencies and functions should be transferred to the level of government that is closest to the citizen (subsidiarity), provided that the level of government carries out the task at the most reasonable cost (concurrence) and has effective management capacities. [60]

- Article 5 of the Framework Law on State Management Modernization points out that the modernization process is based fundamentally on decentralization through the strengthening of local and regional governments and the gradual transfer of functions.

Intermediate Result 3: Improve transparency and citizen participation mechanisms

Four assumptions arise:

- Effective service provision requires transparency and citizen participation to ensure that public demands are met.

- Control and accountability mechanisms have not been effective due to the lack of capacities or the lack of political will adopt them.

- To date, sub-national governments have no proper understanding of citizen participation mechanisms, such as those inherent to participatory budgeting and planning. Through these mechanisms civil society may express its needs and influence public services.

- In addition to citizen participation processes, the population should exercise its right to participate in surveillance committees to verify the government's good performance. It is necessary to establish surveillance committees for service provision.

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[57] Comptroller's Office Report, page 236.
[58] Comptroller's Office Report, page 101.
[59] Comptroller's Office Report, page 244.
[60] Comptroller's Office Report, page 205.

The assumptions of this intermediate result are valid since:

- Citizen participation mechanisms evolved to fill gaps generated by flaws in the representative system, instead of supplementing and strengthening it. [61]
- Participatory budgets have not been able to channel the demands of the population because they are often decoupled from annual planning and the majority of civil society is not organized. This leads to local programming that is largely determined by agents of organized minorities. [62]
- The Framework Law on Decentralization established citizen surveillance as an objective of decentralization. To that end, citizens should have timely and accurate information about the decisions made by the authorities. [63].
- The assumptions are consistent with the Law on Citizen Participation and Control Rights, Law No. 26300.

It is important that the implementation mechanism did not include explicit or implicit assumptions regarding the reality of high turnover among Peruvian public administration officials. However, interviews with Program implementation representatives documented that they were aware of this reality and therefore decided to work preferably with named staff.

Scope and Consistency

The three intermediate results considered for achieving the objective of ProDes are consistent with the improvement of decentralized management within the scope of work of an international agency and in a country with a decentralization process with room for improvement.

No other main result is considered for achieving the objective, taking into account the scope of an international agency and based on the validity of the assumptions examined in the previous section.

If there is an additional component that would contribute to the achieving the ProDes objective, it would be strengthening the supervisory role of the national government by promoting its intervention with sub-national governments within the framework of surveillance, monitoring, supervision and decision-making processes. However, this component could not be part of the design of an international cooperation program such as ProDes since not even the Peruvian State itself has designed a consensual strategy to balance the autonomy of sub-national governments and the governing role of the State. The best that could have been done was to strengthen the governing role at the regional level. In other words, the sub-national government could inform the national government about the flaws of the service provision. This was addressed, in part, in result 2.

Intermediate result 1, "Improved political framework", includes the elements required for redesigning policies and reforms in the framework of decentralized management. These include the formulation of policies based on situation analyses, policy discussion to meet the needs of sub-national entities, and the preparation of guides for the implementation of policies and reforms by sub-national governments. In brief, it includes the discussion, formulation and implementation of policies. In addition, this intermediate result is supplemented by the implementation of policies (intermediate result 2) and by follow-up and assessment processes (intermediate result 3).

Intermediate result 2, "More efficient sub-national governments", also contains the elements required to improve the efficiency of sub-national governments by virtue of these governments needing all of its elements: strengthened capacities, modern systems and policies, and sector integration.

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[61] Informe de la Contraloría, pág. 305.
[62] Informe de la Contraloría, pág. 305.
[63] Informe de la Contraloría, pág. 301.

However, there is a weak link between sub-result 2.4, "Management capacity and response to social conflicts and disaster risks" and intermediate result 2, and even in relation to the Program's objective.

The implementation mechanism indicates, *"Sub-national governments must have the capacity to manage social conflicts and natural disasters."* [64] It also includes the conditions required to accomplish this, but does not address their relationship with decentralized management. There is no in-depth analysis either of the elements required to manage social conflicts and disaster risks successfully (it only points out "what is required"), and there is no understanding of the issues relating to social conflicts and disaster risks in order to be able to design a solution strategy.

Likewise, out of the three sectors (health, education, and environment), disaster risks and social conflicts may potentially occur in the environment sector in relation to GIRS. Therefore, it is an intermediate result that in practice could have been eliminated without affecting ProDes results, although its inclusion is understandable within the context of ProDes (Peruvian Amazon region) and the State's approach to make efforts to address social conflicts and disaster risks.

Intermediate result 3, "Improve transparency and citizen participation mechanisms", considers the elements required to improve the decentralized management of services from the perspective of transparency, accountability and citizen participation. This takes into account the work of sub-national governments that lack accountability capacities or are not able to promote citizen participation as well as the work carried out with civil society organizations to develop participation.

In addition to these results, the design includes two crosscutting approaches: gender and cultural diversity. **With regard to gender and cultural diversity**, it is not entirely clear to what these approaches refer in terms of the decentralized management of services. The diverse spaces where both approaches should be considered are pointed out but how to focus both concepts to achieve an effective decentralized management is not clear. [65]

Finally, we note that the design of the implementation mechanism was flexible enough for a context as complex as the decentralization in Peru. The implementation mechanism allowed the Program to adjust to unexpected situations. For example, the contract amendments facilitated the work of ProDes with the application of the cluster concept, such as the GGD. This positive change will allow decentralized management to focus on smaller universes centered on one or two services. [66].

Indicators

To measure changes in the provision of services, ProDes applied three indicators: the waiting time for users of CRED service, the frequency of solid waste collection, and the time it takes to distribute materials from the UGEL to the educational institutions. The last two indicators are included in the Performance Monitoring Plan (PMP).[67] These three indicators effectively measure improvement in the service pathways in which ProDes participated.

ProDes also proposed indicators to assess compliance with the three intermediate results through the PMP. The proposed indicators are linked to processes, activities and inputs that allow for the measurement of activity progress.

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[64] Even in the interviews conducted it was evident that the implementing partner had to look for "how to fit" these elements into the logic of the Program during implementation.
[65] In practice, ProDes carried out coordinated actions to mainstream gender and intercultural approaches in sub-national governments; however, such approaches were hardly applied in the decentralized management of prioritized services, as indicated in the relevant section.
[66] ProDes went from working with a total of 80 sub-national governments to at least 20.
[67] In the PMP the target percentage of local governments that increase their collection frequency is 'at least 25%' on a weekly basis.

However, the indicators of the three intermediate results and the final objective do not measure outcome results and, therefore, do not effectively measure the progress of decentralized service management. These indicators do not identify real and implemented changes in sub-national government performance, except for two specific indicators:

- Indicator 15: Percentage of targeted sub-national governments that prepare "Institutional Operative Plans (POI) with quantitative targets and defined results."
- Indicator 23: Percentage of treated sub-national governments that adopt and include service improvement activities in their POI.

Both indicators measure the progress of these sub-national governments in strengthening decentralized management since they assess changes in the preparation of management documents that favor decentralized management. However they focus exclusively on the POI.

Two examples illustrate the prevalence of process, activity and input indicators. First, the indicators of intermediate result 2 ("more efficient sub-national governments") refer to very specific actions; they do not fully assess whether the work carried out by ProDes translates into sustainable improvements or if the efficiency of sub-national governments is actually improved. For example, an active GGD may be a simple formality that does not always result in coordination that responds to the challenges of decentralized management. In another example, IR1, Improved political framework, measures the number of citizens who participate in policy dialogues in order to assess whether targeted ProDes actions were implemented, but it does not identify whether a policy is being designed based on evidence and citizen participation.

The PMPs of 2014 and 2015 include assumptions. In brief, for the success of ProDes, it is assumed that the agenda of the newly elected governments following electoral processes at national, regional and local level, will consider the importance of improving services through GGD and citizen participation, among others. In general, the main assumption was that the new authorities would maintain an interest in improving the priority public services, and that ProDes would make a corresponding effort to raise awareness and communicate with the candidates and elected governments. The assumption was considered valid and the actions taken were considered successful, although in practice the regional government of Madre de Dios and the district municipality of Laberingo withdrew from ProDes for political reasons. At the political level, with the exception of those two cases, the change of government has not affected the work of ProDes beyond the corresponding rotation of appointed officials.

Key implementation successes and challenges

¿What were the key implementation successes and challenges?

This section presents the main implementation factors that limited or contributed to achieving results.

First major success: Implementation of a conceptual and practical model of decentralized management strengthening

The main implementation success was to create and put into practice a conceptual model for improving decentralized management at the sub-national level. This model included policy components, capacity building, and transparency and citizen participation mechanisms. The main success factors were:

- The lessons learned from ProDes I and ProDes II regarding the decentralization process and decentralized management provided ProDes III with a considerable knowledge base.

- A design that included key elements for good decentralized management, such as capacity-building of sub-national governments, the improvement of a policy framework, and the strengthening of citizen participation and transparency mechanisms.

The significant experience of ProDes in improving decentralized management may be systematized and replicated throughout the country if it is provided with opportunities for improvement and complemented with actions described in the Recommendations section.

Second major success: Application of a model that improved decentralized management with tangible achievements in result indicators.

The main factors of success were:

- The application of a capacity-building methodology that included the evaluation of services and institutional capacities.
- The development of a capacity-building plan linked to these evaluations and a continuous service improvement plan.
- The valuable characteristics of the ProDes capacity strengthening strategy: (i) technical assistance was based on the local situation; (ii) participatory approach; (iii) technical assistance was comprehensive since it was based on the assessment of issues, provided long-term support to officials, and provided feedback on results; and, (iv) applied the learning-by-doing approach.

Third major success: Involvement of local stakeholders in decentralized management.

Many officials were unfamiliar with decentralized management or did not know how to improve their actions to optimize decentralized management. Now, the great majority of officials not only recognize the importance of their work in decentralized management but also take specific actions to improve decentralized management. The main factors of success were:

- A participatory methodology that allowed stakeholders to be part of the problem assessment and develop strategies to optimize decentralized management. ProDes worked with officials taking into account their specific circumstances, limitations, and capacities.
- ProDes accompaniment throughout the process, which established a close relationship between the Program and the officials. The presence of regional coordinators who communicated directly with the involved officials was essential.

Main implementation challenge: the decentralization context

The ProDes intervention was carried out in the context of a State that had not completed its decentralization process, and which had undergone an accelerated 'decentralization shock' that force the abandonment of its desired characteristics. The state had sub-national governments that lacked the capacities needed to provide public services and an Executive Branch with a weak supervisory role, confusing laws, and an institutional system that does not balance the natural tension between local autonomy and central control of the decentralization process.

Likewise, it had to deal with recentralizing tensions, continuous changes in the PCM, high turnover of regional and local authorities, and changes in the governing bodies of the intervention sectors following national elections.

Given this situation, and understanding the limitations of the scope of an international agency, ProDes assessed in which stages of the prioritized service delivery it could participate, avoiding intervention in those issues where the State's institutional system was unclear.

Pending policies and issues

What are the main pending polices and issues regarding decentralized management that should be addressed in the near future to further advance the decentralization reform process?

The principle problems facing the decentralization process have been a lack of leadership and control in the governing bodies with regard to functions and administrative matters. The Executive Branch abandoned its supervisory role; did not allocate enough resources to sub-national governments for the exercise of their duties nor comprehensive technical assistance; did not carry out follow-up and monitoring activities for decentralized service provision; did not develop a system of incentives and corrective measures; and, did not make the political agreements necessary for the decentralization process.

Given this situation, the main political effort to be made by the Peruvian State, under the leadership of the PCM and sector governing bodies, is to continue strengthening its supervisory role. This has to be a planned with orderly process and clear objectives. It must take advantage of the existing knowledge in the country concerning the decentralization process. There are spaces in the country for capacity-building programs to promote actions that will strengthen the role of the national government while serving the objective of delivering the best possible services to citizens.

It follows from the evaluation that the challenge of the Peruvian State, within the framework of a modern state, is to align decentralized stakeholders with the goals of putting citizens' interests first and providing greater wellbeing for every Sol spent. Thus, it is a question of national interest to assess how public services are being provided in a decentralized way and to suggest improvements for a more efficient decentralized management.

Actions to improve decentralization must be aligned with its existing legal framework: to analyze public services through value chains; identify the tasks of stakeholders; evaluate their capacities; and, allocate functions based on the four principles of decentralization: (i) subsidiarity, (ii) concurrence, (iii) provision, and (iv) selectivity and proportionality.

Another important issue to advancing decentralization in the framework of civil oversight, monitoring, supervision, and corrective measures, is to measure progress made in decentralized management. This implies the development of a system of performance indicators for each service. This system would provide information in real time to the levels of government that assess and control decentralized management. Such as system would quickly and easily measure the performance of entities and officials in modernizing and decentralizing the State. Follow-up and assessment activities are essential to identify bottlenecks as well as good practices. This would make it possible to correct errors, formulate proposals, and inform a knowledge management platform.

Finally, the government of Peru must continue to strengthen the pending civil service reform policy in order to guarantee access to a consistent supply of competent officials that are well-paid, have social security benefits, stability, clear regulations, and a system of incentives and penalties. The high turnover of officials is a reality that limits decentralized management and is abundantly evident in this evaluation and throughout the Peruvian State in general.

Conclusions

This evaluation's main conclusion is that ProDes understood the country's decentralized management problems and developed a strategy resulted in improvements to decentralized public service delivery. The Program identified sub-national governments with weak capacities that needed the support of decentralized management specialists to help them define service provision solutions. The Program's design included the components necessary to improve decentralized management within the scope of an international agency such as USAID.

ProDes achieved tangible results in terms of the improved management of targeted decentralized services. The distribution of school materials, comprehensive solid waste management, and CRED are performed more efficiently to the benefit of citizens in the areas of intervention. In addition, the institutional capacities of sub-national governments have been strengthened, as demonstrated by the evolution of ICI for the five functions assessed by ProDes. A large number of regulatory documents aimed at improving decentralized management were also produced, which showed the "practice to policy" approach to be a valuable foundation for the achievement of better results.

Interviewed officials regard the work of ProDes highly and remember the Program positively.

The evaluating team concludes that the achievements accomplished were the result of the Program's strategy, the foundations of which were as follows:

i. To accompany decentralized management focusing on specific services with clear indicators for targeted improvements.

ii. To analyze the critical issues of service provision and provide technical assistance to solve them. This assessment showed figures, data and facts that allowed the identification of decentralized management bottlenecks.

iii. Technical assistance with valuable characteristics and features:
   o Technical assistance was adapted to local needs, which made it comprehensive.
   o It had a participatory approach; incorporated solutions devised by officials; and, applied the "learning by doing" approach.
   o Manuals, systems and contract models, among others, were provided to strengthen decentralized management.

The capacity-building efforts and regulatory upgrades encouraged by ProDes resulted, in all cases, in the improvement of the decentralized management of sub-national governments in general, and among those responsible for the education, health, and environment sectors.

Not all interventions contributed to improved prioritized services. In particular, as local governments do not have specific competencies in the distribution of school materials or in CRED services, capacity-building contributed to improving the decentralized management of such sub-national governments with respect to the education and health functions, but not directly in the improvement of school material distribution or CRED.

The lack of stakeholders in the three levels of government limits the search for solutions to issues of decentralized management. A service pathway that analyzes all the steps and stakeholders of the value chain would highlight the importance of participation of the governing bodies in the decisions that directly affect services. Based on the instructions of USAID, ProDes did not approach the governing body of the health sector. This limited the possibility of finding solutions for decentralized management that would involve MINSA decision-making. A clear example of this is the technical regulation of MINSA, which suggests that the waiting time for users of the CRED service be 45 minutes. The shorter waiting

times of DIRESA reveal a misalignment between national policies and their execution at the decentralized level. The lesson learned from this experience is that improving the decentralized management of services implies working with all the stakeholders that participate in the value chain of the service to produce better results.

In addition, the distribution of competencies of stakeholders in the value chain does not always contribute to a more efficient service provision.

The decentralizing shock of 2007 did not respect the principles of decentralization. As a result, the sub-national governments were allocated functions beyond their capabilities and tasks were distributed without finding out which stakeholder was best prepared to carry them out most efficiently.

Program respondents indicate that ProDes did not argue the allocation of such functions, pointing out that such a discussion was beyond its scope and because the Peruvian regulations that established these functions were transferred following the decentralizing shock and it is difficult to modify them. This position is shared by diverse stakeholders (and by the State itself) but not by the evaluation team. According to the country's legal decentralization framework (Annex 9 and context section), there is room for debating the efficiency of allocations and considering a reallocation when it is proven that the allocated tasks do not allow for the optimal possible provision of services to citizens.

Given that ProDes had fixed resources, objectives and implementation times, and that it faced a State that still does not debate the governing role of the Executive Branch, we can conclude that ProDes did not have enough room to achieve the final or desired change in function allocation without the political will of the relevant Ministry. However, the Program did have room to suggest or attempt to make changes in the allocation of tasks of the governing bodies. [68]

The Program incorporated gender and intercultural approaches in the principal counterpart institutions. Officials acknowledge the need to mainstream these approaches with decentralized management. Documents and guides were prepared on how to apply such approaches in local environments. However, except for some actions, mainly in the health sector, the progress made in applying the gender and intercultural approaches specifically in the delivery of the prioritized services was limited. This application would have been valuable to encourage access to and equal participation in public services.

Collaborative surveillance is an important decentralized management 'good practice'. ProDes succeeded in motivating target populations to become involved in public service surveillance and ensured that the officials that worked directly with surveillance teams acknowledge and value the practice. However, while sub-national governments have the responsibility to promote citizen participation, there is no express obligation to allocate resources to this activity. During the ProDes intervention, the allocation of resources to surveillance by sub-national governments was achieved as it was considered a valuable activity. The continuation of this activity cannot be ensured following the departure of ProDes. POI updates and changes of government make this strategy vulnerable over time. In fact, the evaluation team found that several surveillance teams no longer gathered information in the absence of ProDes support.

The sustainability of the diverse interventions implemented by the Program is a pending challenge. The adoption and appropriation of knowledge and learning were achieved at the individual level, but at institutional level there are still challenges. These challenges include the systematization of learning of each locale on a regular basis so that new officials may access the lessons learned by his/her predecessor in the event that officials turnover. Moreover, not all of the adopted best practices were shared with

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[68] Actually, evidence of such room was the change achieved in the payment of teachers as a responsibility (which was not part of this evaluation but which was identified during fieldwork. In San Martin, this responsibility, which lay with local governments, is now budgeted by the MINEDU through the UGELs. This was a task reallocation along the value chain that aimed at improving the decentralized management of the service.

regional and central entities so that they could be institutionalized in other sectors of the department or country.

Finally, the strengthening of the supervisory role of the Peruvian State is a state policy that needs to be reinforced and consolidated. ProDes was unable to engage in this activity due to the scope of ProDes as an international cooperation agency, and because the Peruvian State has no strategy to balance the autonomy of sub-national governments and the supervisory role of the State. There is evidence that the sector institutions and the PCM lack the required capacities owing to the problems found related to the decentralized management of the services analyzed in this evaluation. The recommendation section proposes means and strategies that could be implemented by the Peruvian State to strengthen the supervisory role of the Executive Branch.

Recommendations

Within the framework of the Executive Branch's governing role – follow-up, monitoring, continuous improvement, capacity-building and process optimization – the challenge of the Peruvian government is to ensure that all decentralized stakeholders put citizens' interests first and provide greater wellbeing for every Sol spent. The Executive Branch would have to constantly assess the services provided to citizens and establish corrective mechanisms and incentives.

The Peruvian government needs to address the strengthening process of the governing role by improving the decentralized management of public services. Specifically, efforts should be focused on building the capacities of sub-national governments. To implement capacity building, the Peruvian government may draw on other experiences and on the knowledge generated by ProDes over the past 15 years, especially in the last 5 years.

The recommendations of the evaluation team are divided into two sections, the first addressed to USAID and the second to the government of Peru.

Recommendations for USAID.

The ProDes pillars of capacity building mentioned in the conclusions section are best practices for the improvement of public administration in the country. Thus, even if USAID does not develop programs aimed at improving decentralized management, we recommend that interventions implemented with the Peruvian government include an analysis of the relevant value chain in terms of figures, data, and facts. In that way, USAID, and in general any entity or organization implementing activities, will be able to identify the bottlenecks or issues affecting interventions and, if deemed necessary, start a capacity-building program with sub-national governments that includes the positive features of the ProDes experience.

To support the Peruvian State, USAID could systematize its experience with ProDes and deliver it to the government. ProDes has developed a great number of manuals, guides, models and systems that if used in other sub-national environments could extend the results of the Program to other beneficiaries in the country. USAID and ProDes have complete part of this effort through publications to the PCM knowledge management platform.

The pending task consists of the systematization of the specific learning achieved at each sub-national level. There is no learning guide that provides details about the experience of each entity, i.e. the problems addressed, solutions developed, achievements accomplished and difficulties encountered. This is not the same as the documents found in the PCM platform since, except in a few cases, these documents are general methodologies and do not relate to the specific learning in each situation. Therefore, it is recommended that in the case of Programs that include capacity-building activities with sub-national governments, lessons learned should be systematized so that they contribute to the sustainability of the capacity-building effort.

In particular, the sharing of the following outputs with the Peruvian State is recommended:[69]

- The situation analysis of the services analyzed in the five departments, describing not only the problems but also offering an explanation of their causes based on fieldwork evidence.

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[69] Se entiende que la mayoría de documentos generados por el Programa estarán a disposición del Gobierno a través de la Plataforma Web de Gestión del Conocimiento de la PCM.

- A standardized kit built on the manuals, guides, models, systems, and methodologies developed by the Program. It would also be useful to include a lessons learned section with "learning guides" as mentioned previously. The PCM platform already contains some of these elements.

Systematization represents not only a significant progress in the right direction for the sustainability of achievements and the improvement of decentralized management; it is also an input that USAID may use to incorporate best practices and lessons learned in other programs and extend its influence to the country's public policies. Systematization provides room for the international agency to build on results without the need to finance other programs at the scale of ProDes.

Recommendations for the Peruvian Government

It is recommended that the Peruvian Government, faced with the challenge of strengthening its supervisory role as described in the evaluation findings, start this challenge taking into account the decentralization regulatory framework. In other words, to optimize value chains based on the principles of decentralization while, in turn, generating political agreements among the three levels of government to carry out the process. This challenge is the responsibility of the governing bodies and the Secretariat of Decentralization of the PCM. The following section presents the proposal of the evaluating team to meet the challenge.

In this regard, it is suggested that the Decentralization Secretariat (SD) preserve the learning generated in the country regarding the strengthening of decentralized management processes as well as the knowledge acquired by the PCM, the Office of the Comptroller General of the Republic, Ombudsman's Office, ministries, and the national or international agencies involved in the strengthening of decentralized management. It is also suggested that the SD take into account the positive elements of the ProDes model for the strengthening of decentralized management, such as the "learning by doing" approach, the work with appointed staff, and comprehensive technical assistance, as well as opportunities for future improvement identified in this evaluation, such as the continuous systematization of learning guides in each recipient public entity.

It is advisable that the Peruvian Government follow the good practices found in the ProDes model when developing capacity-building programs (e.g. prioritizing appointed staff) and well as those cases in which ProDes had opportunities for improvement (e.g. systematization of specific learning guides in each entity).

Likewise, it is also advisable that the Peruvian State, at all three levels of government, implement and disseminate some of the inputs that ProDes developed to strengthen the regulatory framework and provide training to sub-national governments in decentralized management responsibilities. There are valuable inputs, such as the ICA tutorial, the Decentralized Management Matrix, and the guides for the application of the gender and intercultural approaches, among other documents examined in this evaluation.

Finally, we recommend that any capacity-development program led by the Peruvian Government include the active participation of the governing body, since the implementation of national policies in local environments provides inputs for the improvement of these national policies.

Proposal of the Evaluating Team

Following are the proposals of the evaluation team to the Peruvian Government for strengthening decentralized management, in line with the recommendations. These proposals are presented in two parts. The first is about the way to optimize a capacity-building program and the second deals with the way the Peruvian Government could strengthen decentralized management. It must be noted that this proposal reflects the opinions of the authoring organization (AC Pública) and does not necessarily reflect the views of USAID.

Capacity-building program

The capacity-building strategy of ProDes, together with the application of the ICA and PMCS, was a success. However, the order of implementation of strategies is fundamental to obtain the best sustainable results. In the opinion of the evaluating team, the PMCCS should be applied first, followed by the ICA, as explained below, in order to replicate the capacity-building process established by the country's decentralization laws.

a. Analyze services based on the processes identified in the value chain. It is suggested that the PMCS (service quality assessment) be applied first, which is an analysis of the service value chain, in essence. The PMCS is a step in the right direction as it identifies the service pathway at the fourth level of detail. However, in order to understand and solve the issues of decentralized management, the development of the entire value chain is recommended. It is necessary to include all of the processes, from the governing body at national level, through regional interventions and up to the delivery in the local area. To that end, it is fundamental that each governing body inventory all of the services it provides.

The service route developed by ProDes identifies stakeholders and activities for the "operative" stage: the application in health centers; municipal solid waste management, and the distribution of school materials, but does not take into account the planning stages that often involve national and regional bodies. The service pathway is one of the many stages of the service value chain. In particular, links corresponding to the national government are not defined.

In two out the three prioritized services, only one link of the value chain was considered: municipal solid waste comprehensive management (GIRS) and application of CRED in health centers.

Chart 7. GIRS: comparison between the value chain and the service route
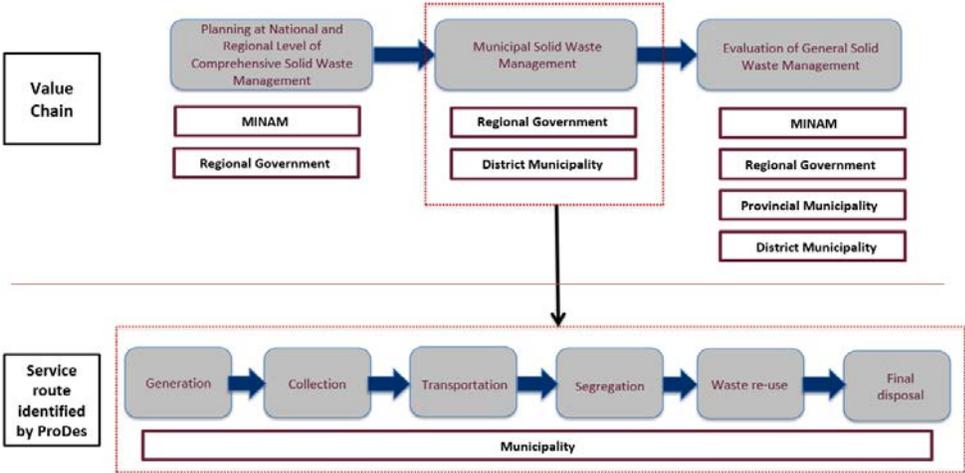
Source: prepared in-house.

Chart 8. CRED: comparison between the value chain and the service route
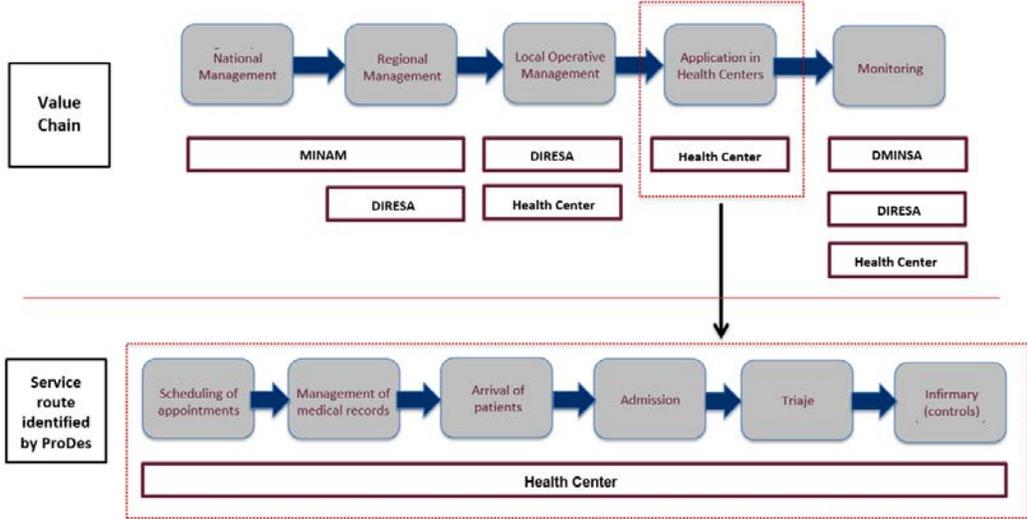
Source: prepared in-house

In the case of the service route for the distribution of school materials, the identified steps include the chain links where only the UGEL participates: regional planning (plans for the hiring of services, chart of routes); hiring of transportation supplier; distribution of material to educational institutions (assembly of kits, transportation), and the certification of arrival. No reference is made regarding the interactions with the national government.

Chart 9. School materials: comparison between the value chain and the service route
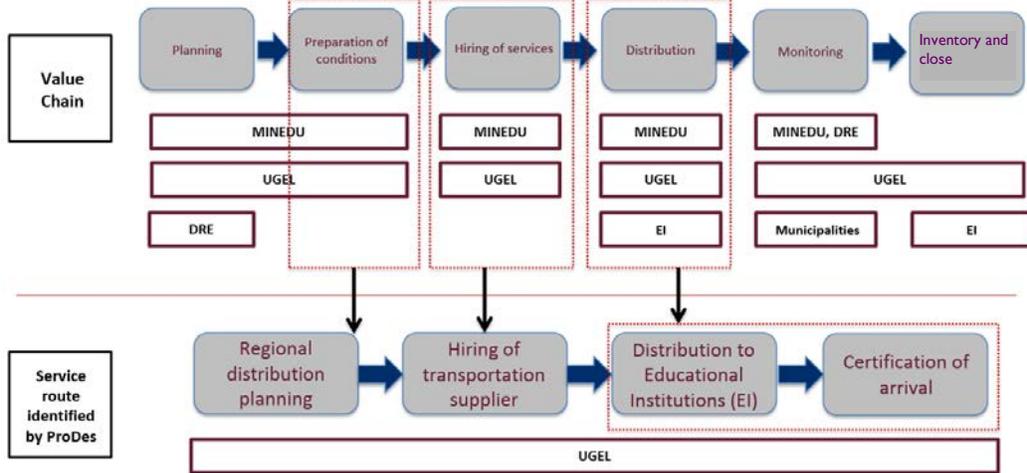
Source: prepared in-house

To understand the interactions, the "Distribution of school materials and resources" (fourth chain link) is emphasized (See Chart 10).

Chart 10. Interdependencies in the "Distribution of school materials and resources"
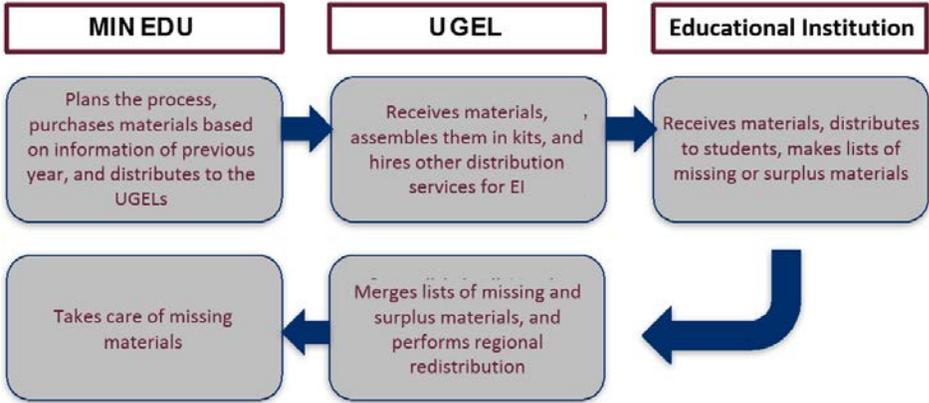
Source: prepared in-house.

Seeing the chain in this way clearly depicts the interdependencies between the levels of government. The problem of missing materials of the educational institutions and the redistribution process of the UGELs depend on the procurement process of the MINEDU and the pay slips it uses.

The service quality assessment will determine the work processes and the responsibility matrix. In this way, bottlenecks may be identified and the efficiency of the distribution of decentralized management functions discussed.

Both aspects provide inputs to the reengineering of processes and optimizing the value chain. It is important to ask questions such as: Should municipal capacities be strengthened to continue contributing to value chains when there is no clear allocation of functions? Is there a more effective way to complete with the process? In the particular cases for the prioritized services, some key question include: (i) Should each municipality have its own trucks or could these trucks be allocated to the province? (ii) Could a single landfill be used for all the districts? (iii) Is it necessary to assembly the school material kits at each UGEL, or is it possible to ship from Lima with the materials already organized in kits by a logistics expert? In this way, the most effective and efficient way of delivering the service is questioned.

This optimization should aim at efficiently reallocating the functions of stakeholders and applying the principles of decentralization.[70] These principles are clear: the function must be allocated to the level of government that has the competence and is closest to the citizen (subsidiarity), that has the management capacity to comply with its task (proportionality), but that can also show that it may perform such function at the least cost possible (concurrence); then the competence is transferred with the resources necessary to execute it (provision).

The following step is to design the relevant value chains based on a results approach[71] (meeting the goals to the benefit of citizens with the allocated resources) and on the value-for-money theory (providing services that citizens require at the lowest cost), estimating unit costs, and reaching the fourth level of process detail.

This approach will serve to determine the effective capacity of each entity. Which is closest to the target population? What is the appropriate scale to access the lowest unit cost? What is the best measure for determining the resources required for the delivery of goods and services?

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[70] In accordance with the Framework Law on Decentralization (2002).
[71] For example, in the case of education, the results approach implies that value chains must aim at improving low school performance. To achieve learning standards, providing students with the necessary school materials is not enough. Educational institutions must also have the conditions to comply with the established school hours; have prepared teachers that follow the curricula; assess learning and quality of education; and hire teachers and principals with good academic records.

The assessment will determine how functions may be allocated according to the principles of decentralization, optimizing the value chain with enough flexibility to incorporate the heterogeneous nature of sub-national governments.

Lastly, according to Peruvian regulations, the existence of established competence matrixes does not limit the reformulation of mandates, through in-depth analyses and with fieldwork evidence. Decentralization was born to provide greater levels of development and wellbeing in all the departments of Peru, and if nowadays the functions allocated in value chains do not respond to that principle, there is no legal or technical justification that restricts the reallocation of functions to achieve greater optimization.

b. *Assess the capacities of stakeholders.* Following the PMCS, the next step is to carry out the ICA or capacity assessment. The ICA is designed for all the entities participating in the value chain of the service and assesses specific capacities for service provision. The capacity-building plan is developed considering an optimized value chain. The implementation of this plan should take into account the characteristics of the ProDes model.

It is appropriate to link both tools to understand the specific capacities required for the service delivery and to consolidate actions in a capacity-building plan aimed at strengthening such capacities. In fact, the PMCS tool should be included as part of the ICA. They must be linked since the achievements obtained through the application of such a tool imply that the capacities of those in charge of delivering the service have improved.

To ensure the sustainability of the efforts made to build capacities, it is important to not only generate manuals specific to each situation, but to make them official. A good practice is to approve them through regional and municipal resolutions or to include them in the functions of the areas, as ProDes did. However, it is also necessary to regularly document the learning generated in each location and to present this to officials to reduce the risk of losing knowledge due to personnel turnover.

c. *Continue with the collaborative surveillance efforts.* The work of civil surveillance teams complemented the capacity building work. Continuing the promotion of surveillance teams is valuable since it provides an effective way for the population to become involved in service provision. The government should consider how to permanently incentivize this process and encourage this practice at the level of the governing body, as well.

d. *Mainstreaming of the gender and intercultural approaches.* The last elements to be considered are the gender and intercultural approaches. In order to continue with initiatives related to gender equality and to reduce gaps with a focus on results, a Public Fund for Gender Equality is being developed. The Fund has already received a formal favorable opinion[72] from the MIMP, which will promote the allocation and management of public resources. These initiatives should take as a reference the MIMP document "Mainstreaming of the gender approach in public policies".

How to strengthen decentralized management

The capacity-building program should include a proposal from the Executive Branch to improve the articulation and coordination among the three levels of government. This would, in essence, represent an agreement at the highest political level to reach agreements.[73] Decentralization will not be sustainable

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[72] Through Official Letter No. 618-2017-MIMP/DM, Ana Maria Romero –the then Minister of Women and Vulnerable Populations–, stated that such tool would be very valuable to promote equal rights and close gender gaps in the country.
[73] The national government would coordinate with the regional and local government to respond to the needs of the territory.

if it is developed top-down. The political will to incorporate regions and municipalities in the preparation of national policies is a good example of the supervisory role of the Executive Branch.

An option for generating these commitments is for each minister to meet with governors and municipal authorities in order to agree on how to address the department's sector issues. This implies agreements between ministers and governors to address citizen security, energy development, national agriculture, etc. and take the relevant measures. In that way each minister will have a specific plan for sector actions adjusted to each department.

This agreement could include a monitoring system and corrective measures in the event of non-compliance with the agreement and with the allocated decentralized management tasks. Swift actions could then be taken to address flaws in the service value chain. There would not necessarily be a need to establish committees[74] to review the progress; other ways to coordinate could be explored periodically or create instances where ministries assess progress.

The aforementioned, regarding how to strengthen decentralized management through analysis and service improvement, may be performed (i) by an entity of the government, by hiring and transferring teams of highly qualified professionals to build the capacities of sub-national governments in the various macro-regions of the country, or (ii) with expert international or national agencies to manage the capacity-building of sub-national governments in a specific macro-region and service.

The evaluating team recommends the second option as the most appropriate. There is no need to hire armies of public officials, and the State is not required to improve the services in all the sub-national locations from the beginning. Such a strategy could be unproductive in practice if the State has to provide a large number of qualified personnel that is not available. The second option provides a more feasible response in the context of the country's human resources challenges, i.e. accessing qualified staff, high turnover, low incentives, vulnerability of positions to political changes, among others.

We therefore suggested that the State hire, through public tenders, national or international organizations to manage capacity building. The new Regional Development Agencies of the PCM could oversee the winners or parties that were awarded the contract and align the work of these organizations with the policies of the State.

Under the guidance of the Decentralization Secretariat, these organizations would establish an understanding regarding the stakeholder roles and the value chain to evaluate the quality of the service provision; figure out the most efficient way to develop it and optimize it, and assess the capacities following the reengineering of process to be able to put together a comprehensive capacity-building plan. In general, follow the decentralization strengthening process according to decentralization regulations for the allocation of functions.

In the opinion of the evaluation team, an option for carrying out this work would be to divide the country into groups of departments where one or more services are prioritized, and where one organization would be charge of strengthening the capacities of each group for a certain number of years. The selection of departments should not be trivial; it must respond to the country's diverse realities.

Part of the responsibilities of implementing organizations would be to report periodically and systematize the flaws and virtues of their intervention in the value chains. Regulatory proposals would also be required, as well as manuals, guidelines, and even policies so that managers of operative and administrative systems, or the Decentralization Secretariat itself, assess progress and challenges, institutionalize achievements, and share lessons learned throughout the country's public administration.

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[74] A committee per sector would have to be established. There are 15 ministries and 24 departments; therefore, 360 committees.

Based on the learning from some departments, the nation can advance its decentralized management nationwide. Implementing organizations would take advantage of the lessons learned by other organizations in other services. In a few years, the delivery of public services prioritized by the State would improve in some departments, and the experience obtained would be systematized and replicated in other sub-national entities to scale up the model.

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Annex 1: Evaluation Statement of Work

I. PURPOSE OF THE EVALUATION

The purpose of this performance evaluation is to analyze and learn from the design, approach, methodologies, tools and activities of ProDescentralización in improving decentralized management in the target regions.

The evaluation will assess Program assumptions, measure key variables, identify implementation problems, unmet needs, and expected and unexpected results and explain how the Program contributed to decentralized management in the targeted regions and sectors where efforts were made to improve public services. Conclusions, recommendations, and lessons learned from this evaluation will inform key stakeholders including GoP entities, USAID, other international donor agencies, and civil associations like the Asociación de Municipalidades del Perú, and the Asamblea Nacional de Gobiernos Regionales, among others involved in the decentralization process.

II. SUMMARY INFORMATION

Implemented by Tetra Tech, ProDescentralización is a five-year program (10/2012 – 10/2017) with contract award AID-527-12-00002 for approximately US$14 million. ProDescentralización contributes to USAID´s Development Objective (DO) of Management and quality of public services improved in the Amazon Basin. The overall goal of the ProDescentralización Program is improved decentralized management for effective service delivery benefitting marginalized populations in target regions (Amazonas, Loreto, Madre de Dios, San Martin and Ucayali).[75]

III. BACKGROUND
A. Context

There are two related contexts in which PRODES has been executed: 1) Ongoing decentralization process started in 2002, and 2) government transitions within three levels. The following paragraphs will provide detail on the contextual situation in which the Program was implemented.
Decentralization Reform

In the last 15 years, the GoP has been transitioning to a decentralized, single government focused on the effective delivery of public goods and services that responds to population demands. Supreme Decree N°047 – 2009 PCM approves the Annual Plan to Transfer Sectoral Competencies to Regional and Local Governments in 2009 establishing a new approach toward decentralized management. Decentralized management is defined as the "articulated management executed by the national, regional, and local governments where each level has complementary functions within a defined territory, that with contribution from civil society, produces goods and services for its citizens" (as cited in Secretaría de Descentralización 2016).

From 2009 and 2016, 93% of regional government functions had been transferred experiencing no change during the period (PCM, as reported in Programa ProDescentralizacion 2016), with some transfer of functions reaching local governments. The implementation of the Monitoring and Evaluation

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[75] Contract No: AID-527-C-12-00002

Plans of Competencies and Functions Transferred to Regional and Local Governments identified weaknesses in exercise of transferred functions at subnational government levels.[76]

In 2013, the 2021 National Modernization Policy of the Public Administration further stresses the shift toward decentralized management requiring articulated coordination and work among national and subnational governments, with clearly defined but complementary roles and functions, that strive for a results based performance for effective service provision that responds to population needs.[77] A modern State is citizen oriented, efficient; unitary and decentralized, inclusive of equal opportunities for all citizens, and open- transparent and accountable (Secretaría de Gestión Pública, n.d.). As such, the Modernization Policy stresses a change of the role of the national government as both rector and executor to only rector, where regional governments (RGs) and local governments (LGs) become the executors of service delivery. Wide consensus existed on the need to strengthen the institutional capacities of national and subnational governments vis. a vis. their role in a decentralized public administration, where capacity building includes the organization´s ability to connect and effectively respond to people´s needs. To address the need for increased institutional capacity of public entities, Law N° 30057 of the Civil Service adopts a two-fold purpose for capacity building: 1) integral development of human capacity and 2) extend focus to strengthen institutional capacity and components to enable organizations to deliver services under a results-based approach that connects with citizen needs (Secretaría de Descentralización 2016).

In 2016, fiscal decentralization had yet to accompany the transfer of functions to RGs and LGs. First, there was a dependency of RGs on ordinary resources. LGs depended on assigned resources (recursos determinados), though they do have independent revenue sources - differentiating from regional governments. Second, the 2016 Budget Law for Public Sector (Ley N° 30372) increased national budget by 6% evidencing a recentralization of resources. Despite Decentralization´s focus on a territorial approach to management, the Secretaría de Descentralización was too weak to lead proper articulation and coordination among subnational government levels (Programa ProDescentralización 2016). Capacity-building efforts among subnational government levels is still required.

Political Scenario
Launched in October 2012, the Program has encountered weak public institutions and political instability. President Humala's five-year term was fraught with political instability that led to seven prime ministers. During the Program´s term (2012 onward), ongoing resignations of Prime Ministers included Juan Jimenez (October 2013); Cesar Villanueva (February 2014) and Rene Cornejo (July 2014) resulting from various political disagreements. On April 2015, Prime Minister Ana Jara was censured given allegations of illegal information gathering by the Dirección Nacional de Inteligencia, constituting the biggest political crisis in Humala´s term (BBC, 31 March 2015). By law, this censure required all members to resign.

At the subnational level, regional and local government elections took place in 2014, with transition taking place in January 2015. From the 25 outgoing regional presidents, 22 were investigated for embezzlement. Corruption is widespread among sub-national governments and partially results from a flawed implementation of decentralized power (The Economist, October 11, 2014). Increased flow of funds to subnational governments, coupled with a lack of control mechanisms and poor accountability increases the likelihood of corruption.

According to a 2015 publication from the Instituto de Estudios Peruanos,[78] the decentralization reform has come to a standstill. It is further suggested that the decentralization process has evidenced structural

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[76] Approved via *Resolución Ministerial* N° 335-2012 PCM.
[77] Approved on January 2013 through SD N° 004.2013 PCM.
[78] *Instituto de Estudios Peruanos (2015). Diálogos de Política Pública.* Accessed on March 13, 2017 at http://www.dialogosperu.pe/files/downloads/notas_descentralizacion.pdf.

problems at the State level, including weak institutional capacity within all government levels, complexity and chaos in public policies, absence of policies for geographic integration, and insufficient capacity to lead the reform process, these obstacles coupled with corruption and lack of political will interfere with the reform.

B.   Program Hypothesis and Results Framework

The underlying hypothesis of the Program is that "public services will be efficiently and effectively delivered if they are managed in a decentralized manner by capable government authorities".[79] The Program´s single government approach aims for improved articulation, capacity, and coordination among different subnational government levels to render effective delivery of public services.

The results framework of the ProDescentralización Program is shown in Figure 1. ProDescentralización focuses on three objectives to promote efficient and effective public service delivery by sub-national governments.

a)   **National policy:** Improve the key policies and implemented reforms that directly impact decentralization and sub-national governance.

b)   **Institutional strengthening:** Strengthen sub-national institutions for effective public service delivery and improved management of social conflict and disaster risk reduction.

c)   **Transparency and accountability:** Enhance government accountability through improved formal transparency mechanisms and expanded participatory processes.

Figure 1 ProDescentralización Results Framework

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[79] Ibid.

GOAL: Improved decentralized management for effective service delivery benefitting marginalized populations in target regions

Task 1: Improve Key Policies and Reforms	Task 2: Strengthen decentralized subnational institutions in target regions	Task 3: Enhance transparency mechanisms and citizen participation
IR1.1: Formulation of policy refined	IR2.1: Public administration capabilities strengthened	IR3.1: Government accountability and independent control systems used effectively
IR1.2: Policy dialogue between national and subnational governments and civil society promoted and strengthened	IR2.2: Modernization of public administration systems and policies at subnational levels improved	IR3.2: Citizen participation in public participatory processes increased
IR1.3: Clear guidelines to implement policies approved and disseminated	IR2.3: Integration of sectors within subnational governments achieved	IR3.3: Effective citizen oversight committees improved and broadened
	IR2.4: Capacity to effectively manage and respond to conflict and risk disasters	

In this sense, the program is organized so that the results in the improvement of the regulatory framework (IR1) and improvements in the transparency and citizen participation (IR3) help to implement the activities and achievement of results of the capacity strengthening plans and the improvement plans of selected public services.

Summary of Program Activities Implemented

The Program´s Performance Management Plan identifies the intermediate results for each of the above-mentioned tasks and has already defined specific indicators for each result, presented in Annex 1.

The program has developed two basic tools: (i) Institutional Capacities Diagnosis for Regional and Local Governments (originally Functional Organization Capacity – building Process Framework, FOCAS)[80] measured by the Institutional Capacity Index (ICI) at the start of the program in each of the selected regional and municipal governments of the Program and (ii) The Service Improvement Plans that are developed with Decentralized Management Groups (GGDs), with their respective regional and municipal government. These two tools will be used as part of the methodology of this evaluation (see design matrix Table 2).

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80 The Institutional Capacities Diagnosis for Regional and Local Governments was originally referred to as the Functional Organization Capacity Assessment (FOCAS) tool.

The sequence of the intervention (see Figure 2) starts with setting up the intervention clusters, named Decentralized Management Groups (GGD). These are comprised each of one regional government, one provincial government, and at least three local governments. In a second moment, the GGD identify and prioritize one or two critical areas and services[81] related to health, education or environment, selected with the participation of civil society.

In a third moment, the Program applies the Institutional Capacities Diagnosis for Regional and Local Governments (FOCAS) to assess functional capacity in operational areas and identify improvement needs. The functional areas to be improved are defined in discussion with the regional and local governments and must reflect priorities for achieving ultimate effectiveness.

In a fourth moment, the Program applies the Plan de Mejora de la Calidad de Servicios (also known as the Quality Service Improvement Plan (QSIP) in partnership with the same government institutions benefitting from Institutional Capacity Diagnosis along with citizens or users of public services, to jointly diagnose and address barriers to access quality services. After the elaboration of the Plan, the Program provides training and technical assistance to the GGD, for the implementation of a capacity building plan and execution of service audits. The core of the intervention is the improvement cycle during a period of three years, with bi-annual monitoring of service changes, including users' feedbacks.

Figure 2 ProDescentralización Program - Sequence of Intervention
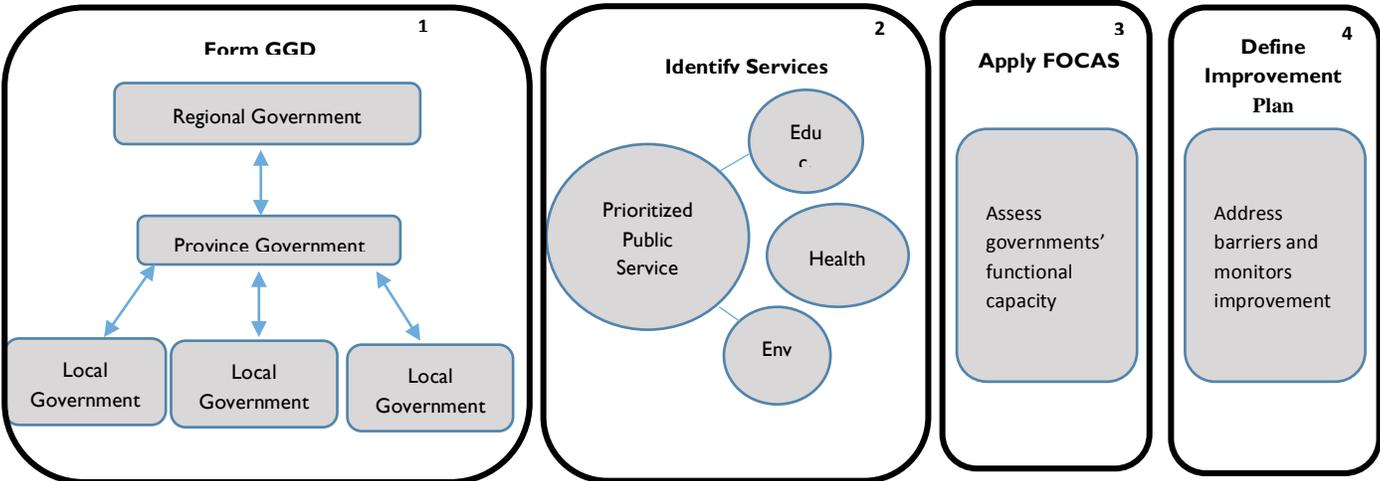
C. Summary of Midterm Program Evaluation (2014 -2015)

PGRD conducted a midterm evaluation to measure the relevance, effectiveness, efficiency, and sustainability of project design and implementation, identifying their contribution to improved decentralized management and articulation of the State in health, education, and environmental services in targeted areas. As such, this final performance evaluation builds on the midterm and will be used as a comparative measure to examine Program performance and results achievement.

Midterm Findings
In regards to the IR 1, ProDescentralización focused on strengthening management capacity at the regional level, but this strategy wasn´t always articulated with cross cutting processes at the national government. The Program supported the drafting or improvement of several legal instruments, including a gender and intercultural approach in service delivery guidelines. However, nearly 80% of these norms

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[81] The Organic Law of Municipalities, No. 27972, defines which are the provincial and district municipalities´ competences –exclusive or shared-related to sanitation and health (Art. 80), and education (Art. 82)

were pending approval and/or dissemination. GGD contributed to intergovernmental articulation, but a good articulation among decision-making levels related to public service delivery was still lacking.

For intermediate results 2 and 3, the Program supported 25 subnational governments (5 RG and 20 LG) to strengthen institutional capacity and improve service delivery. The functional performance (measured by the Institutional Capacity Index, ICI) had improved in more than 5% in 24 of these 25 governments. Program had supported 18 governments in formulating and updating the Institutional and Operational Plans, where service delivery improvement had been included in 14 of them, reinforcing its priority. The Program worked with new methodologies (FOCAS) to develop and update public administration instruments while strengthening staff competencies. Resulting difficulties related to the appropriation of these tools by regional and local public officials. On the delivery of public services, prioritizing specific aspects resulted in a less comprehensive approach, e.g: reducing waiting times in the health system over strengthening the CRED system.

To improve citizen oversight, the Program supported the creation and strengthening of 28 Oversight Committees in prioritized public services in the five regions. Nonetheless, civil society lacked the capacity to monitor and control public entities in an autonomous fashion. *Main recommendation to USAID*

Manage knowledge acquired, meaning the systematization and dissemination of lessons learned among all USAID programs related to decentralization.
Main recommendations for the Program
In addition to working directly with subnational governments, the Program should systematize and disseminate lessons learned to a wider geographic and thematic scale. To ensure sustainability, the Program should identify and work with diverse institutions that can take over the technical support and trainings in the use of validated and tested management tools. Capacity training modules on decentralized management of public services, including protocols and methodology for the design and implementation of tools like FOCAS should be provided to SERVIR and to the Decentralization Secretariat of the PCM.

To confront high rotation among RG and LG public officials, the Program should work with SERVIR to adopt a train the trainer approach with HR staff, offering incentives for local and regional replicas. Support to SERVIR in knowledge management and training of Public Administration managers should also be provided.

Finally, USAID and the Program should evaluate where a focalized strategy in some parts of the value chain, mainly within education and or health services, or a more comprehensive approach in a concentrated territory and with less government levels would yield better results. A focus on the whole value chain of solid residuals has already been adopted.

IV.   EVALUATION QUESTIONS

This evaluation will respond to the three main questions and specific topics below:

1. What are the results of ProDes on improved decentralized management at the different government levels?[82] Will focus on:
    a. Policies/legislative related documents, proposed methodology, and sustainability of contribution to policy dialogue and reform that impact decentralization policy and decentralized management.

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[82] Focus on adoption, sustainability and appropriation/institutionalization of results.

The evaluation will analyze:

a.1 The extent to which ProDes supported the process required for the adoption and institutionalization of legislative related documents (laws, amendments, policies, directives, etc.) and how they affected or improved decentralization management. The evaluation will differentiate between drafting, discussion, Executive and Congress approval (if applicable), and adopted.

a.2 The sustainability of improved institutional capacities comprised generally of norms and procedures and human resources skills.

b. Capacity building and applied methodology related to the sustainability of results at the institutional level (sub-national).
The evaluation will analyze:

b.1 The extent to which human and institutional capacity development efforts in decentralized management in all government levels have been adopted, appropriated, replicated and made sustainable in targeted key national institutions, and therefore,

b.2 The extent to which the human and institutional capacity development efforts in decentralized management in all government levels have contributed to the sustainability of results.

c. Related tools/methodology for cooperation and articulated coordination between, and among government levels and civil society.
The evaluation will analyze:

c.1 Whether and through what means demands from civil society have been articulated and addressed in an aligned fashion with the three government levels, when appropriate, and

c.2 among government levels in each of the sectors and/or service delivery areas (i.e. distribution of education material, chronic malnutrition and solid waste).

d. Extent to which government responses to population demands increased an inclusive gender and intercultural approach.
The evaluation will analyze:

d.1 The extent to which decentralized management matrices (in the education sector), gender in social programs (particularly in the chronic malnutrition), and the important considerations of inter culturalism and conflict management have been integrated in their respective sector/programs.

d.2 The extent to which gender and intercultural approaches have been mainstreamed by the Program in the main counterpart institutions and are likely to be sustainable.

e. Extent to which the Program activities generated unexpected results and/or greater and broader impact both on thematic and/or geographic areas (e.g. leverage of national public funds, territorial expansion of Program results, knowledge and tools).

2. What design and implementation factors contributed to or limited the achievement of results?
   The evaluation will analyze:
   a. Program assumptions, scope and consistency of design objectives and components through signed contracts and modifications, and definition, target setting and measurement of indicators/variables.
   b. Key implementation successes and challenges.
   The evaluation will not analyze the content and quality of deliverables.

3. What are the main remaining policy and management issues to be addressed in the near future that would further advance the decentralization reform process?

V. EVALUATION DESIGN AND METHODOLOGY

This evaluation will use the human and institutional capacity development model as analytical framework to evaluate project design and implementation. Two methodological tools plus the Institutional Capacity Diagnosis for RG and LGs and QSIP will be used to systematically assess evaluation questions that focus on policy development, capacity building, and service improvement, including their appropriation and sustainability. The proposed analytical framework and methodological tools are described in the following sections.

Improvements to the suggested analytical framework and methodological tools described in the proposal by the evaluation team will be positively considered. The evaluation team should also identify limitations of the proposed data collection techniques and analytical methods.

A. Analytical Framework

Human and Institutional Capacity Development Model

Human and Institutional Capacity Development (HICD) is a USAID model of structured and integrated processes designed to identify root causes of performance gaps in host country partner institutions, address those gaps through a wide array of performance solutions in the context of all human performance factors, and enable cyclical processes of continuous performance improvement through the establishment of performance monitoring systems.

HICD views organizations as adaptive systems challenged to constantly respond to the changing environments in which they operate. An organization is comprised of interrelated functions, which are affected by and react to changes in other parts of the organization. It also uses a systematic approach to analyze organizational performance that describes the desired performance state and compares it to the organization's current performance in a specified area, defining and quantifying the performance gap between the two. Thirdly, HICD focuses on tangible, measurable performance improvement results which imply that performance targets must be established for all levels of performance within the organization and constantly monitored to ensure that the organization's work is successful. Finally, HICD promotes the integration of performance scorecards into its activity designs.

It applies an eight-step process, from the identification of a partner organization to monitoring performance change (see Figure 3), as follows:

Figure 3 HICD Model

- Identify partner organizations
- Obtain partner commitment
- Form stakeholder group
- Conduct performance
- Prepare performance solutions
- Implement performance
- Monitor change in
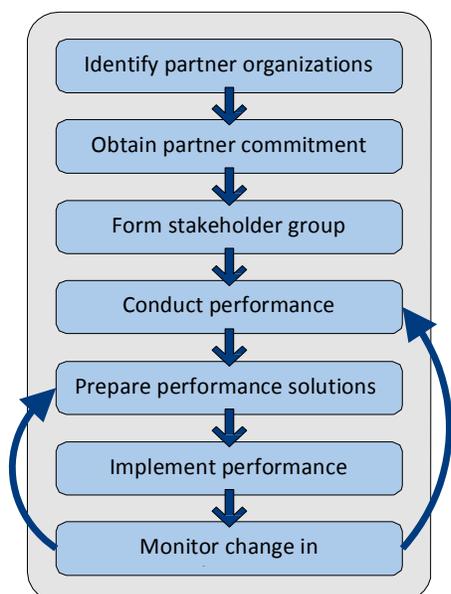
Step 1: Consider the institutional context of the performance problem and get stakeholder agreement. Examine the total performance system in which the organization functions including its mission, goals, strategies, and culture of the organization, and the perspectives of clients and communities.

Step 2: Define desired performance in measurable terms if possible. Desired performance takes into account international or national standards and the perspective of stakeholders.

Step 3: Describe actual performance. The description of actual performance as it relates to the defined performance is based on observations and interviews of staff members and clients and on review of records and other documents.

Step 4: Measure or describe the performance gap. The difference between desired and actual performance is the performance gap.

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Step 5: Find the root causes of the performance gap. Analyze the reasons for the gap and identify the most basic reasons, or root causes.

Step 6: Select performance solutions. Consider recommendations for performance solutions to address the root cause of performance gaps and the related performance factors; then rank and select these performance solutions according to cost, benefit, or other criteria.

Step 7: Implement performance solutions. With support from Stakeholders, as needed, the partner organization implements the selected performance solutions maintaining an environment of transparency and managing the change process by consistently communicating the intended results of the HICD initiative to staff and stakeholders.

Step 8: Monitor and evaluate performance. The partner organization in consultation with its Stakeholders keeps the solutions on track and evaluates performance on an ongoing basis to re-measure the performance gap and assess the effect of the solutions.

Policy Circle Framework

The Policy Circle framework will be used to analyze the dynamic components of policy development and subsequent implementation. Policy Development is defined in three stages: i) issue framing; ii) agenda setting; and iii) policy formulation.

Issue framing presupposes identification of a policy problem that requires state intervention. The way a problem is stated or framed influences the types of solutions that are proposed. Moreover, issue framing influences stakeholders´ ability to place the issue on policymaker´s agenda so that the problem is recognized and policy response debated. Agenda setting refers to actually placing the "problem" on the formal policy agenda of issues to be addressed by policymakers. In decentralized settings, it may be necessary to place the agenda at the same time on various government levels. Third stage refers to policy formulation – where proposed actions are articulated, debated, and drafted into language for a law or policy.

The Policy Circle recognizes the following six components (see Figure 4):
   • **Problems:** Identification of problem that requires policy attention
   • **People:** Stakeholder institutions that participate in policy and the **Places** they represent
   • **Process:** Refers to policy development from issue framing to formulation.
   • **Price Tag:** of the policy- what are the required financial, physical, and human resources required to implement policies, plans, and programs.
   • **Paper:** Actual laws and policies produced
   • **Programs:** that result from implementing the policy including their performance to achieve policy goals and objectives.

Pertinent to this evaluation, the Policy Circle is framed in a wider political, social, cultural, and economic context that affect how policies are developed and implemented. In this case, the Decentralization Reform directly affects policy development and implementation.

Figure 4 Policy Circle
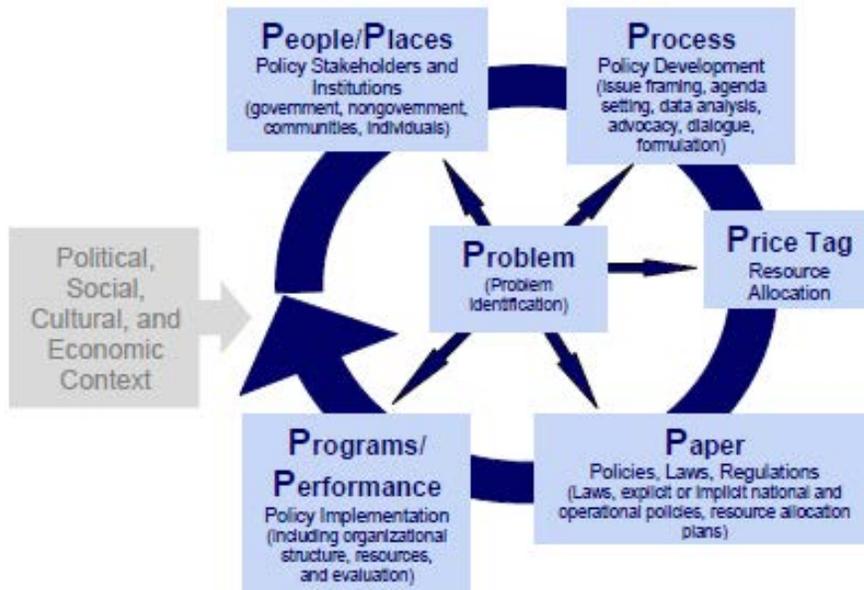
Source: Hardee, K., et al. (2004)

Stakeholder Power Analysis

The stakeholder power analysis is an analytical approach used to evaluae the potential support or opposition to the Program activities and targeted results by identified stakeholders. Stakeholders include Program targeted institutions, related government entities, civil sector organizations, etc. A stakeholder is defined as individuals, groups, or organizations that are probably affected by the change, whose support or opposition affects desired results. This includes examining the relationships among stakeholder institutions. Executing a stakeholder map and identifying assumptions would be the first step. The purpose of the stakeholder analysis is to identify: 1) Possible conflicts and risks that negatively affect execution of Program activities; 2) opportunities and relationships that can be capitalized on to execute activities; and 3) groups or organizations that must participate to maximize the possibilities of success of executed activities.

This stakeholder analysis will present a table or diagram that matches stakeholder power and potential to influence result achievement (see Table 1). Stakeholder power of an organization is dependent on the resources, authority, and relation to other organizations that can promote or hinder results achievement. Potential to affect desired results relates to specific stakeholder characteristics that can influence executed activities and desired results. Stakeholders with high potential and low power must be carefully managed, their needs and interests are likely to affect desired results. Table 1 presents general strategies for stakeholder relations management, given power and potential analysis.

Table 1 Strategies for stakeholder relations management.

Stakeholder power/potential	High Potential	Low Potential
High Power	Collaborate with	Mitigate impacts, defend against
Low Power	Involve, build capacity and secure interests	Monitor or ignore

B. Design Matrix

Table 2 summarizes the methodological framework explained in previous paragraphs. Data collection techniques and sources are described in greater detail in Annex 2. **It is expected that proposals of evaluation teams revise and improve the proposed analytical framework and/or methodology. The evaluation team should also identify limitations of the proposed data collection techniques and analytical methods.**

Other considerations

Gender is a crosscutting issue in all USAID activities as expressed in their Gender Equality and Female Empowerment Policy (2012). The Program´s contractual modification 4 explicitly considers including gender and intercultural approaches in Program activities, promoting increased participation of women and vulnerable populations in public sphere decision-making. This evaluation will examine how sustainable the inclusion of gender and intercultural approaches has been in Program activities but also in those of targeted institutional beneficiaries, eg: government counterparts.

Table 2: Design of the Performance Evaluation

Evaluation Questions	Areas of Analysis		Suggested Methodology	Sources of information
1. What are the results of ProDes on improved decentralized management at the different government levels?	Policies/legislative related documents, proposed methodology, and sustainability of contribution to policy dialogue and reform that impact decentralization policy and decentralized management.	a.1 The extent to which ProDes supported the process required for the adoption and institutionalization of legislative related documents (laws, amendments, policies, directives, etc.) and how they affected or improved decentralization management. The evaluation will differentiate between drafting, discussion, Executive and Congress approval (if applicable) and adopted.	• Application of Policy Development and Policy Circle frameworks • Sample analysis of policies, norms and others at the three government levels. • Systematic analysis of the degree of execution - from drafting policies or norms, discussion, buy in, and other key aspects of process. • Other analytical criteria stemming from PCM, SERVIR and others.	• Program reports • Policy documents • Governments' (at the three levels) informants • Decentralization experts
		a.2 The sustainability of improved institutional capacities comprised generally of norms and procedures and human resources skills.	• A simple but effective measurement in topics such as the use of Program guidelines and methodologies, roles in the preparation of policies and norms and others.	• Governments' (at the three levels) informants
	Capacity building and applied methodology related to the sustainability of results at the institutional level (sub-national).	b.1 The extent to which human and institutional capacity development efforts in decentralized management in all government levels have been adopted, appropriated, replicated and made sustainable in targeted key national institutions.	• Application of HICD model • Institutional capacity: Review Institutional Capacity Diagnosis methodology and reconstruct data reported • Progress measured by Institutional Capacity Diagnosis (Planning, Norms, Participation, Administration and execution, Supervision and control) • Possible replication of Institutional Capacity Diagnosis in pre identified institutional actors,	• Key USAID and IP informants • Activity documentary review (quarterly and annual reports, contract deliverables, etc.) • Primary data from Institutional Capacity Diagnosis of Regional and Local Governments (also known as FOCAS) and Quality Service Improvement Plan (known as QSIP) • Semi structured interviews with other decentralization experts, public officials in the three levels

			capacities and/or services • Any additional simple but effective tool to ensure adequate measurement of adoption, appropriation, replicability and sustainability at each of the three government levels and service delivery as appropriate. • Quality satisfaction: Review methodology for QSIP and progress measured. Any additional simple but effective tool to ensure adequate measurement of adoption, appropriation, replicability and sustainability at each of the three government levels and service delivery as appropriate.	of government, as appropriate
		b.2 The extent to which the human and institutional capacity development efforts in decentralized management in all government levels have contributed to the sustainability of results.	• Contribution analysis of human and institutional capacity results at the three government levels, possibly from data of the Institutional Capacity Diagnosis to the sustainability of higher-level results.	• Semi structured interviews with other decentralization experts, public officials in the three levels of government, as appropriate
	Related tools/methodology for cooperation and articulated coordination between, and among government levels and civil society.	c.1 Whether and through what means demands from civil society have been articulated and addressed in an aligned fashion with the three government levels.	• Stakeholder and power analysis • Analysis of QSIP data, as appropriate	• Public officials (at the three levels) • Decentralization experts • Focus groups • Desktop review of Program documents and deliverables
		c.2 Whether and through what means demands from civil society have been articulated and addressed in an aligned fashion among	• Stakeholder and power analysis • Analysis of QSIP data, as appropriate	• Public officials (at the three levels) • Focus groups of public officials • Decentralization experts

		government levels in each of the sectors and/or service delivery areas (i.e. distribution of education material, chronic malnutrition and solid waste).		• Desktop review of Program documents and deliverables
	Extent to which government responses to population demands increased, inclusive of a gender and intercultural approach.	d.1 The extent to which decentralized management matrices (in the education sector), gender in social programs (particularly in the chronic malnutrition), and important considerations of inter culturalism and conflict management have been integrated in their respective sector/programs.		• Public officials (at the three levels) • Decentralization experts • Desktop review of Program documents and deliverables • Focus groups of public officials • Exit and/or other mini survey (not representative) to beneficiaries
		d.2 The extent to which gender and intercultural approaches have been mainstreamed by the Program in the main counterpart institutions and are likely to be sustainable.		• Key USAID and IP informants, • Activity documentary review • Semi structured interviews with public officials in the three levels of government
	Extent to which the Program activities generated unexpected results and/or greater and broader impact both on thematic and/or geographic areas (e.g. leverage of national public funds, territorial expansion of Program results, knowledge and tools).			• Key USAID and IP informants, • Activity documentary review • Semi structured interviews with public officials in the three levels of government

2. What design and implementation factors contributed to or limited the achievement of results?	Analyze Program assumptions, scope and consistency of design objectives and components through signed contracts and modifications, and definition, target setting and measurement of indicators/variables.	• Reconstruction of Theory of Change and systematic analysis of assumptions
		• Systematic analysis of performance evaluability, including objective, indicators and targets as per minimum ADS 201 requirements.
				• Desktop review of Program documents:
				  o Project and/or Activity Theory of Change,
				  o Activity PMP including logic model/ results framework, assumptions, PIRS and any QDAs,
				  o contract and modifications,

			○ tracking table • Key USAID and IP informants
	a. Identify key implementation successes and challenges.	• Systematic, objective and thorough analysis using, to the extent possible and appropriate, measurement tools	• Public officials (at the three levels) • Decentralization experts • Desktop review of Program documents and deliverables
3. What are the key remaining policy and decentralized management issues to be addressed in the near future that would further advance the decentralization reform process?		• Prospective analysis of relevant available information and expert opinion	• Documentary review of relevant aspects of the Peruvian decentralization reform process • Documentary review of relevant international experiences • Other semi structured interviews with key IP informants and other decentralization experts • Workshops among experts

C. Geographic Scope

This evaluation will take place in the departments of Amazonas, Loreto, Madre de Dios, Ucayali and San Martin – where the Program intervened - within the three targeted public services deliveries. To compare with midterm observation on improved institutional capacity and service delivery measures in each of the 3, two previously selected municipalities from each department will be selected again, and two new municipalities for each region will be added in coordination with USAID. Table 3 shows the five GGDs of the Program with targeted municipalities.
The evaluation team will propose a selection of the four municipalities, two already examined in the midterm evaluation and two new municipalities. The executive report of the midterm evaluation can be downloaded from. The selection of municipalities will be refined and approved by PGRD and USAID in the Inception Report (see section VII).

Table 3: Decentralized Management Groups & Priority Services

Decentralized Management Group	Priority Area	Priority Service	Result
Amazonas Amazonas Regional Government, Provincial Municipality of Condorcanqui, District Municipality of Santa Maria de Nieva, El Cenepa, and Río Santiago.	Health	Growth and Development Control of boys and girls under 5 years old – CRED	Reduction in Child Malnutrition
Loreto Loreto Regional Government, Provincial Municipality of Maynas, District Municipality of Mazan, Belen, Fernando Lores, Indiana, Punchana, San Juan Bautista and others.			
Madre de Dios Regional Government of Madre de Dios, Provincial Municipality of Tambopata, District Municipality of Inambari and Las Piedras.	Environment	Collection and transportation of solid waste	Improvement in the management of solid waste
Ucayali Ucayali Regional Government, Provincial Municipality of Coronel Portillo, District Municipality of Manantay, Campo Verde, Yarinacocha, Nueva Requena, and Calleria.			
San Martin San Martin Regional Government, Provincial Municipality Lamas, District Municipality of Tabalosos, Cunumbuque, Barranquita, and Zapatero.	Education	Distribution of Educational Materials	Improvement in learning achievement

D. Existing Information

The ProDescentralización Program has a vast array of documentary information that includes:

Program documents: Quarterly and annual reports, workplans, performance monitoring and evaluation plans (PMPs), contracts and modifications, midterm evaluations, etc. (SeeTable 4).

Table 4: Available Program Reports

Reports	Workplans	M&E Plans	Contract	Midterm Eval.
QR Oct- Dec 2012	FY 2013	2012	2012	PGRD (2014-2015)
QR Jan-Mar 2013	FY 2014	2013	Mod. 4	
QR Apr-Jun2013	FY 2015	2014		
QR Jul-Sept 2013	FY 2016	2015		
QR Oct- Dec 2013				
QR Jan-Mar 2014				
QR Apr-Jun 2014				
QR Jul-Sept 2014				
QR Oct-Dec 2014				
QR Jan-Mar 2015				
QR Apr-Jun 2015				
QR Jul-Sept 2015				
QR Oct-Dec 2015				
QR Jan-Mar 2016				
QR Apr-Jun 2016				
QR Jul-Sept 2016				
Annual Performance Indicator Report (2015-2016)				

Capacity Building: Capacity-strengthening guidelines for regional and local governments, capacity strengthening for civil sector organizations and oversight of public service deliveries, diagnoses of government level institutions, implementation of FOCAS and QSIP reports, etc. PGRD will also make available a draft study that systematizes the activities, description of model/approach and findings of capacity building implemented by the Program ProDescentralización (see Capacity Building Documents Table 5).

Institutional Capacities Diagnosis for Regional and Local Governments

The Institutional Capacities Diagnosis for Regional and Local Governments (formerly known as FOCAS) measures the existing institutional capacities within three levels of governments so that, within the framework for the fulfillment of functions that correspond to their scope and competencies, these government institutions can meet population demands and expectations through the delivery of quality services in their respective territories. The Institutional Capacities Diagnosis was recently institutionalized by the Secretaria de Descentralización from the Presidencia de Consejo de Ministros (PCM) through Resolution N° 015-2016-PCM/SD. The application of this diagnosis allows government entities to better understand their current situation in regards to their installed and functional institutional capacity and from that baseline measure define continuous improvement plans and strategy.

Prior to the implementation of the institutional capacity diagnosis, the problem and critical service delivery associated to the problem must be clearly defined. The problem and critical service delivery identified define the specifics for the five organizational capacity functions evaluated: planning, regulatory norm, promotion of public and private participation, administration and execution, and supervision of control, including specific attributes and indicators corresponding to each function. Attributes and indicators are based on the problem and critical service delivery identified; indicators are then assessed

as basic, intermediate, and optimum levels. In addition to functional capacities, installed capacities (hired personnel, staff knowledge levels, and equipment/infrastructure) are also measured.

Individual ratings are given to each of the installed and functional capacities, which are then averaged by capacity type. A final institutional capacity index score is calculated for each of the five functions based on averaged installed and functional capacities, followed by an overall score for the organization. This diagnosis identifies institutional weaknesses that are then addressed through the Quality Service Improvement Programs.

This evaluation will revise and/or reapply the Institutional Capacity Diagnosis for Regional and Local Governments methodology for targeted institutions and examine change in institutional capacity overtime, compared to proposed actions in performance improvement plans.

Plan de Mejora de la Calidad de Servicios / Quality Service Improvement Program (QSIP)

The QSIP methodology involves a participatory assessment of the main management processes involved in the delivery of services, identifying problems that hinder high quality and timeliness in the service provision. As such, QSIP proposes a set of actions aimed toward changing and adopting new attitudes, behaviors, and practices within a public institution, where the delivery of quality services responds to population needs. Sectors targeted include CRED services, delivery of school material, and collection of solid waste.
The participatory nature of QSIP allows for a shared definition of quality of service among decentralized governments, front line public officials, and ultimate beneficiaries- the target population. It is a continuous improvement process where stakeholders are articulated, and provide bidirectional feedback to improve service delivery.
QSIP is implemented in four steps: i) Audit of services, including vision and values; ii) Workshop to improve service and identify action plan; iii) Technical assistance to implement Improvement Plan and strengthen capacity to deliver services; and iv) Assess results and identify next steps.
Improved CRED service coverage will be measured using statistics from health services; the distribution of educational materials will be measured using UGEL records. Improved delivery of solid residuals will use records from district municipalities. Improved service delivery will be analyzed by comparing current values with prior measures executed by the Program. Evaluation team will collect quantitative information on service provision from local institutions´ records using pre-designed formats and check lists.

Secondary information: Available from government institutions at the regional, provincial, and local governments, policy related documents, decentralization diagnoses in targeted areas, etc. An additional source of information is the Ministry of Economics (MEF), which has a public data base of budget allocation and execution, per program area, type of expenses and implementing unit (municipalities or regional governments).

Table 5: Capacity Building Reports

Capacity-building Programs	Dx Plans - 2013 ONLY	Others	Products for Public Institutions	Legislations
Open Gvt - LGs (Part 1-4, + guide)	Dx GGD RG Amazon (MDs Cenepa, Rio Santiago, Condorcanqui), Plan CAT GGD Amazon	Dx Gender 2014	Ministerio de Cultura	RM N006-2016 PCM
Civil Society Org (Part 1-5, + guide)	Dx GGD RG Loreto: (MDs Belen, Mazan, Punchana, Maynas), Plan CAT GGD Loreto	Dx Public Political Proposals 2013	PCM: Capacity Diagnosis, Directives for Decentralized Management; Working doc: Institutional Capacity; Design Guidelines for Communication Strategy, Capacity-building Manual for Dialogue).	RM-N-014-2016 PCM
Oversight Committee (Part 1-2, + guide)	Dx GGD RG Madre de Dios (MDs Inambari, Laberinto, las Piedras, Tambopata) Plan CAT GGD MdD	Rapid Dx Capacity for Citizen Participation	MINEDU: Decentralized management matrix; guidelines for decentralized management within education sector	RSP 015-2016-PCM-SD
Conflict Mgmt (Part 1-3)	Dx GGD RG San Martin (MDs Cuñumbuque, Tabaloso, Zapatero, Lamas) Plan CAT GGD SMT	2013 Public Survey on Governors	CENEPRED: Risk Management	
Program Regional Counselors (1)	Dx GGD RG Ucayali (MDs Campo Verde, Manantay, Nueva Requena, Yarinacocha, Coronel Portillo)	Capacity Building Plan for Subnational Gvts 2013		
Program Municipal Authorities (1)		Communication strategy and Plan 2013		
		Guideline for improved design of quality improvement public service projects		

VI. PLANNED EVALUATION SCHEDULE

This evaluation will take place in four stages:

1) _Preparatory work:_ This is a three-week period. This stage is critical for the implementation of the evaluation. An extensive review of existing documentation will be undertaken prior to the drafting of the detailed work plan, from now on referred to as the Inception Report (IR) that includes: a weekly schedule of all activities and deliverables, specific tasks to be assigned among team members; a review of the extant literature; a consistency matrix that includes evaluation questions and sub-questions, analytical methods to be executed, and key informants; and a detailed methodological framework and data collection tools by which to execute the evaluation. The Inception Report should also include all data collection instruments- semi-structured guides for different types of key informants, focus groups, and surveys. Data collection instruments must be pilot tested prior to fieldwork execution, detailing adjustments made in the IR. Data collection instruments are approved jointly with the IR. The evaluation team will have had informational interviews with key representatives from USAID, ProDescentralización, and other key informant organizations as inputs to the IR. **The Inception Report (see section VII, deliverable 1), is due in the 3rd week;** approval is granted once all comments made by PGRD and USAID have been addressed. PGRD cannot stress enough the criticality of a comprehensive IR to move forward with the implementation of this evaluation.

2)   Fieldwork: This is an eight-week period. The exhaustive review of documentation will continue, coupled with review of available databases from secondary sources and administrative records from relevant government institutions at the regional, provincial, and local levels. This evaluation team will complement this work with in-depth, semi-structured interviews to key informants and surveys among public service beneficiaries. The purpose of the interviews and surveys is to provide additional information and detail regarding relevant topics to respond to the evaluation questions. Weekly update progress reports, accompanied by interview summary sheets, will be submitted to PGRD at this time. These weekly updates should detail activities undertaken, problems encountered, pending activities to fulfill fieldwork, limitations, etc. **A second deliverable is the fieldwork progress report submitted on week 7.** If additional adjustments to approved data collection instruments were necessary at the onset of fieldwork, these must be thoroughly detailed in the weekly update reports and in the fieldwork progress. **This stage is complete with the submission of the final fieldwork report on week 11, and the findings and recommendations presentation and populated index on week 14 (see section VII, deliverable 3).** Both USAID and ProDescentralización constitute the target audience for the presentation of findings and recommendations. Feedback received will be incorporated into draft report.

3)   Analysis: This is a five-week period which begins in week 12th, prior to the presentation of findings and recommendations and submission of populated index (week 14). Based in the exhaustive review of Program documentation, existing databases, secondary data from government institutions, and primary data collected through in-depth interviews, focus groups, and surveys to direct beneficiaries. Information derived from the HICD, Policy Circle, and Stakeholder Power Analysis, along with the revision of Program´s implementation of the FOCAS and QSIP tools will be critical inputs of this analysis. Incomplete information or increased detail will have been gathered through fieldwork conducted in Amazonas, Loreto, Ucayali, Madre de Dios, and San Martin. All files used in data processing (Excel, Atlas ti, etc.) must be submitted to PGRD.

4. Final Report: This stage includes the drafting of the **first version of the final report (see section VII, deliverable 4) by week 16th.** The version is of high analytical quality, will have responded to all recommendations and comments provided by USAID and PGRD during the findings presentation and the populated index. The use of figures, graphs, and tables is required; the aforementioned will improve the understanding of the report. In addition to PGRD revision period, two weeks are allowed for USAID peer revision process. Revision timeframe from USAID and PGRD is unaccounted for in the 18 weeks LOE estimate.

Expected revisions to the **final report due week 18th** should be minor (see section VII, deliverable 5). Both versions of the report will include a standalone Plan of Recommendations that will be discussed with USAID prior to the submission of the final report. A final presentation is required to USAID, ProDescentralización, and PGRD; as well as any other additional presentation requested for other key stakeholders, including government institutions.

VII. DELIVERABLES AND REPORTING REQUIREMENTS

The schedule of deliverables reflects the level of effort and does not include the time that would take PGRD and USAID to review and approve them.
The timeline would be applied in a strict fashion and would be explicitly stated as part of the contract.
The evaluation team must submit the following deliverables which are associated to the schedule of payments as shown in the table and paragraphs below:

Table 6 Deliverables, Dates and Schedule of Payments

Stages			Deliverables	Estimated Date	% of total contract
Preparatory		1	The Inception Report, includes among others: Exhaustive revision of extant literature and preparation Detailed methodology (Operationalization of desk review, triangulation, data processing, identifications of assumptions and risks and mitigation plan). Work plan that includes detailed schedule of desk review activities, identify incomplete information and possible solution. Data collection instruments (semi-structured guides for key informants and focus groups, surveys for direct beneficiaries) and plan to validate through pilot testing. Data processing and analysis Roles, functions, and level of effort from all members of the evaluation team Detailed scheduled of all the evaluation process, including fieldwork execution and responsible individuals and time allocation toward data analysis and drafting of final report. Plan to reach consensus in regards to feasible recommendations and presentation format Proposed structure of presentation of findings and final report	3rd week	25
Fieldwork		2	Fieldwork progress report	7th week	10
		3	a. Fieldwork report	11th week	20
			b. Presentation of preliminary findings and recommendations and populated index of final report.*	14th week	
Final Report		4	Draft final report includes Standalone Plan of Recommendations	16th week	25
		5	Final report and presentation	18th week	20

* While this is a three-part deliverable, payment is subject only to fieldwork report.

1.   The Inception Report (IR), deliverable 1, is key since its contents should provide PGRD full fledge and detailed description of how the study will be carried out from beginning to end. It should include any final methodological adjustments and/or updates, detailed activities for the operationalization of the field work with staff, timeline and localities identified, and the necessary annexes to include any other relevant material. The IR is expected to have benefited from review of all the provided literature, the initial/ kick-off meeting, the initial interviews with representatives from the main stakeholders, as appropriate, and any other preparatory work before the fieldwork. Extant literature should be used to inform the drafting of proposed data collection tools. The IR should be clear, coherent and should not have any remaining issues and questions regarding any design or implementation issues. **The IR must be approved by PGRD before the evaluation team begins fieldwork activities.**

2.   The fieldwork progress report, deliverable 2, will provide USAID and PGRD all the necessary information regarding executed and pending fieldwork activities, including main accomplishments, limitations, key informants interviewed and those pending interviews, surveys already executed and those to be undertaken, additional primary data collected, and a detailed schedule of pending activities.

3.   The fieldwork report, deliverable 3a, will be presented once all primary data collection took place, including in-depth interviews, focus groups, and surveys. This report will include a description of main activities undertaken, planned versus executed in-depth interviews, focus groups, and surveys, selection criteria for key informants, what has been achieved and what is missing, limitations encountered, etc. This report will also include activities undertaken during desk review prior to fieldwork execution. Lessons learned from fieldwork execution will be included, including efficacy of instruments used. A PPT presentation of findings and recommendations and a populated index of final report will be submitted as deliverable 3b during week 14. This PPT will include a brief, relevant background regarding preparatory work undertaken, number of key informants interviewed, focus groups and surveys conducted, and analytical framework used. The core of the presentation are preliminary findings that directly respond to each of the evaluation questions. Recommendations to USAID and relevant actors are as important and should also be presented. The populated index will include main ideas/findings of each section pertaining to the structure of the final report that has been approved as part of the Inception Report The purpose of this report is to ensure beforehand that the three interested parties (USAID, evaluation team, and PGRD) share a uniform vision of the expected content of the final report.

4.   At this point in the evaluation, the first draft of the final report should be of high analytical quality as pre-defined in the Inception Report, ensuring all USAID and PGRD comments and recommendations received during the presentation of findings and populated index have been fully addressed. Tables and figures are required and should enable greater understanding. Draft final report should include table of contents, acronyms, and appendixes (unless the latter are extensive and require prior approval from PGRD) and follow USAID´s template. [83] This report will not exceed 40 pages in length (without appendixes, lists of key informants, Scope of Work, etc).

5.   The final report will be very similar to its first version. Expected comments, observations, and suggestions on behalf of USAID and PGRD should be minimum and very specific. This report will not exceed the 40 pages in length (without including appendixes). The standalone Plan of Recommendations is an integral part of both the draft and final report.

The evaluation team will present a final presentation of findings in English that will focus on findings, conclusions, and recommendations.
The final report will include all database files, including their technical description and dictionary. Data processing files will also be submitted alongside audios and transcriptions for all in-depth interviews and focus groups.
PGRD requires an invoice for each payment upon service delivery.

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[83] USAID's How-To Note on Preparing Evaluation Reports and Evaluation Report Template can be found in USAID's Evaluation Toolkit, located at https://usaidlearninglab.org/evaluation?tab=5&subtab=5

VIII.   FINAL REPORT FORMAT

PGRD will work jointly with the consulting team to ensure the high quality of the study report. This report will also be evaluated using a checklist as reference to ensure high technical quality, ranging from an adequate title, an executive summary, a project description, evaluation questions, brief methodological description, main conclusions, and recommendations for decision-making. The final study report will be developed based on the prerequisites stated in this instrument. Additionally, the report is expected to have adequate use of context, background, findings, supporting evidence, recommendations, among others, to enable a comprehensive and coherent reading.
The report will include the following sections:

Executive summary (3-4 pages – The only section in English and Spanish). Synthesizes main findings, recommendations, and lessons learned. Does not include new information not available in the report.
Purpose and evaluation questions (1-2 pages): Clearly specifies the purpose of the study, the use of findings, and the audiences of the report. In this section, the evaluation questions are articulated to a specific purpose, and questions regarding lessons learned are included.
Context and Background (2-4 pages): This section summarizes the project evaluated in regard to the main problem addressed, the changes that have taken place since the beginning of the project, as well as a description of the target population, area of intervention, and hypothesis which belongs to a greater logic. Inputs for the drafting of this section include the Logical Framework, the Monitoring and Evaluation Plan (M&E), and the documents used in the original design of the project.
Study methodology and limitations (3-6 pages): (Instruments, list of key informants, and others should be included in the appendices). This section includes a detailed description of the methodology and instruments used in the study. This allows the reader to estimate the degree of credibility and objectivity in the data gathered and in the analyses performed. The study methods chosen must align with the evaluation questions, providing evidence of the quality of the information gathered in regards to time, resources, and other practical limitations (i.e. access difficulties). This section presents the study design and methods, including alternatives and decisions that guided the selection of informants and instruments used, as well as the sampling criteria used in the case of interviews to users or direct providers. A summary table will be included, presenting: instruments used, types of key informants, information gathered, and limitations or observations encountered during the implementation.
Findings, conclusions, and recommendations (15-25 pages): This is the main section of the report. All findings, either process or result based must be clearly supported by gathered evidence either from primary or secondary sources adequately identified and referenced in the text. Evidence is exemplified through data comparisons gathered from different sources, including key informants, with activities performed by the project to estimate the level of coherence between data, perceptions, ratings, and facts. To the extent possible, evidence will be presented by using tables, graphs, and any other form which facilitates the reader's understanding of the text. Recommendations must be concise, specific, practical, and relevant to the project and the evaluation questions, supporting decision-making and the achievement of results on behalf of key stakeholders (including USAID), as appropriate.
Appendices: Will include, if pertinent: a) SoW of the project, b) description of the design and methods used, such as Likert scales among others, c) copies of the instruments used (guides, questionnaires, checklists, and mini surveys), d) sources used (primary and secondary), e) disclosure of conflict of interests among members of the evaluation team, f) relevant outputs of data processing and analyses; g) other appendices required by USAID or provided by the evaluation team.
The report must also include data base files with corresponding complete technical description and data dictionary.
Additional presentations to national or subnational government authorities will be scheduled as required by USAID and PGRD.

IX. CRITERIA TO ENSURE QUALITY OF FINAL REPORTS

Based on USAID Evaluation Policy[84] and USAID ADS 201, [85] draft reports and final reports will be evaluated against the following criteria to ensure high quality reports: [86]

The study report should represent a thoughtful, well researched and well organized effort to objectively respond to all the study´s key questions and analysis as described in the scope of work.

The study report should include the scope of work as an annex. All modifications to the scope of work, whether in technical requirements, evaluation questions, evaluation team composition, methodology or timeline need to be agreed upon in writing by USAID/Peru's technical officer.

Study´s methodology shall be explained in detail and all tools used in conducting the study such as questionnaires, checklists and discussion guides will be included in an Annex in the final report.

Limitations to the study shall be disclosed in the report, with particular attention to the limitations associated with the study´s methodology.

Study´s findings should be presented as analyzed facts, evidence and data and not based on anecdotes, hearsay or the compilation of people's opinions. Findings should be specific, concise and supported by strong quantitative or qualitative evidence.

Sources of information need to be properly identified and listed in the annex.

Recommendations need to be supported by a specific set of findings.

Recommendations should be action oriented, practical and specific, with defined responsibility for the action.

X. EVALUATION TEAM COMPOSITION

The core evaluation team will comprise a Public Administration expert with vast experience in decentralized contexts, an evaluations expert, and a capacity-building expert. It is expected that each of the core team members is available upon contract signature, which will be approximately, in three weeks after proposal submission (see section VII).

The team must have experience in conducting gender and intercultural analyses.

Evaluations Expert

This consultant will have at least 10 years minimum experience in the design and execution of mixed methods evaluation studies in Latin America with a focus in public management areas. Experience in evaluation must include data analysis, sampling, and tool design. He/she must have at minimum a degree in social sciences or related field. Consultant will take a lead role in the methodological design of the evaluation and will participate in meetings with key stakeholders: USAID; ProDescentralización, PGRD, national and subnational government institutions and other relevant organizations. He/she will participate in meetings with team leader and other members; will provide critical input in the identification of findings, conclusions, and recommendations. Should have excellent written and oral Spanish skills in addition to an intermediate knowledge of English.

Public Administration and Decentralization Expert/ Team Leader

He/she will have at least 10 years of experience within institutional strengthening of public institution sectors within Latin America, particularly Peru. At minimum, a master´s degree in public administration, economics, or related field. **Extensive knowledge and understanding of the functioning of the Peruvian system and decentralized context is required.** He/she will participate in meetings with key stakeholders - USAID, ProDescentralización, PGRD, national and subnational government institutions and other relevant organizations. Team leader will have the leadership skills required to lead the team, coordinate meetings, create consensus among different points of view, and play a key role in the drafting of the final report, mainly findings, conclusions, and recommendations sections.

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[84] https://www.usaid.gov/evaluation/policy
[85] https://www.usaid.gov/ads/policy/200/201
[86] For more information, please consult USAID's Evaluation Toolkit, located at https://usaidlearninglab.org/evaluation

He/she must have excellent English and Spanish written and oral skills - one presentation will be delivered in English to USAID audience.

Capacity-Building Expert
He or she must have at least 8 years of experience in the design and execution of capacity building strategies within the Peruvian public sector. At minimum, a master's degree in Public Administration, Human Resource Management, or related field is required. Knowledge and experience in implementing USAID capacity-building methodologies within the public sector is highly desirable. The consultant will participate in the design and execution of fieldwork activities, undertaking a key role in the design of data collection instruments. He/She will also participate in meetings with key organizations, including USAID and ProDescentralización. Excellent oral and written skills in Spanish are required; in addition to a working knowledge of English. The consultant will significantly contribute to the identification of results, conclusions, and recommendations for the final report and presentation.

XI. EVALUATION MANAGEMENT

A. Communications

PGRD's Lead Evaluation Expert (LEE) is responsible for managing the evaluation team. In consultation with USAID's COR and Program Office representative, the LEE will manage all relevant activities. In this regard, PGRD is the ultimate responsible of this study and opportune and constructive collaboration is expected from both USAID and the consultants. All technical and administrative issues from the consultants and USAID should be communicated to the LEE and vice versa to maximize the meeting of expectations among all the parties and efficient coordination.

Fluid verbal and written communications are expected between PGRD and the evaluation team. The team leader is expected to make every effort to keep the PGRD's LEE updated at all times and ensure that expectations are continuously met. It is the responsibility of the team leader to inform the LEE of any unexpected event that may affect the quality or date of any deliverable or any significant activity. To this end, weekly reports must be submitted during fieldwork stage, and biweekly throughout the remaining of the evaluation period.

B. Proposal and Criteria Selection

The final design and the implementation of this study is open to any consulting company within the Peruvian context to present a technical and an economic proposal.
The technical proposal will include, among other:
- Methodological focus to respond to the research questions
- Main activities and types of instruments used during field work
- Data and analyzing processes
- Timeline
- Consultant's CV that respond to required qualifications and level of effort
- Significant contribution of core team to total LoE will be positively valued
- Improvements and/or limitations to the present Statement of Work

The economic proposal will include, among others:

- The level of effort and daily fees for professional services rendered
- Logistics expenses including trips, hotels, and stay
- Logistics expenses
- Office supplies and communication expenses

- Detailed calculation of administrative expenses and overhead

Proposals are expected to comply with the requirements of this SoW or improve it qualitatively. Improvements to analytical framework and/or methodology and clarity and level of detail of proposals will be positively considered.

Proposals will be received until 17:00 hours on April 5, 2017 in PGRD's offices located on Av. Del Parque Norte 1160, 7th floor, office 702, San Borja. Two printed copies of the technical and economic proposals must be submitted physically to the above address, enclosed in two separate envelopes and accompanied by a CD with both files saved. Additionally, to expedite the process, technical proposals can also be sent pacosta@pgrd.org within the same time frame. An informational session will take place on March 29 to answer any questions related to the SOW.

Selection criteria of the proposals will be the following:

Table 7 Selection Criteria

Selection criteria	Points
Technical proposal (75%)	**100**
1. Quality: Relevant context and sound approach and methodological rigor that responds to the research questions. Degree of understanding of the assignment and completeness of the proposal	25
2. Team or consultant's qualifications and experience and time devoted to this assignment	35
3. Organization's track record relevant to the assignment	10
4. Familiarity with the geographic location under study	20
5. Previous organization's experience with studies/evaluations with USAID	10
Economic Proposal (25%)	**100**

C. PGRD Support

PGRD will support as follows:
1. Kick-off meeting during the first three days of contract execution to ensure complete understanding of the task and level expectations particularly between USAID and PGRD, on one hand, and the ethnography team on the other.

2. Provide all available documentation relevant to the assignment including strategy or sector papers.

3. Guidelines specific to USAID with the purpose of facilitating the evaluation team's work.

4. If required, provide introductory letters to key informants, including representatives from government institutions and other relevant organizations.

5. Meeting room for presentations or small workshops that includes the participation of PGRD staff and/or USAID.

D. Risks and Premises

First, the following government transitions have taken place during the lifetime of this Program (2012-2017): i) In 2015 with turnover in subnational government authorities and significant changes at the central government level particularly in the Presidencia de Consejo de Ministros (PCM); and ii) In July 2016 a new administration took office. High staff turnover associated with these transitions will increase

the difficulty of contacting former public officials who may have participated in Program activities. A second consideration involves insufficient disaggregation or access to database and administrative records regarding service provision.

The evaluation team will identify strategies to mitigate risks associated to staff turnover and acceptance of public organizations to participate in the evaluation and provide required information.

XII.   ANNEXES
Annex 1: Performance Indicator Report 2015-2016

N°	INDICATOR[87]	YEARS								Aggregated data
		FY 2013		FY 2014		FY 2015		FY 2016		
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	
1	FACTS: 2.2.3-2 Number of Laws, Amendments Promoting Decentralization Drafted with USG Assistance [Disaggregated by Geographic Location, Level of Gov't] – Output	7	8	7	18	7	32	7	22	80
	National	2	3	2	2	2	2	2	3	10
	Regional level	5	5	5	16	5	30	5	19	70
2	Number of consultative meetings organized with GOP and civil society representatives in the drafting, validation and dissemination of an Annual Analysis of the Decentralization Process [Disaggregated by Geographic Location] – Output	5	5	7	7	7	9	7	8	29
3	Number of USG-supported policy dialogue events held regarding proposed changes to the country's Legal Framework	n/a	n/a	4	8	5	12	5	9	29
4	Number of evidence-based best practices disseminated for replication with USG Assistance - Output	3	3	5	3	2	5	2	2	13
5	Number of citizens participating in USG supported, national and sub-national policy dialogue events [Disaggregated by gender, indigenous and geographic region] - Result	-	150	300	348	400	304	450	714	1,516
	Number of women (min. 30%)	-	67	90	110	120	140	135	337	654
	Number of men (max. 70%)	-	83	210	238	280	164	315	377	862

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[87] Unnumbered indicators have been reformulated or remove. However, they are included in the report as they presented results during the first year of Program implementation.

N°	INDICATOR[87]	YEARS								Aggregated data
		FY 2013		FY 2014		FY 2015		FY 2016		
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	
	Number of citizens participating in policy dialogue mechanisms (national, subnational) sponsored with USG resources [Disaggregated by gender, indigenous and geographic region] – Result **(Former Indicator 4, reformulated as indicator N° 5).**	-	-	-	-					-
	National	30	89	-	-	-	-			-
	Subnational	150	150	-	-	-	-			-
6	Number of Civil Society Organizations (CSOs) engaged in USG supported policy dialogue events. *[Disaggregated by geographic location, Level of Gov't] - Output*	-	25	25	28	30	42	30	55	150
	Number of Civil Society Organizations (CSOs) receiving USG assistance engaged in advocacy interventions. [Disaggregated by geographic location, Level of Gov't] - Output **(Former Indicator 5, reformulated as indicator N° 6)**	5	14	-	-					-
7	Number of policy dialog events organized with support of the USG, to strengthen education policies. Output[88]	n/a	n/a	n/a	n/a	n/a	n/a	6	6	6
8	Number of GoP decentralization guidelines, procedures, training materials and directives disseminated with USG resources – *Output*	3	3	5	5	5	5	5	6	19
9	Number of laws, policies or procedures promoting gender or intercultural equality drafted and proposed with USG assistance (*Disaggregated by Level of Gov't*)- *Output*	n/a		3	3	3	5	3	12	20
	Number of management tools, norms and policies to improve the management of decentralized education developed by national and subnational governments, with the support of the Project. **(Removed as per RIG recommendation. el RIG).**	n/a		1	1	-	-			1
	Number of Public Investment Project Profiles formulated in support to the GoP (PCM) to implement the Mobile Social Inclusion Platforms (Plataformas Itinerantes de Acción Social –PIAS, in Spanish) in the Amazon region **(Remove as per RIG recommendation).**	n/a		n/a		-	-			-

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[88] This indicator was added in June 2015 to reflect changes in program design based on the implementation of Option1: *Expand education services, results expected in 2016.*

N°	INDICATOR[87]	YEARS								Aggregated data
		FY 2013		FY 2014		FY 2015		FY 2016		
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	
10	Number of subnational governments receiving USG assistance *[Disaggregated by geographic location, Level of Gov't] – Output*	25	25	25	25	39	37[89]	37	36	36
11	Value of direct financial or in kind counterpart contributions leveraged from the public sector, Private Partnerships or National Public funds for the improvement of services prioritized by DMG and/or furtherance of project objectives in Peru's departments *[Disaggregated by types of institutions leveraged: private sector, other donor funds, host government contributions, level of government and geographic location] - Result.*	$ 50,000	$ 56,849	$ 50,000	$ 80,697	$ 60,000 (public)	$ 85,279 (public)	$ 60,000 (public)	$ 103,821 (public)	$ 326,646
		$ 23,000	$ 23,134	$ 100,000	$ 265,124	$ 130,000 (private and national funds)	$ 866,776 (private and national funds)	$ 147,000 private and national funds)	$ 764,313 private and national funds)	$ 1,919,347
12	Number of individuals who received USG-assisted training, in efficient public management practices and improved service delivery *Disaggregated by level of Gov't, sector, training topic, gender, public officials and authorities, and geographic location] – Output*		1500	1000	3083	1500	3,130	1500	1,718	9,431
	Number of women (min. 30%)		598	300	1246	450	1,216	450	872	3,932
	Number of men (max. 70%)		902	700	1837	1050	1,914	1050	846	5.499
	Number of public sector employees receiving capacity-building training in improved service delivery [Disaggregated by level of Gov't, sector, training topic, gender, public officials and authorities, and geographic location] – Output **(Former Indicator 10, Reformulated as indicator N° 12)**	TBD	453 (funcionarios/as) Total: 1500	-	-	-	-			
13	Percentage of Health Service Improvement Plans (in CRED) oriented to the reduction in Chronic Childhood Malnutrition in Condorcanqui, which integrate a gender focus- *Result.*	n/a		n/a	n/a	50%	75%	100%	100%	100%

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[89] Las autoridades del Gobierno Regional de Madre de Dios y la Municipalidad Distrital de Laberinto (Madre de Dios) han expresado su decisión de no recibir el apoyo del Programa ni de la cooperación internacional.

N°	INDICATOR[87]	YEARS								Aggregated data
		FY 2013		FY 2014		FY 2015		FY 2016		
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	
14	Percentage of targeted sub-national governments that form part of Decentralized Management Groups, which prepare "Institutional Operating Plans with quantitative targets and define results " *[Disaggregated by level of Gov't and geographic location]* – Result	n/a		70%	72%	75%	78%	80%	81%	81%
15	FACTS 2.2.3-5 Percentage of sub-national government entities receiving USG assistance that improve their institutional performance. – (result)	n/a		50%	96%	70%	92%	75%	73%	87%
16	Number of public entities that form part of Decentralized Management Groups which institutionalize and implement improved instruments for management of public services (impact)	n/a		n/a	n/a	n/a	n/a	16 (60% of 27)	23 (85% of 27)	23
17	Number of days needed to distribute educational materials	n/a	81	77	61	58	34	55	24	24
18	Percentage of treated Health Centers which reduce the waiting time for users of CRED service	n/a		25%	25%	50%	50%	75%	91%	91%
19	Percentage of treated local governments that increase the frequency of trash collection services	n/a		25%	78%	50%	50%	50%	50%	59%
20	Percentage of educational institutions that receive educational materials in a timely manner for the start of the school year		n/a	n/a	n/a	n/a	n/a	50%	57%	57%
21	Percentage of assisted Health Centers that increase the number of pregnant women attending prenatal care service before 14 weeks of pregnancy		n/a	n/a	n/a	n/a	n/a	50%	50%	50%
22	Percentage of assisted governments implementing environmental education campaigns to the public to promote separation and recycling practices in solid waste management		n/a	n/a	n/a	n/a	n/a	75%	100%	100%

N°	INDICATOR[87]	YEARS								Aggreg ated data
		FY 2013		FY 2014		FY 2015		FY 2016		
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	
23	Percentage of assisted municipalities that design or implement whatever the case may be the program Segregation at Source and Selective Residential Solid Waste Collection, as referred in the Incentives Program for Improving Municipal Modernization and Management	n/a	n/a	n/a	n/a	n/a	n/a	70%	86%	86%
24	Number of planning and key management instruments formulated and / or approved with Program support, contributing to the fulfillment of performance commitments or the modernization process for improving educational management of the Regional Government of Ucayali	n/a	n/a	n/a	n/a	n/a	n/a	3	3	3
25	Operational management tools of health services aimed at reducing chronic child malnutrition, which integrate the gender approach	n/a	n/a	n/a	n/a	2	2	3	3	5
26	Percentage of Decentralized Management Groups in operation	80%	100%	80%	80%	80%	80%	80%	100%	100%
27	Percentage of treated subnational governments that form part of Decentralized Management Groups which adopt and include service improvement activities in their Institutional Operative Plans (POI) [Disaggregated by level and geographic region] – Result	n/a		50%	56%	60%	69%	70%	74%	74%
28	Percentage of regional governments that adopt instruments or mechanisms to manage social conflicts	n/a	n/a	40%	40%	60%	60%	80%	100%	100%
	Number of individuals trained in conflict mediation, resolution skills or consensus-building techniques with USG assistance [Disaggregated by gender, NGO or Gov't and geographic location]- Output (Former indicator 16; now removed).	30	147	-	-					-

N°	INDICATOR[87]	FY 2013		FY 2014		FY 2015		FY 2016		Aggregated data
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	
29	Percentage of regional governments that adopt instruments or mechanisms for disaster risk management			40%	40%	60%	40%	80%	100%	100%
	Percentage of regional governments that improve their institutional capacity on disaster risk management (*Reformulated as indicator N° 25, as per RIG recommendation*)	20%	60%							
30	Percentage of targeted subnational governments that form part of Decentralized Management Groups, which update their institutional web page or other transparency mechanisms in compliance with the Law of Transparency and Public Access to Information (*Ley de Transparencia y Acceso a la Información*). [Disaggregated by geographic location, level and communication method] – Result			50%	64%	60%	76%	63%	81%	74%
	RRGG			60%	80%	80%	80%	80%	100%	100%
	MMGG (provincial)			50%	60%	55%	80%	60%	60%	67%
	MMGG (Districts)			40%	53%	45%	68%	50%	83%	68%
31	Percentage of citizens trained to improve leadership abilities participating in public service (health, education and environment) oversight committees or other oversight mechanisms [Disaggregated by geographic location, gender, native population] – Result			20%	38%	30%	36%	30%	40%	38%
	Percentage of women			(min.30%)	62%	(min.30%)	73%	(min.30%)	88%	73%
	Percentage of men			(max.70%)	38%	(max.70%)	27%	(max.70%)	12%	38%
	Percentage of total participants in QSIP assessment teams who are citizens [Disaggregated by gender, level of Gov.'s geographic location] – Output (**Former Indicator 14, now removed). See report % de OSC**)	25%	36%	-	-					-
32	Number of oversight, vigilance committees, mechanisms trained by the project - Result	10	10	15	28	25	30	25	30	30
33	Percentage of women representatives to oversight committees and other oversight mechanisms trained for a more effective citizen oversight [Disaggregated by geographic location] – Output			50%	59%	60%	67%	75%	75%	67%

Annex 2: Data Collection Techniques

The evaluation will use different sources of information, techniques and instruments for collecting data and combine quantitative and qualitative evaluation methods.

In-depth interviews

Interviews should provide an evaluative judgment on the results of the Program in its different dimensions, making it necessary to identify a priori methodological considerations for which parts will contain ordinal and/or Likert scales. At the same time, questions should inquire on bottlenecks and underlying causes for success and failures.

Interviews should take place in a mutually agreed upon locale, typically the interviewee´s office. Issues such as interviewer and participant safety, comfort and convenience, participant confidentiality, and background noise should be considered in selecting the interview site.

Interviews will be semi-structured, based upon the standard interview templates with optional prompts of follow-up questions. As such, the interviewer will not have a directive role but will always guide the interview. The interview guides will be developed by the evaluators and are intended to provide consistency and coherence in interviews, given that there are regional-specific elements that interviewers may want to add or adapt. Pilot interviews are necessary to verify consistency, focus, and adequacy of guide.

Key informant sampling

This study will use two sampling methods:

Purposive sampling: this involves selecting participants on the basis of their characteristics, roles or experiences in order to shed light on a range of issues relevant to the evaluation questions. The aim is to interview as diverse a range of individuals as possible.

Snowball sampling: This involves asking interviewees to nominate other people they know who may be willing to participate in the research. This allows evaluators to identify and interview key informants who are not known at the start of the evaluation. Snowball sampling helps evaluators collect information on specific issues.

Since the sample will have a diversity of opinion, the evaluators should use a strategy of maximum variation throughout the study to appropriately collect, analyze and present the various viewpoints. This strategy does that if the sample of key informants includes people with different expertise, specialization and possible points of view on key areas of decentralized management.

The evaluation team is responsible for a matrix of the key informants to be interviewed to ensure an adequate sample to answer each evaluation question. Key informants include representatives of the five GGDs at regional, provincial, and local levels. In addition, front line management in charge of the delivery of CRED healthcare services, residual waste management, and education services. On the civil sector, representatives from community oversight committees. Other key informants include SD/PCM, SERVIR, ANGR, MINSA, MINEDU, AMPE, REMURPE, USAID, ProDescentralización, among others. Table 6 presents an initial list of key informants and an illustrative number of respondents for each group.

Table 8 Groups of Key Informants and Illustrative Number of Respondents

Group of Informants	Illustrative Number of Respondents
Authorities from the Regional Governments of the GGD	10
Authorities from the Provincial Governments of the GGD	10
Authorities from the Local Governments of the GGD	15
Officials that lead and administer the CRED Service of Amazonas and Loreto	4
Health Centers staff	4
Officials that lead and administer the services of collection and transportation of solid waste in Madre de Dios and Ucayali	4
Officials that lead and administer the distribution of educational materials of the San Martin Region	2
Citizen oversight Committees	10
PCM (Secretariats of Decentralization and Public Management, ONDS, Centro Nacional de Estimación, Prevención y Reducción del Riesgo de Desastres -CENEPRED, and SERVIR)	5
MINSA	1
MINEDU	4
MIDIS	2
MEF	3
OSCE	1
Comptroller Office	2
ANGR	5
AMPE	1
REMURPE	1
Experts in decentralization	3
ProDecentralization officials	7
USAID Officials	5

Instruments

The instruments will have a predefined set of key questions to enable the user to capture necessary information. In-depth interviews will be face to face. A question guide will be used for each group of informants. Instruments will be pilot tested prior to approval of IR and fieldwork execution.

Interview Summary Sheet

The interviewers should complete an interview summary sheet after each interview, preferably on the day of the interview. This summary will include key informant information and interview details. This form also serves as a checklist of items addressed in the interview and provides an opportunity to reflect on the items included and excluded as well as any outstanding comments and issues in the interview. Therefore, interviewers can build on the comments and thoughts presented in the summary to allow the analysis team to get a concise picture of the context and the content of the interview which would allow the triangulation of information and appropriately address any issue with the field interview team. Moreover, the information in the summary sheet will be used to frame the analysis of the interview data.

Focus Groups

A group of individuals that interact through a semi-structured group interview process, focused on a specific thematic and moderated by a leader. If all were representatives from very different institutions/organizations, there must be heterogeneity among group participants. It is plausible that gender considerations require separate groups for men and women to promote greater participation the latter.

FGs can take place at the beginning of fieldwork prior to semi-structured interviews, as a way for the evaluation team to gain familiarity with the language of the interviewees. Group silence to a specific question is also a type of answer, which can be later inquired in more detail during semi-structured interviews.

FG moderator should define establish beforehand where the meeting will take place. Equally important is being neutral regarding participants, enabling a trusting and comfortable environment. FGs should be recorded and external support should be available for notetaking and to prevent interruptions in participant dialogues.

Exit mini surveys

Mini surveys will be used to gather data from a representative sample of the population of interest-direct beneficiaries. It may include open and close-ended questions. Design questionnaire should take special attention to ensure questions are worded clearly, placement of questions is optimum, and adequate measures to reduce likelihood of response bias is considered. Response scales should enable drawing evaluative judgments from data, as such ordinal and Likert scales are encouraged. Application of surveys will guard against respondent fatigue and interviewer bias.

Interviewers must be trained beforehand to ensure application of the survey does not bias answers. Lastly, phrasing in surveys must use simple language that considers the characteristics of the target population.

Information processing

The interviews will be recorded in magnetic form, with the consent of the interviewees, then these interviews will be transcribed verbatim. The texts will be systematized according to the study subjects and study group. The analysis will be based on the recognition and description of the perceptions of the respondents, according to the study group, and then move to a comparative and interpretive analysis of the differences in the speeches of the key informants. This process of triangulation is important to increase the credibility and validity of the results.

Interviewers will be asked to record their casual and structured observations about the interview as written field notes. The field notes serve as running descriptions of settings, people, and activities, and as backup documentation of interviews. Such observations include: verbatim quotes, paraphrases of participant responses, the researcher´s questions, pending questions, conclusions, and observations or realizations made after interview. These notes should be taken on standardized forms or field notebooks and recorded on the day of the interview. Ultimately, the field notes provide contextual information that enhances the analysis team's understanding of the transcripts and helps to triangulate the results.

All transcripts will be reviewed in detail by both the interviewer and analysis team; this improves accuracy and clarifies nuances in language.

AtlasT qualitative analysis software can be used in data processing. Files should be shared with PGRD.

Documentary analysis

Prior to fieldwork, evaluators should conduct an extensive documentary review of Program documents, including: contract and modifications, quarterly and annual reports, workplans, monitoring and performance evaluation plans (PMPs), previous evaluations, capacity-building deliverables, FOCAS and QSIP implementation reports in targeted areas, reports on the implementation of capacity building plans, etc. Secondary documentation includes legislative documents related to Program activities, status documents on decentralized management of services, diagnosis on decentralized management and articulation of the state in atrgeted areas, related policy documents, etc.

Information will be provided by ProDecentralization, USAID, Partners for Global Research and Development, and key informants. In turn, each evaluator will conduct a web search for relevant information on decentralized management of public services and the articulation of the State for the priority services. The evaluators will analyze the CRED services data in terms of finance, logistics,

information systems, human resources, coverage and quality of service delivery. They will do the same for the services of solid waste collection and distribution of educational materials.

Secondary quantitative data complements the qualitative research and provides a concrete means for analysis as well as guidance for the qualitative research by helping generate questions and suggesting new directions.

Ethical issues

This performance evaluation will include the following considerations during the data collection phases:

Informed consent. Individuals, authorities, officials, ministries and organizations that participate in this evaluation will do so voluntarily. Prior to each interview, interviewers will inform participants of the nature of the evaluation, the level of confidentiality being maintained, information regarding how interview material will be used, and their rights as participants to end the interview at any time without consequences. Interviewers will obtain written consent from each participant; follow-up interviewees will be asked again for their consent.

Confidentiality. Participants will be advised about the confidentiality of their interviews. Information about ministries, organizations and individual participants is kept confidential, unless appropriate permission was previously given for its release. The interview data will be stored in secure locations that will be protected from unauthorized access.

Permission to Quote. The evaluation will not attribute quotes to specific individuals; when quotes are used, they should be attributed in such manner that readers cannot identify the speaker.

Permission for recording. Permission for the electronic recording of case interviews will be obtained verbally from the participants at the start of the interview, before turning on recording devices. Participants are advised that, if at any time the participant does not feel comfortable, the recording device could be switched off.

Annex 2: Information sources

1. AID-527-C-12-00002 TT-ARD Mod 4 extract –Ed
2. Annual Performance Indicator Report Oct 2014-2015
3. Contract SOW extract AID-527-C-12-00002 - Ed
4. ProDescentralización SOL 527-12-0000007
5. 2015-2016_Evaluación-Congreso
6. Auditoría ProDes 2015
7. PDACW247 - Evaluación ProDes II
8. ProDes: Evaluación de Medio Término
9. Dx de Género en la Amazonía
10. Dx GR Amazonas
11. Dx MD El Cenepa
12. Dx MD Río Santiago
13. Dx MP Condorcanqui
14. Plan de CAT GGD Amazonas
15. Dx Gobierno Regional Loreto
16. Dx MD Belén
17. Dx MD Mazan
18. Dx MD Punchana
19. Dx MP Maynas
20. Plan de CAT GGD Loreto
21. Plan de CAT GGD Madre de Dios
22. Dx GR Madre de Dios
23. Dx MD Inambari
24. Dx MD Laberinto
25. Dx MD Las Piedras
26. Dx MP Tambopata
27. Plan de CAT GGD San Martín-mayo 2013
28. Diagnóstico GR San Martin –final
29. Resultados Diagnóstico MD Cuñumbuque
30. Resultados Diagnóstico MD Tabalosos
31. Resultados Diagnóstico MD Zapatero
32. Resultados Diagnóstico MP Lamas
33. Plan de CAT GGD Ucayali
34. Resultados Diagnóstico GR Ucayali
35. Resultados Diagnóstico MD Campo Verde
36. Resultados Diagnóstico MD Manantay
37. Resultados Diagnóstico MD Nueva Requena
38. Resultados Diagnóstico MD Yarinacocha
39. Resultados Diagnóstico MP Coronel Portillo
40. GGD conformados-Año 1
41. GGD Amazonas-03 22 2013
42. GGD Loreto-03-22 2013
43. GGD Madre de Dios-03 22 2013
44. GGD San Martín-03 22 2003
45. GGD Ucayali-03 22 2013
46. Plan Integrado GGD Amazonas FY4 2016
47. Plan Integrado GGD Loreto FY4 2016
48. Plan Integrado GGD San Martín FY4 2016
49. Plan Integrado GGD Madre de Dios FY4 2016

50. Plan Integrado GGD Ucayali FY4 2016
51. Estrategia de Articulación Intergubernamental en Madre de Dios
52. POI 2016 - DRE San Martín
53. Comentarios a indicadores del diseño de evaluación 06 04 2013
54. Criterios de Selección PDF
55. Informe FOCAS DCI 2014 GGD Amazonas
56. Informe FOCAS DCI 2014 GGD Madre de Dios
57. Informe FOCAS DCI 2014 GGD San Martín
58. Informe FOCAS DCI 2014 GGD Ucayali
59. Informe FOCAS_DCI 2014 GGD Loreto
60. Informe FOCAS 2015 Gobierno Regional de Amazonas
61. Informe FOCAS 2015 MD de Río Santiago
62. Informe FOCAS 2015 MD El Cenepa
63. Informe FOCAS 2015 Municipalidad Provincial de Condorcanqui
64. Informe FOCAS 2015 Gobierno Regional de Loreto
65. Informe FOCAS 2015 MD de Belén
66. Informe FOCAS 2015 MD de Indiana
67. Informe FOCAS 2015 MD de Punchana
68. Informe FOCAS 2015 MD Fernando Lores
69. Informe FOCAS 2015 MD Mazán
70. Informe FOCAS 2015 MD San Juan Bautista
71. Informe FOCAS 2015 Municipalidad Provincial Maynas
72. Informe FOCAS 2015 MD Inambari
73. Informe FOCAS 2015 MD Las Piedras
74. Informe FOCAS 2015 Municipalidad Provincial Tambopata
75. Informe FOCAS 2015 Gobierno Regional San Martín
76. Informe FOCAS 2015 MD Barranquita
77. Informe FOCAS 2015 MD Tabalosos
78. Informe FOCAS 2015 MD Zapatero
79. Informe FOCAS 2015 Municipalidad Provincial Lamas
80. Informe FOCAS 2015 Gobierno Regional Ucayali
81. Informe FOCAS 2015 MD Campoverde
82. Informe FOCAS 2015 MD Manantay
83. Informe FOCAS 2015 MD Nueva Requena
84. Informe FOCAS 2015 MD Yarinacocha
85. Informe FOCAS 2015 Municipalidad Provincial Coronel Portillo
86. Informe FOCAS 2016 Gobierno Regional de Amazonas
87. Informe FOCAS 2016 MD de Río Santiago
88. Informe FOCAS 2016 Municipalidad Provincial Condorcanqui
89. Informe FOCAS 2016 Gobierno Regional Loreto
90. Informe FOCAS 2016 MD Belén
91. Informe FOCAS 2016 MD Fernando Lores
92. Informe FOCAS 2016 MD Indiana
93. Informe FOCAS 2016 MD Mazán
94. Informe FOCAS 2016 MD Punchana
95. Informe FOCAS 2016 MD San Juan Bautista
96. Informe FOCAS 2016 Municipalidad Provincial Maynas
97. Informe FOCAS 2016 MD Inambari
98. Informe FOCAS 2016 MD Las Piedras
99. Informe FOCAS 2016 Municipalidad Provincial Tambopata
100. Informe FOCAS 2016 Gobierno Regional San Martín
101. Informe FOCAS 2016 MD Barranquita
102. Informe FOCAS 2016 MD Tabalosos

103. Informe FOCAS 2016 MD Zapatero
104. Informe FOCAS 2016 Municipalidad Provincial Lamas
105. Informe FOCAS 2016 GR Ucayali
106. Informe FOCAS 2016 MD Nueva Requena
107. Informe FOCAS 2016 MD Campo Verde
108. Informe FOCAS 2016 MD Manantay
109. Informe FOCAS 2016 MD Yarinacocha
110. Informe FOCAS 2016 MP Coronel Portillo
111. Catálogo de recursos del proyecto 2012
112. Comunication Strategy 2013
113. Estrategia Articulación Intergubernamental MMD
114. Experiencia Backus Sachaca
115. Guía de comunicaciones
116. Guía de promoción de inversiones descentralizadas
117. Guía para debates efectivos
118. Guía para reconstruir experiencias de gestión pública descentralizada
119. Informe Anual del Proceso de descentralización 2012
120. Informe Anual del Proceso de descentralización 2013
121. Deliverable 38
122. One Pager ProDescentralización III
123. Diagnóstico de Capacidades WEB
124. ProDescentralización-Avances en los resultados 26 05 2014
125. Dx propuestas políticas públicas
126. Dx rápido de capac participación ciudadana
127. Guía para la aplicación del enfoque intercultural en la gestión de servicios públicos
128. Guía para la aplicación del enfoque en la gestión de servicios públicos
129. Programa de fortalecimiento de capacidades en materia de Gobierno Abierto dirigido a gobiernos regionales y locales
130. Programa de fortalecimiento de capacidades en materia de Gobierno Abierto dirigido a organizaciones de la sociedad civil
131. Programa de fortalecimiento de capacidades en materia de Gobierno Abierto dirigido a comités y espacios de vigilancia ciudadana
132. Informe Descentralización 2016
133. Sistematización Marco Normativo Participación Ciudadana
134. Informe Anual del Proceso de descentralización 2011
135. Performance Monitoring Plan Indicators & Deliverables Aprobado March 2012
136. Performance Monitoring Plan Updated Aprobado December 2013
137. Performance Monitoring Plan- revised Aprobado August 2014
138. Performance Monitoring Plan- revised Mar 2015
139. Quarterly Report Jan-Mar 2013: Prodescentralization Program 2nd report
140. Quarterly Report April-June 2013: Prodescentralization Program 3rd Report
141. Quarterly Report Jul –Sept 2013: Deliv. 28 4th Qr Prodescentralization Program
142. Quarterly Report Oct – Dec 2013: Deliverable 29 QR Oct-Dec 2013
143. Quarterly Report Jan-Mar 2014: PRODES 6th Report Jan-Mar 2014
144. Quarterly Report Apr-June 2014: Prodescentralization Program QR 3
145. Quarterly Report Jul-Sept 2014
146. Annual Report Sept 2014
147. Quarterly Report Jan-Mar 2015
148. Quarterly Report Apr-Jun 2015
149. Quarterly Report Jul-Sept 2015
150. Annual Sept 2015
151. Quarterly Report 1 Oct-Dec 2015

152. Quarterly Report Jan-Mar 2016
153. Quarterly Report Apr-June 2016
154. Quarterly Report Jul-Sept 2016
155. Gestión de Conflictos: Módulo 1-3
156. RM-N-014-2016 PCM
157. D.S. N° 103-2011-PCM
158. DS 017-2017
159. Capacidades Institucionales RM -006-2016 PCM
160. Diálogos de Política Pública: Hacia la Consolidación de un Estado Unitario y Descentralizado al Servicio de los Ciudadanos
161. Programa de Mejora de la Calidad del Servicio QSIP
162. Plan Operativo Institucional 2014 MP Coronel Portillo
163. Plan Operativo Institucional 2014 MD Yarinacocha
164. Plan Operativo Institucional 2014 MP Lamas
165. Plan Operativo Institucional 2014 MD Cuñumbuque
166. Plan Operativo Institucional 2014 MD Laberinto
167. Plan Operativo Institucional 2014 MD Inambari
168. Plan Operativo Institucional 2014 MD Las Piedras
169. Plan Operativo Institucional 2014 GORE Loreto
170. Plan Operativo Institucional 2014 MP Maynas
171. Plan Operativo Institucional 2014 MD Belén
172. Plan Operativo Institucional 2015 MP Coronel Portillo
173. Plan Operativo Institucional 2015 MD Yarinacocha
174. Plan Operativo Institucional 2015 MP Manantay
175. Plan Operativo Institucional 2015 GORE Ucayali
176. Plan Operativo Institucional 2015 MD Zapatero
177. Plan Operativo Institucional 2015 MD Tabalosos
178. Plan Operativo Institucional 2015 MD Cuñumbuque
179. Plan Operativo Institucional 2015 MD Barranquita
180. Plan Operativo Institucional 2015 GORE San Martín
181. Plan Operativo Institucional 2015 DRE San Martín
182. Plan Operativo Institucional 2015 MD Inambari
183. Plan Operativo Institucional 2015 MD Las Piedras
184. Plan Operativo Institucional 2015 MP Maynas
185. Plan Operativo Institucional 2015 MD Punchana
186. Plan Operativo Institucional 2015 MP Condorcanqui
187. Plan Operativo Institucional 2015 GR Amazonas
188. Plan Operativo Institucional 2015 DIRESA GR Amazonas
189. Plan Operativo Institucional 2016 MP Coronel Portillo
190. Plan Operativo Institucional 2016 MD Yarinacocha
191. Plan Operativo Institucional 2016 MD Manantay
192. Plan Operativo Institucional 2016 MD Nueva Requena
193. Plan Operativo Institucional 2016 MP Lamas
194. Plan Operativo Institucional 2016 UGEL Lamas
195. Plan Operativo Institucional 2016 DRE SMT
196. Plan Operativo Institucional 2016 Zapatero
197. Plan Operativo Institucional 2016 MD Tabalosos
198. Plan Operativo Institucional 2016 MD Cuñumbuque
199. Plan Operativo Institucional 2016 MD Barranquita
200. Plan Operativo Institucional 2016 MD Tambopata

201. Plan Operativo Institucional 2016 MD Inambari
202. Plan Operativo Institucional 2016 MD Las Piedras
203. Plan Operativo Institucional 2016 MP Maynas
204. Plan Operativo Institucional 2016 MD San Juan Bautista
205. Plan Operativo Institucional 2016 MD Punchana
206. Plan Operativo Institucional 2016 MP Condorcanqui
207. Gobiernos Regionales que reciben apoyo de USAID
208. Pautas para la incorporación de la Gestión del Riesgo de Desastres en el Reglamento de Organización y Funciones y en el Manual de Perfiles de Puestos de los Gobiernos Subnacionales (CENEPRED)
209. Propuestas normativas del nivel nacional apoyadas por el Programa ProDescentralización de USAID en formato PPT
210. Diagnóstico sobre la gestión de materiales y recursos educativos en Lamas
211. Diagnóstico sobre la Gestión de materiales y recursos educativos en la provincia de Coronel Portillo
212. Informe sobre análisis de género de los Programas Sociales
213. Resumen de las acciones del Programa para promover la Igualdad de Género
214. The Policy Circle 2004: A Framework for Analyzing the Components of Family Planning, Reproductive Health, Maternal Health, and HIV/AIDS Policies (Hardee, Feranil, Biewzwinkle)
215. Human and Institutional Capacity Handbook (HICD): A USAID Model for Sustainable Performance Improvement
216. Tips for measuring institutional capacity (2011)
217. USAID ProDes: Lista corta de informantes clave del nivel nacional para etapa inicial de la evaluación final
218. USAID ProDes: Personas de contacto para evaluación final
219. Fase de la contratación docente y acciones para la mejora
220. Fase de la ruta del servicio APN y acciones para mejora
221. Fases de la ruta de servicios de limpieza pública y acciones para la mejora
222. Fases de la ruta del servicio CRED y acciones para la mejora
223. Fases de la ruta del proceso de educación ambiental y acciones para la mejora
224. Fases de distribución de recursos y material educativo
225. Problemas en las Rutas/ GGD según servicio (PPT 22/5). Incluye estrategia de sostenibilidad 1 slide: Ruta APN- Amazonas, Ruta CRED- Amazonas
226. Planes de mejora por GGD (GR, MP, Distrito o CS, según servicio)
227. Amazonas: Plan CREC 2013-2014 para 4 centros; 2015 CRED, 2016-2017 CRED y APN
228. Loreto: por 6 centros salud (6 de oct y B. Nanay 2014-2016); Indiana Mazan (2015-2016), Tamshiyacu 2015-2016; Moronacocha (2014-2016), Plan de Mejora San Juan 2016, Plan de Mejora CRED Loreto 2013
229. Madre de Dios: PMCS 2015, 2016 & PMCS GGD MDD 2013
230. San Martín: 2 Planes de mejora educación Lamas 2013 y 2014
231. Ucayali: Ucayali GRS y Educación 2016 (6 files); Edu: 2016 y 2017: Plan Mejora 2013 GRS
232. Matriz de función educación
233. Matriz de función salud
234. Matriz de función ambiente
235. Revised contractual deliverable #36 WP FY 3 2015
236. FY 2016 Annual WP Prodescentralization Program revised
237. ODI RFA 066-2013 AID-C-12-00002 Annex 1 rev- FY 2014 WP

Annex 3: Data collection tools

Entrevista a USAID

- ¿Sobre qué supuestos se diseñó PRODES?
- ¿Qué lecciones aprendidas de los PRODES I y II se incorporaron en el diseño del Programa?
- ¿Los productos y resultados de PRODES son congruentes con los objetivos establecidos en las políticas nacionales y regionales?
- ¿Cuál es la lógica de intervención de PRODES?
- Usted considera que la lógica de intervención del programa ¿fue la más adecuada para la gestión descentralizada de los servicios? ¿por qué?
- Usted considera que el enfoque de fortalecimiento de capacidades ¿fue el más adecuado para la gestión descentralizada de los servicios? ¿por qué?
- ¿El diseño estableció de manera clara la articulación de los servicios con los diferentes niveles de gobierno? ¿qué tuvieron que modificar o agregar?
- ¿El diseño inicial del Programa se adaptó a los cambios del contexto? ¿De qué manera? ¿Y a la complejidad de la descentralización?
- ¿El contrato ha sido flexible en función a los retos en la implementación?

Logros obtenidos

- Para usted ¿cuáles son los logros más importantes de PRODES?
- ¿PRODES ha contribuido en la mejora de la gestión descentralizada para la provisión de servicios? ¿por qué?
- ¿PRODES ha contribuido a que los GR y GL sean eficientes? ¿por qué?
- ¿Qué resultados no previstos se lograron?
- De manera concreta ¿qué elementos de la práctica fueron llevados a la política?

Recomendaciones

- ¿Cuáles son los retos claves que quedan pendientes para la consolidación de la gestión descentralizada para la provisión de los servicios?
- ¿Cuál es el grado de coordinación que se requiere entre los GL y los GR, GR y GN para consolidar la gestión descentralizada?
- ¿Hace falta alguna normatividad para fortalecer la gestión descentralizada?
- ¿Qué aspectos son necesarios para que el proceso de descentralización sea más efectivo?

Entrevista a Coordinador Regional de ProDes

Introductoria

- ¿Cuál es su apreciación sobre el fortalecimiento de la gestión descentralizada de servicios en el nivel regional y local que ha trabajado ProDes? (opinión global sobre el trabajo de ProDes)
- ¿Considera que servicio priorizado se está posicionado en la agenda pública? ¿Por qué o de qué manera?

Diseño y funcionamiento del Programa

- ¿Usted considera que la lógica de intervención del programa fue la más adecuada para la gestión descentralizada de los servicios? ¿Por qué?
- ¿El funcionamiento del Programa se adaptó a los cambios del contexto? ¿De qué manera? ¿Y a la complejidad de la descentralización?

Sobre el GGD

- ¿Quiénes integran actualmente el GGD? ¿Qué funcionarios o representantes participan por institución?
- ¿El GGD es un término que los actores usan para referirse a este espacio? ¿Qué otros términos usan?
- ¿Qué funciones cumple el GGD?
- ¿Cada cuánto tiempo se reúnen? ¿Cuál fue la última reunión?
- ¿Qué tipos de acuerdos se han tomado? ¿Cuáles fueron los principales acuerdos tomados?
- ¿Algunos actores estuvieron más o menos comprometidos con el GGD? ¿Por qué lo cree?
- ¿Cómo cambió el funcionamiento del GGD luego de la toma de mando de las nuevas autoridades en los gobiernos subnacionales?

Normatividad y gestión descentralizada

- Durante el trabajo de ProDes, ¿cuáles han sido las principales normas, políticas o documentos de gestión que han fortalecido la gestión descentralizada del servicio?
- ¿De qué manera esas normas han fortalecido la gestión del servicio? ¿Puede darme ejemplos concretos de ello?
- ¿Cómo realizaban los actores la elaboración de documentos de gestión (PDC, PEI, POI, ordenanzas, planes u otros) antes del apoyo de ProDes y cómo ha sido con el apoyo de ProDes? ¿Cuál ha sido el rol de ProDes y de los demás actores en este proceso?
- ¿Cómo se han institucionalizado estos aprendizajes en la formulación de los instrumentos de gestión? (que esté normado, que existan responsables, que existan documentos de gestión, manual de procedimientos, documentos que indiquen cómo hacerlo)

Desarrollo de capacidades y metodología

- ¿Cómo se ha desarrollado el diagnóstico de capacidades institucionales? ¿Y el Plan de Mejora de la Calidad del Servicio? (indagar por cuántas veces lo han hecho, quién ha ayudado, si se han abracado todas las áreas)
- A partir de los resultados obtenidos, ¿qué acciones concretas han priorizado los actores? ¿Cuáles cree que han sido los principales logros de la asistencia técnica de ProDes en el desarrollo de capacidades institucionales? ¿Y en la mejora del servicio?
- ¿Los actores se encuentran en capacidad para poder replicar el enfoque de desarrollo de capacidades? ¿Y el enfoque de mejora del servicio? ¿Por qué cree que están en capacidad o por qué no?

- ¿Se podrían replicar estos enfoques en otras áreas, servicios, ámbitos o entidades? ¿Por qué lo cree?
- ¿Qué tan sostenible en el tiempo considera que serán estos resultados en el desarrollo de capacidades y del servicio? ¿Cómo se espera lograr que este aprendizaje persista en las instituciones beneficiadas?
- ¿Los consultores para el trabajo de capacitación y asistencia técnica que fueron contratados son locales? ¿Existe una base de datos de Consultores que han apoyado en el Programa?

Demandas de la sociedad civil

- En resumen, ¿en qué consiste la vigilancia del servicio en la región?
- ¿Cuantos comités hay? ¿Cuántos vigilantes son? ¿Cuántos son hombres y mujeres? ¿Cuántas familias tienen a cargo? (Indagar por de qué manera está organizada la comunidad para la vigilancia de los servicios de salud/ distribución de materiales educativos/ gestión integral de residuos sólidos)
- ¿Desde cuándo están organizados de esa manera? ¿Por qué se organizaron así?
- ¿Cuáles fueron los criterios para la elección de los vigilantes?
- ¿Cuáles son las actividades que realizan como equipo de vigilancia? (Indagar todas las actividades como vigilantes: llenado de formato, programación, observación, informes, entrega de informe, sensibilización de la población, retroalimentación, coordinación con la municipalidad)
- ¿Qué mecanismos de relacionamiento directo existen entre los vigilantes y las Municipalidades / UGEL / IIEE / CCSS?
- ¿Cada cuánto tiempo se reúnen los vigilantes?
- ¿Qué se realiza en estas reuniones? ¿Qué tipo de decisiones se toma?
- ¿Se siguió una estrategia para expandir el rol de la vigilancia a otros miembros de la sociedad civil o comunidad? ¿Cuál fue y cómo funciona?
- ¿Cómo se está pensando la estrategia de sostenibilidad de la vigilancia? ¿Quién asumirá las funciones que ProDes tomó como promotor?

Sobre el enfoque de género e interculturalidad

- ¿Qué acciones se han establecido para el recojo de las necesidades particulares de hombres y mujeres y de los diferentes grupos étnicos presentes en el territorio?
- ¿En qué medida se han integrado los enfoques de género e interculturalidad en la planificación, gestión o evaluación de las políticas?
- ¿Qué tan sostenible en el tiempo considera que serán estas acciones para incorporar dichos enfoques? ¿Cómo se espera lograr que este aprendizaje persista en la entidad?

Logros obtenidos

- Para usted, ¿cuáles son los logros más importantes del trabajo desarrollado con ProDes? (en la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobiernos)
- ¿ProDes ha contribuido en la mejora de la gestión descentralizada para la provisión de servicios? ¿por qué?
- ¿Qué acciones se han replicado en otros ámbitos ajenos al Programa? ¿En otros servicios?
- ¿Qué pasará en la etapa post ProDes? ¿Cuáles son los mayores logros de institucionalización?

Recomendaciones

- ¿Cuáles son los retos claves que quedan pendientes para la consolidación de la gestión descentralizada para la provisión de los servicios?

- ¿Qué recomendaciones brindaría usted para otros programas similares u otros programas de USAID?

Entrevista a entes del Gobierno Nacional (se ajusta a cada entidad)

Gestión descentralizada

- ¿Cuál es su opinión acerca del proceso de descentralización? (Articulación con los diferentes niveles de gobierno: nacional, regional, provincial y distrital y con otros sectores)
- ¿Cuál es su opinión sobre la gestión descentralizada de los servicios? (Relación entre los servicios y el proceso de descentralización)
- ¿Qué mecanismos existen para la coordinación articulada entre los niveles de gobierno para el servicio priorizado? (En esta pregunta, podrían salir temas como la Comisión Intergubernamental, acuerdos de gestión, dirección de articulación, programas presupuestales)
- ¿Cuál es su apreciación sobre el fortalecimiento de la gestión descentralizada de servicios que ha trabajado ProDes? (opinión global sobre el trabajo de ProDes)
- ¿Usted ha tenido la oportunidad de revisar el balance de la descentralización que ProDes publica anualmente? ¿Qué aspectos resultan más relevantes de este balance? ¿Qué elementos requieren ser incluidos o más desarrollados?
- ¿Cuáles son los principales problemas de la cadena de valor del servicio priorizado? ¿Es claro el rol de los actores, las funciones, los bienes o servicios a producir?
- ¿A quién corresponde resolverlo? (rol de los actores y sus funciones en la cadena de valor)

Normatividad y gestión descentralizada

- En los últimos cinco años, ¿cuáles han sido las principales normas, políticas o documentos de gestión que han fortalecido la gestión descentralizada del servicio? ¿A qué problema respondieron?
- ¿Quién apoyó a su institución para el proceso de formulación de esa normatividad?
- Las normas apoyadas por ProDes ¿han fortalecido la gestión descentralizada de los servicios públicos? (salud/educación/limpieza pública)
- ¿Las normas apoyadas por PRODES han sido aprobadas? ¿Por qué?
- ¿Qué elementos de la gestión de los servicios, alimentaron la formulación de las normas o políticas?
- ¿Se ha logrado aplicar este mismo proceso en otras normas o en otros servicios? ¿De qué manera? ¿Qué aprendizajes se han obtenido?
- ¿Quiénes han participado del proceso de formulación de políticas? ¿De qué manera? ¿Qué aprendizajes han obtenido?
- ¿Cuál ha sido el proceso seguido en la formulación de las normas? ¿Cómo se colocó el tema priorizado en la agenda pública? ¿Quiénes actuaron cómo aliados? ¿Quiénes se opusieron?
- ¿Qué componentes son claves para la formulación de la política (círculo de la política)? ¿Por qué?
- ¿Considera que existen aspectos que hace falta desarrollar más?

Desarrollo de capacidades y metodología

- ¿Cómo ha aportado el Diagnóstico de Capacidades Institucionales para Gobiernos regionales y Locales en la mejora de capacidades institucionales de las instancias subnacionales a nivel nacional?
- ¿Cuál cree que han sido los principales logros de ProDes en el desarrollo de capacidades institucionales?
- ¿Qué áreas se han beneficiado del fortalecimiento de capacidades desarrollado por ProDes?

- ¿Qué aspectos requieren conocer, reforzar, mejorar o innovar para desarrollar las réplicas o demás mecanismos de fortalecimiento de capacidades?
- ¿Usted considera que hace falta fortalecer alguna capacidad adicional?
- ¿Se han elaborado matrices de funciones para los servicios priorizados? ¿Cuál es la utilidad y aplicabilidad de éstas?

Demandas de la sociedad civil

- ¿Qué mecanismos se han generado para la cooperación y coordinación articulada y entre los niveles de gobierno y la sociedad civil, para responder a las demandas de la población? ¿De manera articulada en los tres niveles de gobierno cómo se buscó responder ante estas demandas?
- ¿Usted considera que se han generado capacidades para recoger las demandas de la población y sociedad civil a nivel de los servicios y de los GL y GR en todas las fases o componentes de formulación de políticas? ¿Puede dar ejemplos concretos?

Sobre el enfoque de género e interculturalidad

- En relación al servicio analizado, ¿cree que existen diferencias en la participación de hombres y mujeres? (los afecta de manera diferente el problema, hacen uso diferente del servicio)
- ¿Qué acciones se han establecido para el recojo de las necesidades particulares de hombres y mujeres y de los diferentes grupos étnicos presentes en el territorio?
- ¿En qué medida se han integrado los enfoques de género e interculturalidad en la planificación, gestión o evaluación de las políticas?

Logros obtenidos

- Para usted ¿cuáles son los logros más importantes del trabajo desarrollado con ProDes? (en la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobiernos, en la vigilancia colaborativa, en la incorporación de los enfoques de género e interculturalidad)
- ¿Usted considera que las acciones realizadas por el programa fueron las más adecuada para la gestión descentralizada de los servicios? ¿Por qué?
- ¿Estos avances son congruentes con los objetivos establecidos en las políticas nacionales y regionales? ¿Por qué?
- ¿ProDes ha contribuido en la mejora de la gestión descentralizada para la provisión de servicios? ¿por qué? ¿de qué manera?
- ¿ProDes ha contribuido a que los GR y GL sean eficientes? ¿por qué?

Recomendaciones

- ¿Qué recomendaciones brindaría usted para otros programas similares u otros programas de USAID?
- ¿Cuáles son los retos claves que quedan pendientes para la consolidación de la gestión descentralizada para la provisión de los servicios (en la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobiernos, en la vigilancia colaborativa, en la incorporación de los enfoques de género e interculturalidad)?
- ¿Cuál es el grado de coordinación que se requiere entre los GL y los GR, GR y GN para consolidar la gestión descentralizada? ¿Y entre estos y los sectores?
- ¿Hace falta alguna normatividad para fortalecer la gestión descentralizada?
- ¿Hace falta fortalecer algunas capacidades institucionales fortalecer la gestión descentralizada?
- ¿Qué aspectos son necesarios para que el proceso de descentralización sea más efectivo?

Entrevista al Gobierno Regional y Local

Descentralización y Gestión descentralizada

- ¿Cuál es su opinión acerca del proceso de descentralización? (Articulación con los diferentes niveles de gobierno: nacional, regional, provincial y distrital y entre municipalidades y con otros sectores)
- ¿Cuál es su opinión sobre la gestión descentralizada de los servicios? (Relación entre los servicios y el proceso de descentralización)
- ¿Qué mecanismos existen para la coordinación articulada entre los niveles de gobierno para el servicio priorizado? (En esta pregunta, podrían salir temas como la Comisión Intergubernamental, acuerdos de gestión, dirección de articulación, programas presupuestales)
- ¿Cuál es su apreciación sobre el fortalecimiento de la gestión descentralizada de servicios en el nivel regional y local que ha trabajado ProDes? (opinión global sobre el trabajo de ProDes)
- ¿Usted ha tenido la oportunidad de revisar el balance de la descentralización que ProDes publica anualmente? ¿Qué aspectos resultan más relevantes de este balance? ¿Qué elementos requieren ser incluidos o más desarrollados?
- Sobre el servicio priorizado ¿Cuáles son los principales problemas que se mantienen a la fecha (presente)?
- ¿A quién corresponde resolverlo? (rol de los actores y sus funciones en la cadena de valor)

Normatividad y gestión descentralizada

- En los últimos cinco años, ¿cuáles han sido las principales normas, políticas o documentos de gestión (indagar sobre la producción local, PDC, PEI u otro)
- ¿De qué manera esas normas han fortalecido la gestión del servicio? ¿Puede darme ejemplos concretos de ello? (Indagar vacíos en las normas)
- ¿Cómo realizaban la elaboración de documentos de gestión (PDC, PEI, POI, ordenanzas, planes u otros) antes del apoyo de ProDes y cómo ha sido con el apoyo de ProDes? ¿Cuál ha sido el rol de ProDes y de los demás actores en este proceso?
- ¿Qué aprendizajes ha dejado esto?
- ¿Cómo se han institucionalizado estos aprendizajes en la formulación de los instrumentos de gestión? (que esté normado, que existan responsables, que existan documentos de gestión, manual de procedimientos, documentos que indiquen cómo hacerlo)
- ¿Han participado en la elaboración de matrices de funciones para los servicios priorizados? ¿Por qué? ¿Cuál es la utilidad y aplicabilidad de éstas?

Desarrollo de capacidades y metodología

- ¿Conoce o recuerda los resultados alcanzados en el diagnóstico de capacidades institucionales y del servicio? (indagar por cuántas veces lo han hecho, quién ha ayudado, si se han abracado todas las áreas)
- En el último diagnóstico, ¿Cuáles son las áreas de mayor desarrollo y las de menor desarrollo? (apuntar el año y mes del último diagnóstico)
- A partir de los resultados obtenidos, ¿qué acciones concretas han priorizado? ¿Cuáles cree que han sido los principales logros de la asistencia técnica de ProDes en el desarrollo de capacidades institucionales? ¿Qué capacidades concretas se han mejorado? ¿Qué áreas se han beneficiado?
- ¿Conoce el Plan de Mejora de Calidad del Servicio que se ha formulado para mejorar la el servicio? ¿Qué avances tienen en su implementación?
- ¿Qué aspectos requieren conocer, reforzar, mejorar o innovar para extender lo aprendido a otras áreas del GR o del GL u otros sectores?

- ¿Usted considera que hace falta fortalecer alguna capacidad adicional? (indagar área y para qué)

Demandas de la sociedad civil

- ¿Qué mecanismos existen para recoger las demandas de la población?
- ¿Qué mecanismos existen para recoger las demandas de la sociedad civil?
- ¿Cómo canalizan demandas que no corresponden atender al gobierno local o regional?
- ¿Usted considera que se han generado capacidades para recoger estas demandas? ¿En qué momentos? ¿Puede dar ejemplos concretos?
- ¿Conoce los resultados de la encuesta de satisfacción que realiza ProDes respecto a los servicios? ¿Qué resultados se obtuvieron y cómo ellos han permitido tomar acciones para mejorar estos servicios?
- ¿Para usted, en qué consiste la vigilancia colaborativa? ¿Cuál es su utilidad para la mejora de los servicios públicos? ¿Qué otras organizaciones de vigilancia ciudadana existen? ¿Qué diferencia a los equipos de vigilancia de esos espacios de participación ciudadana?
- ¿Qué mejoras se han implementado a partir del recojo de las demandas de los usuarios de los servicios?
- ¿Se ha ampliado (extendido, replicado) la vigilancia colaborativa a otros servicios o ámbitos?
- ¿Qué aprendizajes quedan de la vigilancia colaborativa a los servicios públicos?
- ¿Ustedes creen que las actividades pueden ser replicadas para otros servicios? ¿Cómo? (por ejemplo, en salud, en la vacunación de los niños, en que los niños vayan a la escuela)

Sobre el enfoque de género e interculturalidad

- En relación al servicio analizado, ¿cree que existen diferencias en la participación de hombres y mujeres? (los afecta de manera diferente el problema, hacen uso diferente del servicio)
- ¿Qué acciones se han establecido para el recojo de las necesidades particulares de hombres y mujeres y de los diferentes grupos étnicos presentes en el territorio?
- ¿En qué medida se han integrado los enfoques de género e interculturalidad en la planificación, gestión o evaluación de las políticas?
- ¿Qué elementos tangibles de la incorporación de estos enfoques se pueden identificar a nivel de los GR, GL y de los servicios?

Contrapartidas

- ¿El GR/GL aportó con contrapartida? ¿Qué otros fondos adicionales obtuvieron? ¿Qué acciones permitieron estos recursos adicionales?

Logros obtenidos

- Para usted, ¿cuáles son los logros más importantes del trabajo desarrollado con ProDes? (en la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobiernos, en la vigilancia colaborativa, en la incorporación de los enfoques de género e interculturalidad)
- ¿De qué manera se harán sostenibles estos avances? (Que esté normado, que existan responsables, que existan documentos de gestión, manual de procedimientos, documentos que indiquen cómo hacerlo)
- ¿Estas acciones se han replicado en otros ámbitos? ¿Con otros sectores? ¿En otros servicios?

Desafíos y Recomendaciones

- ¿Cuáles son los retos claves que quedan pendientes? (En la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los

niveles de gobierno, en la vigilancia colaborativa, en la incorporación de los enfoques de genero e interculturalidad)

- ¿Qué recomendaciones brindaría usted para otros programas similares u otros programas de USAID?

Entrevista a DIRESA, DRE Y ARA, Micro Red de Salud, Red de Salud, UGEL y Red Educativa

Gestión descentralizada

- ¿Cuál es su opinión acerca del proceso de descentralización? (Articulación con los diferentes niveles de gobierno: nacional, regional, provincial y distrital y entre municipalidades y con otros sectores)
- Respecto al servicio priorizado, ¿Qué mecanismos existen para la coordinación articulada entre UGEL, DRE, GR y Municipalidad? (En esta pregunta, podrían salir temas como la Comisión Intergubernamental, acuerdos de gestión, dirección de articulación, programas presupuestales)
- ¿Cuál es su apreciación sobre lo trabajado con ProDes? (opinión global sobre el trabajo de ProDes)
- Sobre el servicio priorizado ¿Cuáles son los principales problemas que se mantienen a la fecha?
- ¿A quién corresponde resolverlo? (rol de los actores y sus funciones en la cadena de valor)

Normatividad y gestión descentralizad

- ¿Cómo los apoyo ProDes en la elaboración de normas, procedimientos y políticas para fortalecer el servicio priorizado u otro aspecto?
- ¿Qué elementos de la gestión de los servicios, alimentaron la formulación de las normas o políticas? (de la práctica a la política)
- ¿De qué manera esas normas han fortalecido la gestión del servicio? ¿Puede darme ejemplos concretos de ello? (Indagar vacíos en las normas)
- ¿Se ha logrado aplicar este mismo proceso en otras normas, en otros servicios?
- ¿De qué manera? ¿Qué aprendizajes se han obtenido?
- ¿Cuál ha sido el proceso seguido en la formulación de estas normas? ¿Cómo se colocó el tema priorizado en la agenda pública? ¿Hubo voluntad política para ello? ¿Quiénes actuaron cómo aliados? ¿hubo opositores?
- ¿Qué aprendizajes ha dejado esto?
- ¿Cómo se han institucionalizado estos aprendizajes en la formulación de normas o documentos de gestión, lineamientos, manuales de procedimientos, documentos que indiquen cómo hacerlo)?

Desarrollo de capacidades y metodología

- ¿Conoce o recuerda los resultados alcanzados en el diagnóstico de capacidades institucionales y del servicio? (indagar por cuántas veces lo han hecho, quién ha ayudado, si se han abracado todas las áreas)
- En el último diagnóstico, ¿Cuáles son las áreas de mayor desarrollo y las de menor desarrollo? (apuntar el año y mes del último diagnóstico)
- A partir de los resultados obtenidos, ¿qué acciones concretas han priorizado? ¿Cuáles cree que han sido los principales logros de la asistencia técnica de ProDes en el desarrollo de capacidades institucionales? ¿Qué capacidades concretas se han mejorado? ¿Qué áreas se han beneficiado?
- ¿Conoce los resultados de la encuesta de satisfacción? ¿Quién la realiza? ¿Qué resultados se obtuvieron y cómo ellos han permitido tomar acciones para mejorar estos servicios?

- ¿Conoce el Plan de Mejora de Calidad del Servicio que se ha formulado para mejorar la el servicio? ¿Qué avances tienen en su implementación?
- ¿Qué aspectos requieren conocer, reforzar, mejorar o innovar para mejorar el servicio?
- ¿En qué temas no desarrollados requieren ser capacitados? (indagar área y para qué)

Demandas de la sociedad civil

- ¿Qué mecanismos existen para recoger las demandas de la población y la sociedad civil? ¿Qué uso se la da a la información?
- ¿Ustedes han sido capacitados para recoger las demandas de la población? ¿En qué momentos? ¿Puede dar ejemplos concretos?
- ¿Conoce usted, los comités de vigilancia formados por ProDes? ¿Qué acciones desarrollan? ¿Quiénes lo integran? ¿Qué coordinación tienen con ellos?
- ¿Qué otras organizaciones de ciudadanos se relacionan con el servicio? ¿Cuáles son sus funciones? ¿Qué diferencia a los equipos de vigilancia de esos espacios?
- ¿Qué aprendizajes quedan de la vigilancia colaborativa a los servicios públicos?
- ¿Ustedes creen que las actividades pueden ser replicadas para otros servicios? ¿Cómo? (por ejemplo, en salud, en la vacunación de los niños, en que los niños vayan a la escuela)

Sobre el enfoque de género e interculturalidad

- Dependiendo del servicio priorizado
    - ¿Cómo participan hombres y mujeres en el control de crecimiento y desarrollo? ¿Cómo apoya cada uno?
    - ¿El uso de los materiales educativos es igual en niños y niñas? ¿Existen diferencias en la entrega de los materiales?
- ¿El servicio ha tomado en cuenta estas diferencias? ¿De qué manera?
- ¿El servicio ha tomado en cuenta las necesidades de las poblaciones indígenas? ¿Por qué?
- ¿Qué actividades han realizado para que el servicio sea adecuado a estas poblaciones? ¿Cómo?

Logros obtenidos

- Para usted, ¿Cuáles son los logros más importantes del trabajo desarrollado con ProDes? (en la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobiernos)
- ¿De qué manera se mantendrán estos avances frente a la rotación del personal? (Que esté normado, que existan responsables, que existan documentos de gestión, manual de procedimientos, documentos que indiquen cómo hacerlo)
- ¿Conoce usted el GGD? Si la respuesta es Sí, preguntar ¿La conformación de GGD permitió mejorar la gestión descentralizada del servicio? ¿Apoyó en la eficiencia y articulación del trabajo?
- ¿Cuáles han sido los factores facilitadores que han permitido alcanzar esos logros?
- ¿Cuáles son los factores limitantes que no permitieron mayores avances?
- ¿Ustedes creen que las actividades pueden ser replicadas para otros servicios? ¿Cómo? (por ejemplo, en salud, en la vacunación de los niños, en que los niños vayan a la escuela)

Recomendaciones

- ¿Cuáles son los retos claves que quedan pendientes? (En la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobierno)
- ¿Qué recomendaciones brindaría usted para otros programas similares u otros programas de USAID?

Entrevista a Centros de Salud e Instituciones Educativas

Sobre el servicio

- Al inicio del Programa ¿Cuál fue el problema priorizado? ¿Por qué?
- ¿Cuáles son los principales problemas que se mantienen a la fecha? ¿Por qué?
- ¿A quién corresponde resolver ese problema? (rol de los actores y sus funciones en la cadena de valor)

Desarrollo de capacidades y metodología

- ¿Conoce usted el diagnóstico del servicio realizadas en CRED/ distribución de material educativo? ¿Cuándo se hizo? (Averiguar cuántas veces se ha hecho, quién procesa la información, qué se hace con los resultados, referirse al último diagnóstico)
- ¿Qué mejoras se hicieron en base al diagnóstico?
- ¿Conoce la encuesta de satisfacción respecto a los servicios? (Averiguar cuántas veces se ha hecho, quién procesa la información, qué se hace con los resultados, referirse al último diagnóstico)
- ¿Qué resultados se obtuvieron y cómo ellos han permitido tomar acciones para mejorar estos servicios? ¿Puede proporcionarnos ejemplos concretos?
- ¿Conoce el plan de mejora de calidad del servicio? ¿Quién lo elabora? ¿Quién lo implementa?
- ¿Qué capacitaciones han recibido de ProDes? ¿Cuándo, en qué temas, qué opinión tienen de esas capacitaciones?
- ¿Qué áreas se han beneficiado del fortalecimiento de capacidades desarrollado por ProDes?
- Actualmente, ¿qué problemas en las capacidades institucionales enfrenta su entidad para la provisión del servicio priorizado?
- ¿Qué capacitaciones les hace falta para mejorar el servicio priorizado? (indagar temas, a quiénes se tiene que capacitar)
- ¿Qué aspectos requieren conocer, reforzar, mejorar o innovar para mejorar el servicio?

Participación Ciudadana

- ¿Qué mecanismos existen para recoger las demandas de la población y de la sociedad civil?
- ¿Usted considera que se han generado capacidades para recoger estas demandas? ¿En qué momentos? ¿Puede dar ejemplos concretos?
- ¿Para usted, en qué consiste la vigilancia comunitaria? ¿Cuál es su utilidad para la mejora de los servicios públicos? ¿Qué otras organizaciones de vigilancia ciudadana existen? ¿Qué diferencia a los equipos de vigilancia de esos otros espacios de participación ciudadana?
- ¿Qué aprendizajes quedan de la vigilancia colaborativa a los servicios públicos?

Sobre el enfoque de género e interculturalidad

- Dependiendo del servicio priorizado
    - ¿Cómo participan hombres y mujeres en el control de crecimiento y desarrollo? ¿Cómo apoya cada uno?
    - ¿El uso de los materiales educativos es igual en niños y niñas? ¿Existen diferencias en la entrega de los materiales?
- ¿El servicio ha tomado en cuenta estas diferencias? ¿De qué manera?
- ¿El servicio ha tomado en cuenta las necesidades de las poblaciones indígenas? ¿Por qué?
- ¿Qué actividades han realizado para que el servicio sea adecuado a estas poblaciones? ¿Cómo?

Logros obtenidos

- Para usted, ¿cuáles son los logros más importantes del trabajo desarrollado con ProDes en la mejora del servicio?
- ¿Cuál es el grado de coordinación entre el servicio y MR/ red educativa UGEL y los GL para consolidar los avances? ¿Cómo ha mejorado la articulación con GR (en el caso de GL)?
- ¿Estas acciones se han replicado en otras áreas o servicios? ¿Los mecanismos de coordinación generados pueden ser replicados para otras áreas y otros servicios?
- ¿Cuáles han sido los factores facilitadores que han permitido alcanzar esos logros?
- ¿Cuáles son los factores limitantes que no permitieron mayores avances?

Recomendaciones

- ¿Cuáles son los retos claves que quedan pendientes? (En la mejora del servicio, en la formulación de normas y políticas, en la participación, en la mejora de capacidades, en la articulación de los niveles de gobierno, en la vigilancia colaborativa, en la incorporación de los enfoques de genero e interculturalidad)
- ¿Tiene alguna recomendación adicional?

Entrevista a los Comités de Vigilancia Ciudadana

Sobre el servicio

- Respecto al servicio XX ¿Cuáles son los principales problemas que se mantienen a la fecha? ¿Quién debe resolver esos problemas?

Vigilancia colaborativa

- ¿Cuantos comités hay? ¿Cuántos vigilantes son? ¿Cuántos son hombres y mujeres? ¿Cuántas familias tienen a cargo? (Indagar por de qué manera está organizada la comunidad para la vigilancia de los servicios de salud/ distribución de materiales educativos/ gestión integral de residuos sólidos)
- ¿Desde cuándo están organizados de esa manera? ¿Por qué se organizaron así? ¿De quién fue de la idea de organizarse así?
- ¿Cómo fueron convocados para participar en el equipo de vigilancia? ¿Quién los convoco?
- ¿Cuáles son las actividades que realizan como equipo de vigilancia? (Indagar todas las actividades como vigilantes: llenado de formato, programación, observación, informes, entrega de informe, sensibilización de la población, retroalimentación, coordinación con la municipalidad)
- ¿Quién o quiénes los apoyan en estas actividades y de qué manera?
- ¿Cuánto tiempo dedican a estas actividades? (Indagar cuánto tiempo usan por día, semana o mes)
- ¿Tienen apoyo de sus familias para realizar esas actividades?
- Además, ¿de qué manera recogen las necesidades u opiniones de los usuarios de los servicios priorizados? ¿Qué hacen con esa información?
- Dependiendo del servicio priorizado
  - ¿Cómo participan hombres y mujeres en el manejo de los residuos sólidos en los hogares?
  - ¿Cómo participan hombres y mujeres en el control de crecimiento y desarrollo? ¿Cómo apoya cada uno?
  - ¿El uso de los materiales educativos es igual en niños y niñas? ¿Existen diferencias en la entrega de los materiales?
- ¿El servicio que ustedes vigilan ha tomado en cuenta estas diferencias? ¿Por qué?

- ¿El servicio que ustedes vigilan ha tomado en cuenta las necesidades de las poblaciones indígenas? ¿Por qué?
- ¿Qué actividades han realizado de para que el servicio sea adecuado a estas poblaciones? ¿Cómo?
- ¿Qué otros espacios de participación de los ciudadanos existen en su ámbito? ¿Qué diferencia a los equipos de vigilancia de esos espacios de participación ciudadana?

Fortalecimiento de capacidades

- ¿Qué capacitaciones han recibido para realizar las actividades que señalaron? ¿Con qué frecuencia? (Indagar cuantas veces han sido capacitados)
- ¿Quién les dieron la capacitación? ¿Cuándo fue la última vez que fueron capacitados?
- ¿Qué necesidades de capacitación tienen actualmente?
- Adicionalmente a los temas vinculados al servicio, ¿han sido capacitado en algunos de los siguientes temas?
  - Gobierno abierto.
  - Gestión de conflictos sociales.
  - Políticas Públicas de Descentralización.
  - Elecciones Generales: Agenda de Políticas Públicas en la Campaña Electoral.
  - Liderazgo, Participación y Autonomía Económica de las Mujeres
  - Otros organizados por ProDes.

Logros obtenidos

- ¿Cuáles son los principales logros que han obtenido como Comité?
- A nivel de los servicios ¿ustedes consideran que han ocurrido cambios por la intervención de los equipos de vigilancia? ¿Cuáles? (indagar antes y después del problema)
- A nivel personal ¿qué cambios se han generado a partir de su participación en los equipos de vigilancia?
- A nivel de la comunidad ¿han ocurrido cambios con la presencia de los equipos de vigilancia?
- ¿Qué ha facilitado o limitado las actividades que realiza el Comité?

Sostenibilidad

- ¿Ustedes creen que las actividades que actualmente realizan los equipos de vigilancia pueden ser replicados para otros servicios? ¿Por qué? (por ejemplo, en salud, en la vacunación de los niños, en que los niños vayan a la escuela, entre otros)
- ¿Cuando concluya ProDes seguirán participando? ¿Por qué? ¿Cómo lo harían?
- Si tienen alguna duda o necesidad de información para el cumplimiento de sus actividades, ¿a quién recurrirán? (esto permite deducir los vínculos previos)
- ¿Pueden comunicarse/relacionarse fácilmente con el responsable del área (en el Centro de Salud/ UGEL/ Municipalidad)?

Recomendaciones

- ¿Qué recomendaciones harían para mejorar los servicios vigilados?
- ¿Qué recomiendan para mejorar el trabajo que realizan los equipos de vigilancia?

Entrevista a ProDes

- ¿Los productos y resultados de PRODES son congruentes con los objetivos establecidos en las políticas nacionales y regionales?
- ¿Cuál es la lógica de intervención de PRODES?

- Usted considera que la lógica de intervención del programa ¿fue la más adecuada para la gestión descentralizada de los servicios? ¿por qué?
- Usted considera que el enfoque de fortalecimiento de capacidades ¿fue el más adecuado para la gestión descentralizada de los servicios? ¿por qué?
- ¿El diseño estableció de manera clara la articulación de los servicios con los diferentes niveles de gobierno? ¿qué tuvieron que modificar o agregar?
- ¿El diseño inicial del Programa se adaptó a los cambios del contexto? ¿De qué manera? ¿Y a la complejidad de la descentralización?
- ¿El contrato ha sido flexible en función a los retos en la implementación?

Gestión descentralizada

- En Loreto se percibió que el Gobierno Regional no jugó el rol líder que esperaban. Ese lugar lo ocupó la Municipalidad de Maynas. ¿Creen que los Gobiernos Regionales no tomaron con el suficiente interés el liderazgo de los GGD? ¿Era algo que se esperaba?
- ¿Qué ejemplos de decisiones de trabajo conjunto entre los actores a nivel descentralizado podrían mencionar (en los tres servicios)? (La idea es explorar si el GGD servía solo para intercambio de opiniones o se tomaban decisiones conjuntas o comunes)
- ¿Qué tan frecuente era contar con actores con alto poder de decisión en los GGD? ¿Esto fue un factor limitante para el éxito de esta estrategia?
- En Ucayali, única región con participación del Gobierno Regional hasta el fin de la intervención, los actores de las Municipalidades Provincial y Locales percibían que el Gobierno Regional jugó un rol "decorativo" en la estrategia de Residuos Sólidos. ¿Por qué creen que se percibió eso?

Desarrollo de capacidades y metodología

- ¿Qué estrategia han seguido para que todo el conocimiento transmitido a los funcionarios, que ha sido muy valorado por ellos, se pueda mantener aun cuando se retiren esos funcionarios o cambie la gestión?
- ¿Existen documentos personalizados para cada institución beneficiada donde se sistematice todo el aprendizaje obtenido, de tal manera que los próximos funcionarios puedan acceder al conocimiento generado? ¿Cuáles?
- ¿Qué estrategia siguió ProDes para comunicar (i) el avance de ProDes y (ii) el conocimiento transmitido, al reemplazo de algún funcionario clave, durante la intervención?
- En el caso del DCI (desarrollo de capacidades institucionales) en los GORE. ¿Este solo se aplicó a la ARA, DRE o DIRESA? ¿Qué rol jugaron las Gerencias de Planeamiento y Presupuesto, o Gerencias de Desarrollo Social (según el servicio priorizado)?
- ¿Cómo se determinaron los equipos técnicos del DCI en los Gobiernos Locales? ¿Qué estrategia se siguió?
- ¿Cuáles fueron los actores de la sociedad civil que participaron en la elaboración de los Planes de Mejora de Calidad del Servicio (de acuerdo a la metodología QSIP)?
- En el caso de salud, ¿Cuál era el nivel de conocimiento de los Centros de Salud y de las DIRESA de los Planes de Mejora de Calidad del Servicio? ¿Y de las encuestas de satisfacción?

Sociedad Civil

- ¿Cuál ha sido la relación entre los comités de vigilancia y los siguientes actores?
  - Residuos Sólidos: Gerencia de Servicios Públicos
  - CRED: Centros de salud y municipalidades
  - Materiales educativos: Municipalidades, IIEE y UGEL
- ¿Por qué en algunas municipalidades sí se ha institucionalizado a los comités de vigilancia y en otras no? ¿Cuáles han sido los factores que permitieron ese logro?

- ¿Considera que las municipalidades tienen el interés de continuar con los comités de vigilancia? ¿Pr qué? ¿Cuál ha sido el mayor logro en sostenibilidad de los comités de vigilancia en ProDes? ¿Por qué?

Género e interculturalidad

- ¿En algunos servicios fue más fácil incluir el enfoque de género e interculturalidad que en otros?
- ¿Qué ejemplos concretos, por servicio priorizado, pueden mencionar de cómo se incluyó el enfoque de género e interculturalidad en el servicio? (La idea es evitar respuestas que no se centren en el servicio – como se constató en campo – para verificar si el enfoque de género e interculturalidad fue algo más transversal).

Logros obtenidos

- Para usted ¿cuáles son los logros más importantes de PRODES?
- ¿PRODES ha contribuido en la mejora de la gestión descentralizada para la provisión de servicios? ¿por qué?
- ¿PRODES ha contribuido a que los GR y GL sean eficientes? ¿por qué?
- ¿Qué resultados no previstos se lograron?
- De manera concreta ¿qué elementos de la práctica fueron llevados a la política?

Solo para PRODES

- ¿Qué contrapartidas se obtuvieron? ¿Quiénes aportaron con las contrapartidas? ¿Qué acciones permitieron estos recursos adicionales?
- ¿Qué acciones se han replicado en otros ámbitos ajenos al Programa? ¿en otros servicios?
- ¿Se han elaborado matrices de funciones para los servicios priorizados? ¿por qué?

Recomendaciones

- ¿Cuáles son los retos claves que quedan pendientes para la consolidación de la gestión descentralizada para la provisión de los servicios?
- ¿Cuál es el grado de coordinación que se requiere entre los GL y los GR, GR y GN para consolidar la gestión descentralizada?
- ¿Hace falta alguna normatividad para fortalecer la gestión descentralizada?
- ¿Qué aspectos son necesarios para que el proceso de descentralización sea más efectivo?

Encuesta Likert

Satisfacción

Aspectos	Muy insatisfecho	Insatisfecho	Neutro	Satisfecho	Muy satisfecho
El desarrollo de actividades de ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de actividades de ProDes III en su institución para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales en la función PLANEAMIENTO promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales en la función NORMATIVO - REGULADORA promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales en la función PROMOCIÓN DE LA PARTICIPACIÓN promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales en la función ADMINISTRATIVA Y EJECUTIVA promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales en la función SUPERVISIÓN Y CONTROL promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
El desarrollo de capacidades institucionales para el enfoque de género	I	2	3	4	5
El desarrollo de capacidades institucionales para el enfoque de interculturalidad	I	2	3	4	5
El desarrollo de normas promovido por ProDes III en su institución para la mejora de la provisión descentralizada del servicio	I	2	3	4	5
Su participación en el GGD como mecanismo de articulación y coordinación entre los actores responsables de la provisión del servicio	I	2	3	4	5

Opinión

Aspectos	Muy en desacuerdo	En desacuerdo	Ni de acuerdo ni en desacuerdo	De acuerdo	Muy de acuerdo
Las normas promovidas por ProDes III se ajustaron a la problemática de la provisión del servicio	1	2	3	4	5
El proceso de formulación de políticas y normas promovidas por ProDes III incluyó el diálogo político de los tres niveles de gobierno	1	2	3	4	5
El desarrollo de capacidades institucionales en mi entidad promovido por ProDes III permitió la mejora de la provisión del servicio	1	2	3	4	5
Las capacidades fortalecidas en mi entidad podrán mantenerse en el tiempo.	1	2	3	4	5
El enfoque de fortalecimiento de capacidades promovido por ProDes es el más adecuado para la gestión descentralizada de los servicios	1	2	3	4	5
La vigilancia colaborativa del servicio fue clave para el logro de los resultados de ProDes III.	1	2	3	4	5
Las acciones que se han establecido para el recojo de las necesidades particulares de hombres y mujeres y de los diferentes grupos étnicos presentes en el territorio fueron relevantes y necesarias para la provisión del servicio priorizado	1	2	3	4	5
ProDes III ha contribuido en la mejora de la gestión descentralizada para la provisión de servicio	1	2	3	4	5

Annex 4: Intermediate Results

Resultado 1, "Marco político mejorado"

Se plantearon tres resultados intermedios para alcanzar este resultado:

1. El primero, **el mejoramiento de la formulación de las políticas,** implicaba la asistencia técnica al Gobierno del Perú para fortalecer los procesos de formulación de políticas mediante la promoción de la consulta y la construcción de consensos. Se buscaba que las políticas nacionales y regionales, así como las reformas para la descentralización, estén fundadas en el análisis, la investigación y el entendimiento compartido entre los *stakeholders*.
2. El segundo, **la promoción del diálogo de políticas entre el gobierno nacional (GN), GSN y sociedad civil**, implicaba que los tres niveles de gobierno y la sociedad civil interactúen, discutan, debatan e intercambien ideas para identificar las políticas y reformas que se requieren para responder a las necesidades y realidades de los departamentos, con un esfuerzo adicional de incluir a las poblaciones marginadas.
3. El tercero, **la aprobación de guías claras para implementar políticas**, implicaba que se provea asistencia técnica al GN para que este colabore con los GSN y otros actores, y así se produzcan guías y materiales de entrenamiento claros para la implementación de políticas y reformas.

Resultado 2, "Gobiernos subnacionales más eficientes"

Se plantearon cuatro resultados intermedios para alcanzar este resultado:

1. **El fortalecimiento de las capacidades en la administración pública** implicaba la construcción de capacidades de los funcionarios para un mejor manejo de los sistemas administrativos y financieros así como mejorar la inversión pública, llevando a una más amplia y mejor provisión del servicio. Este resultado también buscaba apoyar el liderazgo y esfuerzos para reorientar la cultura organizacional hacia un sistema por resultados y la satisfacción ciudadana.
2. **Mejorar la modernización de los sistemas de administración pública y las políticas a nivel subnacional** implicaba el fortalecimiento de los GSN para asegurar la consistencia y sostenibilidad de sus acciones con las políticas nacionales, leyes y reformas. Además, los GSN recibirían asistencia para desarrollar sus propios enfoques innovadores para abordar las debilidades en la administración pública y la provisión del servicio.
3. La **integración de los sectores dentro de los GSN** implicaba que las oficinas sectoriales se encuentren completamente incorporadas en los GSN, que se adhieran a los planes y objetivos de estos gobiernos, y que gestionen las políticas y estándares de los ministerios. Se buscaba lograr que los funcionarios en los tres sectores participen en la implementación del modelo de gestión descentralizada (GD).
4. La **mejor capacidad para manejar y responder a conflictos y desastres naturales** implicaba que los GSN tengan la capacidad para manejar efectivamente los conflictos sociales y desastres naturales a través de relaciones fuertes y canales de comunicación abiertos con el GN, sector privado y ciudadanos. Además, los gobiernos debían de tener capacidades de mediación y construcción de consensos, así como para planear la preparación frente a desastres.

Resultado 3, "Mejorar los mecanismos de transparencia y participación ciudadana"

1. **El uso efectivo de sistemas de control independientes y la rendición de cuentas de gobierno** implicaba la provisión de asistencia técnica a los GSN focalizados en (i) adaptar

herramientas modernas y estrategias de comunicación para facilitar y alentar el acceso público a información de planeamiento y presupuesto, (ii) establecer y utilizar procesos de planeamiento y presupuesto participativo basados en resultados en cada GSN, (iii) fortalecer las relaciones con entidades clave de vigilancia, como la Defensoría del Pueblo y la Contraloría, e (iv) implementar, de manera precisa, los mecanismos de control y rendición de cuentas normados, como las auditorías internas. Adicionalmente, se planteó que, de ser necesario, se podría dar asistencia a la Defensoría del Pueblo y la Contraloría para mejorar los sistemas de transparencia y rendición de cuentas.

2. **El incremento de la participación ciudadana en los procesos participativos públicos** implicaba el trabajo directo del Programa con los gobiernos focalizados para mejorar los procesos participativos como el planeamiento y presupuesto público. Para ello, los esfuerzos se orientarían a mejorar el entendimiento de los funcionarios del marco legal de los procesos participativos, así como mejorar su capacidad para convocar y responder al *feedback* obtenido de dichos procesos. Paralelamente, se trabajaría con organizaciones de la sociedad civil para mejorar el entendimiento de sus derechos y responsabilidades como ciudadanos y a la vez mejorar sus habilidades para participar en los procesos. Implicaba también promover las buenas relaciones entre los GSN y los grupos ciudadanos evitando la politización de estos procesos.

El mejoramiento y ampliación de comités de vigilancia ciudadana efectivos implicaba que el Programa mejore las habilidades de monitoreo y vigilancia de los comités existentes y ayude, además, a desarrollar más comités y mecanismos de vigilancia. Asimismo, se promovería el involucramiento de grupos marginalizados y medios de comunicación locales. También se buscaba fortalecer lo mecanismos de participación ciudadana que por norma ya existían, como los Comité de Coordinación Regional (CCR) y Comité de Coordinación Local, así como generar mecanismos innovadores para identificar percepciones ciudadanas. Finalmente, el Programa buscaba que se coordine con las oficinas regionales de la Defensoría del Pueblo y la Contraloría para promover canales efectivos en los que la ciudadanía exprese sus demandas o quejas con los que se podría alimentar a los mecanismos de supervisión.

Annex 5: Summary of GGD actions by department

- Amazonas: Las reuniones fueron convocadas por ProDes, excepto las últimas dos (en 2017) convocadas por el Alcalde de Condorcanqui. Participaban alrededor de 10 personas. Las reuniones fueron realizadas principalmente para socializar los avances en las capacitaciones y documentos realizados con apoyo de ProDes, así como planificar las siguientes actividades que realizarán en el marco del Programa. Respecto al CRED, las municipalidades se comprometieron para incluirlo en sus planes. Hubo muy poca presencia de la DIRESA o del Gobierno Regional.

- Loreto: Inicialmente convocada por ProDes, pero luego por la Municipalidad Provincial de Maynas, con lo cual incluso el número de asistentes aumentó y fue alrededor de 20. Principalmente iban representantes de las municipalidades y de la DIRESA. Se trabajó en CRED, evaluando avances en la desnutrición y anemia, así como en la gestión interna de las instituciones, que trabajaban con ProDes. El Gobierno Regional no se vinculó mucho y los centros de salud tampoco, de modo que no se observó una articulación completa. Asimismo, no se trabajó con el Consejo Regional de Salud.

- San Martín: reuniones convocadas por el Alcalde Provincial de Lamas, aunque no siempre participaba de las reuniones. Inicialmente era para definir apoyo de ProDes y presentar su diagnóstico, pero luego las reuniones fueron jornadas de trabajo – incluso con la presencia de más de 50 miembros – en los cuales se planificaba o evaluaba (dependiendo de la reunión) el "Plan Buen Inicio del Año Escolar". En las reuniones participaban activamente la UGEL Lamas, autoridades municipales, redes educativas, miembros de los equipos de vigilancia, representantes del MINEDU y DRE, así como ProDes.

- Ucayali: reuniones convocadas por distintos actores (ProDes, Gobierno Regional, o diversas gerencias de la Municipalidad Provincial de Coronel Portillo). Cumplían objetivos diversos y no tenían una secuencia clara. En cinco casos, las reuniones fueron para solucionar un problema urgente con el botadero municipal que estaba colapsado y no había un único responsable. En cambio, otras reuniones fueron para presentar los avances de ProDes o diseñar campañas de comunicación. La participación del Gobierno Regional, a través de la Autoridad Regional del Ambiente, no fue bien valorada por las municipalidades locales, debido a que consideran que fiscalizaba, pero no brindaba alternativas de solución.

- Madre de Dios: inicialmente convocada por ProDes, luego se hizo en conjunto con la Municipalidad Provincial de Tambopata. Participaron representantes del Gobierno Regional (hasta que se retiró del Programa), de las municipalidades, así como representantes de la sociedad civil. En los GGD, ProDes informaba de sus acciones, y los participantes se comprometían a realizar acciones en sus localidades para mejorar la limpieza pública y concientizar a la población. La realización de una Campaña de Educación Ambiental fue un tema central que se trató en la mayoría de reuniones. Finalmente, las instituciones miembros del GGD se incorporaron al COPREDAM (Consejos de Programas de Educación Ambiental) para una actividad específica como el fortalecimiento de la campaña de educación ambiental y además definen las actividades a realizar para ese propósito.

Annex 6: Capacity strengthening functions and activities

Las funciones y las acciones de fortalecimiento de capacidades, en cada caso, son las siguientes:

- Planeamiento: Diseñar políticas, prioridades, estrategias, programas y proyectos que promuevan el desarrollo regional, de manera concertada y participativa.

Los atributos evaluaron aspectos como: formulación de la Política Regional Ambiental, formulación del plan operativo institucional (POI), diseño del proyecto educativo regional, entre otros.

Para atender las necesidades en esta área, el Programa realizó un trabajo secuencial en dos pasos. Primero, sensibilización a las autoridades y funcionarios para incentivar la necesidad de contar con instrumentos de gestión. Una vez entendida e interiorizada su importancia, se proporcionó la asistencia técnica para poder elaborarlos.

- Normativa: Elaborar y aprobar normas de alcance regional, regulando los servicios de su competencia.

Los atributos evaluaron aspectos como: aprobación de la Política Regional Ambiental, aprobación del POI, aprobación del proyecto educativo regional, entre otros.

El ciclo de los instrumentos de gestión y la normativa comienza con la elaboración y culmina con su aprobación. Es por ello que, paralelamente, hubo un programa de entrenamiento para consejeros y consejeras regionales, y regidores municipales, encargados de la aprobación.

- Promoción de la participación: Actividades enfocadas en la promoción de los principios de transparencia y participación ciudadana. Dicha función implica que la entidad promueva la participación ciudadana y la transparencia a través de espacios y mecanismos que involucren la activa participación de la sociedad civil en la gestión pública.

Los atributos evaluaron aspectos como: participación ciudadana, rendición de cuentas, conformación de los Consejos Participativos Regionales de Educación (COPARE), entre otros.

Los esfuerzos de promoción de participación se centraron en: (i) entidades y (ii) ciudadanía. Por un lado, el trabajo estuvo enfocado en incentivar la participación ciudadana –a través de la gestión del diálogo– y en mejorar los mecanismos de transparencia. Un ejemplo son los portales de transparencia estándar para materializar el derecho a acceder a la información pública y la obligación de los gobiernos de informar sobre su gestión. Por otro lado, se trabajó en empoderar a los ciudadanos al brindarles información sobre la participación política de la mujer, entre otros temas. También se realizaron talleres sobre la relación de la vigilancia ciudadana con los servicios públicos.

- Administrativa y ejecutiva: Organizar, dirigir y ejecutar los recursos financieros, bienes, activos y capacidades humanas necesarias para la gestión regional, con arreglo a los sistemas administrativos nacionales.

Los atributos evaluaron aspectos como: promoción de acciones de educación ambiental, evaluación de agua segura, ejecución del POI, entre otros.

Para esta función se puso énfasis en cómo gestionar y ejecutar los recursos. Con tal fin se brindaron cursos –contrataciones del Estado, gestión por resultados, proyectos de inversión pública– y talleres –administración tributaria, liderazgo y trabajo en equipo, organización y modernización del Estado.

- Supervisión y control: Fiscalizar la gestión administrativa regional, el cumplimiento de normas, planes y calidad de los servicios fomentando la participación de la sociedad civil.

Los atributos evaluaron aspectos como: sistema de monitoreo y evaluación de la política ambiental y residuos sólidos, organizaciones sociales / privadas participan en la vigilancia del cumplimiento de metas de la DCI, evaluación de avances del proyecto educativo regional, entre otros.

Se llevó a cabo asistencia técnica sobre cómo monitorear el cumplimiento de los instrumentos de gestión –con especial énfasis en el POI. También se trabajó directamente con consejeros regionales y regidores para el fortalecimiento y desempeño de sus roles de supervisión, emisión de la normatividad, fiscalización y representación.

Annex 7: Summary of civil surveillance team activities by service

- En el CRED, las acciones realizadas dependieron mucho de la realidad de cada distrito y centro de salud. Esto ocurre porque en algunos distritos ya se cuenta con promotores de salud (Nieva, Punchana, Maynas) que realizan labores de promoción de CRED. En estos casos, se buscó complementar las acciones, incluso trabajando con los mismos promotores como miembros del equipo de vigilancia (doble función). Con su vigilancia se buscó generar un reporte oficial que pueda ser usado por el Centro de Salud y ProDes. En general, se buscaba visitar a las familias con niños pequeños para verificar el cumplimiento de CRED y su satisfacción con el servicio. Se llenaba un informe dado por USAID. Dos de los seis equipos de vigilancia entrevistados (Nieva, Fernando Lores) mencionaron que no sabían bien qué se hacía luego con la información que entregaban.

- En la GIRS, los equipos de vigilancia recibían una ficha de parte de ProDes para ser llenada en base a las observaciones que realizaban de la provisión del servicio. En particular, responden preguntas respecto al servicio de recolección, su programación, el funcionamiento de los vehículos recolectores, personal de limpieza y la colaboración de vecinos. Se esperaba que realicen la vigilancia una semana al mes. Estas fichas eran luego entregadas al coordinador de ProDes quien las socializaba con la municipalidad.

- En la distribución de materiales educativos, los equipos de vigilancia visitan los colegios de la zona. Se realizaba una visita los primeros días de clase para verificar la adecuada distribución de materiales educativas, e informar sobre material sobrante o faltante. Esta información era sistematizada por el coordinador regional, y entregada a la UGEL y a las municipalidades.

Annex 8: Participating public entities that received program support

Gobierno regional	Gobierno provincial	Gobiernos distritales
Gobierno Regional de Loreto	Municipal Provincial de Maynas	• Municipalidad Distrital de Mazan • Municipalidad Distrital de Belén • Municipalidad Distrital de Punchana • Municipalidad Distrital de San Juan Bautista • Municipalidad Distrital de Indiana • Municipalidad Distrital Fernando Lores
Gobierno Regional de Amazonas	Municipal Provincial de Condorcanqui	• Municipalidad Distrital de Rio Santiago • Municipalidad Distrital de El Cenepa
Gobierno Regional de San Martin	Municipal Provincial de Lamas	• Municipalidad Distrital de Tabalosos • Municipalidad Distrital de Cuñumbuqui • Municipalidad Distrital de Zapatero • Municipalidad Distrital de Barranquita *Adicionalmente DRE – San Martín seleccionó distritos piloto para la expansión del modelo de gestión educativa en los distritos de Nueva Cajamarca, Yantaló, Agua Blanca, Alberto Leveau, Cacatachi, Buenos Aires, Alto Saposoa, Pachiza, Bajo Biavo y Nuevo Progreso.
Gobierno Regional de Ucayali	Municipal Provincial de Coronel Portillo	• Municipalidad Distrital de Campo Verde • Municipalidad Distrital de Manantay • Municipalidad Distrital de Nueva Requena • Municipalidad Distrital de Yarinacocha
Gobierno Regional de Madre de Dios*	Municipalidad Provincial de Tambopata	• Municipalidad Distrital de Inambari • Municipalidad Distrital de Laberinto • Municipalidad Distrital de Las Piedras

Annex 9: Interpretation of the legal framework for decentralization[90]

Sobre el marco normativo

Uno de los primeros hitos del proceso fue el desarrollo del marco legal que le diera viabilidad. A partir del 2002 se promulgaron una serie de leyes y decretos que dieron paso al proceso de descentralización. La siguiente línea de tiempo demarca los hitos legales más importantes en el diseño del proceso de descentralización.

Gráfico 11. Línea de tiempo del marco normativo del proceso de descentralización

2002	2003	2004	2005	2006	2007
*Ley de Reforma Constitucional	* Ley Orgánica de Municipalidades	*D.L. 955: Descentralización Fiscal			*Ley Orgánica del Poder Ejecutivo
*Ley de Elecciones Regionales	*Ley Marco del Presupuesto Participativo	*Ley del Sistema de Acreditación de los Gobiernos Regionales y Locales			
*Ley de Bases de la Descentralización	*Ley Marco de Promoción de la Inversión Descentralizada	*Ley de Incentivos para la Integración y Conformación de Regiones			
*Ley de Demarcación y Organización Territorial					
*Ley Orgánica de Gobiernos Regionales					
*Ley Marco de la Modernización del Estado					

Ley de Reforma Constitucional, Ley N° 27680

El 6 de marzo del 2002 se aprobó y promulgó la Ley de Reforma Constitucional del Capítulo XIV del Título IV sobre Descentralización, la cual consistió principalmente en los siguientes puntos:

Definición de la descentralización

El nuevo artículo 188 de la Constitución[91] define a la descentralización como "una forma de organización democrática y constituye una política permanente de Estado, de carácter obligatorio que tiene como objetivo fundamental el desarrollo integral del país". Asimismo, determina la gradualidad del proceso al señalar que este se realizará "por etapas, en forma progresiva y ordenada, conforme a criterios que permitan una adecuada asignación de competencias y transferencia de recursos del gobierno nacional hacia los gobiernos regionales y locales".

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[90] Es la interpretación que AC Pública da al marco legal.
[91] El texto anterior del artículo 188 era el siguiente: "La descentralización es un proceso permanente que tiene como objetivo el desarrollo integral del país".

División territorial

El nuevo texto del artículo 189 de la Constitución[92] señala que "el territorio de la República está integrado por regiones, departamentos, provincias y distritos, en cuyas circunscripciones se constituye y organiza el gobierno a nivel nacional, regional y local, en los términos que establece la Constitución y la ley, preservando la unidad e integridad del Estado y de la Nación". La reforma agrega que el ámbito del nivel regional de gobierno son las regiones y departamentos, y que el ámbito del nivel local de gobierno son las provincias, distritos y los centros poblados.

Conformación de regiones

La modificación del artículo 190 de la Constitución[93] dispone que la creación de regiones se realice sobre la base de "áreas contiguas integradas histórica, cultural, administrativa y económicamente, conformando unidades geoeconómicas sostenibles". Indica que el proceso de regionalización se inicia eligiendo gobiernos en los actuales departamentos y la Provincia Constitucional del Callao, y que la integración de más de dos departamentos se realizará por referéndum: "Mediante referéndum podrán integrarse dos o más circunscripciones departamentales contiguas para constituir una región, conforme a ley. Iguales procedimientos siguen las provincias y distritos contiguos para cambiar de circunscripción regional". Además, establece que por ley se podrán determinar competencias y facultades adicionales e incentivos especiales para las regiones integradas por referéndum.

Autonomía de los gobiernos regionales

El artículo 191 se refiere a la autonomía y organización de los gobiernos regionales[94]. En cuanto a la autonomía, la norma constitucional establece que los gobiernos regionales tienen "autonomía política, económica y administrativa en los asuntos de su competencia".

Constitución de los gobiernos regionales

La Constitución reformada establece la estructura orgánica básica de los gobiernos regionales: "el consejo, como órgano normativo y fiscalizador, el Presidente como órgano ejecutivo, y el Consejo de Coordinación Regional, integrado por los alcaldes provinciales y por representantes de la sociedad civil, como órgano consultivo y de coordinación con las municipalidades, con las funciones y atribuciones que les señala la ley".

El número de miembros del Consejo Regional será establecido por la ley según la población electoral, pero la Constitución dispone que no pueda ser menor a 7 ni mayor de 25, y que obligatoriamente participe un representante por cada provincia. La norma constitucional obliga a una ley posterior a establecer "porcentajes mínimos para hacer accesible la representación de género, comunidades nativas y pueblos originarios en los consejos regionales".

Competencias de los gobiernos regionales

El nuevo artículo 192 asigna a los gobiernos regionales la tarea de "promover el desarrollo y la economía regional". Para ello, "deben fomentar las inversiones, actividades y servicios públicos de su responsabilidad, en armonía con las políticas y planes nacionales y locales de desarrollo". En la enumeración de sus competencias, destacan las siguientes: "formular y aprobar el plan de desarrollo regional"; "regular y otorgar las autorizaciones, licencias y derechos sobre los servicios de su responsabilidad"; "promover y regular actividades y/o servicios en materia de agricultura, pesquería, industria, agroindustria, comercio, turismo, energía, minería, vialidad, comunicaciones, educación, salud y

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[92] El texto anterior del artículo 189 solo consistía en un párrafo, cuyo texto era el siguiente: "El territorio de la República se divide en regiones, departamentos, provincias y distritos, en cuyas circunscripciones se ejerce el gobierno unitario de manera descentralizada y desconcentrada".

[93] El texto anterior del artículo 190 era el siguiente: "Las Regiones se constituyen por iniciativa y mandato de las poblaciones pertenecientes a uno o más departamentos colindantes. Las provincias y los distritos contiguos pueden asimismo integrarse o cambiar de circunscripción. En ambos casos procede el referéndum, conforme a ley".

[94] El texto anterior se refería a la autonomía y funciones de las municipalidades.

medio ambiente, conforme a ley"; y "fomentar la competitividad, las inversiones y el financiamiento para la ejecución de proyectos y obras de infraestructura de alcance e impacto regional" (Congreso de la República, 2002).

Recursos de los gobiernos regionales
La reforma constitucional tampoco fue específica en cuanto a los recursos de los gobiernos regionales. El artículo 193 hace referencia a la creación de un Fondo de Compensación Regional, que tiene carácter redistributivo, y deja para la legislación la definición sobre los tributos y otros ingresos que pueden recibir los gobiernos regionales.

Organización y funciones de las Municipalidades
Los artículos siguientes regulan la organización y funciones de las municipalidades, de manera muy similar a los gobiernos regionales. Las funciones encargadas a las municipalidades en el ámbito local son formuladas con frases casi idénticas a las utilizadas en el caso de los gobiernos regionales, inclusive en el caso de la regulación de actividades económicas. Se les añade el desarrollo urbano y la seguridad ciudadana.

Control y fiscalización
El artículo 199 dispone pone a los gobiernos regionales y locales bajo la sujeción de la Contraloría General de la República, organismo que debe organizar un "sistema de control descentralizado y permanente". Asimismo, declara que los gobiernos sub nacionales son fiscalizados por "los organismos que tengan tal atribución por mandato constitucional o legal" (Congreso de la República, 2002).

Ley de Elecciones Regionales, Ley N° 27683

Esta Ley se promulga en marzo de 2002, y reguló entre otros aspectos, lo siguiente: la periodicidad de las elecciones regionales, que las autoridades objeto de elección son el Presidente, Vicepresidente y los miembros del Consejo Regional, regula la inscripción de los candidatos (requisitos e impedimentos), así como las tachas e impugnaciones.

Ley de Bases de la Descentralización, Ley N° 27783
Ley de Bases de la Descentralización fue aprobada por el Congreso el 26 de junio y promulgada por el Poder Ejecutivo el 17 de julio del 2002. Los elementos más resaltantes aprobados en la Ley de Bases de la Descentralización son los siguientes:

Regulación de la descentralización y los tres niveles de gobierno
La ley regula la estructura y organización del Estado en forma "*democrática, descentralizada y desconcentrada*", correspondiente al gobierno nacional, gobiernos regionales y gobiernos locales. Define las normas que regulan la descentralización administrativa, económica, productiva, financiera, tributaria y fiscal. Establece la finalidad, principios, objetivos y criterios generales del proceso de descentralización. Regula la conformación de las regiones y municipalidades. Fija las competencias de los tres niveles de gobierno. Determina los bienes y recursos de los gobiernos regionales y locales y regula las relaciones de gobierno en sus distintos niveles.

Autonomías de gobierno
La ley justifica la autonomía de los gobiernos regionales y locales en la necesidad de "*afianzar en las poblaciones e instituciones la responsabilidad y el derecho de promover y gestionar el desarrollo de sus circunscripciones, en el marco de la unidad de la Nación*" (Congreso de la República, 2002). Define la autonomía como "*el derecho y la capacidad efectiva del gobierno en sus tres niveles, de normar, regular y administrar los asuntos públicos de su competencia*" (Congreso de la República, 2002) y explica su contenido en sus dimensiones política, administrativa y económica.

- *Autonomía política. -* se define como la facultad de adoptar y concordar las políticas, planes y normas en los asuntos de su competencia, aprobar y expedir sus normas, decidir a través de sus órganos de gobierno, y desarrollar las funciones que le son inherentes.
- *Autonomía administrativa. -* se define como la facultad de organizarse internamente, determinar y reglamentar los servicios públicos de su responsabilidad.
- *Autonomía económica. -* se define como la facultad de crear, recaudar y administrar sus rentas e ingresos propios y aprobar sus presupuestos institucionales conforme a la Ley de Gestión Presupuestaria del Estado y las leyes anuales de presupuesto.

Distribución de competencias
La Ley define una estrategia de distribución de competencias entre niveles, clasificándolas en tres tipos: exclusivas, compartidas y delegables. Las competencias exclusivas son aquellas que corresponden de manera excluyente a cada nivel de gobierno; las competencias compartidas, aquellas en las que intervienen más de un nivel de gobierno; y las competencias delegables, aquellas que un nivel de gobierno ha delegado a otro por mutuo acuerdo. (Congreso de la República, 2002).

La ley establece como criterios para la asignación la subsidiaridad, la selectividad, la provisión y la concurrencia. Además, se precisa que la solución de conflictos de competencia que se generen entre el gobierno nacional y los gobiernos regionales o gobiernos locales, y entre éstos últimos en forma indistinta, se resuelven ante el Tribunal Constitucional.

Participación ciudadana
La ley establece la obligación por parte de los gobiernos regionales y locales de promover la participación ciudadana en la formulación, debate y concertación de sus planes de desarrollo y presupuestos, y en la gestión pública. Para ello, los gobiernos deben garantizar la conformación y funcionamiento de espacios y mecanismos de consulta, concertación, control, evaluación y rendición de cuentas. Asimismo, deben garantizar el acceso de todos los ciudadanos a la información pública. (Congreso de la República, 2002).

Fiscalización y control
La Ley de Bases de la Descentralización establece que la fiscalización de los gobiernos regionales es realizada por el Consejo Regional, además de los ciudadanos de cada jurisdicción. La ley reitera la norma constitucional, que declara que los gobiernos regionales están sujetos al control y supervisión permanente de la Contraloría General de la República en el marco del Sistema Nacional de Control. Señala que la Contraloría General de la República debe contar con una estructura descentralizada para cumplir su función de control, y que debe establecer criterios mínimos y comunes para la gestión y control de los gobiernos regionales y locales, acorde a la realidad y tipologías de cada una de dichas instancias. (Congreso de la República, 2002).

Creación del Consejo Nacional de Descentralización (CND)
La Ley de Bases de la Descentralización creó el Consejo Nacional de Descentralización como organismo director y conductor del proceso de descentralización. El Consejo Nacional de Descentralización se diseñó como un organismo "*independiente y descentralizado, adscrito a la Presidencia del Consejo de Ministros*" (Congreso de la República, 2002), presidido por un representante del Presidente de la República e integrado por un representante de la Presidencia del Consejo de Ministros, dos representantes del Ministerio de Economía y Finanzas, dos representantes de los gobiernos regionales, un representante de las municipalidades provinciales y un representante de las municipalidades distritales.

Ley de Demarcación y Organización Territorial, Ley N° 27795.
En julio del 2002, se promulgó también la Ley de Demarcación y Organización Territorial, que establece las definiciones básicas, los criterios técnicos y los procedimientos para el tratamiento de demarcación territorial. Esta tarea, junto con la del saneamiento de límites y la organización racional del territorio de la República, es competencia exclusiva del Poder Ejecutivo. En esta ley se establecen plazos para terminar la delimitación de las circunscripciones distritales, provinciales y departamentales.
La norma también establece el procedimiento para la integración de regiones, que deberá ser aprobada mediante Referéndum por las poblaciones departamentales involucradas, y determina que las provincias y distritos contiguos a una futura región podrán cambiar de circunscripción regional, en el mismo procedimiento de consulta antes señalado.

Ley Orgánica de Gobiernos Regionales, Ley N° 27867
Esta ley, promulgada en noviembre del año 2002, regula con mayor detalle la estructura, organización, competencias y funciones de los gobiernos regionales. Asimismo, introduce aspectos que no habían sido considerados por la legislación anterior, como el Sistema de Acreditación para certificar las capacidades de los gobiernos regionales antes de la transferencia de competencias y el Plan de Capacitación en Gestión Pública. Con esta ley se culmina la recepción de activos, pasivos, programas y proyectos de los consejos transitorios de administración regional a los gobiernos regionales, los que una vez instalados, deben ejercer sus competencias exclusivas. Asimismo, se introdujo, de manera explícita, la rectoría sectorial nacional y los mecanismos de sostenibilidad fiscal como la posibilidad de intervención por parte del Gobierno Nacional, mediante medidas de urgencia si es que la situación fiscal de un gobierno regional ponía en riesgo la estabilidad macroeconómica del país.

Cabe destacar que a los pocos meses de ser aprobada, esta ley fue objeto de modificaciones. La Ley 27902[95], introdujo artículos para regular un órgano de los gobiernos regionales que no había sido considerado en la ley original debido a las discrepancias encontradas durante el debate: el Consejo de Coordinación Regional, donde participarían representantes de la sociedad civil, con el fin de emitir opinión sobre los planes anuales, presupuesto y el plan de desarrollo regional. Se aprovechó la ocasión para introducir una disposición transitoria para definir la situación de las direcciones regionales sectoriales, declarando que se encontraban bajo la doble dirección del ministerio y de la región. Adicionalmente se introdujeron mecanismos de sostenibilidad fiscal mediante medidas de urgencia.

Ley Orgánica de Municipalidades, Ley N° 27972
Durante el 2003 se aprobó la Ley Orgánica de Municipalidades, dejando de lado a su norma antecesora de 1984 a fin de actualizarla no solamente a la luz de la Constitución de 1993, sino particularmente de la reforma constitucional del 2002, ratificando su autonomía consagrada a nivel constitucional desde 1979.

La Ley Orgánica de Municipalidades, además de ratificar la estructuración básica municipal, fija al Concejo Municipal como órgano normativo y fiscalizador y al Alcalde como órgano ejecutivo; también precisa las competencias municipales y funciones general y específica, de carácter exclusivo y compartido según el nivel de las municipalidades. Asimismo, apunta a la institucionalización de la participación ciudadana, a través de la determinación de un conjunto de mecanismos para promoverla. Uno de ellos, el Consejo de Coordinación Local, Provincial o Distrital, concebido como un órgano de coordinación y concertación, integrado por los miembros del Concejo Municipal y representantes de la sociedad civil, para los efectos de participar en la elaboración de los planes de desarrollo local y los presupuestos participativos en el ámbito de obras e inversiones públicas (Secretaría de Descentralización, 2012).

Otras leyes entre 2003-2004

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[95] Publicada el 01 de enero del 2003.

Entre el 2003 y 2004 fueron aprobadas otras leyes de relevancia, las que son resumidas en el siguiente cuadro.

Cuadro 14. Resumen de la normativa sobre descentralización entre 2003 y 2004

Ley	Contenido
Ley Marco del Presupuesto Participativo *(Ley N° 28056)* *Promulgada el 15 de julio de 2003*	Disposiciones que buscan la efectiva participación de la sociedad civil en el proceso de programación participativa del presupuesto, en armonía con los planes de desarrollo concertados de los gobiernos regionales y gobiernos locales, así como la fiscalización de la gestión.
Ley de Promoción de la Inversión Descentralizada *(Ley N° 28059)* *Promulgada el 18 de julio de 2003*	Normas de promoción de la inversión descentralizada como herramienta para lograr el desarrollo de cada región, en alianza estratégica entre los gobiernos regionales, locales, la inversión privada y la sociedad civil.
D.L. Descentralización Fiscal *(Decreto Legislativo N° 955)* *Promulgada el 04 de febrero de 2004*	• Regulación de la asignación de recursos a los gobiernos regionales y locales, a fin de asegurar el cumplimiento de los servicios y funciones de su competencia. • Reglas de responsabilidad fiscal aplicables a las circunscripciones departamentales o regiones y gobiernos locales. • Incentivos a la integración de departamentos para conformar regiones competitivas y sostenibles.
Ley del Sistema de Acreditación de los gobiernos regionales y locales *(Ley N° 28273)* *Promulgada el 16 de junio de 2004*	El sistema comprende los criterios, instrumentos, procedimientos y normas necesarias para determinar la capacidad de gestión de los gobiernos regionales y locales, para recibir y ejercer las funciones materia de transferencia.
Ley de Incentivos para la Integración y Conformación de Regiones *(Ley N°28274).* *Promulgada el 16 de junio de 2004*	Incentivos para la integración de departamentos y conformación de regiones. Modificación de artículo 29 de Ley de Bases de la Descentralización, sobre el proceso de conformación de regiones y procedimientos previos al referéndum.

Ley Orgánica del Poder Ejecutivo, Ley N° 29158

Como se ha podido observar anteriormente, hasta el 2007 solo se habían definido los roles, estructura y organización de los gobiernos regionales y locales, mas no existía una nueva Ley Orgánica del Poder Ejecutivo que estableciera los roles del Gobierno Nacional. En este contexto, se publica en diciembre del 2007 la Ley Orgánica del Poder Ejecutivo (LOPE), completando así el paquete de normas básicas que debían guiar el proceso de descentralización.

El objetivo de esta ley era adecuar la legislación del Gobierno Nacional para que este se adaptara al nuevo modelo de Estado unitario descentralizado, y determinar su rectoría. La Ley Orgánica del Poder Ejecutivo establece los principios y normas básicas de organización, competencias y funciones del Poder Ejecutivo como parte del gobierno nacional. Se determina que los Ministerios diseñan, establecen, ejecutan y supervisan políticas nacionales y sectoriales, asumiendo la rectoría respecto de ellas.

Adicionalmente se introducen las Comisiones Interministeriales como instancias de coordinación y de discusión de políticas al interior del Consejo de Ministros. Se determina como comisiones permanentes a la Comisión Interministerial de Asuntos Económicos y Financieros (CIAEF) y a la Comisión Interministerial de Asuntos Sociales (CIAS).

Se establece la naturaleza y creación de entidades públicas como entidades desconcentradas del Poder Ejecutivo, con personería jurídica de Derecho Público. Tienen competencias de alcance nacional. Estas se encuentran adscritas a los ministerios y pueden ser de dos tipos:

i) Organismos públicos ejecutores; ejercen funciones de ámbito nacional.
ii) Organismos Públicos Especializados; tienen independencia para ejercer sus funciones con arreglo a su Ley de creación. Estos pueden ser a su vez de dos tipos: organismos reguladores y organismos técnicos especializados.

Asimismo, se establece la naturaleza y creación de los sistemas como un conjunto de principios, normas, procedimientos, técnicas e instrumentos mediante los cuales se organizan las actividades de la Administración Pública que requieren ser realizadas por todas o varias entidades de los Poderes del Estado, los Organismos Constitucionales y los niveles de Gobierno. Estos son de dos tipos:

i) Sistemas Funcionales; tienen por finalidad asegurar el cumplimiento de políticas públicas que requieren la participación de todas o varias entidades del Estado.
ii) Sistemas Administrativos; tienen por finalidad regular la utilización de los recursos en las entidades de la administración pública, promoviendo la eficacia y eficiencia en su uso.

En ambos casos se determina la existencia de un Ente Rector que se constituye en su autoridad técnico-normativa a nivel nacional; dicta las normas y establece los procedimientos relacionados con su ámbito; coordina su operación técnica y es responsable de su correcto funcionamiento en el marco de la presente Ley, sus leyes especiales y disposiciones complementarias.

Sobre la interpretación integral

La descentralización es aquel procedimiento en virtud al cual se reordenan las funciones y competencias de los distintos niveles de gobierno con el propósito de obtener mayor eficiencia económica y social en el uso de los recursos públicos para lograr el desarrollo sostenible que provea bienestar a la sociedad. El actual proceso de descentralización se inicia con la reforma constitucional del 2002 (referida al capítulo de descentralización) y con la dación de la Ley de Bases de la Descentralización y la Ley Orgánica de Gobiernos Regionales.

Con la descentralización aparecen órganos del Estado que tienen un ámbito de actuación territorial limitado (regiones, departamentos, provincias o distritos) y se constituyen en centros de poder distintos al gobierno nacional y a las entidades originalmente definidas en el Estado. No son entidades territoriales con meros poderes administrativos, sino con verdadera sustancia política (que se deriva del voto ciudadano). En ese sentido, nos encontramos ante la creación de entidades distintas y autónomas, establecidas en la Constitución e integrantes del mismo Estado. Los gobiernos regionales y gobiernos locales, no son entidades menores dentro del Estado.

No obstante, de conformidad con lo establecido en el artículo 43 de la Constitución Política del Perú, el Estado es concebido como unitario. En ese sentido, es posible determinar que, así como el Estado se organiza en función a poderes, organismos constitucionales y niveles de gobierno (Gobierno Nacional, Gobiernos Regionales y Gobiernos Locales) autónomos para cumplir con sus roles y funciones, también necesita reconducir toda esa estructura a la unidad del Estado.

Para regular la nueva estructura y organización del Estado en forma "*democrática, descentralizada y desconcentrada*", se promulgó el 17 de julio del 2002 la Ley de Bases de la Descentralización. Para ordenar el proceso, la Ley define una estrategia de distribución de competencias entre niveles, clasificándolas en tres tipos: exclusivas, compartidas y delegables (Congreso de la República, 2002).

El artículo 13° de la Ley de Bases de la Descentralización define cada tipo de competencia.

"Las competencias exclusivas son cuyo ejercicio corresponde de manera exclusiva y excluyente a cada nivel de gobierno conforme a la Constitución y la ley. Las competencias compartidas son aquellas en las que intervienen dos o más niveles de gobierno, que comparten fases sucesivas de los procesos implicados. La ley indica la función específica y responsabilidad que corresponde a cada nivel. Las competencias delegables son aquellas que un nivel de gobierno delega a otro de distinto nivel, de mutuo acuerdo y conforme al procedimiento establecido en la ley, quedando el primero obligado a abstenerse de tomar decisiones sobre la materia o función delegada."

Además, el artículo 15° de la misma Ley indica que *"Las competencias exclusivas y compartidas de cada nivel de gobierno son las establecidas en la presente Ley de conformidad con la Constitución Política del Estado. Las funciones y atribuciones se distribuyen y precisan a través de las Leyes Orgánicas del Poder Ejecutivo, de Gobiernos Regionales y de Municipalidades".* Para tal efecto, se establece que se deben diferencias las funciones de normatividad, regulación, planeamiento, administración, ejecución, supervisión y control y promoción de las inversiones.

El artículo 27° de dicha Ley, complementa lo indicado en el artículo 15°, y señala que las competencias compartidas del gobierno nacional se regirían por la LOPE y las leyes específicas de organización y funciones de los distintos sectores que lo conforman.

Finalmente, dicha Ley estableció en su artículo 36°, el listado de competencias compartidas de los gobiernos regionales.

Posteriormente a la Ley de Bases, la Ley Orgánica de Gobiernos Regionales establece el listado de competencias compartidas entre el Gobierno Nacional y los Gobiernos Regionales (artículo 10°), así como las funciones sectoriales específicas de los Gobiernos Regionales (artículos 46° al 64°).

A pesar de lo señalado en dichas normas, las competencias compartidas entre niveles de gobierno se mantuvieron genéricas y confusas. Particularmente, **el proceso de descentralización, al brindar autonomía a los gobiernos regionales y locales, genera una tensión entre la autonomía de estas entidades y el principio de unidad del Estado**. El problema se manifestó al no existir una clara identificación de procesos, ni de delimitación de funciones, atribuciones y competencias.

El problema mencionado buscó ser enfrentado en la Ley Orgánica del Poder Ejecutivo (LOPE) – aprobada recién en el 2007–. Esta establece mecanismos para el funcionamiento organizado y coherente de los tres niveles de gobierno. El artículo 4° señala como competencia exclusiva del Poder Ejecutivo, *"Diseñar y supervisar políticas nacionales y sectoriales, las cuales son de cumplimiento obligatorio por todas las entidades del Estado en todos los niveles de gobierno".* Es decir, se establece, como competencia exclusiva, la rectoría del Poder Ejecutivo sobre las políticas nacionales y sectoriales.

De esta manera, **la función rectora contribuye con el cumplimiento del principio de unidad del Estado** y las políticas son directrices que sirven para articular lo nacional con lo subnacional, de tal forma que manifiesten la unidad del Estado (aún en el ámbito de sus competencias)

Dicho de otro modo, los gobiernos regionales y locales deben actuar en armonía con las políticas nacionales y sectoriales y no pueden dictar normas que vayan contra los intereses y políticas nacionales. Por lo tanto, **la autonomía de los gobiernos subnacionales estará en función a que se respeten las políticas establecidas por el Poder Ejecutivo.**

Cabe mencionar que el Tribunal Constitucional ha precisado el carácter restringido de dicho concepto, estableciendo que: "(...) *la autonomía es la capacidad de autogobierno para desenvolverse con libertad y discrecionalidad, pero sin dejar de pertenecer a una estructura general de la cual en todo momento se forma parte, y que está representada no sólo por el Estado sino por el ordenamiento jurídico que rige a éste"*

(Expediente N° 0012-1996-I/TC). Por lo tanto, dicha autonomía debe ejercerse dentro del marco constitucional y legal (Expediente N° 0010-2003-AI/TC).

En esa misma línea, el Tribunal Constitucional ha señalado que "(…) *no debe confundirse autonomía con autarquía, pues desde el mismo momento en que el ordenamiento constitucional lo establece, su desarrollo debe realizarse respetando a ese ordenamiento jurídico. Ello permite concluir que la autonomía no supone una autarquía funcional, o que alguna de sus competencias pueda desvincularse total o parcialmente del sistema político, o del propio orden jurídico en el que se encuentra comprendido (….)*" (Expediente N° 0010-2003-AI/TC y Expediente N° 01921-2009-PA/TC).

Por lo tanto, la autonomía como categoría constitucional debe interpretarse como parte de un todo (la Constitución Política), en donde cada una de sus partes (categorías y conceptos) deben entenderse armónicamente y en conjunto (Sentencia del Tribunal Constitucional N° 0038-2004-AI/TC y Expediente N° 01921-2009-PA/TC).

Annex 10: Description of field work

En el trabajo de campo se aplicaron las entrevistas en profundidad y las encuestas, y se realizaron los talleres, los cuales han permitido recolectar la información necesaria para realizar el análisis y responder las preguntas de evaluación. La ejecución del taller a manera de cierre en tres departamentos permitió comprobar y profundizar algunos hallazgos recogidos en las entrevistas, además de aprovechar el tiempo en las tardes para ejecutar entrevistas que pudieron haber quedado pendientes o incluso entrevistas adicionales identificadas posteriormente.

Existieron contratiempos en el desarrollo del trabajo de campo que fueron solucionados por el equipo evaluador, tales como la cancelación de entrevistas, las ausencias de los actores a entrevistar a pesar de la planificación de las citas, entre otros. La atención de estos contratiempos implicó una mayor dedicación de tiempo a la planificada para el trabajo de campo. Asimismo, el trabajo de campo permitió que el equipo identificara nuevos documentos que fueron solicitados al Programa con el fin de verificar algunos hallazgos relacionados principalmente a la sostenibilidad de los resultados.

La recolección de la información primaria incluyó tanto a funcionarios que conocían y trabajaron con el Programa como nuevos funcionarios que no habían trabajado con ellos. Esto se convirtió en una fortaleza pues con los primeros se incidía en la experiencia de trabajo y la sostenibilidad esperada, mientras que con los segundos se indagaba o verificaba la sostenibilidad efectiva de los resultados. Las actividades de la recolección de información de campo se realizaron del 19 de junio al 21 de agosto del 2017[96]. Específicamente, en cuanto a las <u>entrevistas en profundidad</u>, se realizaron 124 entrevistas presenciales, de la siguiente manera:

Cuadro 15. Entrevistas realizadas

Fechas	Departamento	Programadas	Realizadas	Adicionales	Efectividad (% de programado)	Total
17-20 julio	Amazonas	20	19	0	95%	19
3-6 julio	Loreto	29	25	3	86%	28
26-28 junio	Madre de Dios	15	14	3	93%	17
10-13 julio	San Martín	27	24	3	89%	27
19-23 junio	Ucayali	18	18	1	100%	19
04 agosto – 11 setiembre	Lima	14	13	1	93%	14

Elaboración propia

Adicionalmente se realizaron 3 entrevistas telefónicas para funcionarios de municipalidades distritales de San Martin (2) y Ucayali (1), en los casos que no se pudo ubicar a estar personas en el trabajo de campo. Una vez realizadas las entrevistas y asegurando que los actores conocían o habían trabajado con ProDes, se aplicaron las <u>encuestas de satisfacción y opinión</u> acerca de la intervención de ProDes en su institución. En el siguiente cuadro se muestra el número de encuestas realizadas, 62 en total, por departamento:

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[96] Algunas entrevistas, en las que se tuvo dificulta de programación, fueron realizadas con posterioridad a dicha fecha.

Cuadro 16. Resumen de las encuestas de satisfacción y opinión con ProDes

Departamento	Encuestas completadas
Amazonas	14
Loreto	13
Madre de Dios	13
San Martín[97]	6
Ucayali	16

Elaboración propia

Los talleres regionales se realizaron los días 17, 18 y 20 de julio en las ciudades de Tarapoto, Iquitos y Pucallpa, respectivamente. En éstos se pudieron validar los problemas de la gestión descentralizada del servicio en toda la cadena de valor con la participación de distintos funcionarios de las entidades públicas involucradas en la provisión descentralizada del servicio. Las actividades comprendieron plenarias realizadas por el expositor del taller, dinámicas grupales para la discusión sobre los problemas en cada etapa de la cadena de valor de la provisión de los servicios priorizados, un debate de esos problemas, y otro debate final sobre la sostenibilidad de los logros alcanzados por el Programa. Además, en cada taller, se aprovechó para tomar encuestas grupales e individuales sobre la satisfacción del Programa y de validación de problemática[98]. En el siguiente cuadro se resume la asistencia a dichos talleres y las encuestas realizadas.

Cuadro 17. Resumen de los talleres realizados

Departamento	Asistentes	Entidades participantes	Encuestas realizadas
Loreto	17 – 3 grupos	• Gobierno Regional de Loreto • Dirección Regional de Salud de Loreto • Municipalidad Provincial de Maynas • Municipalidad Distrital de San Juan Bautista • Centros de Salud de Moronacocha, Tamshiyacu, San Juan Bautista y Bellavista Nanay.	13 encuestas individuales completas y 5 encuestas grupales completas
San Martín	17 – 3 grupos	• UGEL Lamas • Gobierno Regional de San Martín • Municipalidades distritales de Barranquita, Tabalosos y Zapatero • Redes Educativas de Zapatero y Tabalosos	34 encuestas individuales completas y 6 encuestas grupales completas
Ucayali	11 – 2 grupos	• Municipalidad Provincial de Coronel Portillo • Gobierno Regional de Ucayali • Municipalidades distritales de Manantay, Campoverde y Nueva Requena	20 encuestas individuales completas y 4 encuestas grupales completas

Elaboración propia

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[97] La menor cantidad de encuestas Likert en San Martín, en comparación con el resto de departamentos, se debe a la alta cantidad de entrevistas realizadas a funcionarios de Redes Educativas, II. EE. y de la Dirección Regional de Educación (DRE). La encuesta Likert no se diseñó para dicho público.

[98] No todos los participantes del taller realizaron las encuestas debido a sus tardanzas o a que ellos se tuvieron que retirar antes de realizarlas.

Annex 11: Interviewees by institution

	Entidades
Gobierno Nacional	• Ministerio de Salud • Ministerio de Educación • Ministerio del Ambiente • Presidencia del Consejo de Ministros • SERVIR
USAID - ProDescentralización	• USAID • Programa ProDescentralización
Loreto	• Gobierno Regional de Loreto • Municipal Provincial de Maynas • Municipalidad Distrital de Punchana • Municipalidad Distrital de San Juan Bautista • Municipalidad Distrital Fernando Lores • CS Bellavista Nanay (Punchana) • CS Moronacocha • CS San Juan Bautista • CS Tamshiyacu • Comité de Vigilancia Ciudadana Punchana • Comité de Vigilancia Ciudadana Fernando Lores • Comité de Vigilancia Ciudadana de Maynas
Amazonas	• Gobierno Regional de Amazonas • Municipal Provincial de Condorcanqui • Municipalidad Distrital de Rio Santiago • CS Galilea (Rio Santiago) • CS Kig Kis (Condorcanqui) • CS Nieva (Condorcanqui) • Comité de Vigilancia Ciudadana del CS Galilea • Comité de Vigilancia Ciudadana de CS Kig Kis • Comité de Vigilancia Ciudadana de CS Nieva
San Martín	• Gobierno Regional de San Martin • UGEL Lamas • Red Educativa Lamas • Red Educativa Tabalosos • Municipal Provincial de Lamas • Municipalidad Distrital de Tabalosos • Municipalidad Distrital de Zapatero • Municipalidad Distrital de Barranquita • 4 IIEE de Lamas. • Comité de Vigilancia Ciudadana Lamas, Tabalosos, Barranquita y Zapatero.
Ucayali	• Gobierno Regional de Ucayali • Municipalidad Provincial de Coronel Portillo • Municipalidad Distrital de Campoverde • Municipalidad Distrital de Manantay • Municipalidad Distrital de Nueva Requena • Comité de Vigilancia Ciudadana Coronel Portillo, Campoverde, Nueva Requena y Manantay.
Madre de Dios	• Municipalidad Provincial de Tambopata • Municipalidad Distrital de Inambari • Municipalidad Distrital de Las Piedras • Comité de Vigilancia Ciudadana Tambopata • Comité de Vigilancia Ciudadana Las Piedras • Comité de Vigilancia Ciudadana Inambari • Mesa de Concertación de Lucha contra la Pobreza

Annex 12: Interviewees

Amazonas

Entidad	Cargo	Nombre
DIRESA Amazonas	Encargada Área de Planificación	Clementina Bazán Collantes
	Director de Salud de las Personas	Adam Monsalve Ramirez y equipo
	Miembro de Área de Calidad	Lizzete Salinas
GORE Amazonas	Encargados de Planeamiento y DCI del GORE	Tabita Encimas y Pedro Meléndez
	Gerente Regional y Gerente de Desarrollo Social	Yesper Saravia y Milagros Herrera
Servicio de Salud Nieva	Gerente del Centro de Salud de Nieva y responsable del área CRED	Licenciada Milena Ugarte y Elvis Puicon
ProDes	Ex Coordinadora Regional	Yeni Villegas
Municipalidad de Condorcanqui	Regidor	Ciro Vásquez Rufasto
	Secretario General (Vio DCI)	Paulo César Tuesto Mendoza
	Subgerente de Planeamiento y Presupuesto	Vidal Jara Cabrera
	Gerente Municipal	Gerardo Chafloque Barragán
Servicio de Salud Condorcanqui	Director Red de Salud Condorcanqui	Roberto Rivera Sánchez
Servicio de Salud Kig Kis	Gerente del Centro de Salud de Kigkis y encargado CRED de Kig Kis	Licenciado Marco Correa y Herles Pinedo
MD Río Santiago	Gerente Municipal	Oscar Niño de la Torre
	Subgerente de Desarrollo Social	Edwin Guerra Rojas
Servicio de Salud Galilea	Gerente CS Galilea	Noel Yahuanca Trelles
Comité de Vigilancia Ciudadana	Equipo de Vigilancia Río Santiago	Celestina Graña, Angelina Plezba, Rosita Huampunsur, Hilda Panduro, Magdalena Ruiz y Noe Antichik
	Equipo de Vigilancia de Nieva	Sra. Lissenia
	Equipo de Vigilancia de Kig Kis	Sra. Lila

Loreto

Entidad	Cargo	Nombre
MD Punchana	Gerente de Planeamiento y Jefe de la Unidad de Planeamiento	Jorge Carrillo Ampuero y César Cáceres Pezo
	Gerente de Desarrollo Social	Olga Lucia Dioppe Armas
	Encargado Desarrollo Comunal (de la Gerencia de Servicios Públicos, vio el equipo de vigilancia)	Julio César Dávila Flores
Servicio de Salud Punchana	Gerente C.S. Bellavista Nanay y Responsable CRED	Wenceslao Santos Rios y Damaris Sánchez
GORE Loreto	Subgerente de Programas Sociales	Débora Linares
	Gerente de Planeamiento y Acondicionamiento Territorial	Manuel Burga
	Gerente General Regional y Director de OPP	Alberto Vega Sánchez y Samuel Reyna Rossi
MD San Juan Bautista	Encargada RRHH	Mariliquis Silva Torres
	Encargada Pertinencia Cultural y miembro del equipo	Daniela Aréstegui y Rosa Panayfo
	Gerente de Planeamiento	Carlos Enrique Velásquez Papa
	Gerente de Desarrollo Económico e Inclusión Social	Ana del Pilar Lavado Agnini
	Gerente Municipal	Jaime Rengifo Peña
Servicio de Salud SJB	Jefe de Centro de Salud y equipo	Percy Vargas Solano
MD Fernando Lores	Jefe de Planeamiento y Presupuesto	Gladys Arnedo Saldaña
	Jefe de Centro de Promoción de la Vigilancia Comunitaria	Sonia Panduro
Servicio de Salud Fernando Lores	Gerente C.S Tamshiyacu y encargado CRED	Marcia Tuesta y Licenciado Luis Silvestre
DIRESA Loreto	Directora de Calidad	Rubí Ríos Hidalgo
	Director y subdirector Regional de Salud	Anibal Muñoz Mendoza e Irene Rosa
	Dirección de Promoción de Salud	Cloris Vela y Maria Pacuya
	Oficina Interculturalidad	Rosa Valera
MP Maynas	Gerente Municipal y equipo	Carlos Peso Vasquez con Nancy Noriega y Milagros Ludeña
	Gerente de Planeamiento y Especialista Planeamiento	Willy Cardozo Pereira y Nancy Noriega Noronha
	Encargados del DCI	Eduardo Campos Cuba y Milagros Ludeña Agnini
Servicios de Salud Maynas	Gerente C.S. Moronacocha	Lady A. Perea Torres
	Jefe de Enfermería	Cármen Arévalo Alvis
Comité de Vigilancia Ciudadana	Equipo de Vigilancia de Maynas	Nomia Gutierrez y Enith Gonzales Armas
	Equipo de Vigilancia Fernando Lores	Sras. Teresa Sinarahua, Diana Urrutia y Lady Murayari
	Equipo de Vigilancia Punchana	Sra. Yuvis
ProDes Loreto	Coordinador Regional de ProDes	Rafael Meza

Madre de Dios

Entidad	Cargo	Nombre
MINAM	Coordinador de la oficina técnica del MINAM	Humberto Cordero Galdós
Mesa de Concertación de Lucha contra la Pobreza	Integrante de la MCLP	María Lourdes Pérez
MD Las Piedras	Sub Gerente de Desarrollo Económico y Medio Ambiente	Oscar Alfredo Pinillos Cruzado
	Jefe de Limpieza Pública	Vladimir Medina
	Gerente Municipal, Gerente de la Oficina de Planificación y Presupuesto, Secretario General; Jefe de Rentas y Recaudación	María del Carmen Aponte Muñiz, Sonia Flores Paz, Paul Condeña y Luis Alfredo Yupanqui
	Alcalde Las Piedras	Nerio Torres Cruz
	Jefe de Conservación del Medio Ambiente	Brenda Mamani
Comité de Vigilancia Ciudadana	Equipo de Vigilancia de Las Piedras	Auristela Achahui Nonato
	Equipo de Vigilancia de Tambopata	Marcelina Chacón, Graciela Pareja y Jesús Méndez
	Equipo de Vigilancia de Inambari	Consuelo Rímac Ramirez, Sonia Mendoza Gonzales, Crecencia Huaman Fuentes y Dwanny Miksuko Honorio Rímac
MD Inambari	Alcalde Inambari	Félix Hallasi
	Gerente General; Asistente de Subgerencia de Desarrollo Social	Ed Lupo y Medalid Pfocco

	Asistente de Subgerencia de Limpieza Pública	Medalic Lenda Ccopa Quispe
MD Tambopata	Gerente de Gestión Ambiental; Subgerente de Limpieza Pública y dos Especialistas Ambientales	Robert Nishida Añez, Leonidas Ancalle Pacheco, Alfredo Herrera y Raúl Gutierrez
	Jefe de la Oficina de Rentas	Efraín Velásquez
	Gerente Municipal, Gerente de Planificación, Jefe de Oficina de Cooperación Técnica y Relaciones Internacionales, y Jefe de Oficina de Programación Multianual de Inversiones	Rolau Rondón Palomino, Frank Cruz Sisniegas, Magno Haycineros, y Jorge Jesús Morales González
	Coordinador Regional ProDes (Actual Coordinadora Técnica del Programa MINAM-CAF)	Carmen Rosa Cameco Soria

San Martin

Entidad	Cargo	Nombre
MD Zapatero	Gerente de Desarrollo Social	Jairo Hidalgo
	Administrador de la Municipalidad	Miguel Lozano
Servicios Educativos Zapatero	Director Red Educativa Zapatero	Milagros Paredes Tello
	Director y Profesor IE Zapatero	Wilson Tuanama Ushiñahua
Comité de Vigilancia Ciudadana	Equipo de Vigilancia de Zapatero	Leovigildo Ríos
	Equipo de Vigilancia de Lamas	José Reyna Gonzales, Walter Ruiz Torrejón, Nancy Cabello y Diómedes Díaz
	Equipo de Vigilancia de Tabalosos	María Natividad Zamora Thujucalli y Marisol Pinchi
	Equipo de Vigilancia de Barranquita	Jana Martínez, Susan Pineda, Gittler Torres y Leonardo Romero
MP Lamas	Gerente de Desarrollo Social	Christian Paul Angulo Cuesta
	Gerente Municipal, Subgerente y gerente de contabilidad	George López Saavedra, Zulma Sajami Reategui y Isaac Rodríguez
	Regidora de MP LAMAS (Conocedora GGD)	Rosa Acuña
Servicios Educativos Lamas	Director y Profesor IE Lamas y asistente administrativo	Brudith Panduro Navarro
	Director Red Educativa Lamas	Elsa Lozano Vásquez
	Director UGEL Lamas, Especialista UGEL Lamas y Especialista UGEL Lamas	Ariett Vásquez Pinedo, Ower Saboya Espinoza y Jhonny Inga Mora
ProDes San Martín	Coordinador Regional ProDes (Encargado Vigilancia y GLs)	Eugenia Sabina Aquino Yaringaño
	Coordinador Educativo (Lamas)	Michael Antony Tello Zamora
Servicios Educativos Tabalosos	Director y profesor IE Tabalosos, y Encargado de Logística	Betty Torrico y Wilfredo Panduro
	Director Red Educativa de Tabalosos	Wagner Salas Grandez
MD Tabalosos	Jefe del Área de Desarrollo Social	Royser Ríos
	Jefe de Planificación y Presupuesto	Jorge Manrique
	Ex Gerente Municipal	Juan Daniel Del Águila Marín
MD Barranquita	Alcalde Barranquita	Isidro Segundo Rodriguez Celis
	Responsable educación y secretaria general	Liria Pipa
	Gerente Municipal	Merlet Beethoven Brisas Bañon
Servicios Educativos Barranquita	Director de Red Educativa de Barranquita	Gibner Torres Rodríguez
Dirección Regional de Educación	Director de DRE	Wilson Ricardo Quevedo Ortiz
	Director de Gestión Pedagógica	Joana Rabanal
GORE San Martín	Vice Gobernador de San Martín	Rotland Reátegui Alegría
	Sub Gerente de Desarrollo Institucional	Patricia Rengifo Vásquez

Ucayali

Entidad	Cargo	Nombre
Autoridad Regional Ambiental de Ucayali (ARAU)	Dirección de Gestión Ambiental	Nelson Seijas Valderrama
MP Coronel Portillo	Subgerente de Planificación	Angel Zapata
	Coordinador del Programa de Segregación de Residuos Sólidos	Renán Vásquez
	Gerente de Servicios Públicos; Subgerente de Servicios Públicos; Coordinador de Segregación; Equipo de Segregación; y Asistente de Gestión Ambiental	Roger Salcedo, Daniel Salazar, Renán Vásques, Michel Panta y Enrique Barrantes, y Carol García
ProDes Ucayali	Coordinadora Regional de ProDes	Sonia Ríos de Daza
MD Manantay	Gerente Municipal	Luis Yunior Huaranca Hualpa
	Gerente de Planeamiento, Sub Gerente de Planeamiento, Encargado de RRHH y Asesor	James Riveiro, Anderson Mozombite, Luis Oporto y Erick Panduro
	Gerente de Servicios Públicos; Sub Gerente de Limpieza Pública, Parques y Jardines; Jefe Área Técnica Municipal; Encargado del Área de Medio Ambiente; y Responsable de Segregación	Luis Pasquel Quevedo, Segundo Tarchiva García, José Pastrana Shapiana, Antero Luna Ochavano, y Verita Dávila García
Comité de Vigilancia Ciudadana	Equipo de Vigilancia de Coronel Portillo	Jaime Ayllón Amasifuén
	Equipo de Vigilancia de Nueva Requena	Inés Dávila Timaná, Deysy Isuza Gama, Rossy Morales Mendoza y Vilma Fernández Proaño
	Equipo de Vigilancia de Manatay	Gina Paredes Salazar
MD Nueva Requena	Gerente de Desarrollo Social y Sub gerente de Administración Tributaria	William Alegría y Neylis del Águila
	Gerente Municipal	Guillermo Ayllón Pinchi
MD Campo verde	Gerente de Servicios Públicos	Leonidas Gallegos Lozano
	Gerente Municipal	Anderson Abanto
	Gerente de Planeamiento y Presupuesto	Llairisiño Mariña
Gobierno Regional	Gerente de Desarrollo Social	Liz Tutusima Del Aguila
GORE Ucayali	Director de OPP	Yovana Polo Alvarez
	Sub Gerente de Desarrollo Institucional	Marco Grajeda
	Gerente Regional	Luis Briceño Jara

Lima

Entidad	Cargo	Nombre
MINEDU	Director de Apoyo a la Gestión Educativa Descentralizada	Claudia Benavides
	Coordinadora de Gestión y Organización de la Dirección de Apoyo a la Gestión Educativa Descentralizada	Miriam Madeleine Burga Sánchez
	Equipo de la Director de Apoyo a la Gestión Educativa Descentralizada	-
	Director de Fortalecimiento de Capacidades	Ada Paca Palao
MINSA	Director de Dirección de Promoción de la Salud	Eduardo Alvarado
	Equipo técnico del área de niños	Blanca Távara Campos
	Responsable de la Etapa Niños	Darwin Aguilar
	Equipo Técnico de la Oficina General de Gestión Descentralizada y Secretaría de Coordinación	Shumaya Iturrizaga
	Directora General de Intervenciones Estratégicas en Salud Pública del MINSA	María del Carmen Calle
	Directora de Dirección de Intervenciones por curso de vida y cuidado integral	Magda Hinojosa
USAID	Coordinadora de proyectos de USAID	Sobeida Gonzales
ProDes	Jefa del Programa ProDescentralización de USAID	Violeta Bermudez
PCM	Secretario de Descentralización	Edgardo Cruzado
	Secretario de Gestión Pública	Mayen Ugarte
SERVIR	Gerente de Políticas de Gestión del Servicio Civil - SERVIR	Cyntia Su Lay
	Presidente Ejecutivo	Juan Carlos Cortés
MINAM	Especialista en Participación Ciudadana	Luis Alberto Sarmiento Escobar
	Especialista en Inversión Pública en Residuos Sólidos	Angel Vidaurre
	Especialista en Segregación de Residuos Sólidos Municipales	Norma Guevara Hurtado

Annex 13: Likert Results

Se realizaron encuestas para medir la percepción de los funcionarios respecto al trabajo realizado por ProDes. Se consideraron cuatro tipos de encuestas:

- Encuesta de satisfacción para entrevistados: 12 preguntas para calificar entre 1 y 5.
- Encuesta de opinión para entrevistados: 8 preguntas para calificar entre 1 y 5.
- Encuesta sobre la problemática en el servicio priorizado para asistentes al. taller (Loreto, San Martín, Ucayali): el número de preguntas depende del servicio.
- Encuesta sobre la satisfacción con ProDes para asistentes al taller (Loreto, San Martín, Ucayali): 37 preguntas, 20 para marcar sí o no, y 17 para calificar entre 1 y 5.

Es importante notar que no todos los entrevistados accedieron a realizar la encuesta, debido a que en algunos casos afirmaron no tener conocimiento cercano del trabajo realizado por ProDes. Sobre el total de encuestas realizadas:

- Se realizaron 69 encuestas a los entrevistados
- Se realizaron 40 encuestas individuales a los asistentes al taller (esta encuesta tuvo dos partes, la primera sobre la satisfacción con ProDes y la segunda con la problemática del servicio).
- Se realizaron 8 encuestas grupales en los tres talleres realizados.

A continuación, se presenta el número de encuestas realizadas en cada departamento. Si bien los resultados exactos no pueden ser tomados como un indicador absoluto del performance, sí permite tener una idea general de la percepción de los encuestados.

Cuadro 18. Encuestas realizadas

Departamento	Número de encuestas en entrevistas	Encuestas grupales en talleres	Encuestas individuales en talleres
Amazonas	14		
Loreto	17	3	13
Madre de Dios	13		
San Martín	7	3	17
Ucayali	18	2	10

Resultados encuesta de satisfacción

La satisfacción con el trabajo realizado por ProDes alcanza un índice de satisfacción promedio de 4.1 sobre 5 puntos máximo. San Martín, departamento en el cual se priorizó educación, recibió el puntaje más alto (4.4). Los dos departamentos donde se priorizó salud, recibieron los siguientes mejores puntajes: Loreto (4.3) y Amazonas (4.1). Finalmente, los departamentos en las cuales se trabajó el tema ambiental recibieron los puntajes más bajos: Ucayali (4.0) y Madre de Dios (3.9). Así, los resultados guardan una relación con el servicio priorizado sobre el cual se trabajó. Esto se explica por el espíritu de colaboración que se encontró en las municipalidades y el interés que despertaba en ellos, lo cual finalmente influye en los resultados finales.

Respecto a las preguntas específicas, a continuación, se presentan los resultados para cada una. Se observa que las entidades de los GSN estuvieron más satisfechas con el desarrollo de actividades para la mejora de la provisión descentralizada del servicio en su institución (4.3), y el apoyo en la función de planeamiento (4.3). Por otro lado, los puntajes más bajos se dan en el desarrollo de capacidades institucionales considerando el enfoque de género (4.0) y el intercultural (3.9). Los resultados no deben

sorprender debido a que, en el primer caso, las mejoras logradas son concretas y visibles: ya sea en la calidad del servicio o en un documento institucional. Por otro lado, los puntajes más bajos están asociados a temas de gestión que no brindan un resultado inmediato.

Cuadro 19. Resultados de encuestas Likert de satisfacción

Pregunta de la encuesta	Amazonas	Loreto	Madre de Dios	San Martín	Ucayali	Promedio
El desarrollo de actividades de ProDes III para la mejora de la provisión descentralizada del servicio	4.1	4.4	4.2	4.3	4.0	4.2
El desarrollo de actividades de ProDes III en su institución para la mejora de la provisión descentralizada del servicio	4.2	4.6	4.0	4.4	4.1	4.3
El desarrollo de capacidades institucionales promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	4.4	4.3	3.8	4.7	4.1	4.2
El desarrollo de capacidades institucionales en la función PLANEAMIENTO promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	4.2	4.5	3.6	4.9	4.1	4.3
El desarrollo de capacidades institucionales en la función NORMATIVO - REGULADORA promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	4.0	4.3	4.0	4.6	3.9	4.2
El desarrollo de capacidades institucionales en la función PROMOCIÓN DE LA PARTICIPACIÓN promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	4.0	4.2	3.8	4.6	4.0	4.1
El desarrollo de capacidades institucionales en la función ADMINISTRATIVA Y EJECUTIVA promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	4.1	4.2	3.7	4.6	3.8	4.1
El desarrollo de capacidades institucionales en la función SUPERVISIÓN Y CONTROL promovido en su institución por ProDes III para la mejora de la provisión descentralizada del servicio	4.0	4.4	3.8	4.6	3.8	4.1

Pregunta de la encuesta	Amazonas	Loreto	Madre de Dios	San Martín	Ucayali	Promedio
El desarrollo de capacidades institucionales para el enfoque de género	4.3	3.7	3.9	3.9	4.0	4.0
El desarrollo de capacidades institucionales para el enfoque de interculturalidad	3.9	3.8	3.8	3.7	4.1	3.9
El desarrollo de normas promovido por ProDes III en su institución para la mejora de la provisión descentralizada del servicio	3.9	4.3	3.9	4.3	4.1	4.1
Su participación en el GGD como mecanismo de articulación y coordinación entre los actores responsables de la provisión del servicio	4.2	4.4	3.8	4.1	3.9	4.1
PROMEDIO	**4.1**	**4.3**	**3.9**	**4.4**	**4.0**	**4.1**

Resultados encuesta de opinión

Respecto a la opinión de los entrevistados respecto a ProDes, se alcanza un índice promedio de 4.2. El resultado es muy parejo entre los departamentos, ya que Amazonas, Loreto, San Martín y Ucayali presentan todos, un índice promedio de 4.3, y tan sólo Madre de Dios presenta un índice menor, igual a 4.0. Los entrevistados opinan muy favorablemente respecto a la mejora en la provisión del servicio (4.5) y la gestión descentralizada para proveer el servicio (4.4). No obstante, el puntaje más bajo se da en la pregunta que hace referencia a si las capacidades fortalecidas podrán mantenerse en el tiempo, en particular en Madre de Dios (3.5) y Amazonas (3.8). Por su parte Loreto y Ucayali presentan sus puntajes más bajos en el recojo de necesidades considerando enfoque de género e intercultural (3.8 y 3.9, respectivamente).

De este modo, en general, la opinión respecto a ProDes es favorable y se reconoce el impacto positivo que ha generado. Los encuestados están contentos por ello. No obstante, existe una preocupación por la sostenibilidad de las mejoras. Asimismo, no se termina de profundizar en el vínculo de una óptima provisión de servicio con los enfoques de género e interculturalidad.

Cuadro 20. Resultados de encuestas Likert de opinión

N° encuesta	Amazonas	Loreto	Madre de Dios	San Martín	Ucayali	Promedio
Las normas promovidas por ProDes III se ajustaron a la problemática de la provisión del servicio	4.2	4.5	4.4	4.3	4.3	4.3
El proceso de formulación de políticas y normas promovidas por ProDes III incluyó el diálogo político de los tres niveles de gobierno	4.2	4.2	3.7	4.3	4.3	4.1

N° encuesta	Amazonas	Loreto	Madre de Dios	San Martín	Ucayali	Promedio
El desarrollo de capacidades institucionales en mi entidad promovido por ProDes III permitió la mejora de la provisión del servicio	4.5	4.6	4.2	4.7	4.7	4.5
Las capacidades fortalecidas en mi entidad podrán mantenerse en el tiempo.	3.8	4.2	3.5	4.4	4.2	4.0
El enfoque de fortalecimiento de capacidades promovido por ProDes es el más adecuado para la gestión descentralizada de los servicios	4.5	4.4	4.0	4.3	4.2	4.3
La vigilancia colaborativa del servicio fue clave para el logro de los resultados de ProDes III.	4.2	4.4	4.2	4.1	4.3	4.2
Las acciones que se han establecido para el recojo de las necesidades particulares de hombres y mujeres y de los diferentes grupos étnicos presentes en el territorio fueron relevantes y necesarias para la provisión del servicio priorizado	4.4	3.8	3.8	4.1	3.9	4.0
ProDes III ha contribuido en la mejora de la gestión descentralizada para la provisión de servicio	4.6	4.4	4.2	4.3	4.4	4.4
PROMEDIO	**4.3**	**4.3**	**4.0**	**4.3**	**4.3**	**4.2**

Encuestas sobre la problemática en el servicio priorizado (Taller)

Se realizó primero de manera grupal y luego de manera individual. Esta encuesta estuvo orientada a identificar los problemas en la cadena de valor de cada uno de los servicios.

Distribución de materiales educativos (San Martín)

Los problemas que fueron considerados más relevantes fue la falta de especificación de una fecha límite para la entrega oportuna de materiales (señalada por el 94.1%, obstaculizando la provisión del servicio con un grado de obstaculización del problema de 3.9 sobre 5), los retrasos en el Minedu (señalado por el 82.4%, con un grado de obstaculización de 4.2) y la entrega de cuadernos y materiales en diferentes periodos del año (señalado por el 93.8% con un grado de obstaculización de 3.9). Los problemas menos considerados son la ausencia de información de almacenes (grado de obstaculización de 3.2) y la falta de instrumentos de formalización de responsabilidades (reconocido por el 68.8%).

CRED (Loreto)

El prolongado tiempo de espera es el problema que más resalta (reconocido por el 91.7%, con un grado de obstaculización de 4.4). Después del mismo, se reconoce los problemas relacionados a la insuficiente de equipo y personal (90.9%, grado de 4.2) y problemas con la programación de citas (91.7%, grado de 3.9). Por otro lado, los problemas que menos se mencionan son la coordinación con el área de enfermería (54.5%) y las inconsistencias en las mediciones antropométricas (63.6%)

Gestión Integral de Residuos Sólidos (Ucayali)

El problema más reconocido son las inadecuadas condiciones del botadero de residuos sólidos (reconocido por el 100%, con un grado de obstaculización de 4.8). También todos coinciden en el problema de la falta de capacidad presupuestal del MINAM para financiar proyectos grandes (4.5), la poca sensibilización de la población (4.4), la morosidad en el pago de arbitrios para gestión de residuos sólidos (4.3), y la inexistencia de planes de segregación (4.3). Por otro lado, los problemas que no son considerados tan relevantes son la ubicación del punto de disposición final (reconocido por el 50%) y el poco personal técnico calificado (70%).

Encuestas de satisfacción con ProDes (Taller)

Se realizó primero de manera grupal y luego de manera individual. La dinámica grupal estuvo orientada a discutir y recoger percepciones compartidas de los entrevistados, de modo que en grupo llegaban a una respuesta y brindaban información adicional útil para la evaluación. Por su parte, la individual permite alcanzar mayor precisión en las preguntas y son los resultados que se presentan en esta sección.

Las encuestas de satisfacción estuvieron orientadas a evaluar las acciones realizadas por las instituciones, con el apoyo de ProDes. Al realizarse un taller para cada servicio, las preguntas de la encuesta están vinculadas a la realidad particular de cada sector, y los resultados deben ser interpretados de ese modo.

Distribución de materiales educativos (San Martín)

El 95% de participantes realizó, aprobó e implementó documentos de gestión promovidos por ProDes, así como el diagnóstico de capacidades. Es en este aspecto donde se alcanza la mayor satisfacción (4.2). Respecto a la normativa para la gestión descentralizada, el 70% afirma que se desarrolló, pero solo el 58.8% afirma que se aprobó e implementó. Al respecto, la satisfacción es menor (3.9), mismo puntaje que para el fortalecimiento de capacidades. Asimismo, alrededor del 80% considera que se identificó problemas en cadena de valor y recuerda el PMCS, el cual alcanza un grado de satisfacción de 4.0 (para los que lo conocen). En líneas generales, el 100% considera que se mejoró la distribución de materiales educativos y el grado de satisfacción general fue de 4.0.

CRED (Loreto)

En este caso el 100 % manifestó que, con el apoyo de ProDes, se elaboraron documentos de gestión. No obstante, solo el 85% y el 76% manifestó que se aprobaron e implementaron los planes, respectivamente. El grado de satisfacción al respecto es de 3.8.

Mayor satisfacción se alcanzó con el funcionamiento del GGD (4.0), el cual lo conocían el 82% de los participantes. Asimismo, la conformación de comités de vigilancia ciudadana es recordada por el 100% y fueron bien valorados (4.1). Por otro lado, alrededor del 90% señalan que se hizo el diagnóstico de capacidades, un Plan de fortalecimiento y el PMCS, alcanzado una satisfacción promedio de 4.0. No obstante, tan solo el 72% afirmó que se logró identificar bien los problemas en la cadena de valor y se aplicó el PMCS. Un mismo porcentaje de entrevistados afirmó que se cuenta con manuales de procedimientos para labores vinculadas a CRED. Finalmente, como balance general, el 92% consideró

que ProDes permitió mejorar la gestión descentralizada del servicio, alcanzando un grado de satisfacción de 4.2.

Gestión Integral de Residuos Sólidos (Ucayali)

El 100% de los encuestados manifestó que se desarrollaron, aprobaron e implementaron documentos de gestión. Asimismo, todos coincidieron en que se aprobaron normativas y ordenanzas para mejorar la gestión del servicio, en la formación del GGD, en la realización del diagnóstico de capacidades institucionales y en la promoción de la vigilancia colaborativa.

Alcanzaron diferentes grados de satisfacción, siendo la más alta lo referido a la formación de los equipos de vigilancia (4.3) y a la aprobación de normativa y ordenanzas (4.2). Por otro lado, los entrevistados están menos satisfechos con la implementación de documentos de gestión (3.8). Respecto al PMCS y al Plan de mejora de capacidades, el 90 % afirma que se aplicaron; mientras el 78% afirma que se realizaron manuales de procedimientos para las entidades involucradas en la provisión del servicio. Finalmente, el 100% considera que ProDes permitió mejorar la gestión descentralizada, alcanzando un nivel de satisfacción de 4.3.

Annex 14: Evaluation Matrix

Preguntas de evaluación	Áreas de análisis		Metodología	Fuentes de información	Instrumento
1. ¿Cuáles son los resultados de ProDes en el mejoramiento de la gestión descentralizada en los diferentes niveles de gobierno?	A) Políticas / documentos legislativos relacionados, metodología propuesta y sostenibilidad de la contribución al diálogo político y la reforma que inciden en la política de descentralización y la gestión descentralizada	a.1) En qué medida ProDes apoyó el proceso necesario para la adopción e institucionalización de documentos legislativos (leyes, enmiendas, políticas, directivas, etc.) y cómo afectaron o mejoraron la gestión de la descentralización. La evaluación diferenciará entre la redacción, la discusión, la aprobación del Ejecutivo y del Congreso (si corresponde) y si se adoptó	Entrevista en profundidad	Informante clave	Guía de entrevista
			Análisis documental	Informes trimestrales y anual	Matriz de Análisis documental, Matriz de procesamiento de información
		a.2) La sostenibilidad de las capacidades institucionales mejoradas que comprenden generalmente normas y procedimientos y habilidades de recursos humanos	1. Análisis documental 2. Sistematización de resultados de los ICI a nivel de cada distrito, provincia y región. 3. Correlacionar resultados en la ICI con resultados del Programa en ese distrito, provincia o región	FOCAS QSIP	Matriz de procesamiento de información Guía de entrevista
			Entrevista en profundidad	Informante clave	Guía de entrevista
	B) Desarrollo de capacidades y metodología aplicada relacionada con la sostenibilidad de los resultados a nivel institucional (subnacional).	b.1) La medida en que se han adoptado, apropiado y replicado los esfuerzos de desarrollo de las capacidades humanas e institucionales en la gestión descentralizada en todos los niveles gubernamentales	Entrevista en profundidad	Informante clave	Guía de entrevista
			Análisis documental	Informes trimestrales y anual. DCI.	Matriz de procesamiento de información
		b.2) La medida en que los esfuerzos de desarrollo de las capacidades humanas e institucionales en la gestión descentralizada en todos los niveles de gobierno han contribuido a la sostenibilidad de los resultados.	Cubierta con las preguntas anteriores		
	C) Herramientas relacionadas / metodología para la cooperación y coordinación articulada y entre los niveles de gobierno y la sociedad civil.	c.1) A través de qué medios se han articulado y abordado las demandas de la sociedad civil de manera alineada con los tres niveles de gobierno	Entrevista en profundidad	Informante clave	Guía de entrevista
		c.2) Por medio de qué medios se han articulado y dirigido las demandas de la sociedad civil de manera alineada entre los niveles gubernamentales en cada uno de los sectores o áreas de prestación de servicios (distribución de material educativo, desnutrición crónica y residuos sólidos)	Entrevista en profundidad	Informante clave	Guía de entrevista
			Entrevista grupal	Informante clave	Guía de entrevista
	D) Grado en que aumentaron las respuestas gubernamentales a las demandas de población, incluido un enfoque de género e intercultural	d.1) En qué medida se han integrado en su respectivo sector / programas las matrices de gestión descentralizadas (en el sector de la educación), el género en los programas sociales (particularmente en la desnutrición crónica) y consideraciones importantes de interculturalidad y gestión de conflictos.	Entrevista en profundidad	Informante clave	Guía de entrevista
		d.2) La medida en que los enfoques de género e interculturalidad han sido incorporados por el Programa en las principales instituciones de contrapartida y sea altamente probable que sean sostenibles	Entrevista en profundidad	Informante clave	Guía de entrevista
	E) Grado en que las actividades del Programa generaron		Análisis documental	Documentos	Matriz de

Preguntas de evaluación	Áreas de análisis	Metodología	Fuentes de información	Instrumento
	resultados inesperados y / o un impacto mayor y más amplio tanto en áreas temáticas como geográficas (por ejemplo, apalancamiento de los fondos públicos nacionales, expansión territorial de los resultados del Programa, conocimientos e instrumentos).		disponibles	procesamiento de información
		Entrevista en profundidad	Informante clave	Guía de entrevista
2. ¿Qué factores de diseño y ejecución contribuyeron o limitaron el logro de resultados?	A) Analizar supuestos del programa, alcance y consistencia de los objetivos y componentes del diseño a través de contratos y modificaciones firmados, y definición, fijación de objetivos y medición de indicadores / variables.	Análisis documental	Contrato	Matriz de análisis de información secundaria
		Entrevistas en profundidad	Informante clave	Guía de entrevistas
	B) Identificar logros y retos claves de la implementación	Entrevistas en profundidad	Informante clave	Guía de entrevistas
		Análisis documental	FOCAS /QSIP / Informes trimestrales y anuales	Matriz de análisis de información secundaria
		Análisis de contenido	Estadísticas de servicios	Matriz de análisis de información secundaria
		Entrevistas grupales	Informante clave	Guía de entrevistas
		Taller participativo	Integrantes de GGD	Guión metodológico
3. ¿Cuáles son las principales políticas pendientes y cuestiones de gestión descentralizada que deberían ser abordadas en un futuro próximo para avanzar aún más en el proceso de reforma de la descentralización?		Entrevistas en profundidad	Informante clave	Guía de entrevistas

Annex 15: Institutional Capacity Index (ICI) Changes[99]

Departamento	Institución	TOTAL		
		2013	2016	Var%
Amazonas	GORE	2.56	3	17%
	MP Condorcanqui	2.11	3.02	43%
	MD Río Santiago	2.01	3.14	57%
	Promedio	2.23	3.05	39%
Loreto	GORE	2.79	3.39	21%
	MD Punchana	1.71	2.61	53%
	MP Maynas	2.3	3.32	44%
	MD Fernando Lores	2.16 *	3.37	56%
	MD SJB	2.38*	2.73	15%
	Promedio	2.27**	3.08	39%
Madre de Dios	MD Inambari	1.24	2.43	96%
	MD Las Piedras	1.29	2.05	59%
	MP Tambopata	1.51	2.99	98%
	Promedio	1.35	2.49	84%
San Martin	GORE	1.73	3.64	110%
	MP Lamas	1.29	3.15	145%
	MD Zapatero	1.24	2.53	104%
	MD Tabalosos	1.21	3.15	160%
	MD Barranquita	2.28*	3.03	33%
	Promedio	1.37**	3.10	130%
Ucayali	GORE	2.2	2.31	5%
	MD Campoverde	1.6	2.56	60%
	MD Manantay	1.71	3.04	77%
	MP Coronel Portillo	2.23	3.39	52%
	MD Nueva Requena	1.42	2.02	43%
	Promedio	1.83	2.66	47%
Promedio total		1.79**	2.90	69%

*Se considera los valores del 2015 porque recién en ese año comenzaron a medirse las capacidades de esos GSN.
**Para obtener el promedio, solo se consideran los valores del 2013.

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[99] De acuerdo al histórico de los diagnósticos de capacidades de los GSN intervenidos.

También se adjuntan cuadros por departamento que muestran dos aspectos: (i) las localidades que comenzaron el Programa con el menor puntaje en cada una de las funciones; (ii) las localidades con un mayor crecimiento de puntaje en cada una de las funciones:

Amazonas

Función	Peor comienzo		Mayor crecimiento	
	Valor	Institución	Valor	Institución
Planeamiento	2.07	MD Río Santiago	53%	MD Río Santiago
Normativa	2.00	MD Río Santiago	59%	MD Río Santiago
Participación	1.92	MP Condorcanqui	57%	MD Río Santiago
Ejecutora	2.22	MD Río Santiago	39%	MD Río Santiago
Supervisión	1.67	MD Río Santiago	82%	MD Río Santiago

Loreto

Función	Peor comienzo		Mayor crecimiento	
	Valor	Institución	Valor	Institución
Planeamiento	1.79	MD Punchana	58%	MD Punchana
Normativa	2.22	MD Punchana	29%	MP Maynas
Participación	2.00	MD Punchana	71%	MP Maynas
Ejecutora	1.36	MD Punchana	59%	MD Punchana
Supervisión	1.17	MD Punchana	107%	MD Punchana

Madre de Dios

Función	Peor comienzo		Mayor crecimiento	
	Valor	Institución	Valor	Institución
Planeamiento	1.17	MD Las Piedras	99%	MD Inambari
Normativa	1.33	MD Las Piedras	111%	MP Tambopata
Participación	1.33	MD Inambari	103%	MP Tambopata
Ejecutora	1.19	MD Inambari	89%	MP Tambopata
Supervisión	1.00	MD Inambari	148%	MP Tambopata

San Martín

Función	Peor comienzo		Mayor crecimiento	
	Valor	Institución	Valor	Institución
Planeamiento	1.13	MD Zapatero	177%	MD Tabalosos
Normativa	1.17	MD Zapatero	177%	MP Lamas
Participación	1.25	GORE	186%	GORE
Ejecutora	1.44	MP Lamas	127%	MP Lamas
Supervisión	1.00	GORE	256%	GORE

Ucayali

Función	Peor comienzo		Mayor crecimiento	
	Valor	Institución	Valor	Institución
Planeamiento	1.50	MD Nueva Requena	78%	MD Manantay
Normativa	1.23	MD Nueva Requena	78%	MD Campoverde
Participación	1.38	MD Nueva Requena	94%	MD Manantay
Ejecutora	1.34	MD Nueva Requena	46%	MP Coronel Portillo
Supervisión	1.58	MD Manantay	105%	MD Manantay

Annex 16: Service delivery improvement[100]

DEMORA EN LA DISTRIBUCIÓN DE MATERIALES EDUCATIVOS

LAMAS – SAN MARTÍN

Año	Tiempo
2013	81 días
2014	61 días
2015	34 días
2016	24 días
2017	10 días

FRECUENCIA DE RECOLECCIÓN DE RESIDUOS SÓLIDOS (VECES POR SEMANA)

MADRE DE DIOS

	2013	2014	2015	2016
MP Tambopata	2.33	4.16	4.17	4.3
MD Las Piedras	0.71	1	1.13	1.14
MD Inambari	1	1.33	1.78	2.3

UCAYALI

	2013	2014	2015	2016
MP Coronel Portillo	3	4.75	6	6.5
MD Nueva Requena	-	3	6	6
MD Manantay	1.3	2	4.3	-
MD Campoverde	-	-	3	3

TIEMPO DE ESPERA EN LOS CENTROS DE SALUD – CRED (MINUTOS)

AMAZONAS

	2014	2015	2016	2017
CS Nieva	109	64	54.5	40.8
CS Kigkis	-	80	73.25	60.7
CS Galilea	-	65	58	48.9

LORETO

	2014	2015	2016
CS Moronacocha	107	97	92
CS Bellavista Nanay	93	88	86
CS Tamshiyacu	-	220	135

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[100] De acuerdo a lo informado en los Reportes Anuales del Programa.

Annex 17: Analysis of ICI elements

GIRS

El caso de la GIRS, las municipalidades locales concentran las funciones de ejecución. De los 39 atributos identificados en el DCI, 35 se relacionan directamente con el servicio; en muchos casos la relación es evidente. Solo cuatro atributos no mencionan al servicio directamente, pero este se beneficia por lo que plantean –por ejemplo, educación ambiental, participación ciudadana, entre otros–.

Función	Atributo	Comentarios
Planeamiento	Formula Política Regional Ambiental	Líneas estratégicas en materia de residuos sólidos
	Política Regional Ambiental cuenta con línea de base resultados en materia de residuos sólidos.	Resultados en materia de residuos sólidos
	Política Regional Ambiental especifica responsabilidades compartidas GR - GL en materia de residuos sólidos.	No especifica las responsabilidades compartidas
	Plan de desarrollo de capacidades / equivalente	Aborda aspectos relativos a la gestión de residuos sólidos.
	Plan operativo institucional y presupuesto	Actividades relacionadas con la gestión de residuos sólidos.
	Programa Multianual de Inversiones con proyectos de inversión pública relativos a la gestión de residuos sólidos.	PIP viables relacionados a la gestión de residuos sólidos.
	Plan de Gestión y Manejo de Residuos sólidos	Elaboración
	Plan de Segregación de residuos sólidos	Elaboración
	Políticas de incentivos para minimizar, segregar y reaprovechar desechos	Plan de incentivos
	Plan de Desarrollo concertado	Acciones y proyectos en materia de residuos sólidos
Normativa	Aprobación de la Política Regional Ambiental	Aprobación no está ligada a residuos sólidos
	Cuenta con gerencia de recursos naturales y medio ambiente con funciones en materia de residuos sólidos aprobado mediante ordenanza.	Evidente
	Acuerdos de cooperación interinstitucional.	Acuerdos en materia de residuos sólidos
	Aprobación del Plan de Gestión y Manejo de Residuos Sólidos	Evidente
	Aprobación de Programa Multianual de Inversiones	PIPs sobre residuos sólidos.
	Ordenanza de cobro de arbitrios	Arbitrios para todos los servicios
	Cuenta con gerencia o subgerencia con funciones en materia de residuos sólidos aprobado mediante ordenanza	Evidente
	Emite ordenanza de regulación y fiscalización del manejo y la prestación de servicios sólidos en su jurisdicción (provincial)	Evidente
	Acuerdos de concejo de rectificación de ordenanzas de municipalidades distritales en materia de arbitrios	Arbitrios para todos los servicios
	Aprobación Plan de Desarrollo concertado	Considera la gestión y manejo de residuos sólidos

Función	Atributo	Comentarios
Participación ciudadana	Participación ciudadana	En materia de residuos sólido
	Rendición de cuentas	Relacionados con la gestión de residuos sólidos.
	Acceso a la información pública	Información sobre gestión de residuos sólidos disponible
	Promueve la formalización de segregadores de RRSS	Evidente
Administrativa y ejecutora	Se ejecutan actividades y proyectos en materia de política ambiental y residuos sólidos.	Evidente
	Se realizan acciones conjuntas con gobiernos locales en materia de política ambiental y residuos sólidos.	Evidente
	Promoción acciones de educación ambiental	No especifica el contenido de las acciones de educación
	Ejecución de proyecto de relleno sanitario	Evidente
	Ejecuta acciones de capacitación al personal técnico y operario.	No especifica la temática de las capacitaciones
	Se brinda servicio de barrido de calles y recolección de residuos sólidos.	Evidente
	Implementa programa de segregación en la fuente y recolección selectiva de residuos sólidos en un 12 % de las viviendas urbanas del distrito.	Evidente
	Se realizan acciones conjuntas con gobiernos locales y gobierno regional en materia de gestión y manejo de residuos sólidos	Evidente
	Cuenta con planta de transferencia para descargar y almacenar temporalmente los residuos sólidos.	Evidente
	Cuenta con infraestructura de disposición final de residuos sólidos	Evidente
	Cuenta con equipamiento e infraestructura para la gestión y manejo de residuos sólidos.	Evidente
	Cuenta con personal técnico y operario para la gestión y manejo de residuos sólidos.	Evidente
	Cobro de arbitrios.	Cobro a los que reciben el servicio en general
Supervisión y control	Sistema de monitoreo y evaluación de la política ambiental y residuos sólidos.	Evidente
	Organizaciones sociales / privadas participan en la vigilancia del cumplimiento de metas de la política ambiental y residuos sólidos.	Evidente

Leyenda

	Relación directa evidente
	Relación indirecta
	Sin relación

CRED

En CRED, de los 26 atributos identificados, solo uno se relaciona directa y evidentemente con el servicio ("Servicio de control de crecimiento CRED"). La gran mayoría (20) está relacionada a cumplir acciones y metas con respecto a reducir la desnutrición crónica infantil, y no se menciona expresamente al CRED. Adicionalmente, un atributo se relaciona con el sector salud en general ("Ejercicio de rectoría regional en salud"). Los cuatro restantes no tienen relación porque evalúan la aprobación de instrumentos de gestión. En los criterios de evaluación ni siquiera se condiciona la aprobación a que contengan acciones o metas para reducir la desnutrición crónica infantil.

Función	Atributo	Comentarios
Planeamiento	Plan de Desarrollo Institucional / PEI / equivalente	Prioriza actividades DCI, pero no de CRED específicamente
	Definición de estrategias específicas para la reducción de la DCI	No mencionan qué estrategias, solo indicadores de desempeño y metas
	Planifican acciones conjuntamente con otros niveles de gobiernos	Propuestas y acciones generales, no mencionan cuáles específicas para DCI
	Plan de desarrollo de capacidades / equivalente	Involucra al personal del DCI, no necesariamente CRED
	Plan operativo y presupuesto	Existen actividades (priorizadas) para reducir el DCI, no especifica que sea CRED
	Programa multianual	Metas y acciones para reducir DCI
	Inversiones públicas	PIP relacionados a reducir DCI
Normativa	Aprobación del PEI	Aprobación no está ligada a que incluya objetivos ligados a reducir el DCI
	Aprobación política y planes regionales (municipales)	Aprobación no está ligada a que incluya objetivos ligados a reducir el DCI
	Estrategias específicas de reducción de la DCI aprobadas	Aprobación no está ligada a que incluya objetivos ligados a reducir el DCI
	Ejercicio de rectoría regional en salud	Rectoría para salud sin especificar alguna acción en particular
	Aprobación de compromisos / estrategias de articulación y coordinación	Mecanismo específico para DCI
	Aprobación POI/PIA	Aprobación no está ligada a que incluya objetivos ligados a reducir el DCI
	Aprobación programa multianual	Aprobación no está ligada a que incluya objetivos ligados a reducir el DCI
	Aprobación de inversiones	Aprobación de inversiones ligadas a reducir el DCI
Participación ciudadana	Participación ciudadana	Participación ciudadana para reducir el DCI, pero no enfocada en CRED
	Rendición de cuentas	Rendición de cuentas para reducir la DCI, pero no enfocada en CRED
Administrativa y ejecutora	Servicio de control EDAS / IRAS	Otro servicio crítico relacionado a DCI
	Servicio de control de crecimiento CRED	Evidente
	Evaluación de agua segura	Otro servicio crítico relacionado a DCI
	Promoción de prácticas saludables	Otro servicio crítico relacionado a DCI
	Articulación de acciones para la reducción de la DCI	Actividades y poryectos para reducir la DCI, no relacionado a CRED
	Ejecución del POI / PIA	Acciones para reducir la DCI, no relacionadas a CRED
	Inversiones para la reducción de la Desnutrición Crónica Infantil	Inversiones para la reducción de la DCI

| Supervisión y control | Sistema de monitoreo de acciones | Seguimiento y evaluación a acciones para reducir la DCI, no hace mención exclusiva a CRED |
| | Organizaciones sociales / privadas participan en la vigilancia del cumplimiento de metas de la DCI | Vigilancia no es exclusiva para el servicio CRED |

Leyenda

	Relación directa evidente
	Relación indirecta a través del DCI
	Relación indirecta a través del sector salud
	Sin relación

Materiales educativos

En la distribución de materiales educativos, se debe precisar que los atributos utilizados en el 2016 fueron distintos a los evaluados durante el 2013 y 2015. Contabilizando este cambio de atributos, en total se identificaron 32. Solo uno de ellos se relaciona directa y evidentemente con el servicio ("Llegada oportuna de materiales"). Quince se relacionan indirectamente con el servicio, ya que evalúan la mejora del bajo rendimiento escolar–donde intervienen los materiales–. Trece son acciones para el sector educativo en general ("Política educativa") y tres no se relacionan de ninguna manera porque la aprobación y ejecución de los instrumentos de gestión no están condicionada a la correcta distribución de materiales educativos ni a la mejora del bajo rendimiento escolar.

Cabe resaltar que se evaluó el atributo de "Contratación del personal docente" para las municipalidades locales. Entre otros aspectos, se consideraba si había presupuesto para la contratación y si los docentes iban a clases. Es una imprecisión muy grande evaluar este aspecto, ya que contratar a los maestros no es competencia de las municipalidades.

Función	Atributo	Comentarios
Planeamiento	Diseño del PER o PEL*	No hace referencia al contenido
	Plan curricular*	Aplicado a la realidad pero sin mención a distribución de materiales
	Plan de perfeccionamiento docente.*	No se da detalles sobre el plan o si incluye un manejo de los materiales proporcionados
	POI y PIA	Iniciativas para mejorar EBR; Actividades del PER y PEL
	PEI**	Mejora de los aprendizajes en general
	Plan Articulado del CGDLS	Objetivos y actividades específicamente para la mejora de los aprendizajes.
	Programación multianual y presupuesto institucional anual	objetivos, metas y acciones para la mejora de los aprendizajes
	Programa de inversiones**	PIP en educación
Normativa	Aprobación del PER	Herramienta educativa sin mención específica a mejora de logros educativos
	Aprobación del PEL*	Herramienta educativa sin mención específica a mejora de logros educativos
	Aprobación del Plan educativo de MP*	Herramienta educativa sin mención específica a mejora de logros educativos
	Aprobación de Modelo de gestión educativa*	Herramienta educativa sin mención específica a mejora de logros educativos
	Aprobación del Plan curricular*	Herramienta educativa sin mención específica a mejora de logros educativos

Función	Atributo	Comentarios
	Aprobación del Plan de perfeccionamiento docente.*	Herramienta educativa sin mención específica a mejora de logros educativos
	Aprobación POI y PIA	Aprobación no está ligada a que incluya objetivos ligados a la distribución de materiales educativos ni mejora de EBR
	Aprobación PEI**	Aprobación no está ligada a que incluya objetivos ligados a la distribución de materiales educativos ni mejora de EBR
	Plan Articulado del CGDLS	Programación física y financiera para la mejora de los aprendizajes.
	Políticas o disposiciones en materia educativa**	Herramienta educativa sin mención específica a mejora de logros educativos
Participación ciudadana	Conformación de Copare, con participación de sociedad civil	Acciones para mejora de la calidad educativa, pero no detalla sobre materiales educativos Gestión y vigilancia de los logros educativos
	Apafas participan en supervisión de gestión educativa regional	Gestión y vigilancia de los logros educativos
	Comidé de vigilancia ciudadana**	Gestión y vigilancia de los logros educativos
Administrativa y ejecutora	Ejecución del presupuesto anual del programa de logros de aprendizaje.*	Ejecución en en acciones relacionadas a la educación, no especifica sobre materiales educativos
	Contratación de personal docente para IIEEPP*	No forma parte de las competencias municipales En la contratación no se utiliza como criterio sí sabe utilizar los materiales educativos
	Mejora de las instalaciones de las IIEEPP*	Correcto funcionamiento sin relación alguna con materiales educativos
	Ejecución POI	Ejecución de metas no guardan relación con las de educación
	Articulación GR - GL	Ejecución del plan articulado para la mejora de EBR sin detalle
	Llegada oportuna de materiales	Evidente
	Mejora de las instalaciones de las IEE**	Correcto funcionamiento sin relación alguna con materiales educativos
Supervisión y control	Evaluación de Avances del PER	No se evalúan avances en cuanto a distribución de materiales o el uso adecuado de estos
	Evaluación de Avances del PEL*	No se evalúan avances en cuanto a distribución de materiales o el uso adecuado de estos
	Apafa (departamental/local) participa en vigilancia de cumplimiento de las metas educativas propuestas.*	Vigilancia de logro de aprendizajes
	Sistemas de monitoreo**	Informe de monitoreo, pero no detalla los contenidos del mismo

* Se consideró estos indicadores únicamente para los años 2013 al 2015 y ** Se consideró estos indicadores únicamente para el año 2016

Leyenda

	Relación directa evidente
	Relación indirecta a través de mejorar los logros educativos
	Relación con el sector educativo en general
	Sin relación

Annex 18: Procedural and policy documents elaborated, approved and adopted

Nacional

Tipo	Nacional	Elaborado	Aprobado	Adoptado
NORMATIVO	Directiva para el Desarrollo de la Gestión Descentralizada	X	X	
	Matriz de Gestión Descentralizada del sector educación	X	X	X
	Instructivo del Diagnóstico de Capacidades Institucionales	X	X	
	Lineamientos para la implementación del Portal de Transparencia Estándar en las entidades de la Administración Pública	X	X	
	Lineamientos Preventivos para la Transferencia de Gestión de las Entidades del Gobierno Nacional	X	X	
	Política Nacional para la Transversalización del Enfoque Intercultural	X	X	
	Proyecto de ley general que crea el Sistema Nacional de Prevención y Gestión de Conflictos Sociales	X	X	
	Anteproyecto de Decreto Supremo que fortalece a la Oficina Nacional de Diálogo y Sostenibilidad	X		
	Guía de servicios públicos con enfoque intercultural	X	X	
GESTIÓN	Modificaciones al ROF de la PCM	X	X	X

San Martín

Tipo	San Martín	Elaborado	Aprobado	Adoptado
NORMATIVO	Ordenanza sobre Gobierno Abierto del GORE	1		
	Resolución de Alcaldía para reconocer a los equipos de vigilancia	1	1	1
GESTIÓN	Plan Operativo Institucional (2016)	5	5	5
	Plan Estratégico Institucional (hasta 2018)	4	4	4
	Plan de Desarrollo Concertado	1	-	-
	Modificación al ROF	1	1	
	Manual de procedimientos administrativos	1	1	1
	Proyecto Educativo Local de Lamas	1		

Ucayali

Tipo	Ucayali	Elaborado	Aprobado	Adoptado
NORMATIVO	Constitución del ARA	1	1	1
	Ordenanzas para el cobro de arbitrios	3	2	2
	Resolución de Alcaldía para reconocer a los equipos de vigilancia	2	2	2
	Ordenanza para sancionar conductas contraria a la limpieza pública	1	1	1
GESTIÓN	Modificación y/o actualización del ROF	4	4	4
	Actualización del ARA de Ucayali	1	1	1
	Plan Operativo Institucional (2016)	5	5	5
	Plan Estratégico Institucional	1	-	-
	Plan de Desarrollo Concertado (uno hasta el 2017 y otro hasta el 2021)	2	2	2
	Plan Integrado de gestión de residuos sólidos / Plan de Manejo de Residuos Sólidos	2	2	2
	Programa de segregación de residuos sólidos distritales	2	2	2

Madre de Dios

Tipo	Madre de Dios	Elaborado	Aprobado	Adoptado
NORMATIVO	Constitución del ARA	1	1	1
	Ordenanzas para el cobro de arbitrios	3	3	3
	Resolución de Alcaldía para reconocer a los equipos de vigilancia	3	3	3
GESTIÓN	Modificación y/o actualización del ROF	2	2	2
	Plan Operativo Institucional (2016)	3	3	3
	Plan Estratégico Institucional	-	-	-
	Plan de Desarrollo Concertado	-	-	-
	Agenda Ambiental Local	3	2	2
	Plan Integrado de gestión de residuos sólidos / Plan de Manejo de Residuos Sólidos	3	3	3
	Programa de segregación de residuos sólidos distritales	2	2	2

Amazonas

Tipo	Amazonas	Elaborado	Aprobado	Adoptado
NORMATIVO				
GESTIÓN	Plan Operativo Institucional (2016)	3	3	3
	Plan Estratégico Institucional	2	-	-
	Plan de Desarrollo Concertado	1	-	-
	Modificación y/o actualización del ROF	1	1	1

Loreto

Tipo	Loreto	Elaborado	Aprobado	Adoptado
NORMATIVO	Resolución de Alcaldía para reconocer a los equipos de vigilancia	1	1	-
GESTIÓN	Plan Operativo Institucional (2016)	5	5	5
	Plan Estratégico Institucional (hasta el 2018)	5	3	3
	Plan de Desarrollo Concertado (hasta el 2021)	1	1	1
	Modificación y/o actualización del ROF	3	3	3
	Plan Articulado Nutricional	2	2	2

Annex 19: Procedural and policy documents and their contribution to solid waste management

Instancia	Documento	Contribución
GN		
GR	Plan Operativo Institucional	**NO.** No se consignan iniciativas orientadas a atender las competencias del G.R en materia de residuos sólidos
	Constitución Autoridad Regional del Ambiente	**NO.** Tienen la función de orientar técnicamente a los gobiernos locales respecto al manejo adecuado de los residuos sólidos. En la práctica no lo realizan por falta de presupuesto
	Agenda Ambiental Local	**SI.** Incluyen la gestión de residuos sólidos como uno de sus componentes y objetivos.
GL	Plan Operativo Institucional Plan Estratégico Institucional Plan de Desarrollo Concertado	**SI.** Permiten la planificación estratégica de corto, mediano y largo plazo respectivamente. El POI contiene acciones específicas que se traducen en mejoras inmediatas. Por ejemplo: mejoramiento del servicio de almacenamiento público. El PEI establece acciones estratégicas para cumplir con objetivos y metas de mediano plazo. El PDC establece objetivos estratégicos, como ampliar la cobertura del servicio. Para el cumplimiento de estos se requiere una serie de acciones cuyo cumplimiento no es inmediato.
	Modificación ROF	**SI.** Inclusión de las áreas de limpieza pública y la gerencia de servicios públicos. Los cambios incluyeron funciones y responsabilidades específicas del GIRS.
	Ordenanzas para el cobro de arbitrios	**SI.** Tarifarios por el cobro del servicio. Adquisición de equipos y contratación de personal. En general, da sostenibilidad a la actividad.
	Ordenanza para sancionar conductas contraria a la limpieza pública	**SI.** Concientización a la población
	Plan Integrado de gestión de residuos sólidos / Plan de Manejo de Residuos Sólidos Programa de segregación de residuos sólidos distritales	**SI.** Ambos contribuyen a cumplir con la meta 10 del Plan de Incentivos del MEF: implementar un sistema integrado de residuos sólidos. Los primeros facilitan el desarrollo sostenido de mejorar la cobertura y calidad del servicio. El segundo, concientiza a la población sobre el manejo de residuos sólidos
	Plan de Recojo	**SI.** Establecimiento de horarios y multa
	Agenda Ambiental Local	**SI.** Incluyen la gestión de residuos sólidos como uno de sus componentes y objetivos para combatir la contaminación

Annex 20: Procedural and policy documents and their contribution to CRED services

Instancia	Documento	Contribución
GN	–	–
GR	Plan Operativo Institucional Plan Estratégico Institucional Plan de Desarrollo Concertado	**SI.** Permiten la planificación estratégica de corto, mediano y largo plazo respectivamente. En el corto y mediano plazo incluyen como acción estratégica llevar los niños con CRED completa. En el largo plazo, el servicio solo se menciona dentro del cumplimiento de uno de los programas presupuestales.
	Nuevo ROF DIRESA	**SI.** Se incorporaron nuevas funciones y otras se modificaron, a fin de estar acorde a las nuevas disposiciones legales vigentes y los lineamientos de la reforma en salud. En particular, propone articular los objetivos institucionales contenidos en los planes y presupuestos de la institución
GL	Plan Operativo Institucional Plan Estratégico Institucional Plan Desarrollo Concertado Plan Articulado Nutricional Modificaciones ROF	**NO NECESARIAMENTE.** Objetivos, acciones y demás relacionado con la reducción de la desnutrición crónica infantil y no directamente al CRED

Annex 21: Procedural and policy documents and their contribution to the distribution of eductional materials

Instancia	Documento	Contribución
GN	Matriz de Gestión Descentralizada	**SI.** Ordenar las funciones de todos los niveles
GR	Plan Operativo Institucional Plan Estratégico Institucional Plan de Desarrollo Concertado	**SI.** Planificación articulada en el corto, mediano y largo plazo la distribución oportuna de materiales y recursos educativos provistos por el MINEDU y acciones de monitoreo. El GORE solo tiene POI.
	Modificación de ROF	**NO.** Soporte a la creación del Cuadro para Asignación de Personal. Este permite incluir 20 especialistas de educación al nivel de la UGEL. No se menciona exactamente si esto apoya la distribución de materiales educativos
GL	Plan Operativo Institucional	**NO NECESARIAMENTE.** Supeditado al acuerdo que se haga con los gobiernos regionales
	Plan Estratégico Institucional	
	Plan de Desarrollo Concertado	
	Manual de procedimientos administrativos	

Annex 22: Interviewees that identified oportunities to improve trainings.

- Equipo de vigilancia Coronel Portillo: dos miembros recuerdan haber ido a cuatro capacitaciones, pero no recuerdan los temas trabajados ni los aplica.

- Equipo de vigilancia Tambopata: Manifestaron que necesitan capacitación sobre segregación de residuos sólidos para poder realizar mejor su labor de vigilancia

- Equipo de vigilancia Campoverde: Sólo recuerdan la capacitación para llenar las fichas.

- Equipo de vigilancia Punchana: Siente que ProDes los ha dejado sin estar del todo capacitados, bien implantados y seguros.

- Equipo de vigilancia Nieva: Manifiestan que les falta capacitaciones en temas de salud más aplicados.

Annex 23: Official recognition of surveillance teams

Departamento	Institución	¿Reconocido?	Equipo de vigilancia
Amazonas	MP Condorcanqui	No	No reconocida por Municipalidad
	MD Río Santiago	No	No reconocida por Municipalidad
Loreto	MP Maynas	Sí	Reconocidos a través de RA 377 – 2016 – A – MPM
	MD Punchana	No	No reconocidos por Municipalidad. Sí cuentan con "promotores" que contrata la municipalidad para ser el nexo con asentamientos humanos. No ven tema de salud.
	MD Fernando Lores	No	No contó
	MD SJB	No	No contó, tiene un programa de "guerreros de la salud" que promueve CRED
Madre de Dios	MP Tambopata	Sí	Reconocidos a través de RA 475-2016-MPT-A
	MD Las Piedras	Sí	Reconocidos a través de RA 237-2016-MDLP-ALC
	MD Inambari	Sí	Reconocidos a través de RA 180-2016-ALC-MDI
San Martin	MP Lamas	Sí	Reconocidos a través de RA 0110-2017-A/MPL
	MD Zapatero	Sí	Reconocidos oficialmente
	MD Tabalosos	Sí	Reconocidos oficialmente
	MD Barranquita	Sí	Reconocidos oficialmente
Ucayali	MP Coronel Portillo	Sí	Reconocidos a través de RA 782-2016-MPCP
	MD Manantay	Sí	Reconocidos a través de RA 59-2016-MDM
	MD Campoverde	No	No reconocidos por Municipalidad. Cuentan con "agentes municipales" que son elegidos cada año, sí reconocidos, y tienen poder para exigirle cosas a la Municipalidad.
	MD Nueva Requena	No	No reconocidos por Municipalidad según QR y AR. No obstante, en la entrevista al Gerente Municipal confirmó que sí han sido aprobados.

Anexo 24: Changes in the Gender ICI[101]

Departamento	Institución	ICI GENERO		
		2015	2016	Var %
Loreto	GORE	2.7	2.9	7%
	MP Maynas	2.9	3.1	9%
	MD Punchana	1.7	2.0	22%
	MD Fernando Lores	2.2	2.9	32%
	MD SJB	1.8	2.1	12%
	Promedio regional	**2.3**	**2.6**	15%
Amazonas	GORE (2-3)	1.8	1.8	2%
	MP Condorcanqui (4)	2.0	2.2	11%
	MD Río Santiago (2)	2.0	2.1	1%
	Promedio regional	**1.9**	**2.1**	11%
San Martin	GORE	2.6	2.5	-3%
	MP Lamas	2.3	2.3	-3%
	MD Barranquita	1.7	2.5	45%
	MD Zapatero	1.5	2.6	75%
	MD Tabalosos	1.9	2.8	53%
	Promedio regional	**2.0**	**2.5**	27%
Madre de Dios	MP Tambopata	2.1	2.1	0%
	MD Las Piedras	2.0	2.1	7%
	MD Inambari	1.9	2.3	21%
	Promedio regional	**2.0**	**2.4**	19%
Ucayali	GORE		1.4	
	MP Coronel Portillo	2.6	2.6	0%
	MD Nueva Requena	1.9	2.0	6%
	MD Campoverde	2.0	2.3	16%
	MD Manantay	1.9	1.8	-5%
	Promedio regional*	**2.1**	**2.0**	-4%
Promedio Nacional		2.0	2.3	14%

*No se considera al Gobierno regional de Ucayali por no tener la información completa

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[101] De acuerdo al histórico de los diagnósticos de capacidades de los GSN intervenidos.

Annex 25: Changes in the Intercultural ICI[102]

Departamento	Institución	ICI INTERCULTURALIDAD		
		2015	2016	Var %
Loreto	GORE	2.9	3.1	8%
	MP Maynas	2.7	2.9	6%
	MD Punchana	1.5	1.9	26%
	MD Fernando Lores	2.0	2.8	39%
	MD SJB	1.8	2.1	18%
	Promedio regional	**2.2**	**2.6**	17%
Amazonas	GORE (2-3)	2.0	2.0	1%
	MP Condorcanqui (4)	2.0	2.4	22%
	MD Río Santiago (2)	2.7	2.6	-3%
	Promedio regional	**2.1**	**2.3**	10%
San Martin	GORE	3.1	3.4	8%
	MP Lamas	1.9	2.6	37%
	MD Barranquita	2.0	2.1	5%
	MD Zapatero	1.9	1.7	-8%
	MD Tabalosos	1.8	1.9	7%
	Promedio regional	**2.1**	**2.3**	10%
Madre de Dios	MP Tambopata	1.4	1.8	26%
	MD Las Piedras	1.5	1.7	13%
	MD Inambari	1.7	1.8	10%
	Promedio regional	**1.7**	**1.9**	12%
Ucayali	GORE		2.0	
	MP Coronel Portillo	2.8	2.8	0%
	MD Nueva Requena	1.7	2.4	42%
	MD Campoverde	1.8	2.0	9%
	MD Manantay	1.0	1.1	8%
	Promedio regional*	**1.8**	**2.0**	13%
Promedio Nacional		2.0	2.2	13%

*No se considera al Gobierno Regional de Ucayali por no tener la información completa

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[102] De acuerdo al histórico de los diagnósticos de capacidades de los GSN intervenidos.

Annex 26: Evaluation team members

JOSÉ LUIS ESCAFFI, Líder de la evaluación

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José Luis Escaffi cuenta con Maestría en Planificación Urbana y Regional y más de 25 años de experiencia profesional en la planificación, formulación e implementación de proyectos de diversos gobiernos subnacionales. Cuenta con habilidades de fortalecimiento institucional en el sector público, pues lideró el proyecto "Apoyo a la Infraestructura Social y Productiva de los Gobiernos Provinciales de Ancash", además de desarrollar proyectos para mejorar la capacidad del gasto público y la gestión fiscal de diversos Gobiernos Regionales. Asimismo, cuenta con conocimiento sobre las estrategias de fortalecimiento institucional de USAID pues ha liderado el "Estudio de las necesidades de fortalecimiento institucional de la Comisión Nacional para el Desarrollo y Vida sin Drogas (DEVIDA) en marco de la Estrategia de Cooperación de USAID/Perú". Ha preparado seminarios sobre Planeamiento Estratégico e indicadores de gestión en el sector público; y su vasta experiencia le permite conocer y comprender el sistema peruano en un contexto descentralizado. Cuenta con habilidades de liderazgo, coordinación y excelentes destrezas orales y escritas en español e inglés.

El líder del equipo se encarga de la discusión normativa sobre las competencias que cumple cada nivel de gobierno y cuáles están en posibilidades de cumplir. Además, revisa los informes de descentralización del Programa y, con ayuda de los consultores, desarrolla en gabinete las cadenas de valor de los servicios priorizados. En cuanto al trabajo de campo, dirige los talleres regionales, las entrevistas cruciales en los departamentos asignados y las entrevistas a las autoridades nacionales en Lima. Es en definitiva el responsable del proyecto y de la calidad de todos los entregables.

SUSANA GUEVARA, Especialista en evaluación

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Susana Guevara cuenta con Maestría en Gerencia Social y 21 años de experiencia profesional en el diseño e implementación de sistemas de monitoreo y evaluación, evaluaciones de planes nacionales, programas y proyectos y elaboración de líneas de base y sistematizaciones. Ha desempeñado un papel de liderazgo junto a instituciones gubernamentales, no gubernamentales y a agencias de cooperación internacional. Cuenta con experiencia en el desarrollo de metodologías cuantitativas y cualitativas y está certificada por Grant Management Solutions (GMS, Proyecto de USAID – PEPFAR) para brindar asistencia técnica en monitoreo y evaluación a proyectos de alcance mundial. Su experiencia y conocimiento le permitirá proporcionar un aporte crítico en las evaluaciones. Finalmente, cuenta con excelentes habilidades escritas y orales en español y en inglés, y con 16 publicaciones relacionadas a la gerencia social, demografía, población y desarrollo.

Se encarga de la consistencia del diseño metodológico de la evaluación. Durante el trabajo de campo, se encarga de dirigir gran parte de las entrevistas en los departamentos, así como el análisis de la información recogida y de elaborar el informe de evaluación.

MERCY SANDOVAL, Especialista en fortalecimiento institucional

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Cuenta con Maestría en Gerencia Social y más de 20 años de experiencia profesional en diseño, ejecución, seguimiento, evaluación y sistematización de más de 40 proyectos sociales con cooperación internacional, sector privado y público. Ha liderado el área de Fortalecimiento Institucional y de Gobiernos Locales de la Asociación Benéfica Prisma, lo que le permitió tener a cargo algunos programas

de USAID orientados a la mejora de gestión. Cuenta con excelentes habilidades orales y escritas en español; además de un conocimiento práctico del inglés.

La experta en fortalecimiento institucional revisa la metodología utilizada por el Programa, el diagnóstico de capacidades institucionales y programa de mejora de la calidad del servicio. Asimismo, al igual que la experta en evaluación, dirige gran parte de las entrevistas en los departamentos, así como el análisis de la información recogida y de elaborar el informe de evaluación.

MARCEL CARRANZA, Consultor Senior

Marcel Carranza es Licenciado en Ingeniería de Sistemas por la Universidad Nacional de Trujillo. Cuenta con experiencia en el análisis de procesos, estructura organizacional y planeamiento estratégico para consultorías en el sector público y privado, así como en el desarrollo de sistemas informáticos para usuarios internos y externos.

Actualmente es Asociado de AC Pública, pero tiene experiencia como Especialsita de Sistemas, Jefe de Proyectos y Desarrollador en diferentes empresas del sector privado.

El consultor senior realizará una revisión detallada de información secundaria, generación de resúmenes y elaboración de propuesta de informes de avance. Revisa entrevistas, resúmenes de talleres y sistematización. Apoyará en la redacción de los informes, y revisará la implementación del Programa FOCAS y QSIP.

TOMÁS RETO, Consultor Junior

Tomás Reto es Bachiller de Economía de la Universidad del Pacífico, con Especialización en Economía para el Sector Público. Tiene estudios de especialización en Asociaciones Público Privadas y en el Diseño y Evaluación de Políticas Públicas en la Escuela de Gobierno y Políticas Públicas de la Pontificia Universidad Católica del Perú (PUCP). Actualmente, es Coordinador de Consultorías de AC Pública y fue asesor del Despacho Viceministerial de Hacienda en el MEF.

Cuenta con 5 años de experiencia realizado diversas consultorías para el sector público y privado en el ámbito de la modernización de la gestión pública del Estado, principalmente en análisis de la inversión pública, estudios de modernización y descentralización del Estado, planeamiento estratégico, diseño de políticas públicas, así como en el análisis cualitativo y cuantitativo de líneas de base y evaluaciones.

El consultor junior revisa detalladamente información secundaria y genera resúmenes para el Informe de Incepción. Apoya en talleres participativos y en la coordinación de los mismos. Integrará la codificación de entrevistas y elaborará resúmenes de los talleres. Apoyará en la redacción de informes.

Annex 27: Non-conflict of interest declarations

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|	
Name	José Luis Escaffi Kahatt
Title	Economista (Maestría en Planificación Urbana y Regional)
Organization	Experto en Administración Pública y Descentralización
Evaluation Position?	■ Team Leader ☐ Team member
Evaluation Award Number *(contract or other instrument)*	AID-527-C-13-00002
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	Design of the Final Performance Evaluation of Peru Descentralization Program, submitted by PGRD, implemented by Tetra Tech.
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	21/04/2017

Disclosure of Conflict of Interest for USAID Evaluation Team Members

| Name	Susana Guevara
Title	Experto en evaluaciones
Organization	AC Pública
Evaluation Position?	☐ Team Leader ■ Team member
Evaluation Award Number *(contract or other instrument)*	AID527C1300002
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	PRODES
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* *1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* *2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* *3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* *4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* *5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* *6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	*[signature]*
Date	20/4/2017

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	MERCY SANDOVAL CARNAQUE
Title	Experta en Fortalecimiento Institucional
Organization	APOYO Consultoría Pública
Evaluation Position?	☐ Team Leader ☒ Team member
Evaluation Award Number (contract or other instrument)	AID-527C1300002
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	FINAL PERFORMANCE EVALUATION OF PERU DESCENTRALIZATION PROGRAM
I have real or potential conflicts of interest to disclose.	☐ Yes ☒ No
If yes answered above, I disclose the following facts: Real or potential conflicts of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	21/04/17

Disclosure of Conflict of Interest for USAID Evaluation Team Members

| Name	Marcel Carranza Roncal
Title	Consultor Senior
Organization	APOYO Consultoría Pública
Evaluation Position?	☐ Team Leader ■ Team member
Evaluation Award Number *(contract or other instrument)*	**AID-527-C-13-00002**
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	Design of the Final Performance Evaluation of Peru Descentralization Program, submitted by PGRD, implemented by Tetra Tech.
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	21/04/2017

Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	Tomás Reto López
Title	Consultor Junior
Organization	APOYO Consultoría Pública
Evaluation Position?	☐ Team Leader ■ Team member
Evaluation Award Number (contract or other instrument)	AID-527-C-13-00002
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Design of the Final Performance Evaluation of Peru Decentralization Program, submitted by PGRD, implemented by Tetra Tech.
I have real or potential conflicts of interest to disclose.	☐ Yes ■ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* *1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* *2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* *3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* *4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* *5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* *6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	21/04/2017

U.S. Agency for International Development
Av. La Encalada s/n, Santiago de Surco

Lima 33, Perú
Email: mchoy@usaid.gov